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<b>Reference No.:</b>	Wits 2023 11	
<b>Description:</b>	Internal Audit, DHET Grant Management Audit, Enterprise Risk Management Services and Ad-hoc Agreed Upon Procedure engagements	
<b>Issue Date:</b>	24 <sup>th</sup> September 2023	
<b>Issued by:</b>	CHIEF FINANCIAL OFFICER, University of the Witwatersrand Johannesburg	
<b>Submission Date and Time:</b>	Date: 18 <sup>th</sup> October 2023	Time: 23h59
<b>Important Information:</b>	Note the four components and details related to each	

<b>Components related to this Tender</b>
Component 1: INTERNAL AUDIT SERVICES
Component 2: DHET GRANT MANAGEMENT AUDIT SERVICES
Component 3: ENTERPRISE RISK MANAGEMENT SERVICES
Component 4: ADHOC AGREED UPON PROCEDURE ENGAGEMENTS



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## ATTACHMENTS:

List of Annexures	Description of Annexures
Annexure A	Scope of Work
Annexure B	Returnable Schedules and Documents
Annexure C	Pricing
Annexure D	Draft Contract

## PART A: TENDER OVERVIEW

### 1 TENDER OUTLINE

#### 1.1 I b ] j Y f g ] h m D g ' 6 U W \_ [ f c i b X

The University of the Witwatersrand, R [ @æ } } ^ • à University of the Witwatersrand, Johannesburg, is a leading institution in South Africa, known for its international standing and the quality of its graduates, many of whom have played a major role in founding industries in South Africa, including sectors such as mining, financial services, and information technology. The University prepares students for managerial, professional and leadership positions in the public, private and non-governmental sectors. The University has more than 40000 students and approximately 9500 (i.e., including permanent and temporary) staff and is one of the biggest sources of skills in Africa.

#### 1.2 Tender Background

The University invites proposals for the provision of Internal Audit, Grant management audit services, Enterprise Risk Management services and ad hoc agreed upon procedure/(s) engagements for a period of three (3) years, with a possible extension for a further period of two (2) years.

This is an open competitive tender process.

#### 1.3 Tender Description

1.3.1 The primary operational objective is to appoint reputable service providers to provide services related to the components below. Requirements are detailed in the scope of work.

1.3.1.1 Component 1: Internal Audit Services

1.3.1.2 Component 2: Grant Management Audit Services

1.3.1.3 Component 3: Enterprise Risk Management Services

1.3.1.4 Component 4: Ad hoc agreed upon procedure/(s) engagements.

#### 1.4 Procurement Strategy

1.4.1.1 The procurement / appointment strategy related to each component is detailed below. Tenderers are allowed to bid for one or more components.

1.4.1.1.1 **Component 1 Internal Audit Services:** One service provider is to be appointed for this component.

1.4.1.1.2 **Component 2 Grant Management Audit Services:** One service provider is to be appointed for this component.

1.4.1.1.3 **Component 3 Enterprise Risk Management Services:** One service provider is to be appointed for this component.

1.4.1.1.4 **Component 4 Ad-hoc agreed upon procedure/(s) engagements:** a panel of service providers, no more than seven (7) is to be appointed for this component. The allocation strategy will consider several factors including but not limited to experience, expertise and competencies related to the engagement scope, work already allocated to the provider and pricing.

1.4.2 To note that the University reserves the right not to award multiple components to the same firm.

1.4.3 The University strictly prohibits joint ventures, partnerships or subcontracting for Components 2, 3 and 4. Joint ventures and partnerships are permitted for Component 1. However, subcontracting is not permitted for any component.

1.4.4 In case of a Joint Venture/Partnership/consortia, a signed written agreement between the parties which must clearly set out the roles and responsibilities (including work- allocation percentage) of each member must be submitted with the bid. This includes a resolution of each company forming the Joint Venture together with a resolution by its members authorizing a member of the Joint Venture to sign the documents on behalf of the Joint Venture. All the parties to the joint venture must meet the procurement eligibility criteria specified in the Tender Documents. Tenderers are required to submit the duly signed joint venture agreement as a mandatory returnable schedule, clearly defining the roles and responsibilities of each party in relation to the services they will provide and indicating the lead party. The suitability and role of each party will be thoroughly evaluated to determine their acceptability and if the associated risk is deemed excessively high or the role is deemed as inappropriate, the Tender

Submission may be disqualified.

## 1.5 Pre-qualification Criteria

- 1.5.1 Tenderers who have suitable experience and demonstrated capacity in the required work activities as detailed in the scope of work may be eligible to participate in this Tender.
- 1.5.2 Only Tenderers who satisfy the pre-qualification criteria as set out in the table below should submit a Tender Submission / Proposal, failure to do so will result in disqualification.

