



## **TERMS OF REFERENCE FOR APPOINTMENT TO THE OUTSOURCED INTERNAL AUDIT FUNCTION OF THE MINING QUALIFICATIONS AUTHORITY FOR THE PERIOD OF THREE (3) YEARS FROM THE DATE OF APPOINTMENT**

### **1. INTRODUCTION**

The Mining Qualifications Authority (MQA) is a public entity established in terms of section 45 of the Mine Health and Safety Act No. 29 of 1996 (MHSA) and is a Sector Education and Training Authority (SETA) in terms of paragraph 4A to the second schedule of the Skills Development Act, Act no. 97 of 1998 (SDA). The MQA is listed as a schedule 3(a) public entity in terms of the Public Finance Management, Act no. 1 of 1999 (PFMA) and has an Accounting Authority (the Board) that is constituted in terms of the MHSA, the SDA and its constitution.

The MQA is expected to inter alia respond to the National Development Plan (NDP) which aims to eliminate the historical and structural poverty, unemployment and reduce inequality by 2030. The NDP seeks to build the capacity of South African citizenry to ensure that South Africa has adequate, appropriate and high-quality skills for economic growth, employment and social development. The National Skills Development Plan (NSDP) among others, responds to it by outlining outcomes to be met by various agencies through various interventions to increase access to high quality and relevant education and training and skills development opportunities, including workplace learning and experience, to enable effective participation in the economy and society by all South Africans and reduce inequalities.

### **2. PURPOSE OF THE REQUEST FOR PROPOSALS**

The purpose of this proposal is to appoint a suitable independent service provider that can provide appropriate internal audit services for the Board and Management of the MQA.

### **3. SCOPE AND DEFINITION OF WORK**

The scope of the internal audit function includes but is not limited to the under-mentioned functions, however, should any other function be regarded as imperative by the bidder, it should be added and clearly defined.

3.1 The internal audit function must, in consultation with and approval by the ARC, prepare:

- 3.1.1 A rolling three-year strategic Internal Audit Plan based on its assessment of key risk areas for the MQA, having taken into consideration the organisation's current operations, the operations proposed in the strategic plan as well as the risk management strategy.
- 3.1.2 An annual Internal Audit Plan for the first year of the rolling three-year strategic IA Plan.
- 3.1.3 Plans indicating the proposed scope, cost and timelines of each audit in the annual IA Plan.
- 3.1.4 Audit reports directed to the ARC detailing its performance against the annual IA Plan to allow effective monitoring and intervention, when necessary.

3.2 Co-ordination with other internal assurance providers such as the Monitoring and Evaluation unit (M&E), Legal, Governance and Compliance and external auditors to ensure proper coverage and minimal duplication of effort.

3.3 Assisting the Board in maintaining effective controls by evaluating existing controls and developing recommendations for enhancement and or improvement.

3.4 Assisting the Board in achieving the objectives of the MQA by evaluating and developing recommendations for the enhancement and or improvement of the processes through which:

- 3.4.1 Strategic objectives are established in line with the frameworks for managing performance information and are communicated;
- 3.4.2 The accomplishment of objectives is monitored;
- 3.4.3 Accountability is ensured;
- 3.4.4 Corporate values are preserved;
- 3.4.5 The adequacy and effectiveness of the system of internal control are reviewed and appraised;
- 3.4.6 The relevance, reliability and integrity of management, financial and operating data and reports are appraised;
- 3.4.7 Systems established to ensure compliance with policies, plans, procedures,

- 3.4.8 statutory requirements and regulation locks, which could have a significant impact on operations, are reviewed;
- 3.4.9 The means of safeguarding assets are reviewed and deemed as appropriate in verifying the existence of such assets;
- 3.4.10 The economy, efficiency and effectiveness with which resources are employed are appraised.
- 3.4.11 The results of operations and or programmes are reviewed to ascertain whether they are consistent with the MQA's established objectives and goals and whether the operations or programmes are being carried out as planned; and
- 3.4.12 The adequacy of established systems and procedures are assessed.

3.5 The audits that will need to be taken into account at the MQA are, among others:

- 3.5.1 Governance Review
- 3.5.2 Evaluation of MQA committees i.e. DGEC, DGAC, ICT governance committees, etc
- 3.5.3 Risk Management Review;
- 3.5.4 IT security and systems processes audit. Including general and applications controls.
- 3.5.5 Probity
- 3.5.6 Audit of performance information.
- 3.5.7 Mandatory and discretionary grants.
- 3.5.8 Financial controls and supply chain management.
- 3.5.9 Human Resources audit.
- 3.5.10 Quality Assurance on the systems / functionalities / modules implemented through the MQA IMIS / ERP Solutions Project.
- 3.5.11 Monitoring and Evaluation.
- 3.5.12 Commitments register.
- 3.5.13 Review of AFS
- 3.5.14 Contingent liabilities.

