

**RAILWAY SAFETY REGULATOR**

**BID NO.: RSR/POE/AUDIT/2020/10/02**

**REQUEST FOR PROPOSALS FOR  
PANEL OF INTERNAL AUDIT SERVICE PROVIDERS FOR A PERIOD OF 36  
MONTHS**

**SUBMISSION OF BID DOCUMENT DEADLINE**

Date: 18 December 2020

Time: 12h00

Venue: Building 4, Waterfall Point Office Park

Cnr Waterfall and Woodmead Drive,

Waterfall City

Midrand,

1685

**APPLICATION FORM: SUPPLIER DETAILS**

<b>Name of Bidder</b>	
<b>Trading Name</b>	
<b>Form of Enterprise</b>	
<b>CSD Master Registration No</b>	MAAA
<b>Physical Address</b>	
<b>Contact Person(s)</b>	
<b>Phone Number(s)</b>	
<b>E-Mail Address</b>	
<b>Income Tax Reference</b>	
<b>Vat Registration Number</b>	

**BANK DETAILS**

Name of Account: \_\_\_\_\_

Name of the bank: \_\_\_\_\_

Name of the branch: \_\_\_\_\_

Branch Code: 

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Account Number: 

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*Affix A Cancelled Cheque Here or Attach a Stamped Letter From The Bank Confirming The Bank Account*

**PART 1: COMPANY STRUCTURE & OWNERSHIP CREDENTIALS**

Name	Date/Position occupied in Enterprise	ID Number	Date RSA Citizenship obtained	* HDI Status			% of business
				No franchise prior to election	Women	Disabled	

Name of HDI member (to be consistent with the above paragraph)	Percentage (%) of the contract value managed or executed by the HDI member

\*Indicate YES or NO: **YES** meaning that you do indeed have equity ownership and **NO** meaning the opposite.

Name	ID Number	Date South African citizenship obtained	Black Individual (Yes / No)	% Owned

**PART 2: MANDATORY REQUIRED DOCUMENTATION CHECKLIST**

PLEASE ENSURE THAT THE FOLLOWING FORMS HAVE BEEN DULY COMPLETED AND SIGNED AND THAT ALL DOCUMENTS AS REQUESTED, ARE ATTACHED TO THE BID DOCUMENT:

NO	DESCRIPTION	YES/NO			
		Yes		No	
1	<b>SBD 1 Invitation to Bid</b> Is the form duly completed and signed?	Yes		No	
2	<b>Authority to Sign a Bid</b> Is the form duly completed and is a certified copy of the resolution attached?	Yes		No	
3	<b>SBD 1 Invitation to Bid</b> Is the form duly completed and signed?	Yes		No	
4	<b>SBD 3.3 Pricing schedule</b> Is the form duly completed and signed?	Yes		No	
5	<b>SBD 4 Declaration of Interest</b> Is the form duly completed and signed?	Yes		No	
6	<b>SBD 6.1 Preference Points Claim Form</b> Is the form duly completed and signed?	Yes		No	
7	<b>Is a CERTIFIED copy of the B-BBEE Certificate or the original B-BBEE Certificate or affidavit attached?</b>	Yes		No	
8	<b>SBD 8 Declaration of Past Supply Chain Practices</b> Is the form duly completed and signed?	Yes		No	
9	<b>SBD 9 Certificate of Independent Bid Determination</b> Is the form duly completed and signed?	Yes		No	
10	<b>Experience of Bidder</b> Is the form duly completed with relevant experience detailed and signed?	Yes		No	
11	<b>Central Supplier Database</b> Is proof of registration attached?	Yes		No	

**PART 3: PREQUALIFICATION CRITERIA**

3.1 PRE-QUALIFICATION AND MANDATORY EVALUATION CRITERIA. (P= Prequalification, M = Mandatory)

3.2 Only bidders who meet the following criteria will qualify to be evaluated:

- 3.2.1 Bidder to have a minimum B-BBEE Levels 1 to 4 (P);
- 3.2.2 CSD Registration (M)

**PART 4: ADDITIONAL INFORMATION**

4.1 It is expected that bidders should have the following personnel in their employ:

PERSONNEL	QUALIFICATIONS	EXPERIENCE	ACCREDITATION
Project Manager: Financial Audits	BTech / BCom Degree Internal Audit, Auditing, Accounting,	Minimum 7 years in auditing (including Internal audit, External audit)	CIA, CISA, CA
Project Manager: ICT Audits	BTech / BCom Degree Internal Audit, Auditing, Accounting,	Minimum 7 years in IT audit of which 3 year must be at a senior level (Management of ICT Audit Projects)	CIA, CISA, CA
Auditor	National Diploma Internal Audit, Auditing, Accounting	Minimum 3 years in auditing	Member of IIASA CIA ideal

4.2 The estimated volume / number of audit projects for the contract term of 3 years is:

- a. Finance and Operational original and follow-up audits = **22**
- b. Information Communication Technology (ICT) original and follow-up audits = **08**
- c. RSR may reduce or increase the number of audits
- d. RSR reserves the right to / or not to appoint over the 3 years contract term.

**PART 5: FUNCTIONALITY EVALUATION**

**5.1.** The section below constitutes the functional evaluation for all audit assurance, advisory and consulting service providers that wish to be included in the database of specialized service providers. The information required here is the area of Forensic auditing, IT auditing, Financial auditing and Operational auditing competency that your company specialises in, and years of the existence of the company whilst doing its chosen competency. The service provider must provide examples of projects previously undertaken, CV's and copies of qualifications and certificates of the Management and be able to provide proof of expertise and proof of contactable references.

