



THE BIDDER

TENDER NO. : IRBA003/2020/RFT
CLOSING DATE : 19 FEBRUARY 2021 AT 12H00
VALIDITY PERIOD : 120 DAYS (CALCULATED FROM THE CLOSING DATE)

BID DESCRIPTION: APPOINTMENT OF A SERVICE PROVIDER TO PROVIDE CHANGE MANAGEMENT SERVICES TO THE IRBA

1. Bidders are invited to submit their tender proposals for the provision of the abovementioned services, according to the attached Terms of Reference and conditions, as outlined in the tender document.
2. This bid is subject to the General Conditions of Contract (GCC) and, where applicable, any other special conditions of contract.
3. Kindly note that the bid offers should be submitted as follows:
 - **Via electronic submission** and should be emailed to tenders@irba.co.za before or on the closing date and time of the bid.
 - **Documents must be submitted in pdf format and must be signed by an authorised signatory. Email size have been restricted to 15MB per email.**
 - **Zip folders must be created by bidders and submitted to the abovementioned email address. Bidders are required to clearly indicate the documents inserted in these folders for ease of reference.**
4. Bidders must not have any links to an audit firm (or network firm) nor an individual employed and/or registered with the IRBA
5. No late bids will be accepted.

DIRECTOR: OPERATIONS

DATE: 26 January 2021

TERMS OF REFERENCE

APPOINTMENT OF A SERVICE PROVIDER TO PROVIDE CHANGE MANAGEMENT SERVICES TO THE IRBA

Bidders are requested to submit comprehensive proposals to the Independent Regulatory Board For Auditors (IRBA) for the rendering of change management services for the organisation.

1. BACKGROUND OF THE IRBA

The IRBA is a public entity established in terms of section 3 of the Auditing Profession Act of 2005 (APA). The primary mandate of the IRBA is to protect the financial interests of the public by ensuring that only suitably qualified individuals are admitted to the auditing profession, and that registered auditors deliver services of the highest quality and adhere to the highest ethical and professional standards.

In giving effect to its legal mandate, the IRBA has established seven departments with a total of approximately 80 staff members. The structure is flat with a focus on employees becoming technical experts. The departments are as follows:

- **The Executive Department:**
Responsible for overall direction of the IRBA operations, governance, stakeholder relationship management, strategic communication, as well as research within the profession.
- **The Standards department:**
Responsible for the development and maintenance of internationally comparable Ethics and Auditing Standards for Auditors.
- **The Inspections Department:**
- **Responsible for inspecting or reviewing the practice of Registered Auditors [RAs]**
- **The Education Department:**
Responsible for registering and approving training contracts and raising awareness of the auditing profession as well as the accreditation of Professional Bodies.
- **The Investigations Department:**
Responsible for the investigating allegations of improper conduct against RAs.
- **The Legal Department:**
Responsible for the registration of auditors, pursuing disciplinary action against RAs, the administration of reportable irregularities, knowledge management, litigation, as well as legal support and compliance.
- **The Operations Department:**
Provides support to the organisation in terms of Financial Management, Procurement, Facilities, Information and Communication Technology, Communications and Human Resources.

Due to the nature of the work performed by the IRBA, most of the IRBA staff members are professionals in their areas of expertise.

2. BACKGROUND TO THE INVITATION

The IRBA is currently undergoing a leadership transformation with the appointment of a new CEO and Board.

The Board is an accounting authority in terms of the Public Finance Management Act and is responsible for the strategic direction of the IRBA.

In the IRBA Strategic Plan 2021-2025 (Strategic Plan), the IRBA Board had responded to challenges and stakeholder expectations by approving three strategic focus areas, one of those focus areas being the “Sustainability and Relevance of the IRBA”.

In pursuing the organisation’s sustainability and relevance, the IRBA Board has directed the attention of the IRBA’s Management Committee (MANCO) to the need for redefining business processes and harnessing the efficiencies to be gained from technology.

The IRBA’s MANCO, to give effect to the IRBA Board’s strategic direction, as outlined above, and to operationalize the strategic goal and focus of “Sustainability and Relevance of the IRBA” have undertaken a current state (as-is) process analysis towards IRBA’s digital transformation journey.

In view of the above, these Terms of Reference seek to solicit proposals from various service providers to assist with change management practices underpinning the current state (as-is) process analysis project and the IRBA’s digital transformation roadmap.