- 3.5.15 Follow up on all audit findings.
- 3.5.16 Special assignments and investigations, on behalf of the MQA and including any other matter or activity affecting the probity, interest and operational efficiency of the MQA.
- 3.5.17 Audits will be determined by the outcome of both the strategic and operational risk assessments.
- 3.5.18 All audits will be carried out according to the Internal Audit Plan and as approved by the ARC.
- 3.5.19 The auditor will deliver an electronic copy and one signed copy of the final report to the chairperson of the ARC, CEO and the CRMEO.
- 3.5.20 Internal auditors will report to the ARC on progress against the plan, significant findings and at the end of each financial year provide an overall audit report for each financial year.
- 3.5.21 Working papers are the property of the MQA and will be submitted to MQA within 60 days after the exit meeting.

### 3.6 Fraud and Irregularities

In planning and conducting its work, the internal auditor will seek to identify serious defects in internal controls, which might result in possible malpractice. In instances where serious fraud and irregularities have been uncovered, such defects will be reported immediately to the CEO and ARC without disclosing such to other employees.

## 4. DELIVERABLES

- 4.1 The auditor shall ensure that all work conforms to the International Standards for Professional Practice of Internal Auditing. Each audit assignment shall at least consist of the following deliverables or outcomes:
  - 4.1.1 A preliminary audit survey;
  - 4.1.2 Disclosure of interest;
  - 4.1.3 An audit planning memorandum and engagement letter;

- 4.1.4 Project risk assessment;
  - 4.1.5 Scoping Letter;
  - 4.1.6 System descriptions;
  - 4.1.7 Sampling methodology;
  - 4.1.8 A record of work performed;
  - 4.1.9 Audit findings and recommendations;
  - 4.1.10 A mechanism to ensure that working papers are reviewed at the appropriate level and evidence thereof;
  - 4.1.11 A mechanism for follow up on matters previously reported; and
  - 4.1.12 Reporting (Draft internal audit report to be discussed with management and final internal audit report.
- 4.2 The structure of each report shall at least consist of the following sections:
- 4.2.1 Introduction;
  - 4.2.2 Audit objective and scope;
  - 4.2.3 Contravention of legislation or standards
  - 4.2.4 Background;
  - 4.2.5 Executive summary, highlighting significant findings;
  - 4.2.6 Standard, detailed audit finding, root cause, impact, risk rating, recommendation, agreed management's action plans (including implementation dates) and auditors conclusion thereon.

## **5. APPROPRIATE QUALIFICATIONS, EXPERIENCE, SKILLS AND KNOWLEDGE**

- 5.1 This section outlines the experience, skills and/or knowledge required by the service provider/ consultant/consultants/team of experts.

- 5.2 Each member must belong to the Institute of Internal Auditors and the Company to be a member of good standing with the Institute of Internal Auditors.
- 5.3 Project Team members who submit qualifications obtained from institution outside South Africa must submit certificate of valuation from SAQA.
- 5.4 The MQA reserves the right to contact the provided reference clients via their provided contact details and should such reference clients not confirm the work and services as in the reference letter. The MQA shall consider such provided letter non-compliant.
- 5.5 The proposal must indicate the names of the persons or resources to be evaluated, failure to which will result in a score of zero (0) being awarded.
- 5.6 CV must also indicate where the experience was acquired and certified copies of qualifications must be attached.
- 5.7 The qualifications certifying date stamp must be valid for 6 months prior to the closing date of this request for proposal.

## **6. DURATION OF THE CONTRACT**

- 6.1 The successful bidder will be appointed to render the requisite service portfolio for a maximum period of thirty-six months.
- 6.2 Work will start on signing the service provider contract.

## **7. INTEGRITY AND CONFLICT OF INTEREST**

- 7.1 The service provider shall, always, exhibit the highest level of integrity in the performance of all professional assignments and will accept only assignments for which there is a reasonable expectation that the assignment will be completed with professional competence.
- 7.2 The successful service provider is required to conduct the assignment and compile the required reports and or information with the utmost integrity and honesty and collect sufficient, appropriate evidence to ensure that the ultimate solution will assist the MQA to achieve its organisational goals and objectives.

## **8. PROJECT MANAGEMENT**

The service provider shall report functionally to the ARC Committee and shall report to the CEO administratively. The office of the CRO will give instructions pertaining to the Internal Audit activities as per the SLA.

