

**SBD1**

## PART A INVITATION TO BID

|                                                                                                                                                                                                                                             |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|-------------------------------------------------|--------------------------------------------------------------------------|------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|
| <b>YOU ARE HEREBY INVITED TO BID FOR REQUIREMENTS OF THE (SOUTH AFRICAN NATIONAL BIODIVERSITY INSTITUTE)</b>                                                                                                                                |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
| BID NUMBER: <b>SANBI: Q7211/2021</b>                                                                                                                                                                                                        |                                                                                      | CLOSING DATE: <b>30<sup>th</sup> March 2021</b> |                                                                          | CLOSING TIME: <b>11:00 AM</b>                                    |                                                                                                       |
| <b>BID DESCRIPTION: THE SOUTH AFRICAN NATIONAL BIODIVERSITY INSTITUTE (SANBI) WISHES TO APPOINT AN AUDITOR TO CONDUCT AN ANNUAL AUDIT OF THE SMALL GRANTS FACILITY PROJECTS.</b>                                                            |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
| <b>BID RESPONSE DOCUMENTS MAY BE DEPOSITED IN THE BID BOX SITUATED AT (STREET ADDRESS)</b>                                                                                                                                                  |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
| Submission of proposals: Proposals must be emailed to <a href="mailto:S.SCM-Quotations@sanbi.org.za">S.SCM-Quotations@sanbi.org.za</a> and copy Ms. Portia Mantjane at <a href="mailto:P.Mantjane@sanbi.org.za">P.Mantjane@sanbi.org.za</a> |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
| <b>BIDDING PROCEDURE ENQUIRIES MAY BE DIRECTED TO</b>                                                                                                                                                                                       |                                                                                      |                                                 | <b>TECHNICAL ENQUIRIES MAY BE DIRECTED TO:</b>                           |                                                                  |                                                                                                       |
| CONTACT PERSON                                                                                                                                                                                                                              | <b>Ms. Portia Mantjane</b>                                                           |                                                 | CONTACT PERSON                                                           | Ms. Faslon Martin                                                |                                                                                                       |
| TELEPHONE NUMBER                                                                                                                                                                                                                            | <b>(012) 843 5075</b>                                                                |                                                 | TELEPHONE NUMBER                                                         | (021)799 8895                                                    |                                                                                                       |
| FACSIMILE NUMBER                                                                                                                                                                                                                            | <b>N/A</b>                                                                           |                                                 | FACSIMILE NUMBER                                                         | n/a                                                              |                                                                                                       |
| E-MAIL ADDRESS                                                                                                                                                                                                                              | <a href="mailto:p.mantjane@sanbi.org.za">p.mantjane@sanbi.org.za</a>                 |                                                 | E-MAIL ADDRESS                                                           | <a href="mailto:f.martin@sanbi.org.za">f.martin@sanbi.org.za</a> |                                                                                                       |
| <b>SUPPLIER INFORMATION</b>                                                                                                                                                                                                                 |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
| 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]<br><br><input type="checkbox"/> Yes <input type="checkbox"/> No |                                                 | B-BBEE STATUS LEVEL SWORN AFFIDAVIT                                      |                                                                  | [TICK APPLICABLE BOX]<br><br><input type="checkbox"/> Yes <input type="checkbox"/> No                 |
| <b>[A B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE/ SWORN AFFIDAVIT (FOR EMES &amp; QSEs) MUST BE SUBMITTED IN ORDER TO QUALIFY FOR PREFERENCE POINTS FOR B-BBEE]</b>                                                                       |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
| ARE YOU THE ACCREDITED REPRESENTATIVE IN SOUTH AFRICA FOR THE GOODS /SERVICES /WORKS OFFERED?                                                                                                                                               | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>[IF YES ENCLOSE PROOF]   |                                                 | ARE YOU A FOREIGN BASED SUPPLIER FOR THE GOODS /SERVICES /WORKS OFFERED? |                                                                  | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>[IF YES, ANSWER THE QUESTIONNAIRE BELOW ] |
| <b>QUESTIONNAIRE TO BIDDING FOREIGN SUPPLIERS</b>                                                                                                                                                                                           |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |
| IS THE ENTITY A RESIDENT OF THE REPUBLIC OF SOUTH AFRICA (RSA)? <span style="float: right;"><input type="checkbox"/> YES <input type="checkbox"/> NO</span>                                                                                 |                                                                                      |                                                 |                                                                          |                                                                  |                                                                                                       |

DOES THE ENTITY HAVE A BRANCH IN THE RSA?

