

## **AGSA/04/2025**

Request for Proposal (RFP) to supplement the current panel of auditors to conduct Integrated Contract Work Creditors (CWC) for Information Systems Audits, for the period ending 31 March 2030 on behalf of the Auditor-General South Africa

Closing date: 29 July 2025 at 13:00

*Important Note: A Non-Compulsory Briefing Session will take place virtually on 01 July 2025 from 10:00am to 11:00pm via MS Teams*



**AUDITOR - GENERAL  
SOUTH AFRICA**

*Auditing to build public confidence*

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## **SECTION 1: GENERAL CONDITIONS OF BID**



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## 1. General Information

The Auditor-General of South Africa (AGSA) is a Chapter 9 Constitutional Institution with a mandate to strengthen our country's democracy by enabling oversight, accountability and governance in the public sector through auditing, thereby building public confidence. The AGSA has identified a need for the services as detailed in this Request for Proposal (RFP).

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## 2. Enquiries

- 2.1 All communication and attempts to solicit information of any kind relative to this should be channelled **in writing** to:

Name:	Mr Lesley Mathe
Email address:	<a href="mailto:cwctender@agsa.co.za">cwctender@agsa.co.za</a>

- 2.2 Enquiries in relation to this RFP will not be entertained after **16h00 on 11 July 2025**.
- 2.3 The enquiries will be consolidated and AGSA will issue one response and such response will be posted, within two days after the last day of enquiries, onto the AGSA website ([www.agsa.co.za](http://www.agsa.co.za)) on the *tenders link*, under request for proposal i.e. next to the same RFP document.
- 2.4 The AGSA may respond to any enquiry in its absolute discretion and the bidder acknowledges that it will have no claim against the AGSA on the basis that its bid was disadvantaged by lack of information, or inability to resolve ambiguities.

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## 3. Briefing Session

- 3.1 There will be a non-compulsory briefing session to be held on **01 July 2025 at 10:00am** via an MS Teams Meeting.
- 3.2 Important information will be shared with bidders around the expectations on this tender which requires bidders to attend.

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## 4. Bid Validity Period

Responses to this RFP received from bidders will be valid for a period of 240 days counted from the bid closing date.

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## 5. Instructions on submission of Bids

- 5.1 Bid responses must be submitted / deposited in the AGSA's tender box.
- 5.2 The closing date for the submission of bids is **29 July 2025 not later than 13h00**. No late bids will be considered. Tender documents must be deposited in the tender box.

### Procurement Tender Box

Auditor-General South Africa, Head-office

Reception Area, Ground Floor,

4 Daventry Street,



Lynnwood Bridge Office Park,  
Lynnwood Manor,  
Pretoria

Bids sent to any other address other than the one Specified herein will be disqualified and will not be considered for evaluation. It is the bidder's responsibility to ensure that the bid is sent to the correct address and that this is **received** by the AGSA before the closing date and time in AGSA's dedicated tender box.

5.3 The AGSA will not be held responsible for the following:

5.3.1 Bid responses sent to the incorrect address.

5.4 Only bid responses received via the tender box will be considered.

5.5 Where a complete bid response (Inclusive of all relevant schedules) is not received by the AGSA in the tender box by the closing date and time, such a bid response will be regarded as incomplete and late. Such late and / or incomplete bid will be disqualified.

5.6 **Bidders must submit their responses in both a hard copy (one original hard copy) and a soft copy. The soft copy / electronic copy must be a replicate of the entire hard copy bid response and must be submitted on a Universal Serial Bus (USB). Failure to provide both hard and soft copy responses may render your response as incomplete. The AGSA reserves the right to only assess one of the response formats (either hardcopy or soft copy) of your response, hence the importance of a complete bid response in both hardcopy and soft copy is emphasized.**

5.7 This bid document is made available at no cost to bidders and is available in PDF format and also in an editable format (MS Word document). **The AGSA's tender requirements should not be altered by bidders and the PDF format serves as the basis for this.**

## 6 Preparation of Bid Response

6.1 All the documentation submitted in response to this RFP must be in English.

6.2 The bidder is responsible for all the costs that it shall incur related to the preparation and submission of the bid document.

6.3 Bids submitted by bidders which are or comprised of companies must be signed by a person or persons duly authorised thereto by a resolution of the applicable Board of Directors, a copy of which Resolution, duly certified, must be submitted with the bid.

6.4 The bidder should check the number of the pages of its bid to satisfy itself that none are missing or duplicated. No liability will be accepted by AGSA regarding anything arising from the fact that pages of a bid are missing or duplicated.

6.5 Bidder's tax affairs with SARS must be in order (tax compliant status) and bidders must provide written confirmation to this effect as part of their tender response.

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## 7 Supplier Performance Management

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- 7.1 Supplier Performance Management is viewed by the AGSA as a critical component in ensuring value for money acquisition and good supplier relations between the AGSA and all its suppliers.
- 7.2 The successful bidder shall upon receipt of written notification of an award, be required to conclude a Memorandum of Agreement (MoA) with the AGSA, which will form an integral part of the supply agreement. The MoA will serve as a tool to measure, monitor and assess the supplier performance and ensure effective delivery of service, quality and value-add to AGSA's business.
- 7.3 Successful bidders will be required to comply with the above condition and also provide a scorecard on how their product / service offering is being measured to achieve the objectives of this condition.
- 7.4 The CWC panel is an extension of the AGSA's mandate in terms of the Constitutional rights imposed on the AGSA. The quality of service expected from the CWC panel of service providers is paramount. Please refer to Annexure 11 for an indication of key performance measures that the panellists will be subjected to should they be successful to manage supplier performance which will further be enforced through our standard Memorandum of Agreement (MoA).

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## 8 AGSA's Rights

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- 8.1 The AGSA is entitled to amend any bid condition, bid validity period, RFP specification, or extend the bid closing date, all **before the bid closing date**. All bidders, to whom the RFP documents have been issued and where the AGSA have record of such bidders, may be advised in writing of such amendments in good time and any such changes will also be posted on the AGSA's website under the relevant tender information. All prospective bidders should therefore ensure that they visit the website regularly and before they submit their bid response to ensure that they are kept updated on any amendments in this regard.
- 8.2 The AGSA reserves the right to set and determine audit rates for approved panellists and to share this with panellists on an annual basis during the panel validity period. Pricing will therefore not be a consideration for appointment to the AGSA panel.
- 8.3 The AGSA reserves the right to award this bid as a whole or in part, or alternatively to award the bid in phases. The utilisation of the panel and potential associated allocation of contract work in terms thereof shall be governed by this bid read together with the subsequent conclusion of a valid MoA.
- 8.4 The AGSA reserves the right to conduct site visits at bidder's corporate offices and / or at client sites if so required.
- 8.5 The AGSA reserves the right to request all relevant information, agreements and other documents to verify information supplied in the bid response. The bidder hereby gives consent to the AGSA to conduct background checks, including FICA verification, on the bidding entity and any of its directors / trustees / shareholders / members.

- 8.6 The AGSA reserves the right of final decision on the interpretation of its tender requirements and responses thereto.

## 9 Undertakings by the Bidder

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- 9.1 By submitting a bid in response to the RFP, the bidder undertakes to offer or render all or any of the services described in the bid response submitted by it to the AGSA on the terms and conditions and in accordance with the specifications stipulated in this RFP document.
- 9.2 The bidder shall prepare for a possible presentation should AGSA require such and the bidder will be required to make such presentation within three to five (3-5) days from the date the bidder is notified of the presentation. Such presentation may include a practical demonstration of products or services as called for in this RFP, where relevant.
- 9.3 The bidder agrees that the offer contained in its bid shall remain binding upon him/her and receptive for acceptance by the AGSA during the bid validity period indicated in this RFP and its acceptance shall be subject to the terms and conditions contained in this RFP document read with the bid.
- 9.4 The bidder furthermore confirms that he/she/it has satisfied himself/herself/itself as to the correctness and validity of his/her/its bid response; to cover all his/her/its obligations under a resulting contract for the services contemplated in this RFP.
- 9.5 The bidder agrees to consider for acceptance the Circular detailing the Guideline on Fees for Audits Performed by the Private Firms on behalf of the AGSA, which will be updated by the AGSA on an annual basis for the duration of the panel validity period.
- 9.6 The successful bidder accepts full responsibility for the proper execution and fulfilment of all obligations and conditions devolving on him/her under the supply agreement and SLA (or as referred to as the MoA) to be concluded with AGSA, as the principal(s) liable for the due fulfilment of such contract.

## 10 Reasons for disqualification

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- 10.1 The AGSA reserves the right to disqualify any bidder which does any one or more of the following, and such disqualification may take place without prior notice to the offending bidder, however the bidder will be notified in writing of such disqualification:
- 10.1.1 bidders who are not tax compliant and / or who do not submit a valid Tax Compliance Status Pin and / or proof of application of such as endorsed by SARS on the closing date and time of the bid submission and / or failure to provide the AGSA with its SARS issued Tax Verification PIN code giving access to the AGSA to electronically verify tax compliance.
- 10.1.2 bidders who submit incomplete information and documentation according to the requirements of this RFP document.
- 10.1.3 bidders who submit information that is fraudulent, factually untrue or inaccurate information.
- 10.1.4 bidders who receive information not available to other potential bidders through fraudulent means.



- 10.1.5 bidders who do not comply with any of the **pre-qualifying / eligibility criteria or requirements** as stipulated in the RFP document including non-attendance of the compulsory briefing session, where applicable.
- 10.1.6 bidders who fail to comply with FICA and POPIA requirements as listed herein.

