



Request for Price Quotation (RFQ)

You are hereby invited to submit proposals and price quotation(s) for the requirements of the Auditor-General of South Africa indicated hereunder:

RFQ number	01/BERE/2018	
Date issued	30 November 2018	
Closing date and time	14 December 2018 @16:00	
Quotation validity period	Quotation should be valid 45 days from RFQ closing date	
Description of goods/service required	Request for quotation (RFQ) for the implementation of an externally managed / outsourced whistle-blowing system. (See full description below)	
Email address (for submission of quotes)	Dimakatsole@agsa.co.za	
Enquiry	Name	Dimakatso Lekoto
	Tel.	012 426 8183
	Email	dimakatsole@agsa.co.za

Bidders (Companies responding to the request for quotation) must acknowledge receipt of this RFQ using the above contact details.

Bidder	
Address	
Contact person	
Tel.	
Cel.	
Email.	

Terms and conditions of RFQ

The following AGSA's standard conditions of purchase shall apply:

1. Late and incomplete submissions shall not be accepted.
2. Any bidder who has reasons to believe that the RFQ specification is based on a specific brand must inform AGSA before RFQ closing date.
3. Bidders are required to submit Tax Clearance and BBBEE certificates or BBBEE affidavit for EMEs and QSEs. Failure to submit a valid Tax Clearance Certificate shall result in the invalidation of the bidder's submission to this RFQ. Certified copies of the Tax Clearance Certificate shall not be acceptable.
4. It is the responsibility of the bidder to ensure that the AGSA is in possession of the bidder's valid Tax Clearance Certificate. It is therefore not necessary to submit a Tax Clearance Certificate if the bidder had previously submitted such clearance for any RFQ/bid at the AGSA. The onus is on the bidder to ensure that the AGSA receives a valid Tax Clearance Certificate as soon as the validity of the said certificate expires.
5. The service provider agrees that its information in relation to this agreement can be used by AGSA for BBBEE scoring reporting purposes
6. **No services shall be rendered or goods delivered before an official AGSA Purchase Order form has been received by the successful bidder.**

7. Bidders are required to complete **annexure A** for all price quotations and the attached **declaration of interest form.**



I, the undersigned

(NAME).....certify that:

- i. I have read and understood the conditions of this RFQ.
- ii. I have supplied the required information and that the information submitted as part of this RFQ is true and correct.
- iii. Upon acceptance of order awarded delivery will take place within stipulated timeframes stated above from the date of P/O or within the date agreed with upon with the AGSA.
- iv. If delivery is not effected within the specified period, the AGSA reserves the right to cancel the purchase order immediately after 7 working days from the date of P/O.
- 8. All money owed by the AGSA is paid within 30 days. EMEs and QSEs within 15 days from the date the invoice is authorised for payment on the AGSA's system.
- 9. AGSA is committed to supporting BBBEE objectives therefore preference of award may be given to bidders with 51% black ownership and level 1- 2 B-BBEE contributors.

Signature		Date	
Capacity			



Request for quotation details:

The Auditor General of South Africa (AGSA) issues a no-obligation **request for quotation (RFQ) for the implementation of an externally managed / outsourced whistle-blowing system for a period of 12 months.**

Introduction and background:

Chapter 9 of the Constitution of the Republic of South Africa, 1996 establishes the Auditor-General of South Africa as one of the state institutions supporting constitutional democracy. The Constitution recognises the importance and guarantees the independence of the Auditor-General of South Africa (AGSA), stating that the AGSA must be impartial and must exercise its powers and perform its functions without fear, favour or prejudice. The AGSA is the only institution that, by law, has to audit and report on how the government is spending the South African taxpayers' money. More information about the organization can be found at <https://www.agsa.co.za>

Purpose:

Section 8 of the Protected Disclosures Act, 2000 (Act No. 26 of 2000 as amended) (PDA) which came into effect on 16 February 2001, states that employees in both the private and the public sector may disclose information regarding unlawful or irregular conduct by their employers or other employees in the employ of their employers to the AGSA. The Act further provides for the protection of employees who make a disclosure under this Act.

As part of ensuring compliance to PDA and as part of enhancing the ethical culture of the AGSA, a need to have an independent hotline has been identified. This will enable the organization to have an established reporting platform for making protected disclosures easy and accessible to all levels of whistle-blowers, both internally and externally.

Response requires:

At a minimum, the terms of reference/scope of services required will include but is not limited to the following requirements:

- The service provider must manage the tool externally and adhere to highest professional service standards and ethical principles;
- The whistle blowing tool should enable reporting of cases via most communication channels that will have a reach to the broader citizens, for example, telephone, email and internet website, mobile applications, any credible means of collating information;
- The service must offer a multi-lingual platform that operates on a 24/7 basis;
- The service provider should demonstrate how they will protect the identity of whistle blowers in line with PDA;
- The service provider should disclose their affiliation with a professional body, if any



- The service provider will be required to provide the AGSA with detailed reports on a weekly basis on matters reported for trends and analysis, and a consolidation of reported cases must be submitted monthly;
- The proposed platform / tool must be able to give access to designated AGSA user(s) to view the status of logged/reported cases as and when required.