☐ YES ☐ NO

DOES THE ENTITY HAVE A PERMANENT ESTABLISHMENT IN THE RSA?

☐ YES ☐ NO

DOES THE ENTITY HAVE ANY SOURCE OF INCOME IN THE RSA?

☐ YES ☐ NO

IS THE ENTITY LIABLE IN THE RSA FOR ANY FORM OF TAXATION?

☐ YES ☐ 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

|                                       |                                                                                                                                                                                                                                           |
|---------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1. BID SUBMISSION:</b>             |                                                                                                                                                                                                                                           |
| 1.1.                                  | BIDS MUST BE DELIVERED BY THE STIPULATED TIME TO THE CORRECT ADDRESS. LATE BIDS WILL NOT BE ACCEPTED FOR CONSIDERATION.                                                                                                                   |
| 1.2.                                  | <b>ALL BIDS MUST BE SUBMITTED ON THE OFFICIAL FORMS PROVIDED–(NOT TO BE RE-TYPED) OR IN THE MANNER PRESCRIBED IN THE BID DOCUMENT.</b>                                                                                                    |
| 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.                                  | <b>THE SUCCESSFUL BIDDER WILL BE REQUIRED TO FILL IN AND SIGN A WRITTEN CONTRACT FORM (SBD7).</b>                                                                                                                                         |
| <b>2. TAX COMPLIANCE REQUIREMENTS</b> |                                                                                                                                                                                                                                           |
| 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 <a href="http://WWW.SARS.GOV.ZA">WWW.SARS.GOV.ZA</a> .                                                                                  |
| 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 PIN 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: .....

**NB: FAILURE TO PROVIDE ANY OF THE ABOVE PARTICULARS MAY RENDER THE BID INVALID.**

## DECLARATION OF INTEREST

1. Any legal person, including persons employed by the state<sup>1</sup>, 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 an advertised competitive bid, a limited bid, a proposal or written price quotation). 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.

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<sup>2</sup>, member):  
 .....

2.4 Registration number of company, enterprise, close corporation, partnership agreement or trust:  
 .....

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 / PERSAL numbers must be indicated in paragraph 3 below.

<sup>1</sup>"State" means –

- (a) any national or provincial department, national or provincial public entity or constitutional institution within the meaning of the Public Finance Management Act, 1999 (Act No. 1 of 1999);
- (b) any municipality or municipal entity;
- (c) provincial legislature;
- (d) national Assembly or the national Council of provinces; or
- (e) Parliament.

<sup>2</sup>"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 **YES / NO**  
 presently employed by the state?

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

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

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

2.8.1 If so, furnish particulars:  
 .....  
 .....  
 .....

2.9 Do you, or any person connected with the bidder, have **YES / NO**  
 any relationship (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, **YES/NO**  
 aware of 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 company have any interest in any other related companies whether or not they are bidding for this contract? **YES/NO**

2.11.1 If so, furnish particulars:

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

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

| Full Name | Identity Number | Personal Income Tax Reference Number | State Number / Employee Peral Number |
|-----------|-----------------|--------------------------------------|--------------------------------------|
|           |                 |                                      |                                      |
|           |                 |                                      |                                      |
|           |                 |                                      |                                      |
|           |                 |                                      |                                      |
|           |                 |                                      |                                      |
|           |                 |                                      |                                      |
|           |                 |                                      |                                      |
|           |                 |                                      |                                      |

**4 DECLARATION**

I, THE UNDERSIGNED (NAME).....

CERTIFY THAT THE INFORMATION FURNISHED IN PARAGRAPHS 2 and 3 ABOVE IS CORRECT.  
 I ACCEPT THAT THE STATE MAY REJECT THE BID OR ACT AGAINST ME SHOULD THIS DECLARATION PROVE TO BE FALSE.