## 11 Returnable Schedules

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Bidders shall submit their bid responses in accordance with the returnable schedules specified below (each schedule must be clearly marked):

- 11.1 **Cover Page:** (the cover page must clearly indicate the RFP reference number, bid description and the bidder's name)
- 11.2 **Schedule 1:**
  - 11.2.1 Executive Summary (explaining how you understand the requirements of this RFP and the summary of your proposed solution.
  - 11.2.2 Annexure 2 of this RFP document (duly completed and signed)
- 11.3 **Schedule 2**
  - 11.3.1 Valid Tax Compliance Status Pin (TCS PIN) and / or proof of application as endorsed by SARS and / or SARS issued tax verification pin code.
  - 11.3.2 Originally certified copies of bidder's CIPC company registration documents listing all members with percentages, in case of a CC.
  - 11.3.3 Copy of Board Resolution, duly certified.
  - 11.3.4 Originally certified copy of ID document for the Company Representative
  - 11.3.5 Annexure 3 of this RFP document (duly completed and signed).
  - 11.3.6 Annexure 4 of this RFP document (duly completed and signed).
  - 11.3.7 Annexure 5 of this RFP document (duly completed and signed).
  - 11.3.8 Annexure 6 of this RFP document (duly completed and signed).
  - 11.3.9 Annexure 7 of this RFP document (duly completed and signed).
  - 11.3.10 Response to Annexure 8: B-BBEE Claims Form

Bidders must submit a B-BBEE verification certificate indicating the contribution level of the bidding entity. For Exempted Micro Enterprises (EME) with an annual revenue of less than R10 million and Qualifying Small Enterprises (QSE) with an annual revenue of between R10 million and R50 million per annum, a sworn affidavit confirming the annual total revenue and level of black ownership may be submitted. Any misrepresentation in terms of the declaration constitutes a criminal offence as set out in the B-BBEE Act as amended.

**Note: If a bidder is a Consortium, Joint Venture or Prime Contractor with Subcontractor(s), the documents listed above must be submitted for each Consortium/ JV member or Prime Contractor and Subcontractor(s).**
  - 11.3.11 Annexure 9 of this RFP document (duly responded to)
  - 11.3.12 Annexure 10 of this RFP document (duly completed and signed).
  - 11.3.13 Annexure 11 of this RFP document (duly acknowledged and signed)



- 11.3.14 Statement of Financial Position of the Bidder: Latest Audited Financial Statements (where applicable in terms of the Company's Act) and/or independently reviewed financial statements and/or Cash flow Budget for new entities with no financial records.
- 11.3.15 Copy of Joint Venture/ Consortium/ Subcontracting Agreement duly signed by all parties (if applicable)
- 11.4 **Schedule 3:**
- 11.4.1 Response to Section 2 of this document, in line with the format indicated in this RFP document.

## 12 Evaluation Criteria and Weightings

Bids shall be evaluated in terms of the following process:

- 12.1.1 **Phase 1: Initial Screening Process:** During this phase, bid responses will be reviewed for completeness of response and for purposes of assessing compliance with RFP requirements including the general bid conditions, which requirements include the following:
- Submission of a valid Tax Compliance Status Pin as referenced in 11.3.1 above.
  - Submission of Company Registration Forms as referenced 11.3.2 above.
  - Submission of ID copy for the Company Representative as referenced in 11.3.4 above.
  - B-BBEE Status Certification as referenced in 11.3.10 above.
  - Completion of all Standard Bidding Documents and other requirements, as reflected in this RFP, which covers the following:
    - Section 2: Statement of compliance with the Functional Evaluation Criteria for this RFP.
    - Section 3: Declaration Forms.
    - Annexure 1: Acceptance of Bid Conditions.
    - Annexure 2: Tax Compliance Requirements.
    - Annexure 3: Supply Chain Management Questionnaire.
    - Annexure 4: Declaration of Interest.
    - Annexure 5: Certificate of Independent Bid Determination.
    - Annexure 6: Shareholders' Information/ Group Structure.
    - Annexure 7: B-BBEE Claim Form.
    - Annexure 8: Disclosure Statement.
    - Annexure 9: Privacy & Protection of Personal Information Act 4 of 2013 Requirements.
    - Annexure 10: Database Information Form
    - Annexure 11: Acceptance of the supplier performance management standards of the AGSA, which is subject to amendments in line with the final MoA (For completeness of response)

Failure to comply with the requirements assessed in Phase 1 (compliance), may lead to disqualification of bids.

## 12.2 Phase 2: Technical/ Functionality Evaluation

Bid responses will be evaluated in different stages in accordance with the technical/functional criteria as follows:

### 12.2.1 Stage 1: Pre-Qualifying Criteria (Eligibility Criteria)

The technical assessment will commence with the pre-qualifying criteria as outlined in section 2 of the bid document.

### 12.2.2 Stage 2: Other Technical/Functional Requirements

With regards to the other Technical/Functional Requirements, bidders will be evaluated based on the applicable criteria.

**Note: The minimum qualifying score for stage 2 (technical/functionality evaluation) is 70 points per category. All bidders that fail to achieve the minimum qualifying score of 70 points on technical/functionality evaluation will not be considered further for evaluations on B-BBEE.**

### 12.3 Phase 3: Preference Point System

All bids that achieve the minimum qualifying score for technical/functionality (acceptable bids) will be evaluated further on its B-BBEE level of contribution in terms of the preference point system, as follows:

CRITERIA	POINTS
B-BBEE	10
<b>TOTAL</b>	<b>10</b>

Note: Pricing, which would have counted 90 points under the 90/10 preference point system, will not be considered under this tender.

The AGSA reserves the right to appoint any number of panellists in line with its requirements based on the bidders' scores in terms of B-BBEE evaluation and all other objective criteria as listed hereunder:

**Objective Criteria 1:** In the event that all bidders score equal points on B-BBEE, then the AGSA will consider the bidders with the highest technical scores to inform the number of appointed panellists which will be considered commensurate to the expected work allocation.

**The purpose of the RFP is for the establishment of a panel of service providers based on the technical and B-BBEE credentials and thus price is not required as part of the bid offering as an element for evaluation. Pricing will be determined in accordance with the approved AGSA rates that will be applicable at the time of allocation of audit work.**



## **SECTION 2: FUNCTIONAL REQUIREMENTS SPECIFICATION**

## 1. BACKGROUND

Section two (2) of the bid document sets out the AGSA's requirements for its CWC Panel. To ensure a uniform understanding of the AGSA requirements, please find herewith the list of acronyms and definitions.

## 2. DEFINITIONS

Herewith below is the list of acronyms and definitions applicable to this RFP:

Acronym	Definition
<b>ABU: Audit business unit</b>	All provincial and national audit business units of the Auditor-General of South Africa responsible for regularity audit, including Performance Auditing, Investigations, and Information Systems Auditing business units.
<b>ACDA</b>	Analytics Certified Data Analyst
<b>AGSA</b>	Auditor-General of South Africa.
<b>APA</b>	Auditing Profession Act, 2005 (Act No. 26 of 2005).
<b>Audit Partner</b>	A partner who has performed contract audit work on behalf of the AGSA through a private audit firm as an approved CWC category panelist.
<b>Auditor</b>	Refers to a person/s conducting the audit, usually the engagement partner or other members of the engagement team, or as applicable, the firm.
<b>B-BBEE</b>	Broad-Based Black Economic Empowerment.
<b>Charge out rate</b>	This is a rate that should be charged in order to meet the cost of employment, recover overheads incurred on performing the audit and surplus to sustain the business. It is derived from the cost (staff costs per band) plus mark-up factor (overhead rate), divided by the recoverable hours.
<b>CISA</b>	Certified Information Systems Auditor
<b>CISM</b>	Certified Information Security Manager
<b>CISSP</b>	Certified Information Systems Security Professional
<b>Conflict of interest</b>	A situation where an auditor's impartiality, objectivity, or independence might be compromised due to competing interests or relationships. This compromise could potentially influence the auditor's ability to perform their duties with integrity and impartiality. This also covers any other perceived conflict of interest as generally applied within the profession and business environment.



Acronym	Definition
<b>Contract Work Creditors (CWC) Panel</b>	A list of all approved private audit firms or specialized audit service firms or companies or juristic persons, which will perform audits on behalf of the AGSA. This also refers to pre issuance reviewers operating under a firm or as individuals conducting pre issuance reviews on AGSA engagements.
<b>Contracted-in work</b>	This model is where private firms provide resources to the AGSA team to assist in conducting the audit under the supervision of the AGSA engagement manager.
<b>Contracted-out work</b>	This model is where a private audit firm or specialized audit service firm or company or juristic person is appointed with full responsibility to conduct an audit assignment on behalf of the AGSA.
<b>Cooling-off period</b>	A duration of twelve (12) calendar months commencing from either the audit report date of the auditee or the date the firm concludes a project. During this period, a firm is not permitted to conduct non audit services on an auditee, and its affiliates where they were involved in by providing resources to the AGSA before or after the finalisation of the latest audit report or project.
<b>Engagement partner</b>	A partner in a private audit firm registered with IRBA to conduct audit on behalf of the AGSA for contracted out engagements.
<b>ERP</b>	Enterprise Resource Planning
<b>EXCO</b>	Executive committee of the AGSA.
<b>HDI</b>	A South African citizen who had no franchise in the national elections prior to the introduction of the Constitution of the Republic of South Africa, 110 of 1983, or the Constitution of the Republic of South Africa, 200 of 1993 (Interim Constitution); and/or who is a female, and/or who has a disability provided that a person who obtained South African citizenship on or after the coming into effect of the Interim Constitution, 200 of 1993, is deemed not to be an HDI.
<b>IFRS</b>	International Financial Reporting Standards
<b>IS audit</b>	Evaluation of Information Technology (IT) general and application controls as an input to regularity audit during the process of expressing an audit opinion in terms of the Public Finance Management Act and Municipal Finance Management Act.
<b>ISA</b>	Information Systems Audit
<b>Key Account partner</b>	A person assigned to handle all communication on behalf of the firm or juristic entity or company. This person is assigned by the firm to represent all branches associated with the firm



