



Tel: +27(12)432 1300
 Info Centre: 086 00 65383
 web: www.nlcsa.org.za
 National Lotteries Commission (NLC)
 P.O Box 1556
 Brooklyn Square 0083, Pretoria

SBD1

PART A INVITATION TO BID

YOU ARE HEREBY INVITED TO BID FOR REQUIREMENTS OF THE (NAME OF DEPARTMENT/ PUBLIC ENTITY)					
BID NUMBER:	RFP/2023-005	CLOSING DATE:	06 APRIL 2023	CLOSING TIME:	11:00
DESCRIPTION	REVIEW OF FINANCIAL STATEMENTS				
BID RESPONSE DOCUMENTS MAY BE DEPOSITED IN THE BID BOX SITUATED AT (STREET ADDRESS)					
333 Grosvenor Road, Hatfield Gardens Block D					
BIDDING PROCEDURE ENQUIRIES MAY BE DIRECTED TO			TECHNICAL ENQUIRIES MAY BE DIRECTED TO:		
CONTACT PERSON	Penelope Soyingwa		CONTACT PERSON		
TELEPHONE NUMBER	012 432 1414		TELEPHONE NUMBER		
FACSIMILE NUMBER			FACSIMILE NUMBER		
E-MAIL ADDRESS	penelope@nlcsa.org.za		E-MAIL ADDRESS		
SUPPLIER INFORMATION					
NAME OF BIDDER					
POSTAL ADDRESS					
STREET ADDRESS					
TELEPHONE NUMBER	CODE		NUMBER		
CELLPHONE NUMBER					
FACSIMILE NUMBER	CODE		NUMBER		
E-MAIL ADDRESS					
VAT REGISTRATION NUMBER					
SUPPLIER COMPLIANCE STATUS	TAX COMPLIANCE SYSTEM PIN:		OR	CENTRAL SUPPLIER DATABASE No:	MAAA
B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE	TICK APPLICABLE BOX]		B-BBEE STATUS LEVEL SWORN AFFIDAVIT	[TICK APPLICABLE BOX]	
	<input type="checkbox"/> Yes	<input type="checkbox"/> No		<input type="checkbox"/> Yes	<input type="checkbox"/> No
[A B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE/ SWORN AFFIDAVIT (FOR EMES & QSEs) MUST BE SUBMITTED IN ORDER TO QUALIFY FOR PREFERENCE POINTS FOR B-BBEE]					

ARE YOU THE ACCREDITED REPRESENTATIVE IN SOUTH AFRICA FOR THE GOODS /SERVICES /WORKS OFFERED?	<input type="checkbox"/> Yes <input type="checkbox"/> No [IF YES ENCLOSE PROOF]	ARE YOU A FOREIGN BASED SUPPLIER FOR THE GOODS /SERVICES /WORKS OFFERED?	<input type="checkbox"/> Yes <input type="checkbox"/> No [IF YES, ANSWER PART B:3]
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QUESTIONNAIRE TO BIDDING FOREIGN SUPPLIERS

IS THE ENTITY A RESIDENT OF THE REPUBLIC OF SOUTH AFRICA (RSA)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOES THE ENTITY HAVE A BRANCH IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOES THE ENTITY HAVE A PERMANENT ESTABLISHMENT IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
DOES THE ENTITY HAVE ANY SOURCE OF INCOME IN THE RSA?	<input type="checkbox"/> YES <input type="checkbox"/> NO
IS THE ENTITY LIABLE IN THE RSA FOR ANY FORM OF TAXATION?	<input type="checkbox"/> YES <input type="checkbox"/> NO
IF THE ANSWER IS "NO" TO ALL OF THE ABOVE, THEN IT IS NOT A REQUIREMENT TO REGISTER FOR A TAX COMPLIANCE STATUS SYSTEM PIN CODE FROM THE SOUTH AFRICAN REVENUE SERVICE (SARS) AND IF NOT REGISTER AS PER 2.3 BELOW.	

PART B TERMS AND CONDITIONS FOR BIDDING

1. BID SUBMISSION:
1.1. BIDS MUST BE DELIVERED BY THE STIPULATED TIME TO THE CORRECT ADDRESS. LATE BIDS WILL NOT BE ACCEPTED FOR CONSIDERATION.
1.2. ALL BIDS MUST BE SUBMITTED ON THE OFFICIAL FORMS PROVIDED- (NOT TO BE RE-TYPED) OR IN THE MANNER PRESCRIBED IN THE BID DOCUMENT.
1.3. THIS BID IS SUBJECT TO THE PREFERENTIAL PROCUREMENT POLICY FRAMEWORK ACT, 2000 AND THE PREFERENTIAL PROCUREMENT REGULATIONS, 2017, THE GENERAL CONDITIONS OF CONTRACT (GCC) AND, IF APPLICABLE, ANY OTHER SPECIAL CONDITIONS OF CONTRACT.
1.4. THE SUCCESSFUL BIDDER WILL BE REQUIRED TO FILL IN AND SIGN A WRITTEN CONTRACT FORM (SBD7).
2. TAX COMPLIANCE REQUIREMENTS
2.1 BIDDERS MUST ENSURE COMPLIANCE WITH THEIR TAX OBLIGATIONS.
2.2 BIDDERS ARE REQUIRED TO SUBMIT THEIR UNIQUE PERSONAL IDENTIFICATION NUMBER (PIN) ISSUED BY SARS TO ENABLE THE ORGAN OF STATE TO VERIFY THE TAXPAYER'S PROFILE AND TAX STATUS.
2.3 APPLICATION FOR TAX COMPLIANCE STATUS (TCS) PIN MAY BE MADE VIA E-FILING THROUGH THE SARS WEBSITE WWW.SARS.GOV.ZA.
2.4 BIDDERS MAY ALSO SUBMIT A PRINTED TCS CERTIFICATE TOGETHER WITH THE BID.
2.5 IN BIDS WHERE CONSORTIA / JOINT VENTURES / SUB-CONTRACTORS ARE INVOLVED; EACH PARTY MUST SUBMIT A SEPARATE TCS CERTIFICATE / PIN / CSD NUMBER.
2.6 WHERE NO TCS IS AVAILABLE BUT THE BIDDER IS REGISTERED ON THE CENTRAL SUPPLIER DATABASE (CSD), A CSD NUMBER MUST BE PROVIDED.
2.7 NO BIDS WILL BE CONSIDERED FROM PERSONS IN THE SERVICE OF THE STATE, COMPANIES WITH DIRECTORS WHO ARE PERSONS IN THE SERVICE OF THE STATE, OR CLOSE