.....  
 Signature Date  
 .....  
 Position Name of bidder

## PREFERENCE POINTS CLAIM FORM IN TERMS OF THE PREFERENTIAL PROCUREMENT REGULATIONS 2017

This preference form must form part of all bids invited. It contains general information and serves as a claim form for preference points for Broad-Based Black Economic Empowerment (B-BBEE) Status Level of Contribution

**NB: BEFORE COMPLETING THIS FORM, BIDDERS MUST STUDY THE GENERAL CONDITIONS, DEFINITIONS AND DIRECTIVES APPLICABLE IN RESPECT OF B-BBEE, AS PRESCRIBED IN THE PREFERENTIAL PROCUREMENT REGULATIONS, 2017.**

### 1. GENERAL CONDITIONS

1.1 The following preference point systems are applicable to all bids:

- the 80/20 system for requirements with a Rand value of up to R50 000 000 (all applicable taxes included); and
- the 90/10 system for requirements with a Rand value above R50 000 000 (all applicable taxes included).

1.2

a) The value of this bid is estimated to **not exceed** R500 000 (all applicable taxes included) and therefore the **80/20** preference point system shall be applicable; or

b) The 80/20 preference point system will be applicable to this tender.

1.3 Points for this bid shall be awarded for:

- (a) Price; and
- (b) B-BBEE Status Level of Contributor.

1.4 The maximum points for this bid are allocated as follows:

|                                                          | POINTS     |
|----------------------------------------------------------|------------|
| PRICE                                                    | 80         |
| B-BBEE STATUS LEVEL OF CONTRIBUTOR                       | 20         |
| <b>Total points for Price and B-BBEE must not exceed</b> | <b>100</b> |

1.5 Failure on the part of a bidder to submit proof of B-BBEE Status level of contributor together with the bid, will be interpreted to mean that preference points for B-BBEE status level of contribution are not claimed.

1.6 The purchaser reserves the right to require of a bidder, either before a bid is adjudicated or at any time subsequently, to substantiate any claim in regard to preferences, in any manner required by the purchaser.

### 2. DEFINITIONS

- (a) **“B-BBEE”** means broad-based black economic empowerment as defined in section 1 of the Broad-Based Black Economic Empowerment Act;

- |                                                        | B-BBEE | Status | level        |
|--------------------------------------------------------|--------|--------|--------------|
| 1) certificate issued by an authorized body or person; |        |        |              |
| 2) prescribed by the B-BBEE Codes of Good Practice;    | A      | sworn  | affidavit as |
| 3) prescribed in terms of the B-BBEE Act;              | Any    | other  | requirement  |

### 3.1 THE 80/20 OR 90/10 PREFERENCE POINT SYSTEMS

**80/20 or 90/10**

$$P_s = 80 \left( 1 - \frac{Pt - P_{\min}}{P_{\min}} \right) \quad \text{or} \quad P_s = 90 \left( 1 - \frac{Pt - P_{\min}}{P_{\min}} \right)$$

Ps = Points scored for price of bid under consideration  
Pt = Price of bid under consideration  
Pmin = Price of lowest acceptable bid

4.1 In terms of Regulation 6 (2) and 7 (2) of the Preferential Procurement Regulations, preference points must be awarded to a bidder for attaining the B-BBEE status level of contribution in accordance with the table below:

| B-BBEE Status Level of Contributor | Number of points (90/10 system) | Number of points (80/20 system) |
|------------------------------------|---------------------------------|---------------------------------|
| 1                                  | 10                              | 20                              |
| 2                                  | 9                               | 18                              |
| 3                                  | 6                               | 14                              |
| 4                                  | 5                               | 12                              |
| 5                                  | 4                               | 8                               |
| 6                                  | 3                               | 6                               |
| 7                                  | 2                               | 4                               |
| 8                                  | 1                               | 2                               |
| Non-compliant contributor          | 0                               | 0                               |

## 5. BID DECLARATION

5.1 Bidders who claim points in respect of B-BBEE Status Level of Contribution must complete the following:

## 6. B-BBEE STATUS LEVEL OF CONTRIBUTOR CLAIMED IN TERMS OF PARAGRAPHS 1.4 AND 4.1

6.1 B-BBEE Status Level of Contributor:..... = .....(maximum of 10 or 20 points)

(Points claimed in respect of paragraph 7.1 must be in accordance with the table reflected in paragraph 4.1 and must be substantiated by relevant proof of B-BBEE status level of contributor.