## **9. PROJECT PROPOSAL**

The successful bidder will be required to submit the following:

- 9.1 A short profile of the bidder
- 9.2 All the documents required as per the evaluation criteria.
- 9.3 Details of the cost/fee breakdown for the services to be rendered.

## **10. PROJECT PLAN**

- 10.1 The service provider must submit a comprehensive project plan outlining deliverables and milestones for consideration and approval by the MQA. The project plan should be implemented as per scope and definition of work of these TORs or specification. Project Plan should be accompanied by a generic risk register.
- 10.2 The successful bidder must submit a project plan with deliverables and timelines which the prospective service provider deems suitable for the delivery of the proposed project.
- 10.3 The MQA will consider and approve of the project plan before commencement of the project.

## **11. PROJECT PRICING**

- 11.1 The amount quoted must be denominated in South African Rand, and should include VAT
- 11.2 The quoted price should be as per the scope of work.
- 11.3 The MQA may subject the award of the proposal to price negotiation with the preferred service provider.
- 11.4 This will, however, be exercised subject to the following principles:
  - 11.4.1 Negotiation may not allow any preferred service provider a second or unfair opportunity.
  - 11.4.2 Is not detriment of any other prominent service provider; and
  - 11.4.3 Does not lead to higher price than the proposal as submitted.
- 11.5 It is understood that internal audits are based on hourly rates and that budgets are compiled once the appointed auditor has assessed the likely extent of the work.
- 11.6 Financial proposals will be compared on the basis of hourly rates. Firms are required to submit a table of hourly rates as per the table below.

11.7 Rates should be inclusive of overheads and VAT.

| Items /Resources                                      | Qualifications | Years of experience | Hourly Rate (including overheads and VAT) |
|-------------------------------------------------------|----------------|---------------------|-------------------------------------------|
| Internal Audit Assistant/Clerk                        |                |                     |                                           |
| Junior Internal Auditor                               |                |                     |                                           |
| Senior internal auditor                               |                |                     |                                           |
| Information systems audit Manager                     |                |                     |                                           |
| Manager Internal Auditor                              |                |                     |                                           |
| Internal Audit Engagement Partner                     |                |                     |                                           |
| Estimated hours for a period of 36 Months (3 years)   |                |                     | For example, 7000                         |
| Total Estimated cost (Average rate X estimated hours) |                |                     |                                           |

**NB: NO OF HOURS ARE ESTIMATED AT 7000**

## 7. EVALUATION CRITERIA

Proposals for the appointment of the service providers will be evaluated in three (3) phases. The first phase will be compliance, the second phase will be functionality, and the third phase will be pricing and specific goals in accordance with the Supply Chain Management Procurement policies



(Preferential Point System). A bidder will only go to the next phase of evaluation if they have met the requirements of the previous phase of evaluation.

## **12.1(a) PHASE ONE (1): COMPLIANCE**

### **RETURNABLE DOCUMENTS TO BE SUBMITTED**

12.1.1 Proof of registration on Central Supplier Database System (CSD)

12.1.2 Valid Tax Clearance Certificate (Refer to SBD 2: Tax Clearance Certificate Requirements) or Tax PIN;

12.1.3 B-BBEE Certificate of Measured Entity (if no certificate is received, a score of zero will be allocated for evaluation purposes);

12.1.4 SBD 1: invitation to bid.

12.1.5 SBD 3.3.: Pricing.

12.1.6 SBD 4: Declaration of Interests Form fully completed and appropriately signed;

12.1.7 SBD 6.1: Preference Points Claim Form, fully completed and appropriately signed.

**NB: Prospective Service providers who fail to submit the above documents will be disqualified and will not be evaluated further, however, to the extent that the applicable laws and regulations permit, Prominent Service providers will be contacted to address outstanding information within seven (7) working days after closing date as determined by the MQA. The request for such outstanding information will not be information that affects the substance of the proposal or that gives a Prominent Service provider unfair advantage to the other bidders.**

## **12.1 (b) PHASE ONE (1): MANDATORY**

The prospective bidder must attend a Compulsory briefing that will be held on TEAMS on 30 October 2025 at 10:00 am. **Microsoft Team** [Join the meeting now](#) Meeting ID: 322 450 330 424 4  
Passcode: Cv2iU38J.

The prospective bidder must provide proof of membership/ affiliation for the human resources required with either or of the following Bodies:

CISA is a requirement for Information systems Audit Manager.

IIA and CIA is a requirement for Manager internal Auditor.