CORPORATIONS WITH MEMBERS PERSONS IN THE SERVICE OF THE STATE.”

NB: FAILURE TO PROVIDE / OR COMPLY WITH ANY OF THE ABOVE PARTICULARS MAY RENDER THE BID INVALID.

SIGNATURE OF BIDDER:

.....

CAPACITY UNDER WHICH THIS BID IS SIGNED:

.....

(Proof of authority must be submitted e.g. company resolution)

DATE:

.....



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NATIONAL LOTTERIES COMMISSION

REQUEST FOR PROPOSALS FOR THE QUALITY REVIEW OF THE DRAFT CONSOLIDATED FINANCIAL STATEMENTS

BID PROCESS	BID REQUIREMENTS
Tender number	RFP/2023-005
Bid Advertisement Date	30 March 2023
Closing date and time	06 April 2023 at 11:00 <i>(South African Standard Time)</i>
Tender validity period	30 business working days from the closing date
Compulsory Briefing meeting	<i>N/A</i>
Submission instruction:	<p>The original bid document must be submitted ONLY via USB and be delivered to:</p> <p>Acting Manager: Supply Chain Management National Lotteries Commission 333 Grosvenor Street Block D, Hatfield Gardens Hatfield, Pretoria 0083</p> <p>Enquires ONLY can be emailed to: penelope@nlcsa.org.za</p> <p>NO email or hardcopies submissions will be accepted.</p>

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TERMS OF REFERENCE FOR THE REQUEST FOR PROPOSALS FOR THE QUALITY REVIEW OF THE DRAFT CONSOLIDATED FINANCIAL STATEMENTS

SECTION 1: BACKGROUND, OVERVIEW AND RFP SCOPE OF REQUIREMENTS

1. INTRODUCTION

The National Lotteries Commission was established in terms of the Lotteries Act No. 57 of 1997, as amended (Lotteries Act) to regulate the National Lottery as well as other lotteries and societies.

The NLC aims to ensure that funds raised through the National Lottery are distributed equitably and expeditiously across South Africa in order to advance social upliftment of communities in need with the aim of addressing poverty and reducing inequalities in line with the National Development Plan.

The Commission is required to apply principles of openness and transparency in the exercise of its functions assigned to it in terms of the Lotteries Act No 57 of 1997.

2. BACKGROUND

PFMA S(51)(1)(a) requires that “An accounting authority for a public entity must ensure that public entity has and maintains effective, efficient and transparent systems of financial and risk management and internal control. In line with the requirements of the Public Finance Management Act No. 1 of 1999 (“PFMA”) and Treasury Regulations, the NLC seeks to request a proposal from a suitable qualified service provider to assist the NLC’s Internal audit department with the quality review of the draft consolidated financial statements. The NLC has three sets of financial statements:

- (i) National Lotteries Commission consolidated financial statements;
- (ii) National Lotteries Distribution Trust Fund (NLDTF) financial statements; and
- (iii) National Lotteries Participants Trust (NLPT) financial statements

3. OBJECTIVE

The quality review of the consolidated Financial Statements seeks to ensure that the following objectives, amongst others are achieved:

- All management assertions relating to the consolidated financial statements;
- Adequacy, reliability, and accuracy of the financial statements; and
- adherence to Accounting Standard Board requirements, GRAP and other statements/standards.

4. SCOPE OF WORK

Scope of work in relation to the Review of the Draft Annual Financial statements ending 31 March 2023, will include:

- Evaluating the quality of the consolidated financial statements;

- Reviewing the reliability, completeness, accuracy, and integrity of the financial information including the supporting schedules, compiled and reported by the organisation;
- Evaluating the reasonableness of estimates and assumptions used in preparing financial reports;
- Ensuring that estimates and assumptions included in disclosures or comments are consistent with underlying organisational information and practices.
- Assessing the basis in relation to accounting policies are applicable to the organisation.

4.1 Additional Scope of work

4.1.1 Detailed review of the following account in the trial balance and general ledger:

- (a) Grants allocations, liability, and payments: -
- Reviewing reconciliations of the grants approved by Distributing Agencies to grants recorded in the general ledger and highlight discrepancies to management.
 - Review of the grant liabilities/provisions balances and identify projects that should be withdrawn/reserved in line with Grant funding policy and paragraph 16 of GRAP 19.

4.1.2 Detailed review for completeness and accuracy for the following disclosure notes:

- (a) Commitments
 (b) Irregular expenditure
 (c) Fruitless and wasteful expenditure
 (d) Provisions for allocations

5. Deliverables

- The successful bidder to report directly to the Chief Audit Executive (CAE) and shall conduct/prepare reports as have directed.
- In carrying out its support functions to the CAE, the appointed bidder shall produce the following:
 - Prepare for approval by the CAE, an engagement letter indicating detail of budget and timeframes and the detail scope.
 - Submit the report after completion of project signed by project director to the CAE.
 - Submit working papers to the CAE after finalisation of the audit project within a week.