## 7. SUB-CONTRACTING

7.1 Will any portion of the contract be sub-contracted?

(Tick applicable box)

|     |                          |    |                          |
|-----|--------------------------|----|--------------------------|
| YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
|-----|--------------------------|----|--------------------------|

7.1.1 If yes, indicate:

i) What percentage of the contract will be subcontracted.....%

ii) The name of the sub-contractor.....

iii) The B-BBEE status level of the sub-contractor.....

iv) Whether the sub-contractor is an EME or QSE

(Tick applicable box)

|     |                          |    |                          |
|-----|--------------------------|----|--------------------------|
| YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
|-----|--------------------------|----|--------------------------|

v) Specify, by ticking the appropriate box, if subcontracting with an enterprise in terms of Preferential Procurement Regulations, 2017:

| Designated Group: An EME or QSE which is at least 51% owned by:   | EME<br>√                 | QSE<br>√                 |
|-------------------------------------------------------------------|--------------------------|--------------------------|
| Black people                                                      | <input type="checkbox"/> | <input type="checkbox"/> |
| Black people who are youth                                        | <input type="checkbox"/> | <input type="checkbox"/> |
| Black people who are women                                        | <input type="checkbox"/> | <input type="checkbox"/> |
| Black people with disabilities                                    | <input type="checkbox"/> | <input type="checkbox"/> |
| Black people living in rural or underdeveloped areas or townships | <input type="checkbox"/> | <input type="checkbox"/> |

|                                        |  |  |
|----------------------------------------|--|--|
| Cooperative owned by black people      |  |  |
| Black people who are military veterans |  |  |
| <b>OR</b>                              |  |  |
| Any EME                                |  |  |
| Any QSE                                |  |  |

**8. DECLARATION WITH REGARD TO COMPANY/FIRM**

8.1 Name of company/firm:.....

8.2 VAT registration number:.....

8.3 Company registration number:.....

8.4 TYPE OF COMPANY/ FIRM

- ☐ Partnership/Joint Venture / Consortium
- ☐ One person business/sole propriety
- ☐ Close corporation
- ☐ Company
- ☐ (Pty) Limited

[TICK APPLICABLE BOX]

8.5 DESCRIBE PRINCIPAL BUSINESS ACTIVITIES

.....

.....

.....

.....

8.6 COMPANY CLASSIFICATION

- ☐ Manufacturer
- ☐ Supplier
- ☐ Professional service provider
- ☐ Other service providers, e.g. transporter, etc.

[TICK APPLICABLE BOX]

8.7 Total number of years the company/firm has been in business:.....

8.8 I/we, the undersigned, who is / are duly authorised to do so on behalf of the company/firm, certify that the points claimed, based on the B-BBE status level of contributor indicated in paragraphs 1.4 and 6.1 of the foregoing certificate, qualifies the company/ firm for the preference(s) shown and I / we 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 6.1, the contractor may be required to furnish documentary proof to the satisfaction of the purchaser that the claims are correct;
- iv) If the B-BBEE status level of contributor has been claimed or obtained on a fraudulent basis or any of the conditions of contract have not been fulfilled, the purchaser may, in addition to any

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other remedy it may have –

- (a) disqualify the person from the bidding 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 bidder or contractor, its shareholders and directors, or only the shareholders and directors who acted on a fraudulent basis, be restricted by the National Treasury 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.

WITNESSES

- 1. ....
- 2. ....

.....  
 SIGNATURE(S) OF BIDDERS(S)

DATE: .....

ADDRESS .....

.....

.....