3. SCOPE OF SERVICES

The successful bidder will establish, develop and implement a comprehensive 24-month change management programme that will encompass a communications plan, a resistance management plan and a training plan which will encourage employees to rapidly, completely and proficiently make the required changes to their day-to-day work through the following:

- Conduct a change management workshop with the IRBA management team to understand the IRBA environment and develop a change project plan with key milestones.
- Establish a core group of Change Champions who will be trained (up to max of 12).
- Develop a Change Management Charter to be approved by Change Champions and the CEO.
- Crafting a communications plan involving a stakeholder assessment, a vision for change and an outline of key messages with frequency thereof.
- Implement the change programme that addresses people enablement, workforce transition and business process implementation.
- Develop and deploy an assessment for employees to assess their digital readiness. This includes a battery of assessments including creativity, problem solving, decision making, innovation and being teachable. (utilize the results of existing assessments where applicable)
- Develop a skills development plan to assist employees on their change journey and assist with coaching employees through the transition.

- Conduct focus groups to assess employee expectations of the change programme
- Determine what factors are required for the successful implementation of change in the IRBA and identify what factors influence employees to accept change. (utilise the results of the climate survey to determine this prior to implementing the programme).
- Introduce the concept of Change Management to all employees in order that we have a single understanding of the importance of change within the IRBA.
- Train, coach and mentor the full employee complement on the broader organisational change journey (80 employees). Define a positive journey through this process through team building exercises and processes required to unpack and redefine required behaviour.
- Define what innovation means for the IRBA and how we can introduce more innovative methods of work into the workplace.
- Assist in identifying resistance to change throughout the journey by seeking feedback through meetings, interviews and focus groups.
- Develop and implement a program for employee and leadership sensitization aimed at identifying, understanding and managing all resistances to the changes.
- Ensure the integration of the Change Management process into the full implementation of the current state (as-is) process analysis project and digital transformation roadmap. Define key metrics for the change management journey so that progress and success can be measured.

4. REPORTING REQUIREMENTS

The successful bidders will, as part of rendering services to the IRBA, be required to:

- Arrange meetings with the IRBA to determine the implementation of the approved project plan.
- Provide written progress reports to the IRBA management on a monthly basis. In addition, a final project report will be required.
- Make presentation to the MANCO and Board on the change management programme as required.

5. INDEPENDENCE

The IRBA maintains independence from the RAs it regulates. As such, no bids will be considered from any entity or person that is regulated by the IRBA, including network firms as defined in the IRBA Code of Professional Conduct.

In view of the above, successful service providers must be free from any relationship which could result in any undue influence from auditors and audit firms regulated by the IRBA.

In addition, bidders should not have any links to an employee of the IRBA.

6. PROPOSAL SUBMISSION REQUIREMENTS

Bidders are requested to submit a proposal document in order for the company to be evaluated based on functionality.

Bidders are requested to submit proposals which consist of the sections as highlighted below:

6.1. Constitution and Capacity of the bidder

- a) Bidders are requested to present an overview of the company which includes the company's core business, range of services, an organisational chart indicating the ownership structure and a brief history and exposition of the company.
- b) Provide an organogram illustrating the company's staff complement.
- c) Provide an overview of the company's footprint and experience in change management and organizational dynamics projects.

6.2. Capability and competency of the bidder

- a) Comprehensive CVs of the project team indicating relevant qualifications, skills and experience. A certified copy(ies) of valid certificates/ or qualifications relevant to the service requirements must be included in the bid response.
- b) The bidder's methodology, resources and systems utilised in the change management process.
- c) The bidder's experience in the provision of change management services to professional service and / regulatory organisations.

6.3 Track Record of the bidder

- a) Demonstrate services previously rendered by the bidder and accompanying evidence (implementation plan, definition of project key success factors, post implementation effectiveness reviews) that the bidder is able to successfully implement change management programmes within the finance, regulatory and public sector industries.
- b) Provide at least three (3) positive reference letters describing the services provided and level of service delivered, not older than 12 months from clients.
- c) Provide a list of current and previous change management clients.

7. EVALUATION OF THE BID PROPOSALS

7.1. Phase 1 – Initial screening:

During this phase, bid responses will be reviewed for the purposes of assessing compliance with RFT requirements.

7.2. Phase 2 – Non-mandatory functional requirements:

Proposal will be subjected to a responsiveness criteria assessment to determine

which responses are compliant or non-compliant with the specifications and requirements as issued by the IRBA.

Proposals will be evaluated, in accordance with requirements listed in paragraph 6 above, against the criteria and weights for functionality as depicted in the table below:

1 – POOR 2 – FAIR 3 – AVERAGE 4 – GOOD 5 – EXCELLENT

Criteria: Functionality	Weight	Reference
Bidder's relevant capacity to render the required services	30	6.1 (a-c)
Bidder's relevant capability and competency to render the required services	40	6.2 (a-c)
Bidder's demonstrated track record	30	6.3 (a-c)
Total	100	
Minimum Threshold	70	

Bidders are required to achieve a minimum score of 70 points, out of the 100 total points during this phase of the evaluation process to be considered further for the B-BBEE and Pricing evaluation.