Acronym	Definition
	to the AGSA.
<b>MoA</b>	Memorandum of Agreement
<b>National Service Categories</b>	Categories managed at national level where work is allocated to firms located in various provinces, irrespective of the location of the firm. This applies to all audit service categories, except for regularity audit.
<b>Network firms</b>	Network firms are affiliated firms that share common names and are guided by a memorandum of understanding (national agreement) that they do not share profits. The firms are reviewed in different cycles and with separate IRBA numbers, including different B-BBEE levels. They are treated as separate juristic entities for the purpose of work allocation and classification.
<b>OSCP</b>	Offensive Security Certified Professional
<b>PAA</b>	Public Audit Act, 2004 (Act No. 25 of 2004)
<b>PFMA</b>	Public Finance Management Act, 1999 (Act No. 1 of 1999)
<b>Private firm or company</b>	Refers to registered legal businesses that operate either as an audit firm that is registered with IRBA or one that performs the IT (risk/audit) services work recognized by the Information Systems Audit and Control Association or Certified Fraud Examiner or Institute of Commercial Forensic Practitioners (ICFP) or any other specialist firm in terms of the scope of this RFP.
<b>Private practitioners</b>	Individuals who are registered with IRBA or individuals auditing independently and have a Certified information Systems auditor qualification or an individual who do not have a CISA qualification but has the necessary qualification, experience, and competencies as determined by the AGSA.
<b>Public sector auditing experience</b>	Work done in the three spheres of government i.e., Local government, Provincial and National and any related entities, including AGSA contract work as well as work done in the different areas of audit within the AGSA context i.e., Audit of financial statements, Audit of predetermined objectives and Compliance.
<b>QM</b>	Quality Management
<b>RA</b>	Regularity Audit
<b>Regularity audit work</b>	Annual audits performed to report on financial statements, performance information and compliance with laws and regulations in accordance with the Public Audit Act and the applicable directive issued in terms thereof.
<b>Resource</b>	A term used to refer to a staff member provided by an audit



Acronym	Definition
	firm/firm/specialized firm / juristic person to the AGSA to perform work on its behalf
<b>Sustainable office</b>	A fully operational office of the private audit firm or specialized audit services company within the region/province registered with the relevant professional body or specialized audit services professional body and carrying on the legal business of rendering audit services or specialized audit services. The office should include proper signage, dedicated office space, permanent staff permanent telephone number and a fixed address.
<b>Trainee Auditor/Accountant</b>	A person who will be subject to a minimum of three (3) years audit training programme registered by either, ISACA, with bachelor's degree or equivalent (NQF level 7)
<b>Window Period</b>	The opening of the procurement process, at AGSA's sole discretion, as a result of any significant changes in the market / industry that may affect the usefulness of the CWC panel, thereby allowing the accreditation of the new panelist at any time during the panel validity period.

### 3. SPECIAL INSTRUCTION TO BIDDERS

- 3.1 Should a bidder have reasons to believe that the requirement Specification is not open and/or is written for a particular brand or product or service provider; the bidder shall notify AGSA Procurement within five (5) days after publication of the RFP.
- 3.2 Bidders shall provide full and accurate answers to the questions posed in this document, and, where required explicitly state "Comply/Not Comply" regarding compliance with the requirements. Bidders must substantiate their response to all questions, including full details on how their proposal/solution will address specific functional/ technical requirements. All documents as indicated must be supplied as part of the bid response.

### 4. PROJECT BACKGROUND AND PURPOSE

- 4.1 The Auditor-General of South Africa (AGSA) is the supreme audit institution (SAI) of South Africa. The AGSA has a constitutional mandate and, as the SAI of South Africa, exists to strengthen our country's democracy by enabling oversight, accountability and governance in the public sector through auditing, thereby building public confidence.
- 4.2 In order to carry out its constitutional mandate the AGSA from time-to-time partners with audit firms that have the skills, capabilities and capacity to deliver audit work on its behalf or together with the AGSA.
- 4.3 The purpose of this tender is to supplement the recently established panel of audit firms and other juristic persons (hereinafter referred to as the CWC panel) that will assist the



AGSA in carrying out some of the audit work over the remaining part of a period of five years in terms of the scope of this RFP pertaining to Information Systems Audits. The CWC panel will be utilised on an as-and-when needed basis and allocation of work will be done by the AGSA.

#### 4.4 Contracting models

There are mainly two contracting models that the AGSA will follow in the contracting of audit firms for ISA panel, detailed as follows:

- a) **Contracted-in model:** where private firms provide qualified resources to the AGSA team to assist in conducting the audit under the supervision of the AGSA engagement manager. **This model is mainly applicable to regularity audit work and also to some ISA audit work.**
- b) **Contracted-out model:** where a private audit firm is appointed by the AGSA to conduct an audit assignment on behalf of the AGSA. **This model applies to all other audit work categories, including regularity audit work and the bigger portion of the ISA audit work.**

#### 4.5 Audit Work Service Categories

The CWC panel which the AGSA wishes to refresh the panel for additional panellists to the following category of specialisation, which bidders may tender for:

- a) **Information Systems Audit:** The evaluation of IT general and application controls as an input to regularity audit during the process of expressing an audit opinion.

#### 4.6 Category and Service location of work required

The category of ISA audit work will be undertaken in the following location:

Category of Audit Work	Service Location
Information Systems Audits	National

Note: Information systems audit work category is managed centrally (from AGSA Head Office) with work to be undertaken in any province on a national basis.

- 4.7 Bidders will also be required to provide information on their company profile which entails professional registration details, years of operation, names of directors/partners, and any relevant certifications or accreditations, etc. to assist the AGSA in the assessment of the capacity to deliver the required services. For detailed information required in this regard, refer to Annexure 10: Database Information Form.

- 4.8 Bidders are required to complete the table below which will indicate the bidder's size.

##### 4.8.1 Bidding Entity Type and Size, where applicable

Bidders are required to indicate the applicable entity type and bidding entity size as follows:



Bidder Size	Tick ( ✓ )
Small emerging firm	
Small firm	
Medium firm	
Large firm	

#### 4.8.2 Service Locations

The below listed service category is national, managed centrally (from AGSA Head Office) with work to be undertaken in any province on a national basis. Bidders are required to indicate the province/s where they have offices:

Service Category	Provincial Services								
	GP	NW	EC	WC	NC	FS	MP	LIM	KZN
Information Systems Audits									

**Note: The bidders shall be allocated work per service location based on the business needs and efficiencies, and this shall not be limited to the provinces where their offices are located.**

## 5. SCOPE OF WORK

The Auditor General of South Africa (AGSA) requires audit firms and / or juristic entities for inclusion in the panel, to supplement the recently established panel in carrying out some of the Information Systems Audit work over the remaining part of the five year CWC panel validity period which commenced from 01 April 2025 and will expire on 31 March 2030 in terms of the scope of this RFP.

### 5.1 Information Systems Audit Work

- 5.1.1 This audit work relates to evaluation of IT general and application controls as an input to regularity audit during the process of expressing an audit opinion in terms of the Public Finance Management Act and Municipal Finance Management Act.
- 5.1.2 The private audit firms / specialist firm / company / juristic person is classified on a national basis. Provincial classification for work allocation will be at the discretion of the AGSA based on the number of available resources in the respective provinces for the various firms.
- 5.1.3 The firms should indicate their footprint in the various provinces as part of their submissions to this tender.



## 6. TECHNICAL EVALUATION CRITERIA

Bidders shall be evaluated in terms of the following criteria:

### 6.1 Pre-Qualification Criteria (Eligibility/ Mandatory Criteria)

- 6.1.1 The bidder must indicate their compliance/ non-compliance to the following requirements and to substantiate as required. The bidder must respond in the format below, where additional information is provided/ attached somewhere else; such information must be clearly referenced. Failure to comply with the below pre-qualification requirements will lead to automatic disqualification of the bid.
- 6.1.2 Note: Where a criterion requires substantiation or evidence, a tick alone will not be accepted as proof of compliance. The corresponding substantiation or evidence must be provided to support the compliance statement. Failure to do so will result in automatic disqualification of the bid.
- 6.1.3 Failure to comply with the pre-qualification requirements will lead to automatic disqualification of the bid.
- 6.1.4 Bidder to select / tick Comply or Not Comply below.

No.	Pre-qualification criteria / eligibility criteria	Comply	Not Comply	Page no:
1	<p>The bidder must have at least 1 nominated individual at a senior level doing ISA quality review (i.e. Senior Manager/Associate Director/ Director) registered with the Information Systems Audit and Control Association (ISACA) or IT audit equivalent associations/ entities that require continuous learning (e.g. International Information System Security Certification Consortium).</p> <p>To substantiate, the nominated bidder's representative/individual at a senior level doing ISA quality review (i.e. Senior Manager/Associate Director/ Director) must submit proof that their professional membership(s) was/ were renewed and it's valid at the time of the tender closing date. They should also submit a valid ISACA (or IT audit association-issued) certification(s) for example CISA/CISM/CGEIT/CISSP/equivalent for the nominated bidder's representative at a senior level. These certificates must be valid at the time of the tender closing date.</p>			