### DECLARATION OF BIDDER'S PAST SUPPLY CHAIN MANAGEMENT PRACTICES

- 1 This Standard Bidding Document must form part of all bids invited.
- 2 It serves as a declaration to be used by institutions in ensuring that when goods and services are being procured, all reasonable steps are taken to combat the abuse of the supply chain management system.
- 3 The bid of any bidder may be disregarded if that bidder, or any of its directors have-
  - a. abused the institution's supply chain management system;
  - b. committed fraud or any other improper conduct in relation to such system; or
  - c. failed to perform on any previous contract.
- 4 **In order to give effect to the above, the following questionnaire must be completed and submitted with the bid.**

| Item  | Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Yes                             | No                             |
|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|--------------------------------|
| 4.1   | Is the bidder or any of its directors listed on the National Treasury's database as companies or persons prohibited from doing business with the public sector?<br><br>(Companies or persons who are listed on this database were informed in writing of this restriction by the National Treasury after the <i>audi alteram partem</i> rule was applied).                                                                                                                | Yes<br><input type="checkbox"/> | No<br><input type="checkbox"/> |
| 4.1.1 | If so, furnish particulars:                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                 |                                |
| 4.2   | Is the bidder or any of its directors listed on the Register for Tender Defaulters in terms of section 29 of the Prevention and Combating of Corrupt Activities Act (No 12 of 2004)?<br><b>As this Register enter the National Treasury's website, <a href="http://www.treasury.gov.za">www.treasury.gov.za</a>, click on the icon "Register for Tender Defaulters" or submit your written request for a hard copy of the Register to facsimile number (012) 3265445.</b> | Yes<br><input type="checkbox"/> | No<br><input type="checkbox"/> |
| 4.2.1 | If so, furnish particulars:                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                 |                                |
| 4.3   | Was the bidder or any of its directors convicted by a court of law (including a court outside of the Republic of South Africa) for fraud or corruption during the past five years?                                                                                                                                                                                                                                                                                        | Yes<br><input type="checkbox"/> | No<br><input type="checkbox"/> |
| 4.3.1 | If so, furnish particulars:                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                 |                                |

|       |                                                                                                                                                                   |                                 |                                |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|--------------------------------|
| 4.4   | Was any contract between the bidder and any organ of state terminated during the past five years on account of failure to perform on or comply with the contract? | Yes<br><input type="checkbox"/> | No<br><input type="checkbox"/> |
| 4.4.1 | If so, furnish particulars:                                                                                                                                       |                                 |                                |

**SBD 8**

**CERTIFICATION**

I, THE UNDERSIGNED (FULL NAME).....  
 CERTIFY THAT THE INFORMATION FURNISHED ON THIS DECLARATION FORM IS TRUE AND CORRECT.

I ACCEPT THAT, IN ADDITION TO CANCELLATION OF A CONTRACT, ACTION MAY BE TAKEN AGAINST ME SHOULD THIS DECLARATION PROVE TO BE FALSE.

.....  
**Signature**

.....  
**Date**

.....  
**Position**

.....  
**Name of Bidder**

## **CERTIFICATE OF INDEPENDENT QUOTATION DETERMINATION**

- 1 This Standard Bidding Document (SBD) must form part of all quotations<sup>1</sup> invited.
- 2 Section 4 (1) (b) (iii) of the Competition Act No. 89 of 1998, as amended, prohibits an agreement between, or concerted practice by, firms, or a decision by an association of firms, if it is between parties in a horizontal relationship and if it involves collusive bidding (or bid rigging).<sup>2</sup> Collusive bidding is a *pe se* prohibition meaning that it cannot be justified under any grounds.
- 3 Treasury Regulation 16A9 prescribes that accounting officers and accounting authorities must take all reasonable steps to prevent abuse of the supply chain management system and authorizes accounting officers and accounting authorities to:
  - a. disregard the bid of any bidder if that bidder, or any of its directors have abused the institution's supply chain management system and or committed fraud or any other improper conduct in relation to such system.
  - b. cancel a contract awarded to a supplier of goods and services if the supplier committed any corrupt or fraudulent act during the bidding process or the execution of that contract.
- 4 This SBD serves as a certificate of declaration that would be used by institutions to ensure that, when bids are considered, reasonable steps are taken to prevent any form of bid-rigging.
- 5 In order to give effect to the above, the attached Certificate of Bid Determination (SBD 9) must be completed and submitted with the bid:

<sup>1</sup> Includes price quotations, advertised competitive bids, limited bids and proposals.