Please note that the above list of requirements is not exhaustive and the service provider is encouraged to demonstrate how it will provide the required system.

Contract Period

The recommended service provider will be required to sign a 12-month agreement with the AGSA for the services herein required, which may be renewed on an as needed basis.

Evaluation Process:

1. Criterion 1 – Pre qualification based on documents submitted:

Bidders will first be evaluated in terms of the pre-qualification criteria stated below. Bidders who fulfil all the requirements will be evaluated further in line with the Technical/Functional criteria.

The **bidder must clearly indicate whether it complies or does not comply by marking “Yes/No”** in the appropriate column and failure to comply with any of the following minimum requirements will lead to the disqualification of the bid.

No	Pre-qualification Criteria	Comply (Yes/No)	Documentation guide	Comment/Substantiate
1.	The service provider must manage the tool externally.		n/a	
2.	The whistle blowing tool should enable reporting of cases via most communication channels that will have a reach to the broader citizens, for example, telephone, email and internet website, mobile applications, any credible means of collating information; a bidder should at a minimum use three of these communication channels.		n/a	
3.	The service must offer a multi-lingual platform that operates on a 24/7 basis.		n/a	
4.	The service provider will be required to provide the AGSA with detailed reports on a weekly basis on matters reported for trends and analysis and a consolidation of reported cases must be submitted monthly.		n/a	
5.	The proposed platform/tool must be able to give access to designated AGSA user(s) to view the status of logged/reported cases as and when required.		n/a	



6.	Keep whistle-blowers updated on the progress of investigations where required.		n/a	
7	<p>Security Requirements</p> <p>Due to the fact that the solution will not be hosted within the AGSA infrastructure. If hosted within a cloud solution, it is a requirement that it is hosted within the borders of South Africa and the whistle blower transactions, records, data are stored in South Africa.</p>		<p>Qualify = Written evidence (letter, certificate, affidavit) from reputable third party/assurance provider confirming bidder's cloud solution is hosted within the border of South Africa AND the AGSA's whistle blower transaction/records/data will be stored in South Africa.</p> <p>Disqualify = No certificate or affidavit provided</p>	
8	Does the bidder's whistle blower system comply with current South African and/or international information security laws/legislation, including but not limited to the Protection of Personal Information Act 4 of 2013 (PoPI Act) and/or the European Union mandated General Data Protection Regulation (GDPR).		<p>Qualify = Written evidence (letter, certificate, affidavit) from reputable third party/assurance provider confirming compliance South African and/or international information security, data protection and privacy laws, e.g. POPIA and GDPR respectively.</p> <p>Disqualify = No certificate or affidavit provided</p>	

Criterion 2 – Technical/Functionality

Bid responses will be evaluated in accordance to the following technical criteria:

No	Evaluation Criteria	Weight
1	<p>Company track record</p> <p>The bidder should submit at least two (2) reference letters from clients the bidder has successfully delivered similar services to in the period beginning from 1 January 2015 till current. The letters should be in the client's letterhead.</p> <p>Score: No reference provided- 1 (Non-compliance) One reference provided- 2 (Partial - compliance) Two references provided- 3 (Comply) Three references provided- 4 Four or more references provided- 5</p>	50
2	<p>Proposed resources</p> <p>The bidder must provide adequately skilled and qualified resources to perform the services/functions required as stated under terms of reference/scope of work. (the resource should have at least two years' experience in managing contracts of similar work)</p> <p>As evidence of experience the bidder should provide CV's of key personnel to be assigned to this contract, the CV's should clearly demonstrate relevant project experience, skills, qualifications of the resources/personnel assigned.</p> <p>Score: No resource with experience assigned- 1 (Non-compliance) Resource(s) with one year of experience assigned - 2 (Partial Compliance) Resource(s) with two years of experience assigned - 3 (Comply) Resource(s) with three years of experience assigned - 4 Resource(s) with more than three years of experience assigned - 5</p>	30
3	Refer table below for detailed IT Technical Requirements	20