NB: Failure to submit will result in the bidder to be disqualified from the next evaluation phase. The prospective bidder must indicate on the table below the type of membership the human resource has.

| Required Resource                 | Membership details (Valid) |
|-----------------------------------|----------------------------|
|                                   |                            |
| Internal Audit Assistant/Clerk    | N/A                        |
| Junior Internal auditor           | IIA                        |
| Senior internal auditor           | IIA                        |
| Information systems audit Manager | ISACA                      |
| Manager internal Auditor          | IIA                        |
| Engagement Partner                | IIA                        |

## 12.2 PHASE TWO (2): FUNCTIONALITY

The proposal will be evaluated on a five-point scale as follows:

0 = Required documents not submitted.

1 = Poor, does not meet criteria.

2 = Fair, less than acceptable. Not sufficient for performance requirements.

3 = Satisfactory, adequate for the performance requirements.

4 = Very good, above the average compliance to the requirement.

5 = Excellent, exceptional mastery of the requirement.



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| KPA                                                                                                                                                                                                                                              | ELEMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | WEIGHT | Scoring Matrix                                                                                                                                     |
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|                                                                                                                                                                                                                                                  | FUNCTIONAL                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 100    |                                                                                                                                                    |
| 1. Company experience on Internal Audit Services (Specialising in Audit services, Probity Audits and ICT Audits)                                                                                                                                 | Provide a minimum of 3 reference letters for each of the following:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 5      | 0=No compliant reference letters submitted                                                                                                         |
| NB: The MQA reserves the right to contact the provided referee via their provided contact details and should such a referee not confirm the work and services as stipulated in the reference letter, the MQA shall consider a reference invalid. | 1.1 Regulatory Audit Services within Government                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | 1      | 1=1 compliant reference letter provided                                                                                                            |
|                                                                                                                                                                                                                                                  | 1.2 Probity Audit Services                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 2      | 2=2 compliant reference letters provided                                                                                                           |
|                                                                                                                                                                                                                                                  | 1.3 (General Controls, Governance compliance, Vulnerability Assessment, etc) Audit Services.<br><br>For the reference letter to comply it must have the following:<br><ul style="list-style-type: none"> <li>➤ be on the client's letter head, signed by relevant officials, dated, with contactable details (email and phone numbers), work done within five (5) years prior to closing date of request for proposal.</li> <li>➤ Explaining or narrating the audit work done within the same scope.</li> <li>➤ Confirming that the work was executed successfully within timeframes and</li> </ul> | 2      | 3=3 compliant reference letters provided.<br><br>4=4 compliant reference letters provided.<br><br>5=5 or more compliant reference letters provided |

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|                                                                                                                                                                                                                                              | The service provider is happy to recommend the bidder.                                                                                                                                                                                                                                                                                     |   |                                                                                                                                                                                                                                                                                                                                       |
| <b>2.Capacity by having expertise to undertake Internal Audit Services</b>                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                            |   |                                                                                                                                                                                                                                                                                                                                       |
| <b>a. Internal Audit Assistant/Clerk</b><br><br>NB: The proposal must indicate the name of the person to be individually evaluated as the Internal Audit Assistant/Clerk, failure to which will result in a score of zero (0) being awarded. | <b>2.1. (a)Qualification</b><br><br>Provide certified copies of qualifications of the person serving as the Internal Audit Assistant/Clerk who at least has a Btech /Degree in Internal Audit/relevant field pitched at NQF level 7                                                                                                        | 5 | 0= No qualification provided.<br><br>1 = Qualification pitched at NQF level 5<br><br>2 = Qualification pitched at NQF level 6<br><br>3 = Qualification pitched at NQF level 7<br><br>4= Qualification pitched at NQF level 7and valid membership to IIA.<br><br>5 = Qualification pitched at NQF level 8 and valid membership to IIA. |
|                                                                                                                                                                                                                                              | <b>2.1.(b) Work Experience</b><br><br>Provide one (1) CV of the person serving as the Internal Audit Assistant/Clerk who has a minimum of 24 months years' experience in internal audit. CV must contain the following: <ul style="list-style-type: none"> <li>➤ Personal details</li> <li>➤ Qualifications and accomplishments</li> </ul> | 5 | 0= No compliant CV submitted<br><br>1 = A compliant CV provided of a qualified person with less than 12 months' relevant experience.<br><br>2= A compliant CV provided of a qualified person with 12 months and 1 day – to less than 24 months' relevant experience.<br><br>3= A compliant CV provided of qualified                   |