<sup>2</sup> Bid rigging (or collusive bidding) occurs when businesses, that would otherwise be expected to compete, secretly conspire to raise prices or lower the quality of goods and / or services for purchasers who wish to acquire goods and / or services through a bidding process. Bid rigging is, therefore, an agreement between competitors not to compete.

**CERTIFICATE OF INDEPENDENT BID DETERMINATION**

I, the undersigned, in submitting the accompanying bid:

**SANBI: Q7211/2021 THE SOUTH AFRICAN NATIONAL BIODIVERSITY INSTITUTE (SANBI)  
WISHES TO APPOINT AN AUDITOR TO CONDUCT AN ANNUAL AUDIT OF THE SMALL  
GRANTS FACILITY PROJECTS.**

(Quotation Number and Description)

In response to the invitation for the quote made by:

**SANBI**

(Name of Institution)

Do hereby make the following statements that I certify to be true and complete in every respect:

I certify, on behalf of: \_\_\_\_\_ that:

(Name of Bidder)

1. I have read and I understand the contents of this Certificate;
2. I understand that the accompanying bid will be disqualified if this Certificate is found not to be true and complete in every respect;
3. I am authorized by the bidder to sign this Certificate, and to submit the accompanying bid, on behalf of the bidder;
4. Each person whose signature appears on the accompanying bid has been authorized by the bidder to determine the terms of, and to sign the bid, on behalf of the bidder;
5. For the purposes of this Certificate and the accompanying bid, I understand that the word "competitor" shall include any individual or organization, other than the bidder, whether or not affiliated with the bidder, who:
  - (a) has been requested to submit a bid in response to this bid invitation;
  - (b) could potentially submit a bid in response to this bid invitation, based on their qualifications, abilities or experience; and
  - (c) provides the same goods and services as the bidder and/or is in the same line of business as the bidder
6. 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 consortium<sup>3</sup> will not be construed as collusive bidding.

7. In particular, without limiting the generality of paragraphs 6 above, there has been no consultation, communication, agreement or arrangement with any competitor regarding:
- (a) prices;
  - (b) geographical area where product or service will be rendered (market allocation)
  - (c) methods, factors or formulas used to calculate prices;
  - (d) the intention or decision to submit or not to submit, a bid;
  - (e) the submission of a bid which does not meet the specifications and conditions of the bid; or
  - (f) bidding with the intention not to win the bid.
8. In addition, there have been no consultations, communications, agreements or arrangements with any competitor regarding the quality, quantity, specifications and conditions or delivery particulars of the products or services to which this bid invitation relates.
- <sup>3</sup> 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.
9. The terms of the accompanying bid have not been, and will not be, 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.
10. 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.

.....  
 Signature

.....  
 Date

.....  
 Position

.....  
 Name of Bidder

## **Request for Quotation**

**THE SOUTH AFRICAN NATIONAL BIODIVERSITY INSTITUTE (SANBI) WISHES TO APPOINT AN AUDITOR TO CONDUCT AN ANNUAL AUDIT OF THE SMALL GRANTS FACILITY PROJECTS.**

**Tender No: Q7211/2021**

## 1. INTRODUCTION

SANBI wishes to appoint an Auditor to conduct an annual audit of the implementation of the project entitled “*Taking adaptation to the ground: A small facility for enabling local level responses to climate change*” at SouthSouthNorth Projects offices based in Cape Town. The “*Taking adaptation to the ground: A small facility for enabling local level responses to climate change*” project, more commonly known as the Small Grant Facility Project (SGF) is a six-years and 3 months project that aims to increase the resilience of vulnerable communities to the impacts of climate change. The project started in October 2015.

SouthSouthNorth Projects (Africa) NPC (SSN NPC) is the Executing Entity of the project, Conservation South Africa and Choice Trust are the facilitating agencies and an additional 12 community-based organisations are the small grant recipients (SGRs). The project is funded by the Adaptation Fund, with SANBI acting as the National Implementing Entity.

This will be a desktop audit as far as is possible.

SANBI requires the Auditor to conduct an audit of SouthSouthNorth implementation. This ended in December 2020.