IT Technical requirement	Portfolio of evidence	Evaluation Criteria 5 = Exceeds the required standard 3 = Meets the required standard 1 = Does not meet the required standard	Weight Factor
a) Service Level Requirements documentation	SLA procedure indicating the following: <ul style="list-style-type: none"> ▪ Escalation matrix/path ▪ Monthly SLA reviews reports, ▪ Incident classification and Severity ratings with target response time 	5 = Bidder SLA procedure with, Escalation matrix/path, sample monthly SLA reviews reports, Incident classification and Severity ratings with target response time indicating penalties for non-compliance. 3 = Bidder SLA procedure escalation matrix/path, sample monthly SLA reviews reports, Incident classification and Severity ratings with target response time 1 = No SLA procedure documents provided	3
b) Does the system allow for secure data processing?	Provide a process flow plus written evidence (letter, certificate, affidavit) from reputable third party/assurance provider indicating how the whistle-blowers data is used and protected once it is recorded.	5 = Process flows plus written evidence (letter, certificate, affidavit) from reputable third party/assurance provider confirming the bidder's system complies with best practice information security standards, e.g. ISO27001/2 (Information Security Management System), 3 = Bidder's process flow, policy and procedure indicating how the whistle-blowers system compliance with best practice information security standards, e.g. ISO27001/2 (Information Security Management System) 1 = No process flow, policy and procedure indicating how the whistle-blowers system processes data securely.	3
c) Does the whistle blower system allow for secure data back-up, off-site storage and restoration testing.	Provide evidence e.g. Written evidence (letter, certificate, affidavit) from reputable third party/assurance provider and/or process flow, indicating how the whistle-blowers data is backed-up, stored offsite and how often back-up restore is tested.	5 = Written evidence (letter, certificate, affidavit) from reputable third party/assurance provider of daily data back-up, offsite storage and restoration twice or more per year. 3 = Bidder's written evidence (processes, policy, procedure) showing data is backed-up daily and restoration tested at least twice per year 1 = No evidence of data backup, off site storage and restoration testing	3
d) Does the whistle blower system allow secure data deletion upon	Provide written evidence (letter, certificate, affidavit) from reputable	5 = Written evidence (letter, certificate, affidavit) from reputable third party/assurance provider plus bidder's	3

IT Technical requirement	Portfolio of evidence	Evaluation Criteria 5 = Exceeds the required standard 3 = Meets the required standard 1 = Does not meet the required standard	Weight Factor
request or when no longer needed.	third party/assurance provider plus bidder's process, policy and procedure indicating how the whistle-blowers data is securely destroyed.	process and policy and procedure confirming how the whistle-blowers data is securely destroyed 3 = Written evidence (process, policy and procedure documentation) showing how whistle blower data is securely destroyed. 1 = No written evidence showing how whistle blower data is securely destroyed.	
e) Does the service provider conduct vulnerability assessments on the whistle blower system?	Written evidence from bidder's assurance providers (e.g. internal or external audit) that regular vulnerability assessments are conducted on the whistle blower system and remedial action taken.	5 = Written evidence ((letter, certificate or affidavit) from bidder's assurance provider confirming that vulnerability assessments are conducted more than once a year on the whistle blower system being proposed. 3 = Written evidence ((letter, certificate or affidavit) from bidder's assurance provider confirming that vulnerability assessments are conducted more than once a year on the whistle blower system being proposed. 1 = No written evidence (letter, certificate or affidavit) from bidder's assurance provider confirming that vulnerability assessments are conducted on the whistle blower system being proposed.	3
f) Does the bidder conduct penetration testing in the environment within which the whistle blower system is hosted?	Written evidence (letter, certificate or affidavit) from bidder's assurance providers (e.g. internal or external audit) that regular penetration tests are conducted in the environment within which the whistle blower system is hosted?	5 = Written evidence (letter, certificate or affidavit) from assurance provider confirming that penetration tests are conducted more than once a year in the environment within which the whistle blower system is hosted at? 3 = Written evidence (letter, certificate or affidavit) from assurance provider confirming that penetration tests are conducted at least once a year in the environment within which the whistle blower system is hosted at? 1 = No written evidence that penetration tests are conducted in the environment within which the whistle blower system is hosted?	3
g) Does the bidder have processes	Provide evidence e.g. Process flow	5 = Process flow and system documentation, supported by	2



IT Technical requirement	Portfolio of evidence	Evaluation Criteria 5 = Exceeds the required standard 3 = Meets the required standard 1 = Does not meet the required standard	Weight Factor
and technical systems to mask or de-identify personal data in whistle blower system?	and system documentation, supported by reputable third party or assurance provider and technical system description personal data is masked or de-identified.	reputable third party or assurance provider showing and describing how whistle blower's personal data is masked or de-identified 3 = Process flow and system documentation showing and describing how whistle blower's personal data is masked or de-identified 1 = No Process flow and system documentation showing and describing how personal data is masked or de-identified	
Total IT technical criteria weighting			20%

Note: Bidders must obtain **at least 60 points on technical evaluation to be considered for further** evaluation.



Criterion 3 – DEMO

Bidders that meet the requirements for criterion 2 will be invited to give a presentation or demonstration to the evaluation panel, and demonstrate the abilities of the tool in line with the specified needs. Bidders are encouraged to bring a technical support official to be able to respond to any technical questions.