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|                                                                                                                                                                                                                                       | providing dates of employment                                                                                                                                                                                                                                                    |   | <p>person with 24 months' relevant experience.</p> <p>4 = A compliant CV provided of qualified person with 24 months and 1 day – to less than 36 months' relevant experience.</p> <p>5 = A compliant CV provided of a qualified person with more than 36 months relevant experience.</p>                                                                                                                          |
| <p><b>b. Junior Internal Auditor</b></p> <p>NB: The proposal must indicate the name of the person to be individually evaluated as the Junior Internal Auditor, failure to which will result in a score of zero (0) being awarded.</p> | <p><b>2.2. (a) Qualification and membership:</b></p> <p>Provide certified copies of qualifications of the person serving as the Junior Internal Auditor who at least has a BTech/Degree in Internal Audit/relevant field pitched at NQF level 7 and valid membership to IIA.</p> | 5 | <p>0= No qualification provided and no relevant professional membership</p> <p>1 = Qualification pitched at NQF level 5</p> <p>2 = Qualification pitched at NQF level 6</p> <p>3 = Qualification pitched at NQF level 7 and valid membership to IIA.</p> <p>4= Qualification pitched at NQF level 8 and valid membership to IIA.</p> <p>5 = Qualification pitched at NQF level 9 and valid membership to IIA.</p> |
|                                                                                                                                                                                                                                       | <p><b>2.2.(b) Work Experience</b></p> <p>Provide one (1) CV of the person serving as the Junior</p>                                                                                                                                                                              | 5 | <p>0= No compliant CV submitted</p> <p>1 = A compliant CV provided of a qualified</p>                                                                                                                                                                                                                                                                                                                             |

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|                                                                                                                                                                                                                                       | <p>Internal Auditor who has a minimum of 36 months years' experience in internal audit. CV must contain the following:</p> <ul style="list-style-type: none"> <li>➤ Personal details</li> <li>➤ Qualifications and accomplishments</li> <li>➤ Detailed work experience providing dates of employment</li> </ul> |   | <p>person with less than 24 months' relevant experience.</p> <p>2= A compliant CV provided of a qualified person with 24 months and 1 day – to less than 36 months' relevant experience.</p> <p>3= A compliant CV provided of qualified person with 36 months' relevant experience.</p> <p>4 = A compliant CV provided of qualified person with 36 months and 1 day – to less than 48 months' relevant experience.</p> <p>5 = A compliant CV provided of a qualified person with more than 48 months relevant experience.</p> |
| <p><b>c. Senior Internal Auditor</b></p> <p>NB: The proposal must indicate the name of the person to be individually evaluated as the Senior Internal Auditor, failure to which will result in a score of zero (0) being awarded.</p> | <p><b>2.3 (a) Qualifications:</b></p> <p>Provide certified copies of qualifications of the person serving as the Senior Internal Auditor who at least has a BTech /Degree in Internal Audit/ relevant qualification pitched at NQF level 7 and valid membership to IIA.</p>                                     | 5 | <p>0= No qualification provided and no relevant professional membership</p> <p>1 = Qualification pitched at NQF level 4</p> <p>2 = Qualification pitched at NQF level 5 and valid membership to IIA.</p> <p>3 = Qualification pitched at NQF level 7 and valid membership to IIA.</p>                                                                                                                                                                                                                                         |

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|  |                                                                                                                                                                                                                                                                                                                                                                                                                  |   | <p>4= Qualification pitched at NQF level 8 and valid membership to IIA.</p> <p>5 = Qualification pitched at NQF level 9 and valid membership to IIA.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|  | <p><b>2.3 (b) Work Experience</b></p> <p>Provide one (1) CV of the person serving as the Senior Internal Auditor who has a minimum of 48 months (4) years' experience in internal audit. CV must contain the following:</p> <ul style="list-style-type: none"> <li>➤ Personal details</li> <li>➤ Qualifications and accomplishments</li> <li>➤ Detailed work experience providing dates of employment</li> </ul> | 5 | <p>0= No compliant CV submitted</p> <p>1 = A compliant CV provided of a qualified person with 36 months' relevant experience.</p> <p>2 = A compliant CV provided of qualified person with 36 months 1 day – to less than 48 months' relevant experience.</p> <p>3= A compliant CV provided of qualified person with 48 months' relevant experience.</p> <p>4 = A compliant CV provided of qualified person with 48 months and 1 day – to less than 52 months' relevant experience.</p> <p>5 = A compliant CV provided of a qualified person with more than 52 months relevant experience.</p> |