Other requirements:

- The staff should maintain their objectivity by remaining independent of the activities they audit.
- There must be professionally qualified supervisor present throughout the duration of the.
- The NLC will not be billed for any unproductive or duplicated time spent on assignment, for any reason.
- Sufficient time must be spent on assignments to ensure that quality is maintained at the highest standards.

6. Duration of the Project

- The project is expected to start Mid-April 2023 and the final report is due for presentation to the special Board Audit and Risk Committee (BARC) in the last week of May 2023.

SECTION 2: NOTICE TO BIDDERS

1. Terms and conditions of Request for Proposals (RFP)

- 1.1 This document may contain confidential information that is the property of the NLC.
- 1.2 No part of the contents may be used, copied, disclosed, or conveyed in whole or in part to any party in any manner whatsoever other than for preparing a proposal in response to this RFP without prior written permission from the NLC.
- 1.3 All copyright and intellectual property herein vests with the NLC.
- 1.4 Late and incomplete submissions will not be accepted.
- 1.5 No services must be rendered, or goods delivered before an official NLC Purchase Order form has been received.
- 1.6 This RFP will be evaluated in terms of the 80/20 preference point system.
- 1.7 Suppliers are required to register on the Central Supplier Database at www.csd.gov.za.
- 1.8 Suppliers must provide their CSD registration number (and attach a CSD Registration report) and ensure that their tax matters are compliant.
- 1.9 All questions regarding this RFP must be forwarded to bids@nlcsa.org.za.
- 1.10 Any supplier who has reasons to believe that the RFP specification is based on a specific brand must inform the NLC via the email addressed in 1.9.

2. General rules and instructions

- 2.1 News and press releases
 - 2.1.1 Bidders or their agents shall not make any news releases concerning this RFP or the awarding of the same or any resulting agreement(s) without the consent of, and then only in co-ordination with, the NLC.
- 2.2 Precedence of documents
 - 2.2.1 This RFP consists of a number of sections. Where there is a contradiction in terms between the clauses, phrases, words, stipulations, or terms and herein referred to generally as stipulations in this RFP and the stipulations in any other document attached hereto, or the RFP submitted hereto, the relevant stipulations in this RFP shall take precedence.
 - 2.2.2 Where this RFP is silent on any matter, the relevant stipulations addressing such matter, and which appear in section 217 of the constitution of the republic shall take precedence. Bidders shall refrain from incorporating any additional stipulations in its proposal submitted in terms hereof other than in the form of a clearly marked recommendation that the NLC may in its sole discretion elect to import or to ignore. Any such inclusion shall not be used for any purpose of interpretation unless it has been so imported or acknowledged by the NLC.

It remains the exclusive domain and election of the NLC as to which of these stipulations are applicable and to what extent. Bidders are hereby acknowledging that the decision of the commission in this regard is final and binding. The onus to enquire and obtain clarity in this regard rests with the Bidder(s). The Bidder(s) shall take care to restrict its enquiries in this regard to the most reasonable interpretations required to ensure the necessary consensus.

- 2.3 Preferential procurement reform

- 2.3.1 The commission supports B-BBEE as an essential ingredient of its business. In accordance with government policy, the NLC insists that the private sector demonstrates its commitment and track record to B-BBEE in the areas of ownership (shareholding), skills transfer, employment equity and procurement practices (SMME Development) etc.
- 2.4 National Industrial Participation Programme
- 2.4.1 The Industrial Participation policy, which was endorsed by Cabinet on 30 April 1997, is applicable to contracts that have an imported content. The NIP is obligatory and therefore must be complied with. Bidders are required to sign and submit the Standard Bidding Document (SBD).
- 2.5 Language
- 2.5.1 Bids shall be submitted in English.
- 2.6 Gender
- 2.6.1 Any word implying any gender shall be interpreted to imply all other genders.
- 2.7 Headings
- 2.7.1 Headings are incorporated into this RFP document and submitted in response thereto, for ease of reference only and shall not form part thereof for any purpose of interpretation or for any other purpose.
- 2.8 Occupational Injuries and Diseases Act 13 of 1993
- 2.8.1 The Bidder warrants that all its employees (including the employees of any sub-contractor that may be appointed) are covered in terms of the Compensation for Occupational Injuries and Diseases Act 13 of 1993 and that the cover shall remain in force for the duration of the adjudication of this RFP and/ or subsequent agreement. the commission reserves the right to request the Bidder to submit documentary proof of the Bidder's registration and "good standing" with the Compensation Fund, or similar proof acceptable to the commission.
- 2.9 Processing of the Bidder's Personal Information
- 2.9.1 All Personal Information of the Bidder, its employees, representatives, associates and sub-contractors ("Bidder Personal Information") required under this RFP is collected and processed for the purpose of assessing the content of its tender proposal and awarding the bid. The Bidder is advised that Bidder Personal Information may be passed on to third parties to whom the commission is compelled by law to provide such information. For example, where appropriate, the commission is compelled to submit information to National Treasury's Database of Restricted Suppliers.
- 2.9.2 All Personal Information collected will be processed in accordance with POPIA and with the commission Data Privacy Policy.
- 2.9.3 The following persons will have access to the Personal Information collected:
- 2.9.3.1 The commission personnel participating in procurement/award procedures; and
- 2.9.3.2 Members of the public: within seven working days from the time the bid is awarded, the following information will have to be made available on National Treasury's e-

Tender portal:

- 2.9.3.2.1 contract description and bid number.
 - 2.9.3.2.2 names of the successful bidder(s) and preference points claimed.
 - 2.9.3.2.3 the contract price(s) (if possible).
 - 2.9.3.2.4 contract period.
 - 2.9.3.2.5 names of directors; and
 - 2.9.3.2.6 date of completion/award.
- 2.9.4 The commission will ensure that the rights of the Bidder and of its employees and representatives (i.e., the right of access and the right to rectify) are effectively guaranteed in accordance with the procedures as specified in the commission PAIA manual.
- 2.9.5 In signing this document, the Bidder consents to the use of its Personal Information for the purposes as specified in section 2.9.1 above.

