Request for Information AGSA/BERE/RF2/2021

1. Introduction

The Auditor-General of South Africa (AGSA) seeks to request for information (RFI) from available market players that are suitably qualified and experienced to provide a comprehensive automated conflict of interest assessment service.

2. Scope of Work

The primary solution will include the provision of an automated management service offering that is capable of proactive detection and management of conflict of interest and related risks in the areas of ethics management.

As an additional benefit, the provision of an automated management service offering that is capable of proactive detection and management of related risks in the areas of human capital management and supply chain management.

The service should at a minimum incorporate but not be restricted to, the following capabilities:

A) Primary Service Offering - Ethics Management

1. Proactive detection of patterns of behaviour associated with, but not limited to, fraud, corruption, and collusion.
2. Identify formalised business interests, affiliations or associations that have the potential to give rise to matters of fraud, corruption, and collusion.
3. Detect patterns of behaviour that may negatively affect the good standing and reputation of the AGSA or the propensity for unethical conduct.
4. Conduct verifications against the declarations on the internal ethics management tool related to the following categories:
    a. Financial and business interests registrations on the CIPC database.
5. Identify exceptions of existing business and financial interests of employees not declared to the AGSA.
6. Detect the potential conflict posed by employees doing business with AGSA clients.
7. Detect the potential conflict posed by employee's spouses doing business with AGSA clients.
8. Lifestyle assessments – periodically conduct holistic lifestyle assessment evaluation for all employees.

B) Addition Service Offerings

Human Capital

1. Recruitment vetting and employee verification - conduct verification of employees to support the recruitment process to determine, amongst others, validity of identify number, residence status, credit, qualifications and criminal checks and continuous verification on applicable categories.

2. On request for recruitment on high level management positions, in-depth checks related to social media presence and patterns of behaviour, deeds search, licence and vehicle ownership, world check, directorship, risk management (basic), membership verification and institution accreditation.

Supply chain management

1. Detect conflicts of interest between AGSA and potential suppliers/service providers

2. Highlight adverse media reports that may have negative reputational impact on the AGSA.

3. Uncover potential connections and ownership related to Politically Exposed Persons,

4. Identify possible fraudulent activity within vendors and employees.

5. Highlight business interests of employees within the organisation,

6. Conduct holistic vendor assessment and vetting related to the following;
   - Detect if any employees are registered as directors in the companies submitting bids/RFQs/supplier database registration application forms.
   - Detect if any vendors are listed on the national and provincial government employee data base.
   - Detect if any vendors are listed on the National Treasury's defaulter/restricted list of suppliers
   - Detect if any vendors have affiliation with PEPs (Politically Exposed Persons)
   - Bank verifications
   - COIDA verifications (where applicable)
   - CIPC: company registration status and directors/member status
     - South African Revenue Service compliances
     - B-BBEE compliance
     - Bank account validation
     - Identity document validation

- o High Risk Sanctions checks
- o Credit rating
- o B-BBEE fronting assessments
- o Private Security Industry Regulatory Authority (PSIRA) verification (where applicable)

3. Service Capabilities

The service will primarily support the business processes as detailed above, but should have the flexibility to include an expanded scope, if necessary. The solution capabilities should include:

- Utilisation of AGSA data sets available in formats compatible with most systems or applications.
- Include capabilities of expansion to other key areas of risk exposure that may be detected
- Prediction capabilities - Include capabilities to detect patterns of behaviour, associations, affiliations and linkages to persons or entities or highlight elevated individual risk ratings that would not ordinarily be evident but can be detected from the big data that becomes available from the cross-referencing of the various databases and platforms accessed.
- Analytics capabilities and ease of reporting
- Provides value for money
- Usability and user reporting capability
- Ability to customise the periods to be covered in the assessment
- Real time access to required lawful databases to enable delivery on the scope of work

The solution will assist with the following:

- The provision of timely and meaningful information to enable management and executives to make informed business decisions through complete and credible data.
- Assist in achieving a holistic view of risk exposure in the areas of ethics management, supply chain management and human resource management that enables a proactive response.

4. Interested vendors must provide the following information:

a. Proposed service offerings, including functional and technical features.
b. Confirm service offerings that they are able to provide, limitations and dependencies

Category	Yes/No	Limitations	Dependencies
Ethics Management			

Human Capital Management			
Supply Chain Management			

    c. Proposed pricing model for provision of the service. Where services are available in varying configurations, subscriptions or pricing models of all options should be included.

    d. Data security and privacy features of the proposed tool.

    e. Details of AGSA information that will be required for the service to be service to be utilised.

    f. Estimated service implementation supported by a high-level project implementation plan.

    g. Typical dependencies/ implementation barriers and proposals on how they could be avoided.

    h. Company profile, including global presence, years in business and user group program.

    i. Confirmation of adherence to related legislation in terms of data access, safeguarding and privacy.

5. AGSA terms and conditions

1. AGSA reserves the right to reject or accept any or all submissions relating to this RFI.

2. AGSA also reserves the right to cancel the RFI if necessary without explanation to related parties.

3. Contents of this RFI are strictly confidential and copyright protected.

4. The information solicited via this RFI will be utilised to provide the AGSA with an understanding of the products and services currently available on the market to enable the formulation of a request for proposal.

5. All costs incurred in preparing the RFIs are the sole responsibility of the responding party and will not be recoverable in any way from AGSA. Where the service provider is able to provide demonstration of their solution at no cost to AGSA, they are welcome to indicate such in their submission, the acceptance of this offer is at the sole discretion of the AGSA. The service provider must consent to a non-disclosure agreement when AGSA confidential information is required to be shared.

6. Should any shortcomings or omissions occur in these specifications; the vendor must point these out and provide any additions in writing. They may also propose alternate solutions that they feel would be appropriate and / or beneficial to the AGSA.

7. Should there be any difference between the AGSA and the vendor regarding the interpretation of any provision of this RFI, the vendor shall accept the AGSA's interpretation thereof.

6. Clarification/enquiries

1. Interested respondents must submit any requests for clarification regarding the RFI in writing to Rajitha Rajaram (rajithar@agsa.co.za) before **15:00 on 30 September 2021.**

2. Only written enquiries will be given a response.

7. Closing date and details for submissions

1. Interested respondents must submit their responses via Microsoft OneDrive and send the email link to celiam@agsa.co.za and mphomok2@agsa.co.za before **15:00 on 07 October 2021.** No late information submissions will be accepted.

8. Frequently Asked Questions

#	Question	Response
1	Total number of employees (organization wide)	3 500
2	Total number of AGSA contact personnel serving as requestors for information	
	Primary solution: Ethics Management	4
	Secondary solution: Human Capital Management	10
	Supply Chain Management	5
3	Would AGSA prefer a cloud based or an on premise solution?	The solution will be housed by the service provider