No	Evaluation Criteria	Weight
1.	<p>Ease of use User interface must be easy to understand and navigate (screen layout, clear and easy to interpret)</p> <p>Score: Does not meet expectations – 0 (Non-compliance) Meets expectations (i.e. easy to understand and navigate) – 3 (Comply) More than meets expectations (i.e. Easy to understand, navigate, user friendly and easy to learn) – 4 Exceeds expectation - 5</p>	20
2.	<p>Language The tool should enable whistle blowers to report a matter in any of the eleven official languages.</p> <p>(A minimum of five official languages will be considered)</p> <p>Score: One to four official languages - 1 Five official languages - 3 six to eleven official languages - 5</p>	20
3.	<p>Accessibility</p> <p>Ensuring that the tool is available to a wide range of users.</p> <p>Score: Less than three forms of collating information used - 0 (Non-compliance) Three communication channels used to collate information - 3 (Comply) Four to five communication channels used to collate information - 4 More than five communication channels used to collate information - 5</p>	20
4.	<p>Reporting capabilities</p> <p>The reporting function of the solution should be comprehensive to provide weekly and monthly consolidated reports and the ability to show trends and traffic.</p> <p>Score: Provides reports on a monthly basis - 0 (Non-compliance) Provides reports on a weekly basis and no monthly consolidated report – 2 (Partial Compliance) Provides reports on a weekly basis and a monthly consolidated report – 3 (Comply) Provides reports on a weekly basis together with a monthly consolidated report and has the ability to show trends and traffic – 5</p>	20

No	Evaluation Criteria	Weight
6	<p>Browser compatibility</p> <p>The system must at a minimum support Internet Explorer 11, Microsoft Edge, Mozilla Firefox, Google Chrome and Safari browser</p> <p>Scoring: Supports all browsers = 5 Supports between 2 – 4 browsers = 3 Supports less than 2 browsers = 1</p>	10
7	<p>User access management</p> <p>The whistle blower system must demonstrate how user access is managed and all users, including administrator user is activity logged in an audit trail file.</p> <p>Scoring: User access management is controlled through admin page, user activity including admin user is logged in a protected audit trail file and with alerts/notification for access violations = 5</p> <p>User access management is controlled through admin page, user activity including admin user is logged in a protected audit trail file, with no alerts/notification for access violations = 3</p> <p>No user access management and no user activity logging in an audit trail file = 1</p>	10
Total Score		100

Note: Bidders must achieve a minimum qualifying score of 60 points (60%) in the presentation of a demo to be further evaluated in terms of Price and BBBEE according to the AGSA supply chain policy.

Price and BBBEE evaluation

Evaluation	Points
Price	80
BBBEE	20



Annexure A: RFQ specification

Request for quotation (RFQ) number:

Once-off costs

Description of goods/services	Unit Price	Price (VAT excl.)
Installation/commissioning costs (four AGSA users will require access to reports online)		
Training of users (cost per person – estimate training of 4 individuals)		
Awareness Sessions (cost per session – each session estimated at 100 people)		
Other:		
	Subtotal	
	VAT 15%	
	Total VAT incl.	

Recurring costs

Description of goods/services	Quantity	Unit Price	Price (VAT excl.)
Reporting (Weekly and Monthly Reports)			
Support and maintenance for 12 months			
Other:			
		Subtotal	
		VAT 15%	
		Total VAT incl.	

DECLARATION OF INTEREST

1. Any legal person, including persons employed by the state, or persons having a kinship with persons employed by the state, including a blood relationship, may make an offer or offers in terms of this invitation to bid (includes 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.

1.1 It is important to note that in line with organisational policies, **AGSA employees are prohibited from conducting business with the employer**, whether as a director or shareholder or any capacity within the bidding company.

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):

.....

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 numbers must be indicated in paragraph 3 below.



1 Organ of state means:

- (a) any department of state or administration in the national, provincial or local sphere of government
- (b) any other functionary or institution –
 - (i) exercising a power or performing a function in terms of the Constitution or a provincial constitution; or
 - (ii) exercising a public power or performing a public function in terms of any legislation, but does not include a court or a judicial officer.

2 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 presently employed by the state? **YES / NO**

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 the appropriate authority to undertake remunerative work outside employment in the public sector? **YES / NO**

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

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

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 / trustees / shareholders / members or their spouses conduct business with the state in the previous twelve months? **YES / NO**

2.8.1 If so, furnish particulars:

.....



.....

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

2.10.1 If so, furnish particulars.....

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

2.11.1 If so, furnish particulars.....

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

Full Name	Identity Number	Personal Tax Reference Number	Employee Number

4 DECLARATION

.....
 Signature

.....
 Date

.....
 Position

.....
 Name of bidder