3. Formal Briefing Session

- 3.1 No briefing session.

4. Validity Period

- 4.1 The Commission requires a validity period of 30 Business Days [from closing date] against this RFP.
- 4.2 Bidders are to note that they may be requested to extend the validity period of their bids, on the same terms and conditions, if the internal evaluation process are not finalised within the validity period.

5. National Treasury's Central Supplier Database

- 5.1 Bidders are required to self-register on National Treasury's Central Supplier Database (CSD) which has been established to centrally administer supplier information for all organs of state and facilitate the verification of certain key supplier information.
- 5.2 The Commission may not award business to a bidder who has failed to register on the CSD.
- 5.3 Only foreign suppliers with no local registered entity need not register on the CSD.
- 5.4 The CSD can be accessed at <https://secure.csd.gov.za/>

6. Confidentiality

- 6.1 Bids submitted for this Request for Proposals will not be revealed to any other bidders and will be treated as contractually binding;
- 6.2 The Commission reserves all the rights afforded to it by the POPIA in the processing of any of its information as contained in Bid Proposals.
- 6.3 The Bidder acknowledges that it will obtain and have access to personal information of The NLC and agrees that it shall only process the information disclosed by the NLC in terms of this bid award and only for the purposes as detailed in this RFP and in accordance with any applicable law.

- 6.4 The Bidder shall notify the NLC in writing of any unauthorised access to personal information and the information of a third party, through cybercrimes or suspected cybercrimes, in its knowledge and report such crimes or suspected crimes to the relevant authorities in accordance with applicable laws, after becoming aware of such.

7. Communication

- 7.1 Specific queries relating to this RFP should be submitted penelope@nlcsa.org.za, before the closing date.
- 7.2 In the interest of fairness and transparency the NLC's response to such a query may be made available to other bidders.
- 7.3 It is prohibited for bidders to attempt, either directly or indirectly, to canvass any officer or employee of the NLC in respect of this RFP between the closing date and the date of the award of the business.
- 7.4 Bidders found to be in collusion with one another will be automatically disqualified and restricted from doing business with organs of state for a specified period.

TERMS OF REFERENCE FOR THE APPOINTMENT OF A PANEL OF INTERNAL AUDIT SERVICE PROVIDERS IN A CO-SOURCED CAPACITY AT THE NATIONAL LOTTERIES COMMISSION FOR A PERIOD OF THREE YEARS

Section 3: EVALUATION CRITERIA

The six (6) phases evaluation criteria will be considered in evaluating the proposals, being:

Stage 1: Tender Closing and Opening

1.1 Tender closing details

The deadline for Tender submission is **06 April 2023 at 11:00am** Standard South African Time. Any late tenders will not be accepted. Tenders are to be submitted to the NLC's tender box at the following physical address:

National Lotteries
Commission333
Grosvenor Street
Block D, Hatfield
GardensHatfield,
Pretoria
0083

1.2 Bid Formats

Bid submissions must be submitted in a PDF format that is protected from any modifications, deletions, or additions.

Financial/pricing information must be presented in a separate attachment from the Technical/Functional Response information. The onus is on the Bidder to ensure that all mandatory and required documents are included in the electronic submission.

Submissions must be prominently marked with the full details of the tender namely Bidder's Name, Tender No and Tender Title.

Tender submissions received after submission date and time will be declared late and will not be accepted for consideration by the NLC.

The NLC will not be responsible for any failure or delay in the submission or receipt of the bid including but not limited to:

- Traffic.
- Struggling to find parking.
- Courier arriving late.

Stage 2: Administrative Compliance

All bid respondents must submit the relevant documents that comply with administrative compliance, which will include the following:

Evaluation Criteria	Supporting Document
<ul style="list-style-type: none"> Whether all Returnable Documents and/or schedules [where applicable] were completed and returned by the closing date and time 	Bid Proposal
<ul style="list-style-type: none"> Whether the Bid document has been duly signed by the authorised bidder official 	Company resolution as proof of authorised individuals' delegation
<ul style="list-style-type: none"> Whether the Bid contains a priced offer 	Pricing and delivery schedule
<ul style="list-style-type: none"> Whether the Bidder tax affairs in order 	Tax Compliance System Pin
<ul style="list-style-type: none"> Whether Bidders have failed to register on the CSD. Only foreign suppliers with no local registered entity need not register on the CSD 	Proof of Central Supplier Database (CSD) registration reflecting Tax compliant status

Stage 3: Mandatory Compliance

All bid respondents must submit mandatory documents that comply with all mandatory requirements. Bids that do not fully comply with the mandatory requirements will be disqualified and will not be considered for further evaluation. The Administrative Compliance Evaluation will include the following:

Evaluation Criteria	Supporting Document
1. In the event of the bidder being in a joint venture (JV), a signed JV agreement must be submitted (where applicable)	JV Agreement
2. Bidders must submit a fully complete declaration of interest form (failure to declare honestly will lead to bidder being disqualified)	SBD 4
3. Returnable documents (standard bidding documents) and/or schedules were completed, duly signed by the authorised person.	SBD Forms duly completed and signed and pricing schedules.