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| <p><b>d. Information Systems Audit (Manager)</b></p> <p>NB: The proposal must indicate the name of the person to be individually evaluated as the Information System Manager.<br/>failure to which will result in a score of zero (0) being awarded.</p> | <p><b>2.4 (a) Qualifications</b></p> <p>Provide certified copies of qualification of the person serving as the Information Systems Audit Manager who possesses a degree in Computer Science, IT or Information Technology pitched at NQF level 7 with a valid CISA (Certified Information Systems Audit).</p>                                                                                                   | <p>5</p> | <p>0 = No Qualifications provided.</p> <p>1 = Qualifications pitched at NQF level 5</p> <p>2 = Qualifications pitched at NQF level 6.</p> <p>3 = Qualifications pitched at NQF level 7 with a valid CISA Certificate.</p> <p>4 = Qualifications pitched at NQF level 8 with a valid CISA Certificate.</p> <p>5 = Qualifications pitched at NQF level 9 with a valid CISA Certificate.</p> |
|                                                                                                                                                                                                                                                          | <p><b>2.4 (b) Work Experience</b></p> <p>Provide one (1) CV of the person serving as the Information System Audit Manager who has a minimum of 60 months experience in internal audit. CV must contain the following:</p> <ul style="list-style-type: none"> <li>➤ Personal details</li> <li>➤ Qualifications and accomplishments.</li> <li>➤ Detailed work experience providing dates of employment</li> </ul> | <p>5</p> | <p>0= No compliant CV submitted</p> <p>1 = A compliant CV provided of a qualified person with less than 48 months' relevant experience.</p> <p>2 = A compliant CV provided of qualified person more than 48 months 1 day – to less than 60 months' relevant experience.</p> <p>3 = A compliant CV provided of qualified person with 60 months' relevant experience.</p>                   |



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|                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                              |   | <p>4 = A compliant CV provided of qualified person with 60 months and 1 day – to less than 72 months’ relevant experience.</p> <p>5 = A compliant CV provided of a qualified person with more than 72 months relevant experience.</p>                                                                                                                                                                                                                                                 |
| <p><b>e. Manager: Internal Auditor</b></p> <p>NB: The proposal must indicate the name of the person to be individually evaluated as the Internal Audit Manager, failure to which will result in a score of zero (0) being awarded.</p> | <p><b>2.5 (a): Qualifications</b></p> <p>Provide certified copies of qualifications of the person serving as the Internal Audit Manager who at least has a Post-Graduate (NQF 8) in Internal Audit, BCompt or Accounting Sciences and CIA Certification.</p> | 5 | <p>0= No qualification provided and no certification</p> <p>1 = Qualification pitched at NQF level 6</p> <p>2 = Qualification pitched at NQF level 7 and CIA Certification</p> <p>3 = Qualification pitched at NQF level 8 and CIA Certification</p> <p>4 = Qualification pitched at NQF level 9 and CIA Certification</p> <p>5 = Qualification pitched at NQF level 9, CIA Certification and membership to IIA body. Affiliation to SAICA and or IRBA will be an added advantage</p> |
|                                                                                                                                                                                                                                        | <p><b>2.5 (b) Work Experience</b></p> <p>Provide one (1) CV of the person serving as the Internal Audit Manager who has a minimum of 60</p>                                                                                                                  | 5 | <p>0= No compliant CV submitted</p> <p>1 = A compliant CV provided of a qualified person less than 48 months’ relevant</p>                                                                                                                                                                                                                                                                                                                                                            |

|                                                      |                                                                                                                                                                                                                                                                                   |   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                      | <p>months (5) years' experience in internal audit.</p> <p>CV must contain the following:</p> <ul style="list-style-type: none"> <li>➤ Personal details</li> <li>➤ Qualifications and accomplishments</li> <li>➤ Detailed work experience providing dates of employment</li> </ul> |   | <p>experience.</p> <p>2 = A compliant CV provided of qualified person more than 48 months 1 day – to less than 60 months' relevant experience.</p> <p>3 = A compliant CV provided of qualified person with 60 months experience.</p> <p>4 = A compliant CV provided of qualified person with 60 months and 1 day – to less than 72 months' relevant experience.</p> <p>5 = A compliant CV provided of qualified person with more than 72 months experience.</p> |
| <p><b>(f) Engagement Partner: Internal Audit</b></p> | <p><b>2.6 (a): Qualifications</b></p> <p>Provide certified copies of qualifications of the person serving as the Engagement Partner who at least has a Post-Graduate (NQF 8) in Internal Audit, BCompt or Accounting Sciences and CIA Certification.</p>                          | 5 | <p>0= No qualification provided and no certification</p> <p>1 = Qualification pitched at NQF level 6</p> <p>2 = Qualification pitched at NQF level 7 and CIA Certification</p> <p>3 = Qualification pitched at NQF level 8 and CIA Certification</p> <p>4 = Qualification pitched at NQF level 9 and CIA Certification</p>                                                                                                                                      |