No.	Pre-qualification criteria / eligibility criteria	Comply	Not Comply	Page no:
	<b>Substantiate: The bidder must attach as part of this proposal documentary proof of team members valid registration/ certification. Where additional information is provided / attached somewhere else by the bidder, such information must be clearly cross-referenced.</b>			
2	<p>The nominated bidder's representative at a senior level doing ISA quality review must have verifiable combined experience of having provided ISA services for at least three years. The ISA services required must be either internal or external IT audit services which comply with the following standards:</p> <ul style="list-style-type: none"> <li>• ISA 315, ISA 330, ISA 402, ISA 610, ISAE 3000/3402</li> <li>• Reference letter(s) for either internal or external IT audit services done at any corporate client not older than 5 years.</li> <li>• The nominated bidder's representative at a senior level doing ISA quality review must provide a comprehensive CV showing the relevant experience.</li> </ul>			
	<b>Substantiate: The bidder must provide relevant contactable references of similar ISA work delivered per customer in the past five years. Where additional information is provided / attached somewhere else by the bidder, such information must be clearly cross-referenced.</b>			
3	<p>The nominated bidder's representative at a senior level doing ISA quality review must have at least <b>five (5)</b> years relevant post qualification experience with at <b>least three (3)</b> years' experience operating at a senior management/executive level. The number of years started operating at senior management level should clearly be indicated in the CV.</p>			
	<b>Substantiate: The bidder must attach as part of this proposal a list of reference letters from customers to whom IT services and Audit services were rendered. The letters must provide the number of years of services and the scope of work provided for each of the areas (IT and Audit). The CV of the lead partner must also be submitted. Where additional information is provided / attached somewhere else by the bidder, such information must be clearly cross-referenced.</b>			
4	The bidder's nominated representative at a senior level doing ISA quality review (i.e. Senior Manager/Associate Director/Director) must have a relevant South African National Qualifications			



No.	Pre-qualification criteria / eligibility criteria	Comply	Not Comply	Page no:
	Framework (NQF) Level 7 qualification or higher. Additionally, all other team members (lower levels) must hold a relevant NQF level 7 qualification or higher.			
	<b>Substantiate: The bidder must attach as part of this proposal documentary evidence of the specified list of resources with the names and surnames, qualifications, and certification(s). Where additional information is provided / attached somewhere else by the bidder, such information must be clearly cross-referenced.</b>			

## 6.2 Other Functional Criteria

- 6.2.1 The bidder must provide proof of documentation to the following requirements to substantiate what they have submitted as required. The bidder must package the response according to the format below and where additional information is provided/ attached somewhere else; such information must be clearly referenced. Bidders must obtain at least 70 points on the technical evaluation to be considered further. Bidders that fail to achieve 70 points shall be disqualified.

No.	Evaluation Criteria	Scoring Matrix	Weight	Comply Yes/ No	Page No.
1	Quality Management		40		
1.1	<p>The bidder must outline their procedures for assessing specialist or audit resource requirements for AGSA engagements, including the criteria for determining adequately qualified and experienced resource allocation to be assigned to the AGSA engagement teams, and what protocols are adopted to ensure timely execution of quality audits as an outcome.</p> <p>Bidders must therefore submit the following:</p> <ul style="list-style-type: none"> <li>• Its detailed methodology or process to assess adequacy of specialists or audit resources (human resources and also technology tools) and how resource allocation is managed.</li> <li>• Indicate if any of the tools are proprietary tools and if so, please list such; or if any of the tools are generic which are used in the industry.</li> <li>• Details on how training of resources are managed to ensure quality standards during audit assignments with detailed training planning.</li> <li>• At least three reference letters from previous</li> </ul>	<p>Submitted the following information for evaluation:</p> <p>Evidence of a comprehensive methodology or process in assessing adequacy for allocation of audit resources, specialist and any technology tools as per listed criteria with details of training plan for all audit staff with at least three relevant reference letters <b>(30 points)</b></p> <p>Evidence which partially demonstrates the methodology or process in assessing adequacy for allocation of audit resources as per listed criteria with details of training plan for all audit staff with at least three relevant reference letters <b>(20 points)</b></p> <p>Evidence which partially demonstrates the methodology or process in assessing adequacy for allocation of audit resources as per listed criteria with details of training plan for all audit staff without relevant reference letters <b>(10 points)</b></p> <p>No evidence provided <b>(0 points)</b></p>	30		



No.	Evaluation Criteria	Scoring Matrix	Weight	Comply Yes/ No	Page No.
	clients for audit work performed within the last three years.				
1.2	<p>The firm must demonstrate the appropriateness of resources provided to the AGSA, or resources to be allocated to AGSA audits. This shall entail submission of a documented assessment of the sufficiency and suitability of resources assigned to AGSA engagements. The assessment shall include, but is not limited to, the following:</p> <ul style="list-style-type: none"> <li>• experience,</li> <li>• qualifications and criminal checks,</li> <li>• availability, and</li> <li>• applicable training</li> </ul>	<p>Submitted:</p> <p>Adequate and comprehensive demonstration of the appropriateness of resources provided to the AGSA covering all items listed herein i.e., experience, qualifications, etc. <b>(10 points)</b></p> <p>No comprehensive demonstration of the appropriateness of resources provided to the AGSA. <b>(0 points)</b></p>	10		
2	<b>Technical and specialized knowledge</b>		30		
2.1	<p>The nominated bidder's representative should demonstrate the expertise and relevant experience of all in terms of the following sub-categories of ISA specialized areas:</p> <ul style="list-style-type: none"> <li>• IT General Control Reviews</li> <li>• Application Controls Reviews</li> <li>• IT Project Reviews (pre &amp; post</li> </ul>	<p>Submitted proof of technical and specialized knowledge in any of the specified IT audit areas:</p> <p>Experience exceeding 8 years per area of expertise. <b>(27 points)</b></p> <p>Experience between &gt;6 to 8 years per area of expertise. <b>(25 points)</b></p> <p>Experience between &gt;4 to 6 years per area of expertise. <b>(20 points)</b></p>	27		





No.	Evaluation Criteria	Scoring Matrix	Weight	Comply Yes/ No	Page No.
	<p>implementation reviews)</p> <ul style="list-style-type: none"> <li>• Software License Reviews</li> <li>• Cloud Computing Reviews</li> <li>• IT Contract Reviews</li> </ul> <p>To substantiate compliance, the bidder must provide CVs of the nominated senior manager detailing any of the listed expertise above with the requisite number of years of experience.</p>	<p>Experience between 1 to 4 years per area of expertise. <b>(15 points)</b></p> <p><b>Note:</b> bidders will be considered for appointment under the ISA panel based on the area of expertise as listed in the AGSA's list of ISA specialized areas.</p>			
2.2	<p>Should you wish to be considered for <b>advanced cybersecurity work</b>, please provide the following credentials of the bidder's nominated representative (not firm in general):</p> <p>Ability to demonstrate cyber security audit expertise specifically, penetration testing.</p> <ul style="list-style-type: none"> <li>• Submission of a CV detailing relevant experience of penetration testing on at least 3 related projects for penetration tests performed not older than 5 years. This must detail the project reference or client and relevant contact details to validate relevant experience.</li> </ul>	<p>Submitted CV to validate relevant experience and certifications of the bidder's nominated representative in line with the listed requirements (1 point)</p> <p>Failure to submit a complete response in this respect will result in 0 points.</p>	1		



No.	Evaluation Criteria	Scoring Matrix	Weight	Comply Yes/ No	Page No.
	<ul style="list-style-type: none"> <li>The bidder must submit valid, industry-recognised certifications for the proposed penetration tester, such as the Offensive Security Certified Professional (OSCP) or an equivalent certification that requires the candidate to demonstrate practical penetration testing capabilities.</li> </ul>				
2.3	<p>Should you wish to be considered for <b>ERP Reviews (not limited to SAP, JDE, Oracle and MS Dynamics)</b>, please provide the following credentials of the bidder's nominated representative (not firm in general):</p> <p>Ability to demonstrate ERP audit expertise.</p> <ul style="list-style-type: none"> <li>Submission of a CV detailing relevant experience of at least 3 references for either internal or external ERP audits performed not older than 5 years.</li> </ul>	<p>Submitted CV to validate relevant experience (1 point)</p> <p>Failure to submit a complete response in this respect will result in 0 points.</p>	1		
2.4	<p>Should you wish to be considered for <b>CAATs / Data Analytics</b> please provide the following credentials of the bidder's nominated representative (not firm in general):</p> <p>Ability to demonstrate that you can do data analytics.</p>	<p>Submitted CV to validate relevant experience and certifications of the bidder's nominated representative in line with the listed requirements (1 point)</p>	1		



No.	Evaluation Criteria	Scoring Matrix	Weight	Comply Yes/ No	Page No.
	<ul style="list-style-type: none"> <li>Submission of a CV detailing relevant experience of penetration testing on at least 3 related projects for data analytics performed not older than 5 years. This must detail the project reference or client and relevant contact details to validate relevant experience.</li> <li>The bidder must submit valid, industry-recognised certifications such as the ACDA or an equivalent certification that requires the candidate to demonstrate practical data analytics capabilities.</li> </ul>	Failure to submit a complete response in this respect will result in 0 points.			
<b>3</b>	<b>Resources and Capacity Building</b>		<b>30</b>		
3.1	The bidder must submit documentary proof of IT audit learnership programme that is recognized by ISACA.	<div>Submitted:</div> <div>Documentary proof of CISA learnership programme or any other related programme in place to enhance the profession. <b>(15 points)</b></div> <div>Failed to submit documentary proof of CISA learnership programme or any other related programme in place to</div>	15		



No.	Evaluation Criteria	Scoring Matrix	Weight	Comply Yes/ No	Page No.
		enhance the profession (0 points)			
3.2	Bidders must provide the number of HDI CISA learnerships.	Submitted: 20+ trainees (15 points) 11 to 20 trainees (10 points) 4 to 10 trainees (5 points) Less than 4 trainees (0 points)	15		
	<b>Total</b>		<b>100</b>		

6.2.2 Upon evaluation on the technical functionality requirements bidders are required to meet a minimum threshold of 70 points in order to be evaluated on the B-BBEE requirements.

## 7. Special Conditions

7.1 The following general RFP principles will be applied to Information systems audit.

### 7.1.1 Quality assessment

7.1.1.1 The Quality provided by the firms on different AGSA engagements will be assessed upon completion of the engagement. Failure to meet the required quality standards will be dealt in accordance with the AGSA CWC accountability model.

7.1.1.2 The contracted private audit firm's/ specialist firm's / company's audit files relating to a specific engagement may be subject to review by the AGSA's Quality Management unit. Failure to meet the required quality standards will result in a penalty imposed on the contract amount and a reduction on future allocations for the firm.