## 2. BACKGROUND

The project financial year runs from 01 October to 30 September. An annual audit of the SGF is required for the period 01 October 2019 to 31 December 2020 i.e. Quarters 1, 2, 3 and 4 of the fifth year of the project and Quarter 1 of the sixth year of the project implementation of the SGF. SSN's financial year runs from 1 March to 28 February, meaning the required audit cuts across two SSN financial years.

SSN is a Non-Profit Company. The SGF uses SSN processes and systems for transactions related to the Project. In terms of the project design, the material project expenditure is recorded under Output 1: Small grants to vulnerable communities to deliver tangible and sustainable benefits. However, in this particular reporting period the significant amount was spent by the Executing Entity, even in Output 1 whereby the expenses were incurred on behalf of the SGRs.

The scope of the audit is limited to the SGF's expenditures, which are defined as including all disbursements listed in the quarterly financial reports submitted by SSN to SANBI. This includes financial reports detailing the expenditure of SSN, the Facilitating Agencies (FAs) and the Small Grant Receipts.

The audit should be performed in terms of International Standards on Auditing (ISA) with special reference to the Auditor's Report on Special Purpose Audit Engagements.

## 3. CONSULTATIONS WITH CONCERNED PARTIES

The Auditor will consult with SANBI, with representation from SSN, to confirm the scope of work and the conduct of the audit in general. In addition, upon completion of the draft audit report and management letter, the Auditor will be required to meet with SANBI and the finance manager from SSN, to brief them on the major findings from the audit and the recommendations made for future improvements, as well as to seek feedback thereon.

**SANBI will provide the Auditor with the following for the period 1 October 2019 to 31 December 2020 for SSN:**

1. Global Statement of Expenditure.
2. Quarterly Statements of Expenditure submitted to SANBI (Year 5 and year 6);
3. A list of disbursements by SANBI to SSN.
4. The project procurement guidelines; and
5. The bank account statements.

#### 4. AUDIT SERVICES REQUIRED

The audit shall be performed in accordance with International Standards of Auditing and cover the overall financial management of the project as well as implementation, monitoring and supervision processes and controls.

At SSN level, this requires:

1. Confirmation that the quarterly reports submitted to SANBI are valid, accurate and complete in relation to both activity and financial information.

The audit work should allow the auditor to express their opinion covering the objectives below.

**The objectives are that the Auditor:**

- 1) Confirms that the quarterly Statements of Expenditure reports submitted to SANBI are valid, accurate and complete in relation to both activity and financial information and are in line with the approved work plans.
- 2) Expresses an opinion as to the overall financial situation of the project for the period 1 October 2019 to 31 December 2020.
- 3) Will express their opinion on:

The Global Statement of Expenditure for the period from 1 October 2019 to 31 December 2020.

The Statement of Cash Position (cash and bank balances of the project) reported by the project as at 31 December 2020; and

The Statement of Assets and Equipment held by the project as at 31 December 2020.

- 4) The auditor is required to, as applicable, report in monetary value, the net financial impact of any modified audit opinion (modified opinions can be qualified, adverse, or disclaimer) on the Statement of Expenditure where applicable. This should also include prior year non resolved issues.

#### 5. MANAGEMENT LETTER

The management letter to SSN would include at least the following:

- Identify specific deficiencies and areas of weakness in systems and internal controls of SSN that have come to the auditor's attention, especially with regard to procurement and payments, and make recommendations for improvement;
- Report on actions taken by SSN management to address deficiencies and areas of weakness reported;
- Bring to SSN's attention any other matters that the Auditors believe are pertinent; and
- Audit observations/recommendations (guidelines in Annexure 3, 4, 5).

#### 6. AUDIT REPORT OF THE EXECUTING ENTITY

The audit report should clearly indicate the Auditor's opinion and include at least the following:

- That it is a special purpose and confidential report;
- The period covered by the audit opinion;
- The amount of expenses audited;
- The Global Statement of Expenditure for the period from 1 October 2019 to 31 December 2020;
- The Statement of cash position reported by the project as at 31 December 2020 (Annexure 1); and
- The Statement of assets and equipment held by the project as at 31 December 2020 (Annexure 2).