|                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                   |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                   |    | 5 = Qualification pitched at NQF level 9, CIA Certification and membership to IIA body. Affiliation to SAICA and or IRBA will be an added advantage                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                                                                          | <p><b>2.6 (b) Work Experience</b><br/>Provide one (1) CV of the person serving as the Engagement Partner who has a minimum of 120 months (10) years' experience in internal audit.</p> <p>CV must contain the following:</p> <ul style="list-style-type: none"> <li>➤ Personal details</li> <li>➤ Qualifications and accomplishments</li> <li>➤ Detailed work experience providing dates of employment</li> </ul> | 10 | <p>0= No compliant CV submitted</p> <p>1 = A compliant CV provided of a qualified person less than 108 months' relevant experience.</p> <p>2 = A compliant CV provided of qualified person more than 108 months 1 day – to less than 120 months' relevant experience.</p> <p>3 = A compliant CV provided of qualified person with 120 months experience.</p> <p>4 = A compliant CV provided of qualified person with 120 months and 1 day – to less than 132 months' relevant experience.</p> <p>5 = A compliant CV provided of qualified person with more than 132 months experience.</p> |
| <b>The Project execution plan accompanied by a generic risk register</b> | Draw a project execution plan that is aligned with the required areas.                                                                                                                                                                                                                                                                                                                                            | 10 | <p>0= No submission</p> <p>1= No compliant project execution plan</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

TERMS OF REFERENCE FOR APPOINTMENT TO THE OUTSOURCED INTERNAL AUDIT FUNCTION OF THE  
MINING QUALIFICATION AUTHORITY FOR THE PERIOD OF THREE (3) YEARS FROM THE DATE OF  
APPOINTMENT

|  |                                                                                                                                                                                                                                                                                                         |  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | <p>(Scope of work and deliverables paragraph 3 and 4 of TOR) to cover the following areas:</p> <ul style="list-style-type: none"> <li>• Tasks</li> <li>• Time frames</li> <li>• Resource allocation</li> <li>• Milestones and</li> <li>• Risk register of risks associated with this project</li> </ul> |  | <p>2 = Project Plan execution only covering scope of work and not all deliverables as per paragraph 3 and 4 of TOR.</p> <p>3 = Project Plan execution aligned with the required areas as per paragraph 3 and 4 of TOR covering tasks, time frames, resource allocation, milestones, and risk register of risks associated with this project.</p> <p>4=Project Plan aligned with the required areas as per paragraph 3 and 4 of TOR covering tasks, time frames, resource allocation, milestones and risk register of risks associated with this project as well as actions to address such risks, project delays and discrepancies.</p> <p>5=Project Plan aligned with the required areas as per paragraph 3 and 4 of TOR covering tasks, time frames,</p> |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

TERMS OF REFERENCE FOR APPOINTMENT TO THE OUTSOURCED INTERNAL AUDIT FUNCTION OF THE  
MINING QUALIFICATION AUTHORITY FOR THE PERIOD OF THREE (3) YEARS FROM THE DATE OF  
APPOINTMENT

|                                                                   |                                                                                                                                                                                                                                                                                                                                |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                   |                                                                                                                                                                                                                                                                                                                                |    | resource allocation, milestones and risk register of risks associated with this project as well as actions to address such risks, project delays, discrepancies and outcomes of the last three executed plans.                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Audit Methodology and Internal Quality Assurance programme</b> | <p>Bidder must provide a detailed audit methodology and evidence of an Internal Quality Assurance Programme accompanied by an official organogram of the company as proof that the company has sufficient capacity in terms of resources.</p> <p>Bidder should provide a list and qualifications of proposed project team.</p> | 20 | <p>0 = No Audit Methodology and Internal Quality Assurance programme provided</p> <p>1 = Audit methodology criteria with no internal assurance programme</p> <p>2 = Audit methodology submitted without any a quality assurance programme</p> <p>3 = Compliant audit methodology submitted with a quality assurance programme in place.</p> <p>4 = Audit methodology submitted with quality assurance programme and official organogram</p> <p>5 = Audit methodology submitted with a quality assurance department with official organogram capacity in terms of resources</p> |
| <b>Total</b>                                                      | <b>100</b>                                                                                                                                                                                                                                                                                                                     |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Mining Future Skills                                              |                                                                                                                                                                                                                                                                                                                                |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

**All service providers who will score less than 70 out of 100 points for functionality will not be considered further and will be regarded as having submitted a non-responsive proposal.**

**NB:** Bidders who have successfully passed functionality **May** be requested to be interviewed by the Audit and Risk Committee.