7.1.1.3 AGSA engagement manager may refer the contracted-out audit file for investigation if the audit file does not meet the quality standards where non-compliance will be dealt with in accordance with the AGSA's quality management policies and procedures. Pending the outcome of the investigation, payment of the audit fee will be withheld until finalization of the investigation by the Quality Management and Technical Audit Support business units.

7.1.1.4 On an annual basis, firms will be required to submit and confirm certain information and will also be assessed on their performance as a supplier in terms of the quality standards of work done for the AGSA, amongst others. The AGSA reserves the right to revise allocations in line with new information submitted by the firms and

supplier performance assessments during the panel period (for the category originally appointed under), which may include a re-classification of firms in terms of their size and capabilities, as defined in this tender or as detailed in the subsequent contract / Memorandum of Agreement (MoA).

- 7.1.2 All work allocated will be charged in accordance with the approved AGSA CWC rates that will be updated and issued as a circular on an annual basis for the duration of the panel period.

### **7.1.3 Disqualification and suspension from the panel post the bidding process**

- 7.1.3.1 The private audit firm / specialist firm / company / Pre-Issuance reviewer will be disqualified from the AGSA panel categories if they do not comply with any of the following:

- a) Breach of any of the RFP terms and conditions pre - and post appointment to the CWC panel.
- b) On performance of annual reviews, private audit firm / specialist firm / company / Pre-Issuance reviewer / juristic person is expected to maintain the same standard of service offering and all the requirements as stated in the RFP and subsequent MoA.
- c) All bidders appointed to the panel categories will be assessed based on their ability to deliver high-quality products / services that meet or exceed the specifications outlined and the quality standards. The AGSA reserves the right to remove firms that do not meet the expected quality standards.
- d) The AGSA reserves the right to remove and disqualify a panellist from the panel in the event of a commencement of any misconduct proceedings that may compromise the standing and reputation of the AGSA as a supreme audit institution and if the firm is liquidated.

### **7.1.4 Financial dependency on the AGSA**

- 7.1.4.1 The private audit firm / specialist firm / company / Pre-Issuance reviewer / juristic person should not be materially dependent on the AGSA's work for their revenue and sustainability. Private firms and specialized audit services companies are encouraged to reduce or eliminate dependency on the AGSA as the work allocation is not guaranteed.

### **7.1.5 Specific public sector audit experience**

- 7.1.5.1 The private audit firm / specialist firm / company / Pre-Issuance reviewer / juristic person will be required to provide the AGSA with insight into their specific industry experience within the public sector. This is aimed at:

- a) understanding where their main experience lies.

- b) facilitating a stronger focus on specialization within the public sector like the practice of private audit firms / specialist firm / company working in the private sector.
- c) providing insights to the AGSA on specialized audit services and experience in specific industries by audit firms.
- d) providing insights to the AGSA to consider skills transfer opportunities for our TAs; and
- e) understanding the involvement of the firm on section 4(3) audit work.

#### **7.1.6 Ethical and independence requirement – Cooling- off period and rotation of partners**

- 7.1.6.1 Senior management, including Pre-issuance reviewers, must be rotated per auditee after a maximum of five years to ensure that independence and objectivity are maintained.
- 7.1.6.2 In the case of regularity audit work, the audit partners must be rotated after a maximum of five years to ensure that independence and objectivity are maintained.
- 7.1.6.3 Contracted-out firms should only be involved in the audit with the same auditee for a maximum of five years. A minimum of 12 calendar months cooling-off period should be applied prior to possible re-awarding of the contract to the audit firm for the same auditee.
- 7.1.6.4 During the stated 12-month cooling-off period, the firm may not participate in the audit of the entity, perform Pre-issuance review, consult with the engagement team or the client regarding technical issues or otherwise directly influence the outcome of the engagement.

#### **7.1.7 Re-allocation of work**

If a private audit firm / specialist firm / company / Pre-Issuance reviewer / juristic person is conflicted on the work allocation received, the recipient must inform the AGSA within the prescribed time as indicated in the communication received from the AGSA regarding their work allocation or within 7 working days whichever is the shorter. There is no guarantee that the private audit firm / specialist firm / company / Pre-Issuance reviewer / juristic person will receive a replacement for the work removed from their allocation due to conflict of interest.

#### **7.1.8 Panel maintenance**

An annual re-assessment of a private audit firm / specialist firm / company / Pre-Issuance reviewer's / juristic person's status will be verified to confirm that they still meet the bid requirements and / or MoA requirements. Firms should submit on the specified timelines, any information requested by the AGSA. Failure to submit such information within the prescribed timelines will result in the removal of the firm / pre-issuance reviewer from the respective panel categories.

### 7.1.9 Due diligence process

- 7.1.9.1 The AGSA considers the integrity of its appointed CWC panelists to be of critical importance. The AGSA reserves the right to disqualify from further consideration any bidder whose integrity, based on past conduct (during the 5 years immediately preceding the bid submission date), it considers questionable.
- 7.1.9.2 The AGSA may be subject to third party risk through the contract work allocation programme to private audit firm / specialist firm / company / Pre-Issuance reviewer / juristic person which perform audit work and Pre-Issuance reviews on its behalf.
- 7.1.9.3 The AGSA will therefore subject all bidders / CWC appointed panellists to a due diligence process pre and post the bid evaluation process, premised on the information required under Annexure 8 (Disclosure Statement), as and when a possible risk arises, which may include, but not be limited to, IRBA reviews and SAICA inspection reports. The AGSA reserves the right to disqualify bidders and / or to terminate contracts should the firm not meet the required due diligence process.
- 7.1.9.4 As part of its due diligence, the AGSA will consider the results of the quality assessments undertaken by CWC panellists, post the bid evaluation process. Any adverse scoring by the AGSA, will be subject to objective supporting information based on performance and engagements with panellists, the MoA and also the supplier performance management framework of the AGSA.
- 7.1.9.5 Based on its own assessment of the content of the bidder's disclosure statement and any publicly available information which is relevant to the content of such disclosure statement, the AGSA will decide whether the bidder's conduct or any allegations relating thereto pose a risk, reputational or otherwise, to the AGSA; and if it reaches an adverse conclusion the AGSA will in its sole discretion have the right to disqualify a bidder from further participation in the tender process. Disqualification on this ground may be done at any stage in the bid evaluation process prior to contract award or post award during the panel validity period.
- 7.1.9.6 The due diligence outcome as stated above applies to firms operating under the same name/network of firms to assess any reputational risks (by association) with such network of firms.

### 7.1.10 Change in firm structure

In cases where private audit firm / specialist firm / company merge or de-merge during the period of the panel, the AGSA must be notified with immediate effect. The AGSA reserves the right to apply its sole discretion on the treatment of such matters and whether such firms will be recognised as a CWC panel or not. It is important to note that the appointment to the CWC panel emanating from this tender process will consider bidders and juristic persons for appointment at the tender award stage. Any changes, thereafter, will require a proper due diligence exercise and due approval if any mergers or de-mergers occur, and the AGSA does not guarantee re-appointment / automatic appointment of any new entity as a result of a merger and / or de-merger after the appointment of its panellists.



#### **7.1.11 Window Period**

7.1.11.1 The AGSA may at its sole discretion, open the Window Period for new entrants to be considered as members of the CWC panel during the panel validity period as a result of any significant changes in the market / industry that may affect the usefulness of the CWC panel.

#### **7.1.12 CWC Surcharge**

The AGSA may, at its discretion, levy a CWC surcharge to the firms to cover incidental expenses, which amongst others, will include the use of the AGSA audit methodology, the use of the AGSA's Audit Process Management Software, systems and licensing, etc. The CWC surcharge shall be undertaken in consultation with the appointed panellists prior to implementation.

### **8. CWC PANEL VALIDITY PERIOD**

The CWC panel will be valid for the remainder of the sixty (60) months period, from date of appointment. The AGSA reserves the right to extend the period of the panel based on the business needs and efficiencies at the time of expiry. The extension shall be considered in accordance with the AGSA supply chain management policy and delegation of authority provisions. Contracts / MOAs will be entered into with panellists based on allocations per auditee.



## SECTION 3: COST PROPOSAL



### Cost proposal

1. The bidder should not submit any cost proposal as the AGSA shall determine the pricing on an annual basis.
2. All work allocated will be charged in accordance with the approved circular titled:  
**Guideline on Fees for Audits Performed by Private Firms on behalf of the AGSA**, which will be updated on an annual basis for the duration of the panel period.
3. The AGSA reviews the charge out rates applicable to the private firms and pre-issuance reviewers in line the Guideline on Fees for Audits Performed by the Private Firms on behalf of the AGSA.
4. The bidder acknowledges the above conditions as part of the conditions referred to in Annexure 1 of this bid document titled: Annexure 1: Acceptance of Bid Conditions and Bidder's Details.



## SECTION 4: ANNEXURES



## Annexure 1: Acceptance of Bid Conditions and Bidder's Details

Name of Bidder:

Authorised signatory:

Name of Authorised  
Signatory

Signature and Position of  
Authorised Signatory

By signing above the bidder hereby accept full responsibility for the proper execution and fulfilment of all obligations and conditions devolving on him/her under this RFP.