<p>4. <i>Only bidders who are compliant with the requirements of this stage will proceed to stage 3.</i></p> <p>Bidder must submit proof of registration by the members with the Institute of Internal Auditors South Africa (IIASA). <u>A director must be registered with any</u> of the following professional bodies:</p> <ul style="list-style-type: none">○○ Independent Regulatory Board for Auditors (IRBA).○ South African Institute of Chartered Accountants (SAICA) <p><u>(Please submit certified copies)</u></p>	<p>Please attach a membership/accreditation certified/ letter of good standing with the professional body for the <u>members</u>.</p>
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Failure to comply with the above mandatory requirements will render your submission non-responsive and unacceptable.

STAGE 4: TECHNICAL EVALUATION

4.1 The following rating scale will be used to evaluate bid proposals:

Table 1: Rating Scale

Rating	Definition	Score
Excellent	Exceeds the requirement. Exceptional demonstration by the bidder of the relevant ability, understanding, experience, skills, resource, and quality measures required to provide the goods / services. Response identifies factors that will offer potential added value, with supporting evidence.	5
Good	Satisfies the requirement with minor additional benefits. Above average demonstration by the bidder of the relevant ability, understanding, experience, skills, resource, and quality measures required to provide the goods / services. Response identifies factors that will offer potential added value, with supporting evidence.	4
Acceptable	Satisfies the requirement. Demonstration by the bidder of the relevant ability, understanding, experience, skills, resource, and quality measures required to provide the goods / services, with supporting evidence.	3
Minor Reservations	Satisfies the requirement with minor reservations. Some minor reservations of the supplier's relevant ability, understanding, experience, skills, resource and quality measures required to provide the goods / services, with little or no supporting evidence.	2
Serious Reservations	Satisfies the requirement with major reservations. Considerable reservations of the bidder's relevant ability, understanding, experience, skills, resource, and quality measures required to provide the goods / services, with little or no supporting evidence.	1
Unacceptable	Does not meet the requirement. Does not comply and/or insufficient information provided to demonstrate that the bidder has the ability, understanding, experience, skills, resource & quality measures required to provide the goods / services, with little or no supporting evidence.	0

4.2 The evaluation for the Technical and Functional threshold will include the following:

Rating scale of 0 – 5 to be applied.

Category & Criteria Description	Weightings (%)	Scoring Matrix
1. Company Experience and Expertise	35%	
<p>1.1 Written reference letters</p> <p>Provide (3) three reference letters from contactable existing/ recent clients (within the past 5 years) of projects successfully completed. The letter must be in the letterhead of the client's name, contact name, address, phone number, and duration of the contract, a brief description of the services that you provided.</p> <p>No appointment letters from clients will be accepted as reference letters.</p>	15%	<ul style="list-style-type: none"> - No relevant reference letter = (0) - 1 relevant reference letter = (1) - 2 relevant reference letters = (3) - 3 relevant reference letters = (5)
<p>1.2. Bidder experience in providing AFS review services.</p> <p>The bidding company must demonstrate more than 7 years' experience in delivering the required quality review of annual financial statements by submitting a company profile. (Provide proof of number of years)</p> <p>Proof of the number of years should be provided by means of a list of clients detailing the quality review of the financial statements' projects.</p>	20%	<ul style="list-style-type: none"> - No experience = (0) - Between 1-3 years' experience in quality review of AFS = 2 - 3-5 years' experience in quality review of AFS = 3 - 5-7 years' experience in quality review of AFS = 4 - Above 7 years' experience in quality review of AFS = 5
2. Capacity and experience of the proposed team	40%	

Category & Criteria Description	Weightings(%)	Scoring Matrix
<p>Key Personnel Qualifications and Experience</p> <p>Provide comprehensive CV and Qualifications) Relevant qualification and experience of Director/Partner, Senior manager/manager and supervisor who will be responsible for the management of audit project.</p>		
<p>2.1 Qualifications and experience: Director/Partner:</p> <p>BCom Accounting qualification and Chartered Accountant (CA)SA certification with 15 years' experience in the quality review of financial statements.</p>	15%	<p>-Less than 3 years' experience in quality review of financial statements = 1</p> <p>-3-4 years' experience quality review of financial statements = 2</p> <p>-5-9 years' experience quality review of financial statements = 3</p> <p>-10-14 years' experience quality review of financial statements = 4</p> <p>-Above 15 years' experience in quality review of financial statements = 5</p>
<p>2.2 Qualifications: Audit Senior Manager</p> <p>(a) BCom Degree/Post graduate qualification, or CA certification and with 10 years external audit experience</p> <p>(b) BCom degree qualification & completed articles and with 10 years audit experience.</p>	10%	<p>-Relevant BCom degree qualification & completed articles and less than 3 years' experience quality review of financial statements = 1</p> <p>-Relevant degree qualification & completed articles and 3- 5 years' years' experience quality review of financial statements = 2</p> <p>-Relevant BCom degree</p>

Category & Criteria Description	Weightings(%)	Scoring Matrix
		<p>qualification & completed articles and more than 5 years' years' experience quality review of financial statements = 3</p> <p>-CA with more than 5 years' experience quality review of financial statements = 4</p> <p>-CA with more than 10 years' experience quality review of financial statements = 5</p>
<p>2.3 Qualifications: External auditors x3:</p> <p>(a) Relevant BCom degree and completed articles and with 3 years' external audit experience.</p> <p>(b) Relevant BCom Degree and with 3 years' audit experience.</p> <p>NB! Bidders are required to provide CVs of three (3) Auditors (5% per Auditor)</p>	<p>15%</p>	<p>-Relevant BCom degree qualification less than 2 years' experience quality review of financial statements = 1</p> <p>-Relevant BCom degree qualification 2- 3 years' experience quality review of financial statements = 2</p> <p>-Relevant BCom degree qualification more than 3 years' experience quality review of financial statements = 3</p> <p>-Relevant BCom degree qualification and completed articles with less than 3 years' experience quality review of financial statements = 4</p> <p>-Relevant BCom degree qualification and completed articles with more than 3</p>