Phase 3 – BBEE and Pricing

Bidders that qualify in Phase 2 will be evaluated in terms of the 80/20 preference points system, where the 80 points will be used for rating pricing and the 20 points will be awarded to bidders for their B-BBEE level contributor status, in accordance with their BEE Certificate/Affidavit documents as indicated below:

Criteria	Points
B-BBEE	20
Pricing	80
Total Points	100

Bidders that do not submit B-BBEE Status Level Verification Certificates or that are non-compliant contributors to B-BBEE will not qualify for preference points for B-BBEE but will not be disqualified from the tender process.

Note: Please refer to SBD 3.3, annexed to this document, for the format in which the required pricing proposal must be submitted.

8. COMPULSORY DOCUMENTATION TO BE SUBMITTED

- 8.1. Bidders must comply with the minimum conditions set out below, if they would like their bids to be evaluated on functionality.
- 8.2. Interested bidders are required to complete and submit **all** Standard Bid Documents (SBD), failing which their bid may be disqualified. The standard bid documents are as follows:

- SBD 1: Invitation to Bid;
- SBD 3.3: Pricing Schedule;
- SBD 4: Declaration of Interests Form;
- SBD 6.1: Preference Points Claim Form in terms of PPPFA, 2017;
- SBD 8: Abuse of Supply Chain Management System;
- SBD 9: Certificate of Independent Bid Determination;
- Certified copy of the bidder/recruitment agency's BEE Certificate/Affidavit as signed by a Commissioner of Oaths;
- Certified copy of the bidder/recruitment agency's Tax Clearance Certificate/or pin obtainable from SARS; and
- Company proposal.

8.3. **National Treasury – Central Supplier Database:** Suppliers must submit confirmation of the company or individual registration on the Central Supplier Database (CSD). The IRBA will not award any bid to a supplier that is not registered as a prospective supplier on the CSD, as required in terms of National Treasury Circular No. 3 of 2015/2016 and National Treasury SCM Instruction Note 4 of 2016/2017. The CSD registration requirement applies to all companies/individuals, including joint ventures and sub-contracted companies.

8.4. **VAT:** Bidders must submit bids that are **inclusive of VAT** (if applicable) with their proposals.

8.5. **Joint Ventures:** A trust, consortium or joint venture (including unincorporated consortium and joint ventures) must submit a consolidated bid, inclusive of consolidated B-BBEE Status Level Verification and Tax Clearance Certificate documents or pins (obtainable from SARS) for every separate tender.

8.6. **GCC:** The General Conditions of Contract will be applicable to all tenders, and these are available on the IRBA website.

9. DISCLAIMER

9.1. Bidders must make and rely on their own investigations and satisfy themselves as to the correctness of any and all aspects of the bid. The IRBA will not be liable for any incorrect or potentially misleading information in relation to any part of this document and any accompanying bid documents.

9.2. The IRBA reserves the right to not appoint any particular bidder that does not comply with the conditions of this bid, or if information that could put the IRBA at risk is obtained by the IRBA about a bidder.

9.3. The IRBA reserves the right to cancel this bid should the budget to cover the full quote of this tender not be available at the time of awarding the bid, or if the need does not exist anymore or the specifications have changed.

10. ASSIGNMENT OF OBLIGATIONS, INDEPENDENCE AND CONFLICT OF INTEREST

10.1. The successful bidders:

- 10.1.1. May not assign their own obligations;
- 10.1.2. Shall, in rendering services to the IRBA, maintain independence and avoid any conflict of interest;
- 10.1.3. Shall have systems in place for identifying and managing conflicts of interest and will be required to disclose any conflicts of interest that exist and/or may exist at any point in time;
- 10.1.4. Must advise the IRBA immediately when it seems like unforeseeable circumstances will adversely affect the execution of the contract. Full particulars of such circumstances, as well as the period of delay, must be furnished to the IRBA, including project team changes that may affect the quality of the service; and
- 10.1.5. Shall restrict the use of the IRBA information and documentation for the purpose for which such information and documentation was disclosed to the bidder by the IRBA.

11. CONTRACT

- 11.1. A Service Level Agreement will be entered into between the successful bidder and the IRBA to manage and track the quality of services to be rendered.