### BIDDING STRUCTURE

Indicate the type of Bidding Structure by marking with an 'X':	
Individual Bidder	
Joint Venture/ Consortium	
Prime Contractor with Sub Contractors	
Other	

### REQUIRED INFORMATION

If Individual Bidder:	
Name of Company	
Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cellphone Number	
Email address	
Postal Address	
Physical Address	



**If Joint Venture or Consortium, indicate the following for each partner:**

**Partner 1**

Name of Company	
Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cellphone Number	
Email address	
Postal Address	
Physical Address	
Scope of work and the value as a % of the total value of the contract	

**Partner 2**

Name of Company	
Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cellphone Number	
Email address	
Postal Address	
Physical Address	
Scope of work and the value as a % of the total value of the contract	



**If bidder is a Prime Contractor using Sub-contractors, indicate the following:**

**Prime Contractor**

Name of Company	
Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cellphone Number	
Email address	
Postal Address	
Physical Address	

**Subcontractors**

Name of Company	
Company Registration Number	
Vat registration Number	
Contact Person	
Telephone Number	
Cellphone Number	
Email address	
Postal Address	
Physical Address	
Subcontracted work as a % of the total value of the contract	



## Annexure 2: Tax Compliance Requirements

<b>1. TAX COMPLIANCE REQUIREMENTS</b>		
1.1	BIDDERS MUST ENSURE COMPLIANCE WITH THEIR TAX OBLIGATIONS.	
1.2	BIDDERS ARE REQUIRED TO SUBMIT THEIR UNIQUE PERSONAL IDENTIFICATION NUMBER (PIN) ISSUED BY SARS TO ENABLE THE ORGAN OF STATE TO VIEW THE TAXPAYER'S PROFILE AND TAX STATUS.	
1.3	APPLICATION FOR TAX COMPLIANCE STATUS (TCS) OR PIN MAY ALSO BE MADE VIA E-FILING. IN ORDER TO USE THIS PROVISION, TAXPAYERS WILL NEED TO REGISTER WITH SARS AS E-FILERS THROUGH THE WEBSITE WWW.SARS.GOV.ZA.	
1.4	BIDDERS MAY ALSO SUBMIT A PRINTED TCS TOGETHER WITH THE BID.	
1.5	IN BIDS WHERE CONSORTIA / JOINT VENTURES / SUB-CONTRACTORS ARE INVOLVED; EACH PARTY MUST SUBMIT A SEPARATE PROOF OF TCS / PIN.	
<b>2. QUESTIONNAIRE TO BIDDING FOREIGN SUPPLIERS</b>		
2.1	IS THE BIDDER A RESIDENT OF THE REPUBLIC OF SOUTH AFRICA (RSA)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.2	DOES THE BIDDER HAVE A BRANCH IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.3	DOES THE BIDDER HAVE A PERMANENT ESTABLISHMENT IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.4	DOES THE BIDDER HAVE ANY SOURCE OF INCOME IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
<p><b>IF THE ANSWER IS "NO" TO ALL OF THE ABOVE, THEN, IT IS NOT A REQUIREMENT TO OBTAIN A TAX COMPLIANCE STATUS / TAX COMPLIANCE SYSTEM PIN CODE FROM THE SOUTH AFRICAN REVENUE SERVICE (SARS) AND IF NOT REGISTER AS PER 1.3 ABOVE.</b></p>		
SUPPLIER COMPLIANCE STATUS		TAX COMPLIANCE SYSTEM PIN:



## Annexure 3: Supply chain management practices questionnaire

Request for Proposal No: \_\_\_\_\_

Name of Bidder: \_\_\_\_\_

Authorised signatory: \_\_\_\_\_

[Note to the Respondent: The Respondent must complete the information set out below. If the Respondent requires more space than is provided below it must prepare a document in substantially the same format setting out all the information referred to below and return it with Returnable Schedule 2.]

The bidder must complete the following questionnaire.

### Bidder's past supply chain management practices:

Item	Question	Yes	No
3.1	Is the Bidder or any of its directors listed on the South African National Treasury's database as companies or persons prohibited from doing business with the public sector?  (Companies or persons who are listed on this database were informed in writing of this restriction by the South African National Treasury after the <i>audi alteram partem</i> rule was applied).	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	If so, provide particulars:		
3.2	Is the Bidder or any of its directors listed on the Register for Bid Defaulters in terms of section 29 of the <i>Prevention and Combating of Corrupt Activities Act</i> No 12 of 2004?  To access this Register, enter the National Treasury's website, <a href="http://www.treasury.gov.za">www.treasury.gov.za</a> , click on the icon "Register for Bid Defaulters" or submit your written request for a hard copy of the Register to facsimile number +27123265445.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	If so, provide particulars:		
3.3	Was the Bidder or any of its directors convicted by a court of law (including a court outside of the Republic of South Africa) for fraud or corruption during the past five years?	Yes <input type="checkbox"/>	No <input type="checkbox"/>



Item	Question	Yes	No
	If so, provide particulars:		
3.4	Does the Bidder relate to any AGSA employee or part of AGSA current or past staff (employee) establishment?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	If so, provide particulars:		
3.5	Was any contract between the Bidder and any organ of state (within the Republic of South Africa or within any foreign territory) terminated during the past five years on account of failure to perform on or comply with the contract?		
	If so, provide particulars:		

I, \_\_\_\_\_ (print name) hereby certify that the information, facts and representations are correct and that I am duly authorized to sign on behalf of the company.

Name of Company: \_\_\_\_\_

Company Registration Number: \_\_\_\_\_

Company VAT Registration Number: \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



## Annexure 4: Declaration of Interest

1. Any legal person, including persons employed by the state<sup>1</sup>, 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 a price quotation, advertised competitive bid, limited bid or proposal). 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.
2. **In order to give effect to the above, the following questionnaire must be completed and submitted with the bid.**
  - 2.1 Full Name of bidder or his or her representative:
  - 2.2 Identity Number:
  - 2.3 Position occupied in the Company (director, trustee, shareholder<sup>2</sup>):
  - 2.4 Company Registration Number:
  - 2.5 Tax Reference Number:
  - 2.6 VAT Registration Number:
  - 2.6.1 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 paragraph 3 below.

<sup>1</sup> "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 provinces; or
- (e) Parliament.

<sup>2</sup> "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.

2.7 Are you or any person connected with the bidder **YES / NO**  
presently employed by the state?

2.7.1 If so, furnish the following particulars:

Name of person / director / trustee / shareholder/ member:

.....

Name of state institution at which you or the person connected to the bidder is employed:

.....

Position occupied in the state institution:

.....

Any other particulars:

.....

.....

.....

2.7.2 If you are presently employed by the state, did you obtain **YES / NO**  
the appropriate authority to undertake remunerative  
work outside employment in the public sector?

2.7.2.1 If yes, did you attach proof of such authority to the bid **YES / NO**  
document?

(Note: Failure to submit proof of such authority, were  
applicable, may result in the disqualification of the bid.



2.7.2.2 If no, furnish reasons for non-submission of such proof:

.....

.....

.....

2.8 Did you or your spouse, or any of the company's directors / **YES / NO**  
trustees / shareholders / members or their spouses conduct  
business with the state in the previous twelve months?

2.8.1 If so, furnish particulars:

.....

.....

.....

2.9 Do you, or any person connected with the bidder, have **YES /**  
**NO**  
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?

2.9.1 If so, furnish particulars.

.....

.....

.....

2.10 Are you, or any person connected with the bidder (i.e. shareholder, partner, **YES /**  
**NO**  
director etc.), aware of any relationship (family, friend, other) between any other  
bidder or any other company and any person employed by the AGSA who may be  
involved with the evaluation and or adjudication of this bid?

2.10.1 If so, furnish particulars.

.....

.....

.....



2.11 Do you or any of the directors / trustees / shareholders / members

**YES/NO**

of the company have any interest in any other company whether or not they are bidding for this contract? The AGSA reserves the right to undertake further background checks on any other company where partners, shareholders or any interested party of the bidder may be involved in and to consider any findings in this regard as part of its vetting processes.

2.11.1 If so, furnish particulars:

.....

.....

.....

3 Full details of directors / trustees / members / shareholders.

Full Name	Identity Number	Personal Tax Reference Number	State Employee Number / Persal Number

DECLARATION

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

.....

Signature

.....

Date

.....

Position

.....

Name of bidder



---

## Annexure 5: Certificate of Independent Bid Determination

---

### CERTIFICATE OF INDEPENDENT BID DETERMINATION

- 1 This Standard Bidding Document (SBD) must form part of all bids invited.
- 2 Section 4 (1) (b) (iii) of the Competition Act No. 89 of 1998, as amended, prohibits an agreement between, or concerted practice by, firms, or a decision by an association of firms, if it is between parties in a horizontal relationship and if it involves collusive bidding (or bid rigging). Collusive bidding is a *pe se* prohibition meaning that it cannot be justified under any grounds.
- 3 Treasury Regulation 16A9 prescribes that accounting officers and accounting authorities must take all reasonable steps to prevent abuse of the supply chain management system and authorizes accounting officers and accounting authorities to:
  - a. disregards the bid of any bidder if that bidder, or any of its directors have abused the institution's supply chain management system and or committed fraud or any other improper conduct in relation to such system.
  - b. cancels a contract awarded to a supplier of goods and services if the supplier committed any corrupt or fraudulent act during the bidding process or the execution of that contract.
- 4 This SBD serves as a certificate of declaration that would be used by institutions to ensure that, when bids are considered, reasonable steps are taken to prevent any form of bid-rigging.
- 5 In order to give effect to the above, the attached Certificate of Bid Determination (SBD 9) must be completed and submitted with the bid:



### CERTIFICATE OF INDEPENDENT BID DETERMINATION

I, the undersigned, in submitting the accompanying bid:

\_\_\_\_\_  
(Bid Number and Description)

in response to the invitation for the bid made by:

\_\_\_\_\_  
(Name of Institution)

do hereby make the following statements that I certify to be true and complete in every respect:

I certify, on behalf of: \_\_\_\_\_ that:

(Name of Bidder)

1. I have read and I understand the contents of this Certificate.
2. I understand that the accompanying bid will be disqualified if this Certificate is found not to be true and complete in every respect.
3. I am authorized by the bidder to sign this Certificate, and to submit the accompanying bid, on behalf of the bidder.
4. Each person whose signature appears on the accompanying bid has been authorized by the bidder to determine the terms of, and to sign the bid, on behalf of the bidder.
5. For the purposes of this Certificate and the accompanying bid, I understand that the word "competitor" shall include any individual or organization, other than the bidder, whether or not affiliated with the bidder, who:
  - (a) has been requested to submit a bid in response to this bid invitation.
  - (b) could potentially submit a bid in response to this bid invitation, based on their qualifications, abilities, or experience; and
  - (c) provides the same goods and services as the bidder and/or is in the same line of business as the bidder
6. The bidder has arrived at the accompanying bid independently from, and without consultation, communication, agreement, or arrangement with any competitor. However, communication between partners in a joint venture or consortium will not be construed as collusive bidding.