Category & Criteria Description	Weightings(%)	Scoring Matrix
		years' experience quality review of financial statements = 5
3. Approach and Project implementation plan	25%	
<p>Approach and implementation plan</p> <p>The bidder must provide the approach and a project implementation plan which details how the service will be carried out. The project plan must have deliverables and time frames.</p> <p>It will be imperative for the bidding company to outline and explain the approach that will be used to conduct quality assurance review of annual financial statements and reviewing the accuracy and completeness of related schedules.</p> <p>The plan must include but not limited to the following elements:</p> <ul style="list-style-type: none"> • Provide details about the resources and processes of the company. • Turnaround times of the project / Project schedule • The bidder must provide a clear approach for the duration of the project term. 		<p>Rating scale of 0 – 5 to be applied for evaluation of approach and implementation plan.</p> <p>Refer to above table 3.1</p>
Total Weighting:	100	
Minimum qualifying score required:	75	

Stage 5: Pricing and Special goal

Pricing Schedule: Please refer to Annexure B

The evaluation for Pricing and Special goal will include the following:

1. Procurement from entities who are at least 51% Owned	Sub - points for specific goals	Maximum points for specific goals
91% - 100%	10	10
81% - 90%	9	
71% - 80%	8	
61% - 70%	7	
51% - 60%	6	
41% - 50%	5	
0% - 40%	0	
2. B-BBEE Status Level of Contributor		
Level 1 - EME /QSE	10	10
Level 2 - EME /QSE	9	
Level 1 - Generic / Level 3 EME / QSE	8	
Level 2 - Generic / Level 4 EME / QSE	7	
Level 3 - Generic / Level 5 EME / QSE	6	
Level 4 - 5 Generic / Level 6 EME / QSE	5	
Level 6 - 8 Generic and Non – Compliant / Level 7 - 8 EME / QSE and Non – Compliant	0	

Stage 6: Due Diligence

NLC reserves the right to conduct supplier due diligence prior to final award or at any time during the contract period. This may include site visits and requests for additional information.

Stage 7: Contract and Award

The stage is for negotiation after receipt of formal tenders and before the conclusion of contracts with suppliers/contractors submitting the lowest acceptable tender with a view to obtaining an improvement in price, delivery or content, in circumstances which do not put other tenderers at a disadvantage or affect adversely their confidence or trust in the competitive system. Bidders may be requested to provide their best and final offers based on contract negotiation.

ANNEXURE A: CV TEMPLATE

Proposed role in the project: _____

Name: _____

First name: _____

Date of birth: _____

Nationality: _____

Education

Institution (Date from- Date to)	Degree(s) or Diploma(s) obtained

Membership of Professional Bodies:

Other skills (e.g. computer literacy, etc.):

.....

.....

Present position

Years within the organisation:.....

Key qualifications (relevant to project):.....

Professional experience

.....

Date (From -To) (mm/yy)	
Organisation	
Location	
Position	
Description of duties	

Date (From -To) (mm/yy)	
Organisation	
Location	
Position	
Description of duties	

Date (From -To) (mm/yy)	
------------------------------------	--

Organisation	
Location	
Description of duties	

ANNEXURE B: PRICING SCHEDULE TEMPLATE

Please provide rates (VAT Inclusive) for the rendering of co-sourced internal audit services for the National Lotteries Commission for this project. Service providers must indicate the average audit fees per hour and estimated budgeted hours for the project.

	Hourly Rates*
Level and Capacity	
Engagement Partner/Director	R
Audit Manager	R
External Auditors	R

	Estimated Hours
Level and Capacity	
Engagement Partner/Director	R
Audit Manager	R
External Auditors	R

Total Cost (Incl) VAT.



SCM:
CONSENT
REQUEST FORM

REQUEST FOR THE CONSENT OF A DATA SUBJECT FOR PROCESSING OF PERSONAL INFORMATION FOR THE PURPOSE OF PROCUREMENT OF GOODS AND SERVICES APPLICATION, IN LINE WITH THE NLC'S SUPPLY CHAIN MANAGEMENT POLICY, IN TERMS OF SECTION 11(1)(a) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO.4 OF 2013) ("**POPIA**").

TO: _____

FROM: _____

ADDRESS: _____

Contact number: _____

Email address: _____

PART A

1. In terms of the PROTECTION OF PERSONAL INFORMATION ACT, consent for processing of personal information of a data subject (the person/entity to whom personal information relates) must be obtained for the purpose of processing of application for procurement of goods and services, in line with the NLC's supply chain management policy, and storage of your personal data by means of any form of electronic communication, including automatic calling machines, facsimile machines, SMSs or e-mail, which is prohibited unless written consent to the processing is given by the data subject. You may only be approached once for your consent by us (NLC). After you have indicated your wishes in Part B, you are kindly requested to submit this Form either by post, facsimile or e-mail to the address, facsimile number or e-mail address as stated above.

2. "Processing" means any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including—
 - 2.1 the collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation or use;
 - 2.2 dissemination by means of transmission, distribution or making available in any other form; or
 - 2.3 merging, linking, as well as restriction, degradation, erasure or destruction of information.

3. "Personal information" means information relating to an identifiable, living, natural person, and where it is applicable, an identifiable, existing juristic person, including, but not limited to—
 - 3.1 information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth of the person;
 - 3.2 information relating to the education or the medical, financial, criminal or employment history of the person;

- 3.3 any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to the person;
- 3.4 the biometric information of the person;
- 3.5 the personal opinions, views or preferences of the person;
- 3.6 correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence;
- 3.7 the views or opinions of another individual about the person; and
- 3.8 the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.