12. CANCELLATION OF THE CONTRACT

- 12.1. The IRBA may, in its sole discretion, and without limitation to any of its other rights elsewhere in law, cancel the contract and/or resolve that no tender from such a person will be favourably considered for a specified period, if the IRBA is satisfied that any person (including an employee, partner, director or shareholder of the interested company or a person acting on behalf of or with the knowledge of the interested person or firm):
 - 12.1.1. Is executing a contract with the IRBA unsatisfactorily;
 - 12.1.2. Has, in any manner, been involved in a corrupt act or offered a gift or remuneration to any officer or employee of the IRBA in connection with obtaining or executing a contract;
 - 12.1.3. Has acted in bad faith, in a fraudulent manner or committed an offence in obtaining or executing a contract;
 - 12.1.4. Has, in any manner, influenced or attempted to influence the awarding of the IRBA's bid;
 - 12.1.5. Has, when advised that his tender has been accepted, given notice of his inability to execute or sign the contract;
 - 12.1.6. Has engaged in any anti-competitive behaviour, including having entered into any agreement or arrangement, whether legally binding or not, with any other person, firm or company to refrain from tendering for this contract, or relating to the tender price to be submitted by either party; and/or
 - 12.1.7. Has disclosed to any other person any information relating to this bid, except where disclosure in confidence was necessary to obtain quotations required for the preparation of the tender.

- 12.2. If the IRBA is satisfied that any person is or was a shareholder or a director of a firm or company, which in terms of paragraph 12.1 is one from which no tender will be favourably considered for a specified period, the IRBA may also decide that no tender from such a person, firm or company shall be favourably considered for a specified period.
- 12.3. Any restriction imposed upon any person shall apply to any other person with which such a person is actively associated.
- 12.4. The IRBA reserves the right to unilaterally terminate the contract with the successful bidder with a notice of one month, in the event of circumstances beyond its control and that render continuation with the contract undesirable or unnecessary, without compensation to the bidder.

13. CONTRACTUAL ASPECTS

- 13.1. The contents of this document shall be deemed to constitute the Special Conditions of Contract applicable to this bid and shall be read together with the General Conditions of Contract issued in accordance with Chapter 16A of the Treasury Regulations.
- 13.2. Where, however, the Special Conditions of Contract conflict with the General Conditions of Contract, the Special Conditions of Contract shall prevail.
- 13.3. The bid document submitted by the successful bidder, together with the specifications contained in this document, shall constitute part of the Contract.
- 13.4. Bidders shall not perform any work or render any services in terms of the contract, unless they are in receipt of a written instruction to that effect from the IRBA.
- 13.5. The successful bidder must advise the IRBA immediately when it seems like unforeseeable circumstances will adversely affect the execution of the contract. Full particulars of such circumstances as well as the period of delay must be furnished to the IRBA, including project team changes that may affect the quality of the service.

14. TENDER SUBMISSION REQUIREMENTS

- 14.1. All the documentation submitted in response to this Request for Tender (RFT) must be in English.
- 14.2. The bidder is responsible for all the costs that it shall incur related to the preparation and submission of the bid document.
- 14.3. Bids submitted by bidders that are comprised of companies must be signed by a person or persons duly authorised thereto by a resolution of the applicable Board of Directors, a copy of which Resolution, duly certified, must be submitted with the bid. The authorised signature may be done electronically or handwritten signature, through a scanned version of the document, and must be accompanied by the abovementioned resolution.
- 14.4. The bidder should check the numbering of the pages of its bid to satisfy itself that none are missing or duplicated. No liability will be accepted by the IRBA in regard to anything arising from the fact that pages of a bid are missing or duplicated.
- 14.5. A list of all positive references (a minimum of three (3), as per the Evaluation Functionality Criteria set out in point 6 of the RFT) must be included in the bid response.
- 14.6. A copy(ies) of valid certificates/ or qualifications relevant to the service requirements must be included in the bid response.
- 14.7. The IRBA requires one (1) electronic tender submission of the complete bid document supporting the criteria as stated above. The IRBA reserves the right to make additional copies, as required, for evaluation or record purposes.
- 14.8. Completed documents must be clearly marked and submitted with the correct reference and tender number.

15. PRICING SCHEDULE

- 15.1 Bidders are requested to provide the detailed pricing schedules for the required service, as detailed in the SBD 3.3 document. All applicable services required to render the services must be listed by the bidder.
- 15.2 The pricing schedule must be submitted in the format as set out in the SBD 3.3 form and must be **clearly marked**.
- 15.3 The IRBA will not be responsible for expenses incurred by the successful bidder for operational and/or other requirements to render the services.

16. OTHER

16.1 Enquiries may be directed as follows:

Technical Enquiries

Lisa Venables

Tel: (087) 940-8805

E-mail address: lvenables@irba.co.za

RFT Enquiries

Samantha Berry

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