7. In particular, without limiting the generality of paragraphs 6 above, there has been no consultation, communication, agreement, or arrangement with any competitor regarding:
- (a) prices.
  - (b) geographical area where product or service will be rendered (market allocation)
  - (c) methods, factors, or formulas used to calculate prices.
  - (d) the intention or decision to submit or not to submit, a bid.
  - (e) the submission of a bid which does not meet the specifications and conditions of the bid; or
  - (f) bidding with the intention not to win the bid.
8. In addition, there have been no consultations, communications, agreements, or arrangements with any competitor regarding the quality, quantity, specifications and conditions or delivery particulars of the products or services to which this bid invitation relates.
9. The terms of the accompanying bid have not been, and will not be, disclosed by the bidder, directly or indirectly, to any competitor, prior to the date and time of the official bid opening or of the awarding of the contract.
10. I am aware that, in addition and without prejudice to any other remedy provided to combat any restrictive practices related to bids and contracts, bids that are suspicious will be reported to the Competition Commission for investigation and possible imposition of administrative penalties in terms of section 59 of the Competition Act No 89 of 1998 and or may be reported to the National Prosecuting Authority (NPA) for criminal investigation and or may be restricted from conducting business with the public sector for a period not exceeding ten (10) years in terms of the Prevention and Combating of Corrupt Activities Act No 12 of 2004 or any other applicable legislation.

.....  
Signature

.....  
Date

.....  
Position

.....  
Name of Bidder



## Annexure 6: Shareholders and Directors Information

*[Note to the bidder: the bidder must complete the information set out below. If the bidder requires more space than is provided below it must prepare a document in substantially the same format setting out all the information referred to below and return it with Returnable Schedule 2.]*

### 1.1 Shareholders/ Members

Name of the shareholder	ID Number	Race	Gender	% shares

**Note:** The bidder must also attach the detailed Company/ Group Structure where relevant.

### 1.2 Black Shareholders/ Members as per the B-BBEE Certificate

Name of the shareholder	ID Number	Race	Gender	% shares
<b>Total Black Shareholding % as per the current and valid B-BBEE Certificate</b>				



**1.3 Directors**

Name of the shareholder	ID Number	Race	Gender

I, THE UNDERSIGNED (NAME).....

CERTIFY THAT THE INFORMATION FURNISHED ABOVE IS CORRECT.

.....  
Signature

.....  
Date

.....  
Position

.....  
Name of bidder



## **Annexure 7: B-BBEE CLAIM FORM**

This preference form must form part of all bids invited. It contains general information and serves as a claim form for preference points for Broad-Based Black Economic Empowerment (B-BBEE) Status Level of Contribution

NB: BEFORE COMPLETING THIS FORM, BIDDERS MUST STUDY THE GENERAL CONDITIONS, DEFINITIONS AND DIRECTIVES APPLICABLE IN RESPECT OF B-BBEE.

### **General Conditions**

- 1.1 Failure on the part of a bidder to submit a valid B-BBEE certificate issued or a certified copy by a verification professional regulator or Affidavits in respect of EME's and QSE's will be allocated a score of "0" for B-BBEE points.
- 1.2 The AGSA reserves the right to request a bidder, either before a bid is adjudicated or at any time subsequently, to substantiate any claim regarding preferences, in any manner required by the AGSA.

### **Definitions**

- 1.3 "All applicable taxes" includes value-added tax, pay as you earn, income tax, unemployment insurance fund contributions and skills development levies.
- 1.4 "B-BBEE" means broad-based Black economic empowerment as defined in section 1 of the Broad-Based Black Economic Empowerment Act.
- 1.5 "B-BBEE status level of contributor" means the B-BBEE status received by a measured entity based on its overall performance using the relevant scorecard contained in the Codes of Good Practice on Black Economic Empowerment, issued in terms of section 9(1) of the B-BBEE Act.
- 1.6 "bid" means a written offer in a prescribed or stipulated form in response to an invitation by an organ of state for the provision of services, works or goods, through price quotations, advertised competitive bidding processes or proposals.
- 1.7 "Broad-Based Black Economic Empowerment Act" means the Broad-Based Black Economic Empowerment Act, Act No. 53 of 2003 ("B-BBEE Act").
- 1.8 "Comparative price" means the price after the factors of a non-firm price and all unconditional discounts that can be utilised have been taken into consideration.
- 1.9 "Consortium or joint venture" means an association of persons for the purpose of combining their expertise, property, capital, efforts, skill, and knowledge in an activity for the execution of a contract.
- 1.10 "contract" means the agreement that results from the acceptance of a bid by an organ of state.
- 1.11 "EME" means an Exempted Micro Enterprise as defined by Codes of Good Practice issued in terms of section 9 (1) of the B-BBEE Act No 53 of 2003.
- 1.12 "QSE" means a Qualifying Small Enterprise as defined by Codes of Good Practice issued in terms of section 9 (1) of the B-BBEE Act No 53 of 2003.
- 1.13 "Firm price" means the price that is only subject to adjustments in accordance with the actual increase or decrease resulting from the change, imposition, or abolition of levy, or tax, which,



in terms of the law or regulation, is binding on the contractor and demonstrably has an influence on the price of any supplies, or the rendering costs of any service, for the execution of the contract;

- 1.14 “functionality” means the measurement according to predetermined norms, as set out in the bid documents, of a service or commodity that is designed to be practical and useful, working or operating, taking into account, among other factors, the quality, reliability, viability and durability of a service and the technical capacity and ability of a bidder;
- 1.15 “non-firm prices” means all prices other than “firm” prices.
- 1.16 “person” includes a juristic person.
- 1.17 “Rand value” means the total estimated value of a contract in South African currency, calculated at the time of bid invitations and includes all applicable taxes.
- 1.18 “sub-contract” means the primary contractor’s assigning, leasing, making out work to, or employing, another person to support such primary contractor in the execution of part of a project in terms of the contract.
- 1.19 “Total revenue” bears the same meaning assigned to this expression in the Codes of Good Practice on Black Economic Empowerment, issued in terms of section 9(1) of the B-BBEE Act and promulgated in the Government Gazette on 9 February 2007; Adjudication Using a Point System
- 1.20 The bidder obtaining the highest number of total points will be awarded the contract.
- 1.21 Preference points shall be calculated after prices have been brought to a comparative basis, taking into account all factors of non-firm prices and all unconditional discounts.
- 1.22 Points scored must be rounded off to the nearest 2 decimal places.
- 1.23 In the event that two or more bids have scored equal total points, the successful bid will be the one scoring the highest number of preference points for B-BBEE.
- 1.24 However, when functionality is part of the evaluation process and two or more bids have scored equal points including equal preference points for B-BBEE, the successful bid must be the one scoring the highest score for functionality.
- 1.25 Should two or more bids be equal in all respects, the award shall be decided by the drawing of lots.
- 1.26 Points Awarded for B-BBEE Status Level of Contribution
- 1.27 Preference points must be awarded to a bidder for attaining the B-BBEE status level of contribution in accordance with the table below:

B-BBEE Status Level of Contributor	Number of points (90/10 system)
1	10
2	9



3	6
4	5
5	4
6	3
7	2
8	1
Non-compliant contributor	0

- 1.28 A bidder who qualifies as an EME or QSE in terms of the B-BBEE Act must submit an affidavit confirming Annual Total Revenue and Level of Black Ownership.
- 1.29 A bidder other than EME or QSE must submit a valid B-BBEE certificate, or a certified copy thereof issued by a Verification Agency accredited by SANAS or a Registered Auditor approved by IRBA, or an Accounting Officer as contemplated in the CCA)
- 1.30 A consortium or joint venture will qualify for points for their B-BBEE status level as a legal entity, provided that the entity submits their consolidated B-BBEE status level certificate.
- 1.31 A 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.
- 1.32 Tertiary institutions and public entities will be required to submit their B-BBEE status level certificates in terms of the specialised scorecard contained in the B-BBEE Codes of Good Practice.
- 1.33 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 to sub-contract 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.
- 1.34 A person awarded a contract may not sub-contract more than 25% of the value of the contract to any other enterprise that does not have an equal or higher B-BBEE status level than the person concerned, unless the contract is sub-contracted to an EME that has the capability and ability to execute the sub-contract.