The Chief Financial Officer (CFO) of SSN must certify the above Statements.

The Auditor will be required to submit a draft audit report within 1 month of signing the contract.

## 7. REQUIREMENTS

- The Auditor must be a Registered Accountant and Auditor.
- Previous audit engagements of NPO's would be advantageous.

## 8. REQUIREMENTS FOR APPLICATIONS AND EVALUATION CRITERIA

The service provider is expected to attach the following documents and is compulsory:

(a) SBD 1, 4, 6.1, 8 and 9

(b) A valid certified copy of BBBEE certificate or sworn affidavit. (Please note that failure to submit a valid certified B-BBEE certificate/sworn affidavit mentioned above will not necessarily result in a bid being disqualified, but no points will be awarded for B-BBEE status).

(c) Full CSD report

Service providers interested in this project should submit a concise quotation for undertaking the assignment.

### The quotation must include:

- The audit scope indicating the proposed timeframes that shall be applied.
- Details of the individual/s who will provide the service, including relevant skills, experience and track record, responding to the main requirements and skills and competencies required as outlined above.
- Equity status of service provider (HDI, women and disability) according to the attached form (SBD 6.1).
- A budget for the time allocation to the proposed work, including VAT, that is clearly split between professional services and disbursements, and that clearly indicates which project staff will be working on the assignment.

**The Preferential Procurement Policy Framework Act (No. 5 of 2000) and SANBI's procurement process apply to these Terms of Reference. Note that service providers are required to comply with the processes outlined here and failure will result in the disqualification of proposals:**

- Service providers are required to submit a valid tax clearance certificate with their proposals (see SBD 2 form). Where the service provider is not in possession of a valid tax clearance certificate, this should be applied for in good time ahead of the proposal deadline.
- The 80/20-point system will be applied in evaluating proposals, where price constitutes 80 points and the BBBEE scorecard constitutes 20 points.

#### Evaluation criteria:

Proposals passing the functionality threshold\*\* below, will go into an evaluation on price and equity.

| Criteria for measuring functionality |                                                                                                                                                                                                                                                                                                           | Weight     |
|--------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|
| 1.                                   | Qualification, expertise, and competencies of the service providers <ul style="list-style-type: none"> <li>CVs and Qualifications of personnel assigned to SANBI</li> <li>Expertise and competencies of the personnel assigned to SANBI</li> </ul>                                                        | 25<br>25   |
| 2.                                   | Relevant prior experience of the service providers <ul style="list-style-type: none"> <li>Scope of work and scale of current and previous projects undertaken in providing similar services</li> <li>References of current and or previous organisations in providing similar services (MIN 3)</li> </ul> | 25<br>25   |
| <b>TOTAL</b>                         |                                                                                                                                                                                                                                                                                                           | <b>100</b> |

\*\* Service providers who fail to score a minimum of 70 points out of a possible 100 points on functionality criteria will not be eligible for further consideration.

#### 9. Contractual arrangements

The contract will be drawn up between SANBI and the service provider.

Accountability will be to the SANBI Chief Director: Adaptation Policy and Resourcing.

Responsibility for contract management and other day-to-day direction may be delegated to Financial Manager: Eleanor Marks.

All written deliverables must be submitted in MS Office and/or PDF and/or design package format, as appropriate.

Invoices will be paid on completion of planned deliverables that are produced in accordance with the contract.

SANBI will pay for the satisfactory completion of work within 30 days of submission of invoices. In the case of invoices submitted to SANBI, they must be addressed to the Chief Director: Adaptation Policy and Resourcing.

#### 10. Submission of proposal

Proposals should be emailed to [S.SCM-Quotations@sanbi.org.za](mailto:S.SCM-Quotations@sanbi.org.za) with a copy to Ms. Portia Mantjane [P.Mantjane@sanbi.org.za](mailto:P.Mantjane@sanbi.org.za)

Closing date for submissions: 30<sup>th</sup> March 2021 @ 11H00 AM

Emailed applications must not be more than 10MB in size.

Request for further information to these specifications must be emailed to: [f.martin@sanbi.org.za](mailto:f.martin@sanbi.org.za)