No.	Procurement Mandatory Criteria: All Components
	<b>It is compulsory that the Tenderer:</b>
1.	provides Schedule 1: Signed Submission which has been signed by a duly authorised representative.
2.	provides a copy of the tenderer's registration/incorporation, list of directors, partners, and members. The tenderer must be a South African legal entity and have local presence in Gauteng.
3.	provides proof of valid SARS Tax Pin.
4.	provides a VAT Registration Certificate
5.	provides Three (3) years latest Audited Annual Financial Statements (AFS) in line with the Companies Act where the Tenderer is able to share the information or to complete a template provided in the tender pack should the tenderer be unable to share the full set of AFS. Note the submitted AFS information will be kept confidential.
6.	provide their Company profile.
7.	provides their detailed priced proposal as per Annexure C, for each component they are tendering for.
8.	provide evidence of applicable insurance for this industry. In particular, insurance information related to professional indemnity, public/general commercial liability insurance and any other Insurance relevant to this service. This will be assessed for acceptability. You may be requested to arrange for or increase the respective insurances if recommended for award, with no impact on the pricing schedule that was submitted.
No.	Functionality (including Technical) Mandatory Criteria for ALL COMPONENTS
	<b>It is compulsory that the Tenderer:</b>
9.	demonstrates that it has a minimum track record greater than 5 years in providing relevant services for <b>all components</b> that it is bidding for.
10.	submits evidence of the firm and its staff's registration with relevant professional bodies (latest proof of current membership with the professional bodies such as IIA, SAICA, IRBA, IRMSA, ISACA etc.)
11.	provide at least 3 contactable recent references (not older than 5 years) where similar services were provided - one must be of a comparable size and scale to the University of the Witwatersrand for <b>each component that you are tendering for</b> . References will be assessed for relevancy and acceptability.
12.	ensures that the proposed Team members for each component bidding for are registered with the professional bodies such as SAICA, IRBA, IIA, IRMSA, ISACA and/or other relevant professional bodies. All core members must belong to a professional body that regulates the services they offer. The professional bodies will be assessed for acceptability.
	<b>Additional mandatory functionality criteria for Component 1: Internal Audit Services</b>
13.	The Lead partner for the Internal Audit Component must be registered with IIA and have at least ten (10) years internal audit experience.
14.	For Internal Audit services: a minimum track record of at least one client whose revenue exceeds R3 billion per annum is required. Reference detail as per Annexure B must be provided.
	<b>Additional mandatory functionality criteria for Component 2: Grant Management Services Audit</b>
15.	The Lead partner for the DHET Grant Management Audit services must be registered with IRBA for at least ten (10) years.
16.	For DHET Grant management Audit services: a minimum track record of at least one client whose revenue exceeds R500 million per annum is required. Reference detail as per Annexure B must be provided.
	<b>Additional mandatory functionality criteria for Component 3: Enterprise Risk Management Services</b>
17.	For Enterprise Risk Management services: a minimum track record of at least one client whose revenue exceeds R3 billion per annum is required. Reference detail as per Annexure B must be provided.

	<b>Additional mandatory functionality criteria for Component 4: Ad hoc agreed upon procedure engagements</b>
18.	The Lead partner for the Ad hoc agreed upon procedure/(s) audit must be registered with IRBA for at least ten (10) years.
19.	For ad hoc agreed upon procedure engagements: a Minimum track record of at least one current client whose revenue exceeds R10 million per annum is required. Reference detail as per Annexure B must be provided.
	<b>Other required documentation (non-mandatory but will be considered in the final stage of the tender)</b>
20.	A valid B-BBEE Certificate (SANAS accredited)/ Sworn Affidavit

1.5.3 V @ ^ Á V ^ } á ^ ! ^ ! q • Á æ c pre-qualification criteria which requires the Tenderer to provide the necessary evidence (please refer to Annexure B: Returnable Schedules and Documents) to be eligible, failure to do so will result in disqualification.

1.5.4 Tenderers bid submission acceptability is impacted if the tenderer fail to provide the required schedules and documents.

1.5.5 Despite the above, the University reserves the right to request additional information (which must be responded and/or provided to the University within the period as determined and communicated by the University) where the information provided yields insufficient detail.

## 1.6 Tender Terms and Conditions

1.6.1 The [Tender Terms & Conditions](#) apply to and form an integral part of this Tender.

Full link: <https://www.wits.ac.za/media/wits-university/footer/about-wits/procurement/Tender%20Terms%20%20Conditions%2015.08.2020.pdf>

1.6.2 Words and phrases defined in the Tender Terms & Conditions shall also apply in the interpretation of the same words and phrases in this Tender, save where specifically otherwise indicated.

## PART B: KEY INFORMATION

## 2 TENDER TIMELINE

2.1 The table below lists key events, dates and periods applicable to this Tender:

No.	Description	Date / Period
1.	Invitation to Tender notice release via print media	24 <sup>th</sup> September 2023
2.	Ú ~ à   ã & æ c ã [ } Á [ ~ Á V ^ } á ^ ! Á æ ç æ ã   æ à   ^ website	26 <sup>th</sup> September 2023 14h00
3.	Due date for Tenderer to submit its intention to respond/interest	4 <sup>th</sup> October 2023   23h59
4.	Briefing session (Non-Compulsory)  Date and time: 06 <sup>th</sup> October 2023   10h00 Mode: Online via Microsoft Teams Microsoft Teams: The link to the session will be made available to all Tenderers that register their intent timeously	
6.	Submission Date and Time	18 <sup>th</sup> October 2023   23h59
7.	Presentation Date and Time (Targeted) [for shortlisted tenderers]	06 <sup>th</sup> November 2023

2.2 These dates and times do not create an obligation on the part of the University to take any action or create any right for a Tenderer to demand that the University executes a certain action on a specific date at a certain time.

2.3 In in accordance with section 6 of the Tender Terms and Conditions, the University may issue amendments until 3 (three) Business Days before the Submission Date and Time.