### 12.3 PHASE THREE (3): PRICING AND SPECIFIC GOALS

During the third phase proposals will be evaluated using the 80/20 preference points system in accordance with the PPPFA guidelines. Based on this system the points will be allocated as follows:

| Criteria       | Points |
|----------------|--------|
| Price          | 80     |
| Specific goals | 20     |

Specific goals Points will be awarded to a bidder in accordance with the table below:

| PREFERENCE GOAL                                                           | 80/20     | Documents for verification         |
|---------------------------------------------------------------------------|-----------|------------------------------------|
| <b>GOAL 1 – B-BBEE Status<br/>Level of Contributor<br/>Maximum Points</b> | <b>15</b> |                                    |
| 1                                                                         | 15        | B-BBEE Certificate/Sworn Affidavit |
| 2                                                                         | 14        | B-BBEE Certificate/Sworn Affidavit |
| 3                                                                         | 10        | B-BBEE Certificate/Sworn Affidavit |
| 4                                                                         | 8         | B-BBEE Certificate/Sworn Affidavit |
| 5                                                                         | 6         | B-BBEE Certificate/Sworn Affidavit |
| 6                                                                         | 5         | B-BBEE Certificate/Sworn Affidavit |
| 7                                                                         | 4         | B-BBEE Certificate/Sworn Affidavit |
| 8                                                                         | 2         | B-BBEE Certificate/Sworn Affidavit |
| Non-compliant contributor                                                 | 0         |                                    |

| <b>GOAL 2 – Promotion of<br/>Black Woman/Youth/<br/>Disable/Rural Area<br/>Maximum Points</b> | <b>5</b> | <b>Documents for verification</b>  |
|-----------------------------------------------------------------------------------------------|----------|------------------------------------|
| Business owned by equal to or more than 50% black people who are woman                        | 2        | B-BBEE Certificate/Sworn Affidavit |
| Business owned by equal to or more than 50% black people who are youth                        | 1        | B-BBEE Certificate/Sworn Affidavit |
| Business owned by equal to or more than 50% black people with disability                      | 1        | B-BBEE Certificate/Sworn Affidavit |
| Business owned by equal to or more than 50% black people living in rural areas                | 1        | B-BBEE Certificate/Sworn Affidavit |

Service Providers must submit original and valid B-BBEE Status Level Verification Certificate or certified copies thereof, issued by accredited Verification Agencies by SANAS or Registered Auditor approved by the Independent Regulatory Board of Auditors (IRBA), together with their bids, to substantiate their B-BBEE claims. Exempted Micro Enterprise must submit a letter from the Accounting Officer who is appointed in terms of the Close Corporation Act.

Service Providers who do not submit B-BBEE Status Level Verification Certificate or Sworn Affidavit are non-compliant contributors to be B-BBEE and do not qualify for preference points for specific goals.

The MQA is an equal opportunity and affirmative action employer. It shows the same commitment to those who wish to provide services to the MQA via the procurement process.

It should be noted that regard will be given to those proposals from people or companies which were previously disadvantaged, or which show evidence of skills transfer and representativeness. This does not preclude the formation of consortiums or the inclusion of proposals on how this project can be used to further the aims of transformation.

### 13 TERMS AND CONDITIONS OF THE BID

- 13.1 Awarding of this contract will be subject to the service provider's acceptance of the Supply Chain Management's general conditions of contract.
- 13.2 The MQA reserves the right to terminate the contract if there is clear evidence of non-performance and or poor quality of work.
- 13.3 MQA may at its sole discretion, award an assignment or any part thereof to more than one bidder (s).
- 13.4 Payment will only be made for acceptable work completed and timeously delivered.
- 13.5 The MQA may undertake due diligence to qualifying service provider to ascertain functionality.
- 13.6 Mining Qualifications Authority reserves the right not to award the bid to service providers.
- 13.7 Any suggestions during the progress meetings, once accepted by both parties, shall form part of the contract.

### 14. TECHNICAL ENQUIRIES

Name and Surname: Ms Jacqweline Modiba  
Email address: [Jacqwelinem@mqa.org.za](mailto:Jacqwelinem@mqa.org.za)  
Contact details: (011) 547 2600

#### SCM ENQUIRIES

Name and Surname: Ms Tsholo Dilape  
Email address: [Tsholod@mqa.org.za](mailto:Tsholod@mqa.org.za)  
Contact details: (011) 547 2600