**A company must at least achieve 60 points of functionality to be considered into the panel database.**

**5.2. FIELD OF EXPERTISE (*Bidders are allowed to select more than one field*)**

AREA OF COMPETENCY	TICK
Financial Auditing	
Operational Auditing	
IT Auditing	
Forensic Auditing and other Investigations	
Risk Management	

**5.3. COMPANY EXPERIENCE (10 POINTS)**

Applicants **must** provide a Company profile. The score for the company years of experience will be awarded as follows:

YEARS OF EXPERIENCE	POINTS ALLOCATED
LESS THAN 3 YEARS	0 points
3 TO 5 YEARS	3 points
5 TO 7 YEARS	5 points
ABOVE 7 YEARS	10 points

#### 5.4. KEY PERSONNEL / MANAGEMENT (60 POINTS)

**Enclosure:**

1. CVs
2. Certificates of academic qualifications

The CV and certificates of individuals will be used for evaluation of the each of the personnel for this section.

The scoring of the personnel will be as below:

**a) Director / Partner (30 Points)**

QUALIFICATION (10)	POINTS ALLOCATED
BTech / BCom Degree Internal Audit, Auditing, Accounting	5 points
Honors / Post Graduate Degree Internal Audit, Auditing, Accounting, and above	10 points
ACCREDITATION (5)	POINTS ALLOCATED
CIA, CISA, CA	5 Points
No relevant accreditation	0 Points
EXPERIENCE (15)	POINTS ALLOCATED
0 to less than 5 years	0 Points
5 years but less than 7 years	5 Points
7 years but less than 10 years	10 Points
10 years and above	15 Points

**b) Senior Manager (30 Points)**

QUALIFICATION (10)	POINTS ALLOCATED
BTech / BCom Degree Internal Audit, Auditing, Accounting,	5 Points
Honors / Post Graduate Degree Internal Audit, Auditing, Accounting, and above	10 Points
ACCREDITATION (5)	POINTS ALLOCATED
CIA, CISA, CA	5 Points
No relevant accreditation	0 Points
EXPERIENCE (15)	POINTS ALLOCATED
0 to less than 3 years	0 Points
3 years but less than 5 years	5 Points
5 years but less than 8 years	10 Points
8 years and above	15 Points

**5.5. QUALITY ASSURANCE REVIEW (QAR) (10 POINTS)**

Bidders (audit firms) must disclose the rating of their latest Quality Assurance Review (QAR) results. Bidders must submit a QAR report that indicates the rating.

**5.6. NUMBER OF PROJECTS UNDERTAKEN (20 POINTS)**

Applicants are required to provide a list of audit services related contracts / projects undertaken, as referred to section 3.2 above. The list of projects **MUST** be supported by **relevant** and **valid** reference letters. The reference letters must be contactable. RSR reserves the right to contact the references provided to verify validity. The score for this section will be awarded as follows:

NUMBER OF CONTRACTS / PROJECTS UNDERTAKEN	POINTS ALLOCATION
No letter / invalid letter / project irrelevant	0 points
3 Letter	5 points
more than 3 but not more than 5 Letters	10 points
more than 5 but not more than 10 Letters	15 points
more than 10 Letters	20 points

- Applicants **MUST** submit signed letters from clients. One reference letter per project.
- The reference letter should be on a client’s official letterhead with valid contact details, scope of the work and standard of service.
- Failure to submit contactable reference letters on a client letterhead to support the list provided will lead to no points being scored for that specific project.

**5.7. DETERMING COSTS**

Companies shortlisted to be in the panel of experts for RSR will from time to time be required submit proposals or responses to bids. Because being on a database does not automatically translate to an award, there will still be a competition amongst those that are shortlisted and within the relevant band as determined by the functional areas above. Applicants will be asked for pricing, however where applicable the prescribed pricing schedules as issued by each professional body will be the preferred rates adopted by RSR. For this purpose, the RSR requires that a professional body provide them with information relating to the prescribed rates of the professional body to which members and companies affiliate to:



NAME OF SECTOR			
OFFICIAL REGISTERING PROFESSIONAL AGENCY			
COMPANY REGISTRATION NUMBER (Where applicable)		INDIVIDUAL REGISTRATION NUMBER (Where applicable)	
DECLARATION	<p>I /WE.....hereby confirm my / our association with the above professional registering agency and accept their prescribed rates as the basis of pricing for bids issued by the Railway Safety Regulator. I/WE further authorise the RSR to engage the professional registering agency where the need arises to confirm my / our registration details with the agency. I attach a copy of the applicable rates is published by the professional registering entity.</p>		

**5.8. DELIVERY OF PROPOSALS**

Proposals from service providers containing, Original Valid Tax Clearance Certificate, certified valid BBEE Certificates, fully completed and signed SBD Forms, CIPC Registration Documents and Company Profile should be hand delivered to the RSR no later than 12:00 pm on the 18<sup>th</sup> December 2020 and should be addressed to the:

**Manager: Procurement**  
**Railway Safety Regulator**  
**Building 4, Waterfall Point Office Park**  
**Cnr Waterfall and Woodmead Drive,**  
**Waterfall City**  
**Midrand,**  
**1685**  
**Email: [goitseonek@rsr.org.za](mailto:goitseonek@rsr.org.za)**