### Bid Declaration

- 1.35 Bidders who claim points in respect of B-BBEE Status Level of Contribution must complete the following:
- 1.36 B-BBEE STATUS LEVEL OF CONTRIBUTION CLAIMED IN TERMS OF THIS ANNEXURE
- 1.37 B-BBEE Status Level of Contribution:

..... = ..... (Maximum of 10 points)



## **Annexure 8: Disclosure Statement**

### **Disclosure Statement**

**In terms of the tender condition 8.6, which allows the AGSA to conduct background checks on bidders and its shareholders and directors, the AGSA hereby requires bidders to provide the following additional information:**

- 1.1 The AGSA considers the integrity of its appointed service providers to be of critical importance. The AGSA reserves the right to disqualify from further consideration any bidder whose integrity, based on past conduct (during the 5 years immediately preceding the bid submission date), it considers questionable.
- 1.2 To this end, the AGSA requires each bidder to include in its bid, a disclosure statement which details the following (with sufficient information and supporting documentation for the AGSA to make its own assessment as to the materiality or seriousness of allegations regarding the bidder's integrity or conduct):
  - 1.2.1 any criminal charges made against the bidder or any of its directors, shareholders, or management officials regarding their professional conduct.
  - 1.2.2 any civil proceedings initiated against the bidder or any of its directors, shareholders, or management officials regarding their professional conduct; and
  - 1.2.3 any other enquiry or similar proceedings initiated or threatened against the bidder or any of its directors, shareholders, or management officials regarding their professional conduct by regulatory and professional bodies i.e., IRBA, SAICA etc.
- 1.3 Where the bidder is a consortium, the disclosure statement referred to in paragraph 1.2 above must be made separately in respect of each consortium partner.
- 1.4 In the event that the bidder's circumstances change, after submission of its bid, in regard to any matter referred to in paragraph 1.2 above or in regard to any matter referred to in its disclosure statement, the bidder must submit a written notification to AGSA indicating the nature and extent of such changed circumstances.
- 1.5 The AGSA reserves the right to seek such additional information from any bidder, in respect of the disclosure statement referred to in paragraph 1.2 above, as it may, in its sole discretion, determine, whether such information has been requested under this RFP or otherwise, and may require the bidder to make oral presentations for clarification purposes or to present supplementary information, in respect of the disclosure statement if so required by the AGSA.
- 1.6 Based on its own assessment of the contents of the bidder's disclosure statement and any publicly available information which is relevant to the contents of such disclosure statement, the AGSA will decide whether the bidder's conduct or any allegations relating thereto pose a risk, reputational or otherwise, to the AGSA; and if it reaches an adverse conclusion the AGSA will in its sole discretion have the right to disqualify a bidder from further participation in the tender process. Disqualification on this ground may be done at any stage in the bid evaluation process prior to contract award.



## **Annexure 9: Privacy & Protection of Personal Information Act 4 of 2013 Requirements**

Request for Proposal No:	
Name of Bidder:	
Authorised signatory:	

Protecting personal information is important to the Auditor General South Africa (AGSA). To do so, AGSA follows general principles in accordance with applicable privacy laws and the Protection of Personal Information Act 4 of 2013 (POPIA).

Bidders are therefore required to complete the below and submit as part of their bid response:

### **Consent to process information according to Popia**

- a) The bidder gives consent and accepts that the information provided by the bidder shall be used for the purpose of evaluation and adjudication of this bid. This includes use of the data provided by a bidder to perform due diligence checks involving the collection of personal data from third parties (e.g. clients of the bidder, Sars, CIPC) to validate claims and to gather important information for the purpose of evaluation and adjudication of this bid. This may include the collection of publicly available data.
- YES/NO**
- b) The bidder gives consent and accepts that the AGSA may use personal data to investigate potential risks such as fronting, criminal conduct and unethical conduct, for the protection of its rights and for the purpose of evaluation and adjudication of this bid. The AGSA may also share personal data with relevant authorities for investigation of criminal conduct and for other lawful purposes.
- YES/NO**
- c) The AGSA may share the bidder's personal data with third parties to support our bid evaluation processes.
- YES/NO**
- d) Bidders must be aware that personal information collected as a result of this process may be used for secondary purposes such as the internal and external audit process.
- YES/NO**





- e) The bidder's personal data shall be kept confidential and be used for the purpose intended for this bid and shall not be shared with third parties for unrelated or unlawful purposes. In addition, the information shall be handled in line with record retention guidelines and be disposed of when the timelines in the guidelines have been reached. Any request for deletion of personal information shall be acceded to in line with legislative requirements. Should such deletion impact on the evaluation, adjudication, awarding and contract phases, the bidder shall be informed, and such impact effected.

**YES/NO**

- f) Bidders must note that if they do not provide consent and submit, they personal information as required, the AGSA would be unable to evaluate your bid. This complies with section 18 (1) (d) (e) of the Popia, meaning submission of such personal information is voluntary, and the consequences of not submitting such personal information is that the AGSA would not be able to process your submission.

**YES/NO**

**Information security measures that the AGSA implements.**

The AGSA secures personal information in its possession and control through technical and organisational safeguards which it has implemented to protect the integrity and confidentiality of personal information in accordance with generally accepted information security practices and procedures.

I, \_\_\_\_\_ (print name) hereby certify that the information, facts and representations are correct and that I am duly authorized to sign on behalf of the company.

Company/ Entity Registration Number: \_\_\_\_\_

Company/ Entity VAT Registration Number: \_\_\_\_\_

\_\_\_\_\_  
Signature (Company/ Entity Representative)

\_\_\_\_\_  
Date



## **Annexure 10: Database Information Form**

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10.1 The database information form is attached as a separate excel document which must be completed to cover the following requirements per tab:

10.1.1 Cover sheet

10.1.2 Company profile of the bidder

10.1.3 General Information

10.1.4 Declaration and Commitment

10.1.5 Compliance

10.1.6 Ownership

10.1.7 Permanent Professional Staff

10.1.8 Trainees (ACCA and RGA)

10.1.9 Non-Audit Services

10.1.10 Summary of Submission



## Annexure 11: CWC Standard supplier performance metrics/KPI

### Part A: Supplier Questionnaire (to be completed by AGSA)

**(NOTE: This section is to be completed by AGSA)**

<b>Ratings:</b> 5 – Excellent Performance. 4 – Good Performance. 3 – Satisfactory Performance. 2 – Unsatisfactory Performance. 1 – Poor Performance, N/A – Not relevant			
No.	Key Performance Indicators	Rating	Comments
1.	<b>QUALITY OF SERVICE</b>  <i>How will you rate the overall quality of Services provided by the CWC firm in terms of the below criteria:</i>		
1.1	Satisfaction with the quality of the audit work undertaken?		
1.2	Contract- out-work (was the QA review from the audit firm completed confirming satisfactory outcome?)		
1.3	Contract – in- work: Was work reviewed by the dedicated QA resource (known as the controller) to review work of auditor before submission to the AGSA.		
1.4	Reflection on remedial action taken on quality gaps from previous audits.		
1.5	Were audit timelines adhered to?		



2.	<b>QUALITY OF RESOURCES</b>  <i>How will you rate the quality of resources allocated by the CWC firm in terms of the below criteria</i>		
2.1	<i>Were all resources provided as indicated in the MOA and were you happy with the quality of work done?</i>		
2.2	<i>Where replacement resources were provided, were they equally qualified in terms of the AGSA's required levels for the engagement with adequate knowledge and understanding of the AGSA methodology?</i>		
2.3	<i>Attendance of training scheduled by the AGSA and assessment outcome and results?</i>		
2.4	<i>If AGSA delegates a partner, has quality standards been met by the delegated partner?</i>		
3.	<b>TOOLS OF TRADE</b>  <i>How will you rate the necessary equipment and software required for the audit provided by the CWC firm in terms of the following criteria:</i>		
3.1	<i>Hardware compatibility to AGSA software (was adequate hardware provided to seamlessly execute AGSA audits using AGSA software?)</i>		
3.2	<i>How would you rate tools / laptop capabilities to support the execution of audits without any downtime issues?</i>		



4.	<b>ACCOUNTABILITY</b> <i>How will you rate the overall accountability by the firm in executing the audit work in terms of the following criteria:</i>		
4.1	Adherence to AGSA standards and MOA conditions		
4.2	Reliability and quality offered by the firm with no need to apply penalties		
5.	<b>ENGAGEMENT QUALITY REVIEWS</b> <i>How will you rate the overall engagement quality reviews for Contracted out work in terms of the following criteria:</i>		
5.1	Pre-issuance element – was file provided to the appointed Pre-Issuance Reviewer (PIR) within agreed timelines?		
5.2	Has Quality Assurance (QA) assessment been conducted by the CWC firm's Quality Management (QM) division and has certification been submitted confirming compliance to relevant Quality standards?		
5.3	Was PIR findings reviewed timeously?		
6.	<b>FINANCE</b> <i>How will you rate the overall finance matters in terms of the following criteria:</i>		
6.1	<i>How will you rate the submission of accurate / correct invoices with all the relevant documents e.g., Timesheets in the correct format and on-time submission of invoices on a monthly basis?</i>		
6.2	<i>How will you rate the CWC firms' compliance with the rates charged including any applicable escalations are these aligned to the recent AGSA Circular – Guidelines on Fees for Audits performed by private firms on behalf of the AGSA</i>		



## PART B: AGSA Questionnaire (to be completed by the supplier)

**(NOTE: This section is to be completed by the supplier)**

	Key Performance Factors	Rating	Comments
<b>1.</b>	<b>Technical and/ or Operations Performance Quality:</b>		
1.1	<i>How will you rate your interactions with AGSA, is the Engagement manager's requirements clear and in line with the contracted scope of work?</i>		
<b>2.</b>	<b>AGSA's response times:</b>		
2.1	<i>How will you rate AGSA's general responsiveness in relation to queries, complaints or issues raised with them?</i>		
<b>3.</b>	<b>Finance (External):</b>		
3.1	<i>Does AGSA process and pay your invoices timeously and accurately?</i>		



### Other Supplier relevant Information

Description of	Comments
<b>B-BBEE</b> <i>Please confirm your current BEE contribution level (also attach certificate)</i>	
<b>Tax Compliance Status</b> <i>Please confirm your current Tax status (also provide a Tax Pin)</i>	
<b>Probity Checks</b> <i>Please confirm the status of your company in terms of any sanction, de-registrations, judgements, any adverse media etc. (if any please provide details)</i>	
<b>General &amp; Overall Comments:</b>	

I, \_\_\_\_\_ (print name) hereby confirm acceptance to subject myself / the firm I represent to the AGSA's supplier performance standards which will be aligned to the MoA, and that I am duly authorized to sign on behalf of the company.

Company Name: \_\_\_\_\_

Company/ Entity Registration Number: \_\_\_\_\_

\_\_\_\_\_

Signature of duly authorise Company / Entity Representative

\_\_\_\_\_

Date