

**REQUEST FOR PROPOSALS FROM SERVICE PROVIDERS  
FOR THE PROVISION OF ONE STOP SHOP FILING PACKAGING AND REVIEW SERVICES TO TRADE &  
INVESTMENT KWAZULU-NATAL**

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## 1. INTRODUCTION

**Trade & Investment KwaZulu-Natal (TIKZN)** is a listed provincial public entity under the Kwa-Zulu-Natal Department of Economic Development Tourism and Environmental Affairs (EDTEA). The entity's mandate is to position KwaZulu-Natal (KZN) as a premier investment destination as well as to promote trade, particularly to increase exports from the province.

### 1.1. PROJECT PURPOSE

TIKZN intends to engage a service provider to provide one stop shop filing packaging and review services in terms of the Treasury Regulations, in order to analyse compliance aspects in the implementation of the One Stop Shop (OneSS) facility, and to provide a system that will assist the organisation in implementing interventions recommendations with the aim of ensuring compliance to the requisite legislation.

### 1.2. SERVICE PROVIDER'S TERMS OF REFERENCE

It is the intention of TIKZN to enter into a formal Service Level agreement with the successful Service Provider (s) to provide the services described hereunder.

The Terms of Reference (ToR) would serve to guide the process of selecting and appointing a qualified service provider by ensuring a match between the audit service requirements of the TIKZN as an entity and the knowledge & experience of the service provider.

These ToRs and the service provider's proposal will form the basis of the service level agreement to be entered into between the parties.

### 1.3. BACKGROUND

TIKZN require a service provider to assist the organisation in the cost consolidation, financial analysis, regulatory compliance analysis, analysis of assets of its programme linked to the One Stop Shop (OneSS). The Service provider will be required to develop a system that will assist the organisation in the financial modeling and analysis for similar projects and to assist in the packaging of information and filing.

### 1.4. SCOPE OF SERVICES/ OUTPUTS OF THE SERVICES PROVIDED / KEY DELIVERABLES

The service to be provided to TIKZN must meet the following minimum requirements:

#### 1.4.1 Purpose/ Function of the Internal Auditors

The review function must, in consultation with the management team of the TIKZN, prepare:

- a) Review plan based on the risk areas that TIKZN may be exposed to with regard to its current operations and implementation of the OneSS;
- b) Compile risk solutions report with regards to the OneSS
- c) Analyse compliance and recommend mitigation in line with the Treasury Regulations focusing on SCM, assets, and other areas as identified with management.
- d) Provide for areas to intervene in terms of the compliance procedures which is in line with all requisite legislation standards
- e) Report to the management committee detailing its performance against the plan, to allow effective monitoring and recommend intervention where necessary
- f) The scope of the review must include the following areas of operations of TIKZN, but not limited to:
  - Supply Chain Management
  - Asset Management
  - Project Funding Controls
  - Risk Management
  - Fraud Risk
  - Finance Unit
  - Ethics
  - Monitoring and evaluation

## 1.4.2 Reporting

The consultant will be directly accountable to the Chief Executive Officer, but will work with the Executive Manager: Strategy and Operations:

The following deliverables must be achieved by the service provider:

- a) Facilitate the risk assessment based on the entity's requirements for the OneSS;
- b) Prepare final solutions report for approval by the TIKZN management;
- c) Prepare a rolling action and intervention plan in consultation with TIKZN based on the risk assessment conducted;
- d) Perform any other review work as might be deemed necessary / required by the TIKZN, linked to the OneSS.

## 1.5. Project/ Technical Proposal

Bidders will be required to submit a **SEPARATE technical and financial proposal**.

### 1.5.1. Technical proposal

The technical proposal should comprise the following elements:

- Understanding of the assignment and scope of work.
- Experience of the service provider including relevant track record, reputation, verifiable references, record of affiliation and experience of conducting similar work.
- Proposed Review/Audit Manager profile and other key members of the team.
- Detailed project execution plan, including task definition and allocation, project timeframes / timetable and milestones as well as feedback and reporting plan to TIKZN.

The bidder must have a minimum of a master's degree in a relevant field and at least five years of professional experience. The CV of the key expert(s) must be provided in the response.

### 1.5.2. Financial proposal

The financial offer must contain a budget breakdown.

The budget breakdown will include a cost estimate for the contract period of three years, which must include

- Related assumptions and detail make up.
- Fees must be quoted at an all-inclusive rate for the different levels of proposed resources to be utilized; and
- All administration cost such as accommodation, travel, subsistence, etc. for the duration of the audit.