Full names of the designated person on behalf of the Responsible Party

Signature of Designation person

PART B

I, _____ (full names), duly authorized, hereby:
Consent to the processing of my/our personal information for the application of procurement of goods and services, in line with the NLC supply chain management policy, in terms of section 11(1)(a) of POPIA.

SPECIFY GOODS AND SERVICES (Edit/Click on services not required):

- Product Information
- Product Updates
- Industry Newsletters
- Price Changes

Method of Communication will be via: Email/Postal

- Give my consent.

By Ticking the next box, I am aware that I am Digitally Signing this Consent request Form:

-

Full Name:

Date:

WITHDRAWAL OF CONSENT ONCE GIVEN

You may withdraw your consent at any time.

Write or email us at the address above, advising us of your consent withdrawal



BIDDER’S DISCLOSURE

1. PURPOSE OF THE FORM

Any person (natural or juristic) may make an offer or offers in terms of this invitation to bid. In line with the principles of transparency, accountability, impartiality, and ethics as enshrined in the Constitution of the Republic of South Africa and further expressed in various pieces of legislation, it is required for the bidder to make this declaration in respect of the details required hereunder.

Where a person/s are listed in the Register for Tender Defaulters and / or the List of Restricted Suppliers, that person will automatically be disqualified from the bid process.

2. Bidder’s declaration

2.1 Is the bidder, or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest¹ in the enterprise, employed by the state? **YES/NO**

2.1.1 If so, furnish particulars of the names, individual identity numbers, and, if applicable, state employee numbers of sole proprietor/ directors / trustees / shareholders / members/ partners or any person having a controlling interest in the enterprise, in table below.

Full Name	Identity Number	Name of State institution

2.2 ¹ the power, by one person or a group of persons holding the majority of the equity of an enterprise, alternatively, the person/s having the deciding vote or power to influence or to



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direct the course and decisions of the enterprise Do you, or any person connected with the bidder, have a relationship with any person who is employed by the procuring institution? **YES/NO**

2.2.1 If so, furnish particulars:

.....
...
.....
...

2.3 Does the bidder or any of its directors / trustees / shareholders / members / partners or any person having a controlling interest in the enterprise have any interest in any other related enterprise whether or not they are bidding for this contract? **YES/NO**

2.3.1 If so, furnish particulars:

.....
.....

3 DECLARATION

I, the undersigned, (name)in submitting the accompanying bid, do hereby make the following statements that I certify to be true and complete in every respect:

- 3.1 I have read and I understand the contents of this disclosure;
- 3.2 I understand that the accompanying bid will be disqualified if this disclosure is found not to be true and complete in every respect;
- 3.3 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 consortium² will not be construed as collusive bidding.
- 3.4 In addition, there have been no consultations, communications, agreements or arrangements with any competitor regarding the quality, quantity, specifications, prices, including methods, factors or formulas used to calculate prices, market allocation, the intention or decision to submit or not to submit the bid, bidding with the intention not to win the bid and conditions or delivery particulars of the products or services to which this bid invitation relates.
- 3.4 The terms of the accompanying bid have not been, and will not be,



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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.

-
- 3.5 2 Joint venture or Consortium 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.
- 3.6 There have been no consultations, communications, agreements or arrangements made by the bidder with any official of the procuring institution in relation to this procurement process prior to and during the bidding process except to provide clarification on the bid submitted where so required by the institution; and the bidder was not involved in the drafting of the specifications or terms of reference for this bid.
- 3.7 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.

I CERTIFY THAT THE INFORMATION FURNISHED IN PARAGRAPHS 1, 2 and 3 ABOVE IS CORRECT.

I ACCEPT THAT THE STATE MAY REJECT THE BID OR ACT AGAINST ME IN TERMS OF PARAGRAPH 6 OF PFMA SCM INSTRUCTION 03 OF 2021/22 ON PREVENTING AND COMBATING ABUSE IN THE SUPPLY CHAIN MANAGEMENT SYSTEM SHOULD



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THIS DECLARATION PROVE TO BE FALSE.

.....
Signature

.....
Date

.....
Position

.....
Name of bidder



PREFERENCE POINTS CLAIM FORM IN TERMS OF THE PREFERENTIAL PROCUREMENT REGULATIONS 2022

This preference form must form part of all tenders invited. It contains general information and serves as a claim form for preference points for specific goals.

NB: BEFORE COMPLETING THIS FORM, TENDERERS MUST STUDY THE GENERAL CONDITIONS, DEFINITIONS AND DIRECTIVES APPLICABLE IN RESPECT OF THE TENDER AND PREFERENTIAL PROCUREMENT REGULATIONS, 2022

1. GENERAL CONDITIONS

1.1 The following preference point systems are applicable to invitations to tender:

- the 80/20 system for requirements with a Rand value of up to R50 000 000 (all applicable taxes included); and

- a) The applicable preference point system for this tender is the 80/20 preference point system.
- b) The 80/20 preference point system will be applicable in this tender. The lowest/highest acceptable tender will be used to determine the accurate system once tenders are received.

1.2 Points for this tender (even in the case of a tender for income-generating contracts) shall be awarded for:

- (a) Price; and
- (b) Specific Goals.

1.3 To be completed by the organ of state:

The maximum points for this tender are allocated as follows:

	POINTS
PRICE	80
SPECIFIC GOALS	20
Total points for Price and SPECIFIC GOALS	100

1.4 Failure on the part of a tenderer to submit proof or documentation required in terms of

this tender to claim points for specific goals with the tender, will be interpreted to mean that preference points for specific goals are not claimed.