## 2. INSTRUCTION TO SERVICE PROVIDERS

The services required by Trade & Investment KwaZulu-Natal are described in these Terms of Reference and therefore all applicable annexures which are listed as mandatory must be comprehensively covered in your proposal.

## 3. REQUIRED EXPERTISE AND COMPETENCIES

The Service Providers proposal must outline the expertise and competencies on offer and should expressly detail their previous experience in dealing with services of this nature. This may be supported by the CV's of the team or Account managers. To achieve the scope of work, the service provider/s appointed to undertake this service, should demonstrate the following key competencies:

- a) Be independent of the entity;
- b) Be competent in the professional practice of internal auditing;
- c) Be certified audit professional, e.g. CIA, CA or CISA, who possesses current knowledge of the Standards
- d) Be well versed in the best practices of the profession;
- e) Have at least ten (10) years of recent experience in the practice of internal auditing at public sector institutions (specifically PFMA).
- f) Has provided internal audit services to a minimum of five public entities similar to the TIKZN.

**KINDLY NOTE THAT FAILURE TO FULLY COVER THIS IN YOUR PROPOSAL WILL RESULT IN YOUR PROPOSAL BEING REJECTED WITHOUT FURTHER CONSIDERATION.**

#### **4. SUPPORTING DOCUMENTATION**

- a) An original valid Tax Clearance Certificate must be submitted with the bid proposal. (Failure to submit the original and valid Tax Clearance Certificate will result in the invalidation of the bid proposal. Certified copies of the Tax Clearance Certificate will not be acceptable). In bids where Consortia /Joint Ventures/Sub-contractors are involved each party must submit a separate valid Tax Clearance Certificate.
- b) Verifiable references.
- c) B-BBEE Verification Certificate (would be an advantage).
- d) Annexure B - DECLARATION OF INTEREST FORM (SBD4).
- e) Annexure C - PREFERENTIAL POINTS CLAIM FORM (SBD6.1).

KINDLY NOTE THAT A FAILURE TO SUBMIT THE MANDATORY DOCUMENTS WITH THE PROPOSAL WILL RESULT IN YOUR PROPOSAL BEING REJECTED WITHOUT FURTHER CONSIDERATION.

#### **5. PREFERENTIAL PROCUREMENT**

In compliance with the Preferential Procurement Policy Framework Act (PPPFA) laws applicable to Trade & Investment KwaZulu-Natal and in terms of Trade & Investment KwaZulu-Natal's procurement policy, preferential points will be awarded to Service Providers who demonstrate BEE representation in its management and ownership structures. In this regard Service Providers are required to expressly cover this in their proposals and state their BEE management and ownership status. Service providers should also include specific accreditation information where applicable.

NB: Companies must demonstrate compliance with the following categories of targeted groups:

- Black owned and percentage owned
- Women owned entities and percentage owned
- Youth owned entities and percentage owned

KINDLY NOTE THAT FAILURE TO EXPRESSLY DEAL WITH YOUR BEE STATUS IN YOUR PROPOSAL, WILL RESULT IN NO PREFERENTIAL POINTS BEING AWARDED FOR YOUR BEE STATUS.

#### **6. SERVICE LEVEL AGREEMENT**

- a) The acceptance of any proposal shall only be confirmed with the conclusion of a written service level agreement between Trade & Investment KwaZulu-Natal and the Successful Service Provider, in terms of which the rights and duties of the parties are recorded, which agreement shall regulate the relationship between Trade & Investment KwaZulu-Natal and the Successful Service Provider.
- b) Until such time that an appropriate service level agreement has been concluded between Trade & Investment KwaZulu-Natal and successful Service Provider, no rights shall be conferred nor shall any legitimate expectations be conferred to the successful Service Provider to carry out the works or services provided for in this call for proposals.

#### **7. FEE STRUCTURE**

- a) Trade & Investment KwaZulu-Natal reserve the right to negotiate any aspect of the proposed fees and disbursements with the preferred Service Provider.

#### **8.1. VALUE OF BID**

The value of this bid is estimated not to exceed R500 000.00 (all applicable taxes included) and therefore the 80/20 system shall be applicable.

#### **8.2. PREFERENCE POINTS**

The preference points awarded for this bid shall be for:

- a) Price and B-BBEE status level of contribution.
- b) The maximum 100 points which includes the Price and the B-BBEE status level of contribution.

#### **9. THE AWARDING OF POINTS**

For the 80/20 or the 90/10 preference point systems, the awarding of points will be done for Price, Functionality and B-BBEE status level of contribution.

### 9.1. POINTS AWARDED FOR PRICE

For the 80/20 or the 90/10 preference point systems, a maximum of 80 or 90 points is allocated for price on the following basis:

$$P_s = 80 - \frac{1}{P_{min}} (P_t - P_{min})$$

$$P_s = 90 - \frac{1}{P_{min}} (P_t - P_{min})$$

- $P_s$  = Points scored for comparative price of bid under consideration  
 $P_t$  = Comparative price of bid under consideration  
 $P_{min}$  = Comparative price of lowest acceptable bid

### 9.2. FUNCTIONALITY

The below mentioned criteria will guide the evaluation of functionality / technical phase and bidders who score less than 70% in this phase will be disqualified for the next phase of evaluation.

FUNCTIONALITY ASSESSMENT SCORING CRITERIA		Weight	Score	Total
<b>1. Technical Approach (40/100):</b>		20		
<ul style="list-style-type: none"> <li>Methodology Proposed – Understanding of the scope of services, as well as Approach and Methodology to the Audit function covering the TIKZN Areas (20) with reference to scope of services</li> </ul>		20		
<ul style="list-style-type: none"> <li>Knowledge and experience - Minimum number of years (Ten years) of relevant experience providing service to a PFMA public sector (20).</li> </ul>				
<b>(Rating score values for technical approach is allocated as follows: Unsatisfactory = 1; Satisfactory = 2; Good = 3; Very Good = 4 and Excellent = 5. The maximum score value which can be awarded is 5 per technical approach category).</b>				
<b>2. Key Personnel (25/100)</b>		15		
Audit manager - Proof of level of training and accreditation with professional body				
Experience of team members relating to the audit services in public sector		10		
<b>(Rating score values for key personnel of proposal is allocated as follows: Unsatisfactory = 1; Satisfactory = 2; Good = 3; Very Good = 4 and Excellent = 5. The maximum score value which can be awarded is 5).</b>				
<b>3. Affiliation of the company to professional bodies (15)</b>		15		
<b>(Rating score values for quality and reasonableness of proposal is allocated as follows: Unsatisfactory = 1; Satisfactory = 2; Good = 3; Very Good = 4 and Excellent = 5. The maximum score value which can be awarded is 5).</b>				
<b>4. Number (minimum 5 public entities) and value of similar projects managed (20/100):</b>		20		
This must be supported by the submission of a list of all projects successfully completed, and letters of completion and references from current/previous clients must be included with the proposal.				
<b>(Rating score values for similar projects is allocated as follows: Unsatisfactory = 1; Satisfactory = 2; Good = 3; Very Good = 4 and Excellent = 5. The maximum score value which can be awarded is 5).</b>				
<b>TOTAL</b>		<b>100</b>		

### 9.3. B-BBEE STATUS LEVEL OF CONTRIBUTION

In terms of Regulation 7 (2) and 6 (2) of the Preferential Procurement Regulations, preference points must be awarded to a bidder for attaining the B-BBEE status level of contribution in accordance with the table below:

<b>B-BEE status level of contribution</b>	<b>Number of points (90/10) system</b>	<b>Number of points (80/20) system</b>
1	10	20
2	9	18
3	6	14
4	5	12
5	4	8
6	3	6
7	2	4
8	1	2
<i>Non-compliant contributor</i>	0	0

- 9.3.1. Bidders who qualify as EMEs in terms of the B-BBEE Act must submit a sworn affidavit issued by the EME representative and attested by a Commissioner of Oaths.
- 9.3.2. Bidders other than EMEs must submit their original and valid B-BBEE status level verification certificate or a certified copy thereof, substantiating their B-BBEE rating issued by a Registered Auditor approved by IRBA or a Verification Agency accredited by SANAS.
- 9.3.3. A trust, consortium or joint venture, will qualify for points for their B-BBEE status level as a legal entity, provided that the entity submits their B-BBEE status level certificate.
- 9.3.4. A trust, consortium or joint venture will qualify for points for their B-BBEE status level as an unincorporated entity, provided that the entity submits their consolidated B-BBEE scorecard as if they were a group structure and that such a consolidated B-BBEE scorecard is prepared for every separate bid.
- 9.3.5. Tertiary institutions and public entities will be required to submit their B-BBEE status level certificates in terms of the specialized scorecard contained in the B-BBEE Codes of Good Practice.
- 9.3.6. A person will not be awarded points for B-BBEE status level if it is indicated in the bid documents that such a bidder intends sub-contracting more than 25% of the value of the contract to any other enterprise that does not qualify for at least the points that such a bidder qualifies for, unless the intended sub-contractor is an EME that has the capability and ability to execute the sub-contract.
- 9.3.7. A person awarded a contract may not sub-contract more than 25% of the value of the contract to any other enterprises that does not have equal or higher B-BBEE status level than the person concerned unless the contract is subcontracted to an EME that has the capability and ability execute the sub-contract.

### 10. B-BBEE STATUS LEVEL OF CONTRIBUTION CLAIMED

Bidders who claim points in respect of B-BBEE Status Level of Contribution must complete Annexure C: Preferential Points Claim Form. (Points claimed must be in accordance with the table reflected in paragraph 9.3. and must be substantiated by means of a B-BBEE certificate issued by a Verification Agency accredited by SANAS or a Registered Auditor approved by IRBA or an Accounting Officer as contemplated in the CCA).

**11. SUBMISSION OF PROPOSALS**

The sealed envelopes must be placed in the tender box at the Reception of the ***Trade and Investment House, 1 Arundel Close, Kingsmead Office Park, and Durban by no later than Friday, 26 January 2018 before 12 noon.*** Any proposal not in the tender box at the time of the proposal closing, such a proposal will be regarded as a late proposal. Late proposal will not be considered. No proposal received by telegram, telex, e-mail, facsimile or similar medium will be considered. Bids may be addressed to the following:

**The Procurement Officer  
Trade and Investment House  
1 Arundel Close  
Kingsmead Office Park  
Durban  
4000  
South Africa**

**ANNEXURE B: DECLARATION OF INTEREST FORM (SBD 4)**

Any legal person, including persons employed by the state', or persons having a kinship with persons employed by the state, including a blood relationship, may make an offer or offers in terms of this invitation to bid (includes an advertised competitive bid, a limited bid, a proposal or written price quotation). In view of possible allegations of favouritism, should the resulting bid, or part thereof, be awarded to persons employed by the state, or to persons connected with or related to them, it is required that the bidder or his/her authorised representative declare his/her position in relation to the evaluating/adjudicating authority where-

- the bidder is employed by the state; and/or
- the legal person on whose behalf the bidding document is signed, has a relationship with persons/a person who are/is involved in the evaluation and or adjudication of the bid(s), or where it is known that such a relationship exists between the person or persons for or on whose behalf the declarant acts and persons who are involved with the evaluation and or adjudication of the bid.

In order to give effect to the above, the following questionnaire must be completed and submitted with the bid.

1. Full Name of bidder or his or her representative: .....
2. Identity Number:.....
3. Position occupied in the Company (director, trustee, shareholder member):.....
4. Registration number of company, enterprise, close corporation, partnership agreement or trust: .....
5. Tax Reference Number:.....
6. Vat Registration Number:.....
7. The names of all directors / trustees / shareholders / members, their individual identity numbers, tax reference numbers and, if applicable, employee / PERSAL numbers must be indicated in the paragraph below.  
"State" means —
  - (a) any national or provincial department, national or provincial public entity or constitutional institution within the meaning of the Public Finance Management Act, 1999 (Act No. 1 of 1999);
  - (b) any municipality or municipal entity;
  - (c) provincial legislature;
  - (d) national Assembly or the national Council of Entities; or
  - (e) Parliament."Shareholder means" – a person who owns shares in the company and is actively involved in the management of the enterprise or business and exercises control over the enterprise.
8. Are you or any person connected with the bidder presently employed by the state? **YES/NO**  
If so, furnish the following particulars:
  - (a) Name of person / director / trustee/shareholder/ member: .....
  - (b) Name of state institution to which the person is connected: .....
  - (c) Position occupied in the state institution: .....
  - (d) Any other particulars: .....
9. If you are presently employed by the state, did you obtain the appropriate authority to undertake remunerative work outside employment in the public sector? **YES/NO**  
If yes, did you attach proof of such authority to the bid document? **YES/NO**  
(Note: Failure to submit proof of such authority, where applicable, may result in the disqualification of the bid)  
if no, furnish reasons for non submissions of such proof: .....
10. Did you or your spouse, or any of the company's directors/ trustees/shareholders / members of their spouses conduct business with the stat in the previous twelve months? **YES/NO**



If so, furnish particulars: .....

11. Do you, or any person connected with the bidder, have any relationship (family, friend, other) with a person employed by the state and who may be involved with the evaluation and or adjudication of this bid? **YES/NO**

If so, furnish particulars: .....

12. Are you, or any person connected with the bidder, aware of any relationship, family, friend, other) between any other bidder and any person employed by the state who may be involved with the evaluation and or adjudication of this bid? **YES/NO**

If so, furnish particulars: .....

13. Do you or any of the directors /trustees /shareholders/members of the company have any interest in any other related companies whether or not they are bidding for this contract? **YES/NO**

If so, furnish details of directors /trustees /members /shareholders:

Full Name	Identity Number	Personal Income Tax Reference Number	State Employee Number / Perusal Number

**DECLARATION**

I, THE UNDERSIGNED CERTIFY THAT THE INFORMATION FURNISHED IN PARAGRAPHS 2 and 3 ABOVE IS CORRECT. I ACCEPT THAT THE STATE MAY REJECT THE BID OR ACT AGAINST ME SHOULD THIS DECLARATION PROVE TO BE FALSE.

.....  
Name of Bidder

.....  
Signature of Bidder

.....  
Position

.....  
Date

### ANNEXURE C: PREFERENTIAL POINTS CLAIM FORM (SBD 6.1)

This Preference Points Claim Form contains general information and serves as a claim form for preference points for Broad-Based Black Economic Empowerment (B-BBEE) Status Level of Contribution.

Points claimed in respect of paragraph..... must be in accordance with the table reflected in paragraph..... and must be substantiated by means of a B-BBEE certificate issued by a Verification Agency accredited by SANAS or a Registered Auditor approved by IRBA or an Accounting Officer as contemplated in the CCA.

Bidders who claim preference points in respect of B-BBEE Status Level of Contribution must complete the following:

1. Name of company / firm:.....
2. VAT Registration Number:.....
3. Company Registration Number:.....
4. Type of company (Firm Partnership / Joint Venture / Consortium / One person business / Sole propriety / Close corporation / Company Pty Limited): .....
5. Describe the principal business activities of the company: .....
6. Company Classification (Manufacturer / Supplier / Professional service provider / Other service providers e.g. transporters etc.: .....
7. Has a B-BBEE certificate been issued to your company by a Verification Agency which is accredited by SANAS or a Registered Auditor approved by IRBA or an Accounting Officer as contemplated in the CCA.  
**YES / NO**
8. Will any portion of the contract be sub-contracted? **YES / NO**
  - a) If yes, indicate what percentage of the contract will be subcontracted?.....
  - b) The name of the sub-contractor?.....
  - c) Whether the sub-contractor is an EME? **YES / NO**
  - d) The B-BBEE status level of the sub-contractor?.....
9. Total number of years the company/firm has been in business?.....
10. I/we, the undersigned, who is / are duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the B-BBE status level of contribution indicated in paragraph 7 of the foregoing certificate, qualifies the company/ firm for the preference(s) shown and I / we acknowledge that:

The information furnished is true and correct.

- (ii) The preference points claimed are in accordance with the General Conditions as indicated in paragraph 1 of this form.
- (iii) In the event of a contract being awarded as a result of points claimed as shown in paragraph 7, the contractor may be required to furnish documentary proof to the satisfaction of the purchaser that the claims are correct.
- (iv) If the B-BBEE status level of contribution has been claimed or obtained on a fraudulent basis or any of the conditions of contract have not been fulfilled, the purchaser may, in addition to any other remedy it may have —
  - (a) disqualify the person from the bidding process;
  - (b) recover costs, losses or damages it has incurred or suffered as a result of that person's conduct;

- (c) cancel the contract and claim any damages which it has suffered as a result of having to make less favourable arrangements due to such cancellation;
- (d) restrict the bidder or contractor ,its shareholders and directors who acted on a fraudulent basis, from obtaining business from any organ of state for a period not exceeding 10 years, after the audi alteram partem (hear the other side) rule has been applied; and
- (e) forward the matter for criminal prosecution

**Witnesses:**

- 1. ....
- 2. ....

.....  
SIGNATURE (S) OF BIDDER(S)