- 1.5 The organ of state reserves the right to require of a tenderer, either before a tender is adjudicated or at any time subsequently, to substantiate any claim in regard to preferences, in any manner required by the organ of state.

2. DEFINITIONS

- (a) “**tender**” means a written offer in the form determined by an organ of state in response to an invitation to provide goods or services through price quotations, competitive tendering process or any other method envisaged in legislation;
- (b) “**price**” means an amount of money tendered for goods or services, and includes all applicable taxes less all unconditional discounts;
- (c) “**rand value**” means the total estimated value of a contract in Rand, calculated at the time of bid invitation, and includes all applicable taxes;
- (d) “**tender for income-generating contracts**” means a written offer in the form determined by an organ of state in response to an invitation for the origination of income-generating contracts through any method envisaged in legislation that will result in a legal agreement between the organ of state and a third party that produces revenue for the organ of state, and includes, but is not limited to, leasing and disposal of assets and concession contracts, excluding direct sales and disposal of assets through public auctions; and
- (e) “**the Act**” means the Preferential Procurement Policy Framework Act, 2000 (Act No. 5 of 2000).

3. FORMULAE FOR PROCUREMENT OF GOODS AND SERVICES

3.1. POINTS AWARDED FOR PRICE

3.1.1 THE 80/20 PREFERENCE POINT SYSTEMS

A maximum of 80 points is allocated for price on the following basis:

80/20

$$Ps = 80 \left(1 - \frac{Pt - P_{min}}{P_{min}} \right)$$

Where

Ps = Points scored for price of tender under consideration

Pt = Price of tender under consideration

Pmin = Price of lowest acceptable tender

4. POINTS AWARDED FOR SPECIFIC GOALS

- 4.1. In terms of Regulation 4(2); 5(2); 6(2) and 7(2) of the Preferential Procurement Regulations, preference points must be awarded for specific goals stated in the tender. For the purposes of this tender the tenderer will be allocated points based on the goals

stated in table 1 below as may be supported by proof/ documentation stated in the conditions of this tender:

- 4.2. In cases where organs of state intend to use Regulation 3(2) of the Regulations, which states that, if it is unclear whether the 80/20 preference point system applies, an organ of state must, in the tender documents, stipulate in the case of—
- (a) an invitation for tender for income-generating contracts, that either the 80/20 preference point system will apply and that the highest acceptable tender will be used to determine the applicable preference point system; or
 - (b) any other invitation for tender, that either the 80/20 preference point system will apply and that the lowest acceptable tender will be used to determine the applicable preference point system,

then the organ of state must indicate the points allocated for specific goals for both the 80/20 preference point system.

Table 1: Specific goals for the tender and points claimed are indicated per the table below.

(Note to organs of state: Where either the 80/20 preference point system is applicable, corresponding points must also be indicated as such.)

Note to tenderers: The tenderer must indicate how they claim points for each preference point system.)

The specific goals allocated points in terms of this tender for black ownership of the entity	Number of points allocated (80/20 system) (To be completed by the organ of state)		Number of points claimed (80/20 system) (To be completed by the tenderer)	
1. Procurement from entities who are at least 51% Owned	Sub - points for specific goals	Maximum points for specific goals		
	91% - 100%	10		10
	81% - 90%	9		
	71% - 80%	8		
	61% - 70%	7		
	51% - 60%	6		
	41% - 50%	5		
	0% - 40%	0		
<hr/>				
2. B-BBEE Status				
Level of Contributor				
Level 1 - EME /QSE	10	10		
Level 2 - EME /QSE	9			
Level 1 - Generic / Level 3 EME / QSE	8			

Level 2 - Generic / Level 4 EME / QSE	7		
Level 3 - Generic / Level 5 EME / QSE	6		
Level 4 - 5 Generic / Level 6 EME / QSE	5		
Level 6 - 8 Generic and Non – Compliant / Level 7 - 8 EME / QSE and Non – Compliant	0		

DECLARATION WITH REGARD TO COMPANY/FIRM

4.3. Name of company/firm.....

4.4. Company registration number:

4.5. TYPE OF COMPANY/ FIRM

- Partnership/Joint Venture / Consortium
 - One-person business/sole propriety
 - Close corporation
 - Public Company
 - Personal Liability Company
 - (Pty) Limited
 - Non-Profit Company
 - State Owned Company
- [TICK APPLICABLE BOX]

4.6. I, the undersigned, who is duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the specific goals as advised in the tender, qualifies the company/ firm for the preference(s) shown and I acknowledge that:

- i) The information furnished is true and correct;
- ii) The preference points claimed are in accordance with the General Conditions as indicated in paragraph 1 of this form;
- iii) In the event of a contract being awarded as a result of points claimed as shown in paragraphs 1.4 and 4.2, the contractor may be required to furnish documentary proof to the satisfaction of the organ of state that the claims are correct;
- iv) If the specific goals have been claimed or obtained on a fraudulent basis or any of the conditions of contract have not been fulfilled, the organ of state may, in addition to any other remedy it may have –
 - (a) disqualify the person from the tendering process;
 - (b) recover costs, losses or damages it has incurred or suffered as a result of that person's conduct;
 - (c) cancel the contract and claim any damages which it has suffered as a result of having to make less favourable arrangements due to such cancellation;
 - (d) recommend that the tenderer or contractor, its shareholders and directors, or only the shareholders and directors who acted on a fraudulent basis, be restricted from obtaining business from any organ of state for a period not exceeding 10 years, after the *audi alteram partem* (hear the other side) rule has been applied; and
 - (e) forward the matter for criminal prosecution, if deemed necessary.

.....	
SIGNATURE(S) OF TENDERER(S)	
SURNAME AND NAME:
DATE:
ADDRESS:

