TENDER NUMBER	**TIA006/2021**
DESCRIPTION:	**ENTERPRISE RESOURCE SYSTEM (ERS)**
ADVERT DATE:	**2021/10/15**
MANDATORY BRIEFING SESSION:	**Date: 2021/10/29** **Time: 11:00am** **(Applicants to e-mail mandisa.pitso@tia.org.za - please write BRIEFING SESSION LINK on the subject line to request for the link). This will be via Microsoft Teams**
CLOSING TIME AND DATE	**2021/11/19** **Time: 11:00am**
DELIVERY DETAILS:	**Electronic submissions: *Tenders@tia.org.za*** ***Please note that our servers will block any file greater than 200MB. If your file is greater than 200MB, please divide your submission into parts that are equal or less than 200MB and state on the subject 'Part 1, Part2 or Part 3'.*** **E.G. TIA006/2021 – PART 1**
REQUIRED TENDER VALIDITY:	**120 days after closing date**
CONTACT PERSON:	**Mandisa Pitso (mandisa.pitso@tia.org.za) and state TIA006/2021 on the subject line for enquiries about the tender**
DURATION OF CONTRACT	**36 Months**

BACKGROUND

1.1. The National System of Innovation in South Africa is still very young and fragmented and the flow of technology and information amongst people, enterprises and institutions is limited. The inability of academic research to reach the market as products and services is limiting economic development especially about technology innovation.

1.2. Technology Innovation Agency (TIA, organisation) an entity of the Department of Science and Innovation (DSI) was established in terms of the TIA Act (Act No. 26 of 2008), with the objective to stimulate and intensify technological innovation in order to improve economic growth and the quality of life of all South Africans by developing and exploiting technological innovations, as the value chain depicted below.

Primary Activities

Enabling Activities

1. PURPOSE

Since its inception, TIA has been operating several standalone systems to enable and support the delivery of the business mandate through various technologies for process automation. Systems that are not integrated result in significant increases in cost and resource consumption. For TIA business to align to technology trends and leverage benefits thereof, all systems must work synchronously to improve productivity and quality of their operations. A need arose for business systems to be assessed to provide process automation capabilities at an integrated level for seamless information flow across various

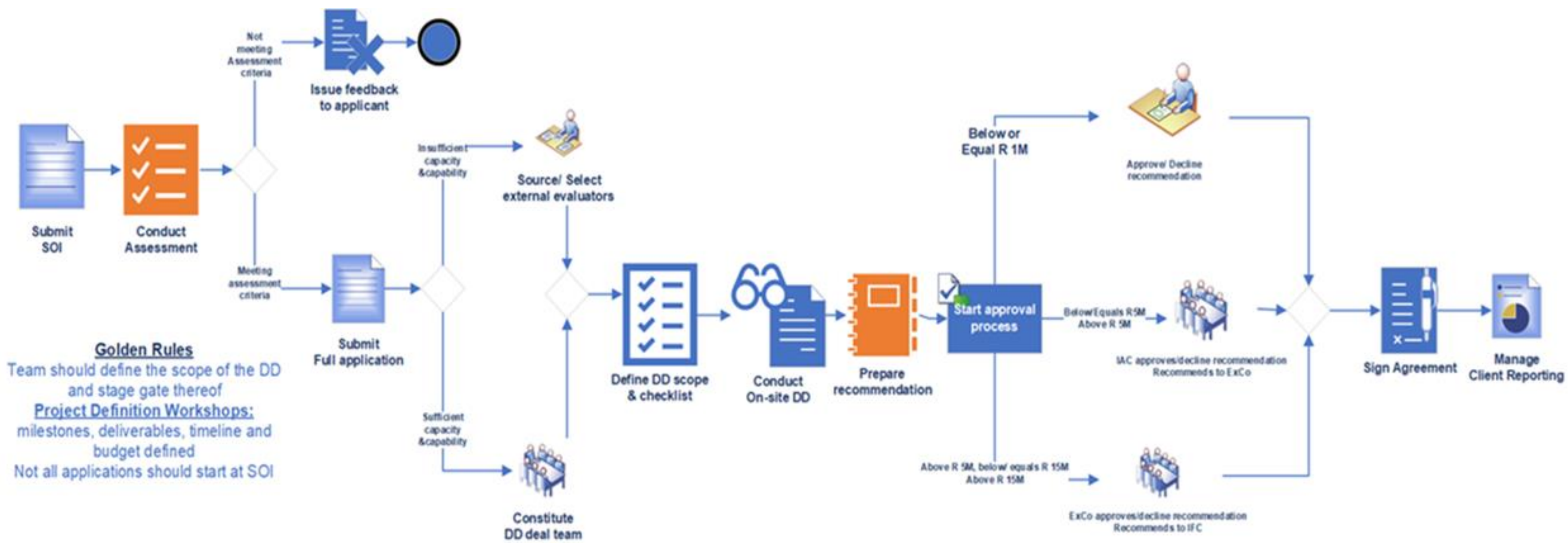
TIA systems. The goal is to get the organizations various IT systems to “talk to each other” through the integration, to speed up information flows and reduce operational costs for the organization. This integration will bring together functional, transactional and management systems components into one functional system to facilitate communication between these disparate systems that do not normally communicate.

This integration will ensure that all systems components work together in harmony to preserve productivity and accurate data analysis.

2. SOLUTION DESCRIPTION

TIA operational efficiency and performance are affected by various issues and investment turnaround time has been at the core of the challenges experienced. Notwithstanding other factors affecting performance, but turnaround time delays have been exacerbated insufficient and inadequate process and template automation across investments resulting in manual processes without paper and document trail for investment tracking. Lack of access to and inadequate market intelligence capability and capacity providing insights, verification and validation into specialist investment reports and analysis has also affected the operational effectiveness of core teams. The TIA investment management process (End-to-End) is demonstrated in diagram 1 below for full understanding in alignment with the solution required.

Diagram 1: TIA Investment Management Process



3. OBJECTIVES

As TIA business is evolving and customer demands are increasing, it is vital to digitize business processes and integration of systems from a central point of contact to improve operational effectiveness and efficiency. TIA system in their silo state will not offer business the benefits and value aspired, thus the need to acquire a platform that will be the core technology that will provide Investment management on a case management and workflow capability to integrate with current management, transactional and functional systems for seamless information and communication flow across all platforms to foster accurate management reporting and analytics.

The required technology will offer the following benefits to business:

a) To **integrate TIA investment value chain** focused on core activities and supporting activities from implementing partners particularly for monitoring, evaluation and reporting purposes to the Shareholder according to the APP.

b) The **Case Management and workflow capabilities** will fully integrate TIA investment management processes and workflows customized to provide a holistic case overview from inception and transition through commercialization for reporting as required for performance management and monitoring requirements.

c) The system will **replace the full GMS functionality** for enhanced flexibility and agility requirements to improve investment management, performance monitoring and reporting across sectors and programmes.

d) The platform will offer **TIA a Mobile Application (external Portal)** platform that will be used by all external stakeholders to access offerings, investee reporting, Technology station and Platforms transactional system providing live monitoring and reporting to internal BU's for monitoring and reporting. This will enable the digital transformation requirements by business ensuring remote access by stakeholder and TIA for operational efficiency.

e) The current reporting process is laborious and provides inaccurate information based on the APP targets to be reported on especially from the Technology Stations. The system will **automate the TSP's processes end-to-end** with clear daily operations monitored real time by TIA Portfolio/Programme managers for proactive management and reporting. This capability will be offered for all investees for their reporting according to the frequency outlined in their contracts.

f) The **full interface of external sources** required for application verification and confirmation for accuracy. Numerous external interfaces will be done including CSD, CIPC, SARS, Home Affairs, municipal codes, industrial classification codes and IRR classifications using third party integrator to allow TIA access such from a single console.

g) **Email integration** for email generation and document management capability ensuring all correspondences to and from investees are centrally stored for ease of reference. The functionality must provide document management capability that will be used as the central case documents repository that will replace storing of investment/case documents outside the system without a trace.

h) **Traceability and tracking of cases/investments** will be transparent to enable Internal Audit to perform their duties seamlessly on the platform for reporting alleviate current labor-intensive reporting and inaccuracies encountered.

i) **Pastel system used for Finance and the SAGE 300 system used for HR** will be fully integrated to provide seamless investment finance management and Human resource management for projects allocation and time management.

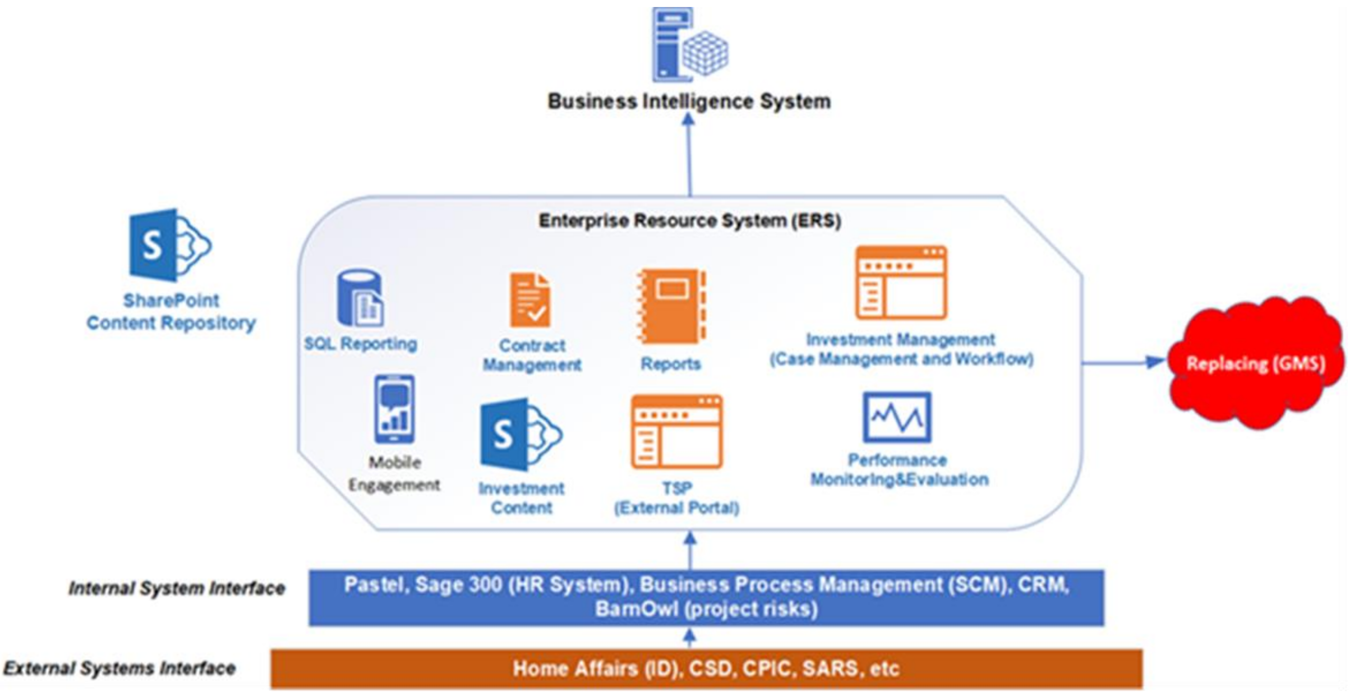
j) Business **demonstration of POPIA compliance** (Storage and safekeeping of documents) and enhancement of our systems in terms of ISO 9001:2015 Quality Management to maintain our certification.

Through the system, TIA will be able to resolve one of the businesses standing challenge of communication with stakeholder enabling efficient feedback on a timely basis thereby addressing main issues affecting the organisation’s reputation. In addition, with the advent of the Innovation Fund for which TIA has submitted a proposal to host, the system will enable effective management of projects and programmes to be administered under the fund. The hosting of the fund will also include a management fee that will be utilized to expand the system to meet the requirements of the fund.

4. SCOPE OF WORK

The new TIA ERS system will include GMS (Case Management and workflow capabilities for all TIA instruments including programmes), Technology Stations SOP automation, Performance Monitoring and Evaluation, Legal Document control and Management Information Reporting modules as illustrated in diagram 2 below.

Diagram 2: ERS proposed Architecture



5.1 Project management methodology

Agile project management methodology will be adopted during the implementation phase as follows:

5.1.1 90/10 functional specifications met by the solution proposed with exception to 10% that can be done outside the system with functionality to export, upload and interface with other TIA systems as required.

5.1.2 Phased system implementation with clear stage milestones and learnings will be adopted for system implementation and customisation.

5.1.3 System implementation will be phased as outlined in Section K for suppliers to sufficiently understand the required milestones/deliverables and timelines to be defined in the implementation plan.

5.1.4 Robust change management plan (Project communication, user training and cultural and behavioural issues) shall be adopted in accordance with Agile methodology.

5.1.5 A project steering committee comprising of TIA executives chaired by the CEO will be constituted to oversee the project.

5.1.6 Project implementation team comprising of the appointed bidder and TIA representatives will also be nominated.

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FUNCTIONAL SPECIFICATIONS

SECTION A:

CASE MANAGEMENT AND WORKFLOW FUNCTIONALITY

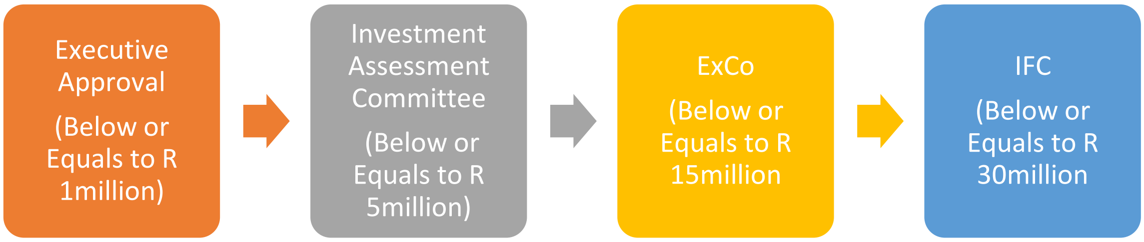
The TIA Investment Management process requires a solution that will provide case management and workflow solution for the management of the entire Investment Management process as depicted in diagram 1. The solution must provide automation capability across the value chain for all TIA funding instruments as follows:

a) Manage receipt of new applications, assessment of funding applications, due diligence investigation, participation of external experts in the investment process, preparation of investment recommendation reports and approval pack for committee discussions. The Case management and Workflow capabilities must warrant flexibility and agility required to enable operational efficiency.
b) Approval of investment and/ or innovation programme recommendation as defined in TIA delegation of authority. The delegation of authority matrix will be provided to the prospective bidder during the system scoping and implementation plan development.
c) Creation and distribution of committee pack and documentation through the system.
d) Submission of monthly, quarterly, biannual and annual progress reports by clients.
e) Submission and processing of quarterly disbursement packs that will be accessed by TIA finance department for payments.
f) The system will enable exit of funded projects.
g) The module will consist of innovation enabling workflow related to development of innovation programme concept note, business plan / operational plan.
h) Submission of innovation programme monthly, quarterly, bi-annual and annual programme report.

1. TIA investment governance

TIA investment governance is embedded in the organisation’s delegation of authority as depicted in diagram 3 below.

Diagram 3: TIA investment governance



1.1 Purpose

The purpose of this function is to outline investment governance requirements to be complied with for the development and customisation of the Case Management and investment management workflow as the core of the solution required. This functionality is crucial for service providers to understand functionalities requiring automation and those that can take place outside the system are clearly outlined for compliance with the investment governance requirements.

1.1.1 High level Pre-approval process

The schematic is to provide a representation of process flow covering people, system and information within the investment management process focused primarily on projects management. The diagram 4-5 below illustrates the pre-and post-approval rich diagrams.

Diagram 4: High level pre-approval process

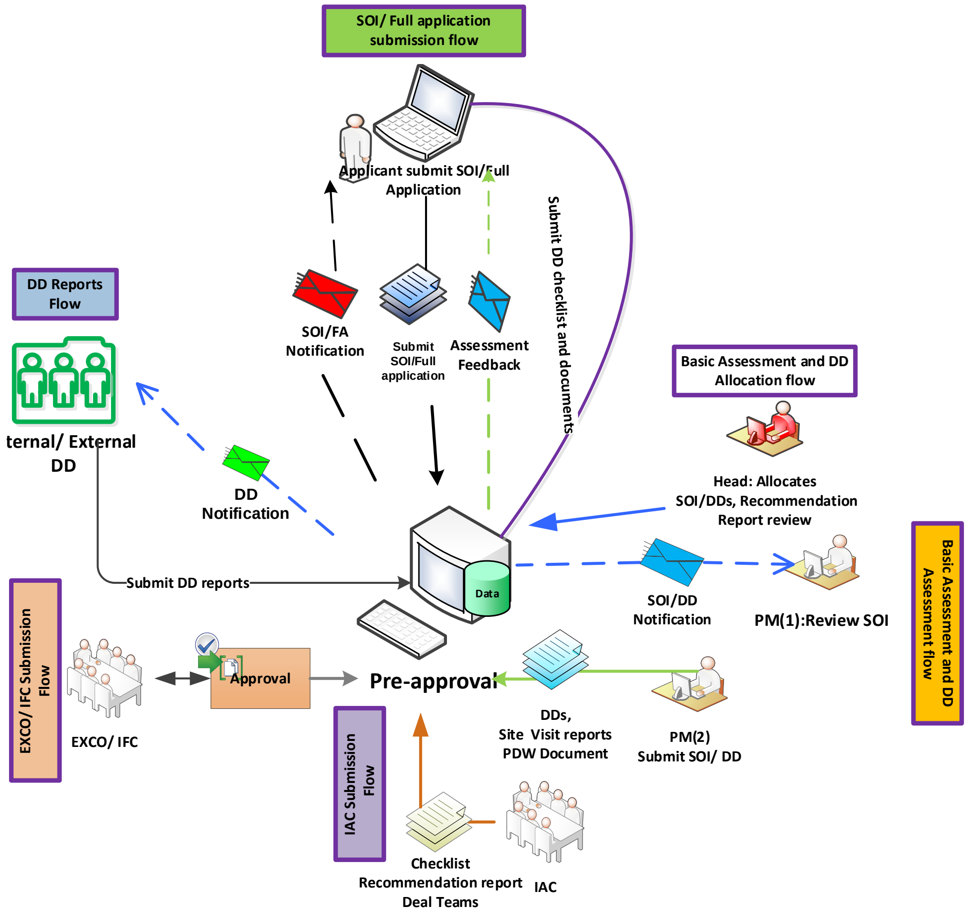
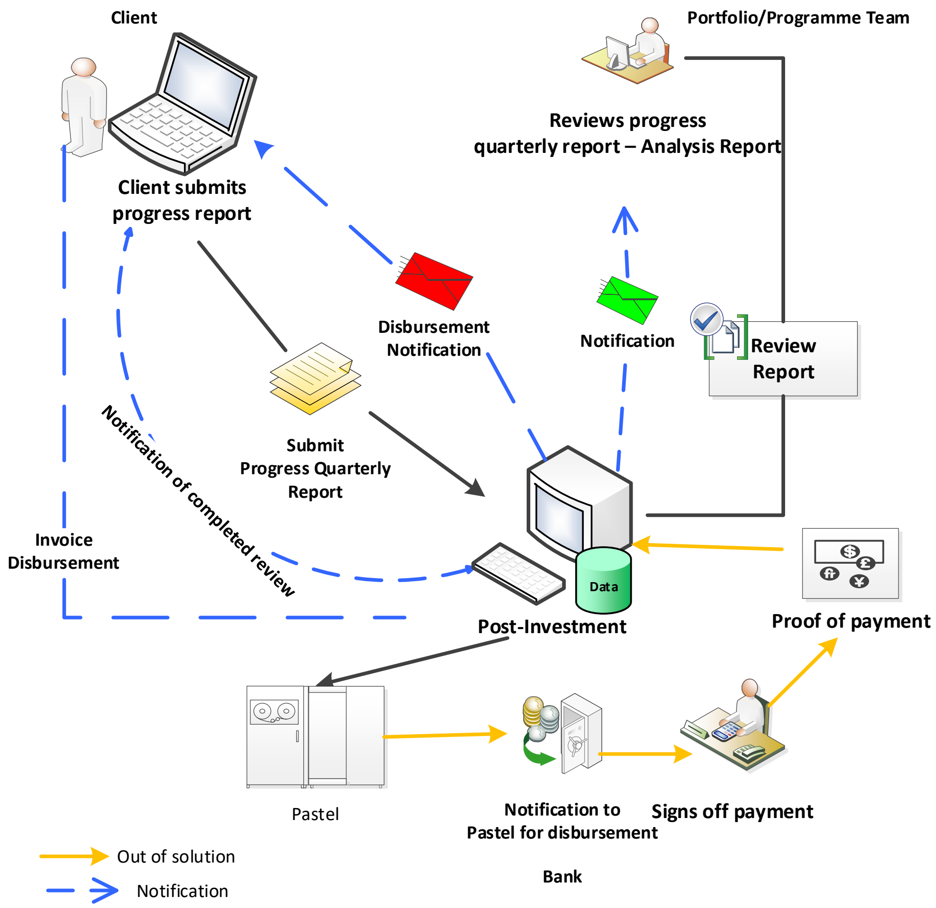


Diagram 5: High level post-approval rich diagram



2. PRE-APPROVAL FUNCTIONAL REQUIREMENTS

2.1 Registration

ID	Title	Description	Comply	Not comply
FR 1	**System Registration and Screening**			
FR1_001	Create login credentials	• The system must provide capabilities for applicant to create username and password.		
FR1_002	Resend login credential	• The system must provide capability for applicant to reset username and password, create a new password and username if they have forgotten their password/ username		
FR1_003	Send login notification	• The system must provide capability for login notification to be sent to applicant, detailing the username and password		
FR1_004	Complete screening form	• The system must provide capability for applicant to complete screening form (this form will verify the ID, whether the application is product development or technology development fund, etc.) and once applicants meet the requirements, channel or open the correct funding application form i.e. YTIP, SEED,GIP or other funds		
FR1_005	Send notification after screening	• System must provide capability for SMS and email notifications to be sent to applicant who have successful and		

ID	Title	Description	Comply	Not comply
		unsuccessful completed their screening form.		
FR1_006	Create reference number	• The system must provide capability for reference number to be created for every application registered. This reference should reflect throughout the project lifecycle be at the pre-and post-approval.		

2.2 Statement of Interest (SOI)

ID	Title	Description	Comply	Not comply
FR 2	**Submit on-line Statement of Interest**			
FR2_001	Complete on-line Statement of Interest (SOI)	• The system must provide capability for an applicant to create and populate the Statement of Interest.		
FR2_002	Auto save and recover information of completed sections of the SOI	• The system must provide capability for auto saving and recovering information of completed section of the SOI as and when the applicant works on the application.		
FR2_003	Print completed sections of the SOI	• The system must provide capability download and print completed SOI		
FR2_004	Conduct spell check	• The system must provide capability to conduct spell check on information captured.		

ID	Title	Description	Comply	Not comply
FR2_005	Upload documents according to the due diligence checklist	• The system must enable applicants to upload their documents in accordance with the defined due diligence checklist. • The system must provide capability to create the online- due diligence checklist.		
FR2_006	Submit SOI	• The system must provide capability for applicant submits the SOI		
FR2_007	Validate and declare application	• The system must provide capability for the applicant to validate the mandatory information requirements and sign of the declaration that information submitted to TIA is correct and truthful, before SOIs can be submitted		
FR2_008	Send notification to the applicant of registered and submitted application	• The system must provide capability to notify (SMS/e-mail) applicant about the registered application by sending username and password and application reference number.		
FR2_009	Send notification Head of submitted application	• System must provide capability to notify (SMS/e-mail) the business unit Head and Business Unit Coordinator of SOI that are submitted under their business unit		

ID	Title	Description	Comply	Not comply
FR2_010	Incomplete SOI reminder	• The system must provide capability to send an applicant a reminder (SMS/e-mail) regarding incomplete SOIs within 2 weeks of inactivity.		
FR2_011	Removal of incomplete SOI	• The system must provide capability to remove all incomplete SOI within 6 weeks of inactivity. The system should send out notification of the applicants.		
FR2_012	Receive and channel SOIs	• The system must provide capability to receive and channel applications per various business unit and/ or sectors.		
FR2_013	Allocate SOIs	• System must provide capability for PMs and/ or Heads to select applications within a pool of SOI submission for their assessment.		
FR2_014	Track online SOI Submission	• The system must provide capability to track SOIs that have been submitted and due for submission		
FR2_015	Refer SOI	• The system must provide capability for PM/Heads to refer the application to the other business unit. • The system must provide capability to keep the previous record of allocation.		

ID	Title	Description	Comply	Not comply
		• The system must provide capability to issue feedback letters to applicant with reference to external entity (in an event that the referral is to an external entity)		
FR2_016	Withdraw SOI	• The system must provide capability for applicants to withdraw their application from TIA and send notification to PMs.		
FR2_017	Amend SOI	• The system must provide capability for applicant to amend SOI and send notification to PMs. Once the PM have been in contact with the applicant to clarify their application and there is need to amend the SOI, the system should be opened for the 24 hours to enable the applicant to provide additional information. • If there is a call issued, the system must not enable for amendments of SOIs after the closing date. • If there is a call issued, the system can provide capability for the SOI to be amended before the closing date.		

ID	Title	Description	Comply	Not comply
FR2_018	Screen SOI	• The system must provide capability for PMs to screen the SOIs and documentations submitted **Workflow:** - Reject application: send auto response - Proceed to next stage of assessment		
FR2_019	Download SOI	• The system must provide capability to download SOI in different format, PDF, MS Word, MS excel		

2.3 Basic Assessment

ID	Title	Description	Comply	Not comply
FR 3	**Submit basic assessment report**			
FR3_001	Allocate, unallocated SOIs	• The system must provide capability for the Business Unit Heads to allocate SOIs to PMs • The system must provide capability for BU Head to see number of SOIs allocated to each PM • The system must provide capability for BU Head to receive		

ID	Title	Description	Comply	Not comply
		daily reminders of unallocated SOIs.		
FR3_002	View of status of SOI at Basic Assessment	• The system must provide capability for applicants to view the status of their applications. • The system must provide capability to notify the applicant when their application progress to the basic assessment stage.		
FR3_003	Flag assessed un-submitted applications	• The system must have an ability to flag the applications that are already assessed yet decision has not been communicated to applicant because they are still waiting for the Head's approval.		
FR3_004	Make recommendations on SOI	• The system must provide capability for PMs to select basic assessment recommendations, such as proceed to the next stage, referral, and/ or rejection of SOI. • The system must provide capability to notify Heads of completed assessments. • The system must provide the commentary section under the recommendation section of the		

ID	Title	Description	Comply	Not comply
		basic assessment for the Heads, to make comments on the completed assessment and approve/reject PM's recommendations.		
FR3_005	Complete SOI assessment	• The system must provide capability to send e-mail notifications to applicant informing them about the assessment outcomes.		
FR3_006	Assess SOIs	• The system must provide capability for an online assessment form with scoring. • System must provide capability for Portfolio/Programme Managers to assess and complete online assessment of SOI applications on the basic assessment form designed in the system. • The system must provide capability to produce an assessment report once assessments are completed.		
FR3_007	Activate to Full application	• The system must provide capability to convert the SOIs to full application once the applicant		

ID	Title	Description	Comply	Not comply
		has progressed past basic assessment.		

2.4 Full Application phase

ID	Title	Description	Comply	Not comply
FR 4	**Submit full application**			
FR4_001	Create on-line full application	• Description of (FR2_001)		
FR4_002	Auto save and recover information of completed sections	• Description of (FR1_002)		
FR4_003	Validate and declare application	• Description of (FR2_007)		
FR4_004	Incomplete full application	• Description of (FR2_010)		
FR4_005	Send notification of submitted application	• The system must provide capability to send SMS and email notification to applicant after submission of application, copy PM		
FR4_006	Additional Information	• The system must provide capability for the PMs to indicate and submit additional information required at the full application stage.		

ID	Title	Description	Comply	Not comply
		• The system must provide capability for the applicant to submit and provide additional information.		
FR4_007	Assess Full Application	• System must provide capability for PMs to review the application for completeness and documentation. • System must enable applicant to revise/edit full application applicable to open calls only.		
FR4_008	Send notification at full application	• System must provide capability to send SMS and email notification to applicant about the status of their application		

2.5 Due Diligence phase

ID	Title	Description	Comply	Not comply
FR 5	**Submit due diligence reports**			
FR5_001	Choose due diligence approach	• The system must provide capability to select a due diligence approach whether due diligence will be outsourced to external experts or conducted internally. **Workflow**		

ID	Title	Description	Comply	Not comply
		• Insufficient capability route it to the Head and Executive for approval • The system must provide capability to select the appropriate external experts (legal, IP, commercial and/or technical) • Sufficient capability route it to Head to request for due diligence resource from Head: Legal		
FR5_002	Create external expert database	• The system must provide capability to create the external expert's database.		
FR5_003	Approve the due diligence approach	• The system must provide capability for an approval mechanism to be built, for both the Head and the Executive to approve or reject the selected due diligence approach and/ or external experts selected **Workflow:** • Approve proceed with the selected external experts • Recommend allows the Head and Executive to choose different external experts		

ID	Title	Description	Comply	Not comply
		• Reject allows the Head and Executive to select other external experts with reason		
FR5_004	Select an external expert	• The system must provide capability to select an external expert to conduct the due diligence.		
FR5_005	Allocate applications to external expert	• The system must provide capability for TIA to allocate applications to external experts to conduct the due diligence.		
FR5_006	Send documents to external expert	• The system must provide capability to send documents to external experts. • The system must not provide capability for external expert to download and/or print TIA records.		
FR5_007	Request DD information	• System must provide capability to send due diligence checklist to applicant once decision to proceed or not to proceed has been made. **Workflow** • **Check-out** - The system must provide capability for the application to be placed on hold for 48 hours, when information is requested from the applicant.		

ID	Title	Description	Comply	Not comply
		- **Check-in** – The system must provide capability to check-in the application once information has been received within 48 hours. - **Restart** – When an applicant is reluctant to provide TIA with all necessary information and/ or the request for information passed the 48 hours. A notification must be issued to the applicant that they can only send through their application in the next window period. - **Reject** – where incomplete has been received, the application will be rejected.		
FR5_008	Send DD incomplete Checklist	• The system must provide capability to send alerts to the applicant of the incomplete DD checklist within 2 working days of recipient of notification		
FR5_009	Complete DD Checklist	• The system must provide capability for applicant to complete the DD checklist and submit all necessary documentation.		
FR5_010	Allocate DD Team	• The system must provide capability for allocation of the DD team.		

ID	Title	Description	Comply	Not comply
		• The system must provide capability for perform a multiple allocation at the same time.		
FR5_011	Create external expert database	• The system must provide capability for creation of external experts who will be used from time to time by TIA to evaluate applications		
FR5_012	Define due diligence scope	• The system must provide capability for the due diligence deal team to define the due diligence scope, plan and stage gate due diligence approach and due diligence checklist		
FR5_013	Complete DD report	• The system must provide capability for DD teams to assess, complete and submit the report.		
FR5_014	Comment on DD reports	• System must provide for the commendatory section in the recommendation section of the due diligence reports for the Heads and PMs to review and comment on the due diligence reports that have been completed		
FR5_015	Notify DD teams of incomplete due diligence	• The system must provide capability to send reminders or notification to DD teams of the incomplete due diligence weekly basis.		

ID	Title	Description	Comply	Not comply
FR5_016	Set site visit meeting	• The system must provide capability for site meeting, date, time and minutes section of the client and the DD team to discuss the project.		
FR5_017	Escalation of incomplete due diligence	• The system must provide capability to send escalation to the Head of all incomplete due diligence on weekly basis. • The system must provide capability to send escalation of all notification unattended by the Head to Executive		
FR5_018	Send notification of late submission of due diligence reports	• The system must provide capability to notify other team members of the latest submission or completion of DD.		
FR5_019	Check-out applications at due diligence	• The system must provide capability to check-out application where TIA is waiting for due diligence information. • The system must provide capability for one person to check-out an application.		
FR5_020	Long standing checked out application	• The system must provide capability to send out an automatic rejection letter to applications that have not submitted their due diligence		

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ID	Title	Description	Comply	Not comply
		documentation after 2 days of receipt of request for information		
FR5-021	Check-in applications	• The system must provide capability to automatically check in applications that have submitted their due diligence checklist and documentations		
FR5_022	Consolidate due diligence reports	• The system must provide capability for due diligence deal team to consolidate their findings into a joint due diligence report for review by Head		
FR5_023	Develop project plan	• The system must provide capability for the applicant to develop the project plan from the submitted funding application		
FR5_024	Approve, amend, or reject project plan	• The system must provide capability for PM to approve, amend and/ or reject the proposed project plan		
FR5_025	Complete and submit due diligence report	• The system must provide capability for external experts to complete their due diligence reports and have it submitted online. • The system must provide capability for external experts to revise their due diligence report should there be		

ID	Title	Description	Comply	Not comply
		additional information that emerges after the site visit. • Access to the system by external experts must be deactivated 30 days after submission of the due diligence reports. (PMs must lock external experts' access)		
FR5_026	Communicate due diligence investigation outcome	• The system must provide capability for the Head to capture their comments on the feedback letter to be issued to the applicant • The system must provide capability for the Head to issue rejection communication to the applicant.		

2.6 Approval Phase

ID	Title	Description		
FR6	**Submit Recommendation Report**			
FR6_001	Create recommendation report	• The system must provide capability to create an online recommendation report by the PM • The system must provide capability to source and extract specific information from section of the DD recommendations in word format.		

ID	Title	Description	Comply	Not comply
FR6_002	Review recommendation report	• The system must provide capability for Heads/PMs to review and make comments on the recommendation report.		
FR6_003	Maintain version control	• The system must provide capability to maintain version control of documents at recommendation report stage		
FR6_004	Send notification of complete recommendation report	• The system must provide capability to send notification to Heads of all completed and incomplete recommendation reports on weekly basis		
FR6_005	Sign recommendation report	• The system must provide capability for both Head and PM to sign the recommendation report. • The system must provide capability to remind a Head to sign the recommendation in the form of alerts after 2 days of no action until the due date and if still no action the system must escalate the request to Executive. • The system must provide capability for PMs to rework/ revise the recommendation report.		

ID	Title	Description	Comply	Not comply
FR6_006	Executive approval	• The system must provide capability for a Head to send the recommendation report to the Executive of applications below R 1 million for their approval • The system must provide capability for the Executive to comment on the recommendation report submitted • The system must provide capability for the Executive to approve or reject recommendations. **Workflow:** 1. Approve 2. Reject		
FR7_ Submit Approval Pack				
FR7_001	Create approval pack	• The system must provide capability to create an approval pack that will be submitted for IAC deliberation		
FR7_002	Create IAC meeting agenda	• The system must provide capability to create an IAC agenda		
FR7_003	View approval pack content	• The system must provide capability for IAC committee members to download and read the committee documentations simultaneously.		
FR7_004	Capture IAC decision	• The system must provide capability for IAC Secretariat to capture IAC		

ID	Title	Description	Comply	Not comply
		proceedings and decision on specific projects		
FR7_005	Create IAC resolution register	• The system must provide capability to create IAC resolution register		
FR7_006	Send IAC decision communication to applicant	• The system must provide capability to send an email notification to applicant communicating IAC decision. Decision can either be approval, rejection and/or deferred.		
FR7_007	Send reminders of uncommunicated decisions	• The system must provide capability to send out reminders of uncommunicated IAC decisions within 48hours of IAC meeting to Executive/Head.		
FR7_008	Escalate all unattended reminders of uncommunicated decisions	• The system must provide capability to escalate all unattended reminders of uncommunicated IAC decision to Executive within 48hours and should Executive not attend to the issue it shall be escalated to CEO within 24hours of non-activity.		
FR7_009	Send IAC approval notification	• The system must provide capability to send out an email notification to the Company Secretariat of all applications that have been		

ID	Title	Description	Comply	Not comply
	Company Secretariat	approved by IAC for EXCO consideration		
FR7_010	Create EXCO/IFC/Board investment approval pack	• Description as (FR7_001)		
FR7_011	Create EXCO/IFC/Board investment Agenda	• Description as (FR7_002)		
FR7_012	View approval pack content	• Description as (FR7_003)		
FR7_013	Capture EXCO/IFC/Board decision on specific projects	• Description as (FR7_004)		
FR7_014	Send EXCO/IFC/Board communication decision	• Description as (FR7_006)		
FR7_015	Reminders and escalation of uncommunicated decision	• Description as (FR_008 and FR7_009)		

3. POST APPROVAL FUNCTIONAL REQUIREMENTS

ID	Title	Description	Comply	Not comply

3.1 Quarterly Report Submission

FR9	**Submit Quarterly Reporting**			
FR9_001	Login Credentials	• The system must provide capability for clients to use same login credentials when reporting on the project funded by TIA. Description as (FR1_001)		
FR9_002	Send reminder to client	• The system must provide capability to send reminders to client of expected quarterly reports two weeks before due date. • The system must provide capability to track deadlines for submission of progress quarterly reports and prompt clients of expected report prior to the deadline		
FR9_003	Create on-line progress report	• The system must provide capability for client to create an online progress report		
FR9_004	Submit quarterly report	• The system must provide capability for client to submit quarterly reports and receive an email and SMS notification		
FR9_005	Track status quarterly report	• The system must provide capability for client to view the status of the report whether has been reviewed by PM or not.		

ID	Title	Description	Comply	Not comply
FR9_006	Add new risk	• The system must provide capability for client to add new risks without deleting the old risk.		
FR9_007	Select Technology Readiness Level	• The system must provide capability for client to report on TRL progression		
FR9_008	Review quarterly reports	• The system must provide capability for PM review and make notes/recommendations on a quarterly report submitted by client and notify client of the recommendations.		
FR9_009	Send notification to Head of the completed quarterly reviews	• The system must provide capability to send notification to the Head of completed quarterly report reviews.		
FR9_010	Edit reviewed quarterly report	• The system must provide capability for Head to edit quarterly report review with track changes and submit it back to PM.		
FR9_011	Sign quarterly review report	• The system must provide capability for PM and Head to sign the quarterly review report by means of electronic signature. • System must provide capability to trigger disbursement or not (not all quarterly reviews require disbursements).		

ID	Title	Description	Comply	Not comply
FR9_012	Send reminders	• The system must provide capability to send reminders to finance regarding outstanding payment on daily basis		
FR9_013	Escalate outstanding payment	• The system must provide capability to escalate all outstanding payments to the CFO.		

3.2 Rescope Project

FR 10	**Rescope Projects**			
FR10_001	Update and amend contracted project plan	• The system must provide capability for clients to submit their request to update or amend project plan • Provide capability to escalate in accordance to delegation of authority to approve proposed scope		
FR10_002	Deviation request	• The system must provide capability for the client to submit deviation request through TIA online deviation request form		
FR10_003	Approve/ Reject project rescope	• The system must provide capability for approval of the deviation request as per the approved delegation of authority and be updated as and when the DoA changes • The system must provide for capability for the deviation request to be rejected by a delegated incumbent.		

ID	Title	Description	Comply	Not comply

3.3 Funding Disbursement

FR11	**Handle funds disbursement**			
FR11_001	Disburse per plan	• The system must provide capability for projection and breakdown disbursement as per project schedule and categorises such milestones, activities and deliverables.		
FR11_002	Send reminders	• The system must provide capability to send reminders to finance regarding outstanding payment on monthly basis		
FR11_003	Escalate outstanding payment	• The system must provide capability to escalate all unattended outstanding payments to the CFO		
FR11_004	Request invoices	• The system must provide capability for clients to submit invoices online		
FR11_005	Validate disbursement and bank account for each project	• The system must provide capability for finance to confirm whether the bank account captured is like that in the invoice and validate disbursements before its paid		
FR11_006	Confirm payments	• The system must provide capability to issue disbursement receipt notification		
FR11_007	Reallocation of funds	• The system must provide capability to track non-disbursing projects and reasons for non-disbursements		

ID	Title	Description	Comply	Not comply
FR11_008	Upload report and invoice, save and submit report and invoice	• The system must provide capability for client to upload report and download progress report, save and submit report and invoice.		
FR11_009	Download proof of payment	• The system must provide capability for client to download proof of payment made by TIA.		
FR11_010	View expenditure and expected payments	• The system must provide capability for both PM/Head and clients to view the expenditure and expected payments for specific project.		
FR11_011	Prepare and capture expenditure	• The system must provide capability for client to capture expenditure.		
FR11_012	Request expenditure statement	• The system must provide capability for client to request expenditure statements of six months' transactions.		
FR11_013	Submit disbursement packs	• The system must provide capability for PMs to submit disbursements pack to Finance.		
FR11_014	Send notification to Finance	• The system must provide capability to send notification to Finance of the submitted disbursement pack that requires payment.		

ID	Title	Description	Comply	Not comply
FR11_015	View disbursements pack	• The system must provide capability for Finance to view disbursement pack		
FR11_016	Generate payment	• The system must provide capability for Finance to generate payment through Pastel and synchronise all the generated payments information back to the system.		
FR11_017	Sign disbursement pack	• The system must provide capability for PM, BU Head, Executive, Management Accountant, Head: Finance to sign the disbursement pack in the form electronic signature.		

3.4 Project Exit, terminations and close out

ID	Title	Description	Comply	Not Comply
FR 12	**Exits**			
FR12_001	Close project	• The system must provide capability to close out, terminate and exit of project • The system must provide capability for client to submit the close out report • The system must provide capability for PM to prepare and submit a close out report following the overall project closer report from client		

ID	Title	Description	Comply	Not Comply
		• The system must provide capability for Head to review PM closeout report • The system must provide capability for Executive for sign off the closeout report		
FR12_002	Terminate project	• The system must provide capability for the PM to submit the termination request to Legal Advisor. • The system provide capability for the Head to review the memo submitted by the PM. • The system must provide capability for the Legal Advisor to provide response on whether to terminate or not. Termination must be in accordance to the approved delegation of authority. • The system must provide capability for PM and BU Head to assess the termination memo • The system must provide capability for the DoA incumbent to sign off the termination letter.		
FR12_003	Refer terminations, closeout, exits to Investment Support	• The system must provide capability for referral of terminations, closeouts and exits to Investment Support.		

ID	Title	Description	Comply	Not Comply
FR12_004	Change project status	• The system must provide capability to change the status to referred.		
FR12_005	View projects	• The system must provide capability for Investment Support to view the projects.		
FR12_006	Send notification	• The system must provide capability to send notification to Investment Support functional unit.		
FR12_007	Send alert	• The system must provide capability to send alert of unattended and incomplete project to Head		

3.5 Investment Support Loan and Royalty Collection

ID	Title	Description	Comply	Not Comply
FR 13	**Loan and Royalty Repayments**			
FR13_001	Loan and Royalty repayments	• The system must provide capability for the PM to update and indicate when the projects are due for commercialisation. • The system must provide capability for Investment Support team to track loan or royalty repayments owed to TIA. • The system must provide capability to capture the contract terms and link it to loan and royalty repayment terms and time for payment. • The system must provide capability for Finance to pull the royalty and loan		

ID	Title	Description	Comply	Not Comply
		register with comments provided by Line of Business. • The system must provide capability to prompt Line of Business unit to provide their inputs and comments on projects where loan or royalty repayments are due. • The system must provide capability to issue email and/ SMS communication to the investee requesting status of the royalty or loan repayments. • The system must provide capability for Finance Business Unit to track loan and/ or royalty repayments amounts on monthly basis. • The system must provide capability for Line of Business to request invoice and/ or credit note from investee • The system must provide capability to flag outstanding invoices at 30 day/60day/90 days overdue • The system must provide capabilities to flag any specific securities or cession over IP including all condition precedent • The system must provide capability to link specific projects to contracts/ surviving clauses. These should be noted upon		

ID	Title	Description	Comply	Not Comply
		project close out, including items that still need to be monitored. • The system must provide capability to flag dormant portfolio not actively managed by line of business		

Diagram 6: Check-in and Check-out Functional Specifications

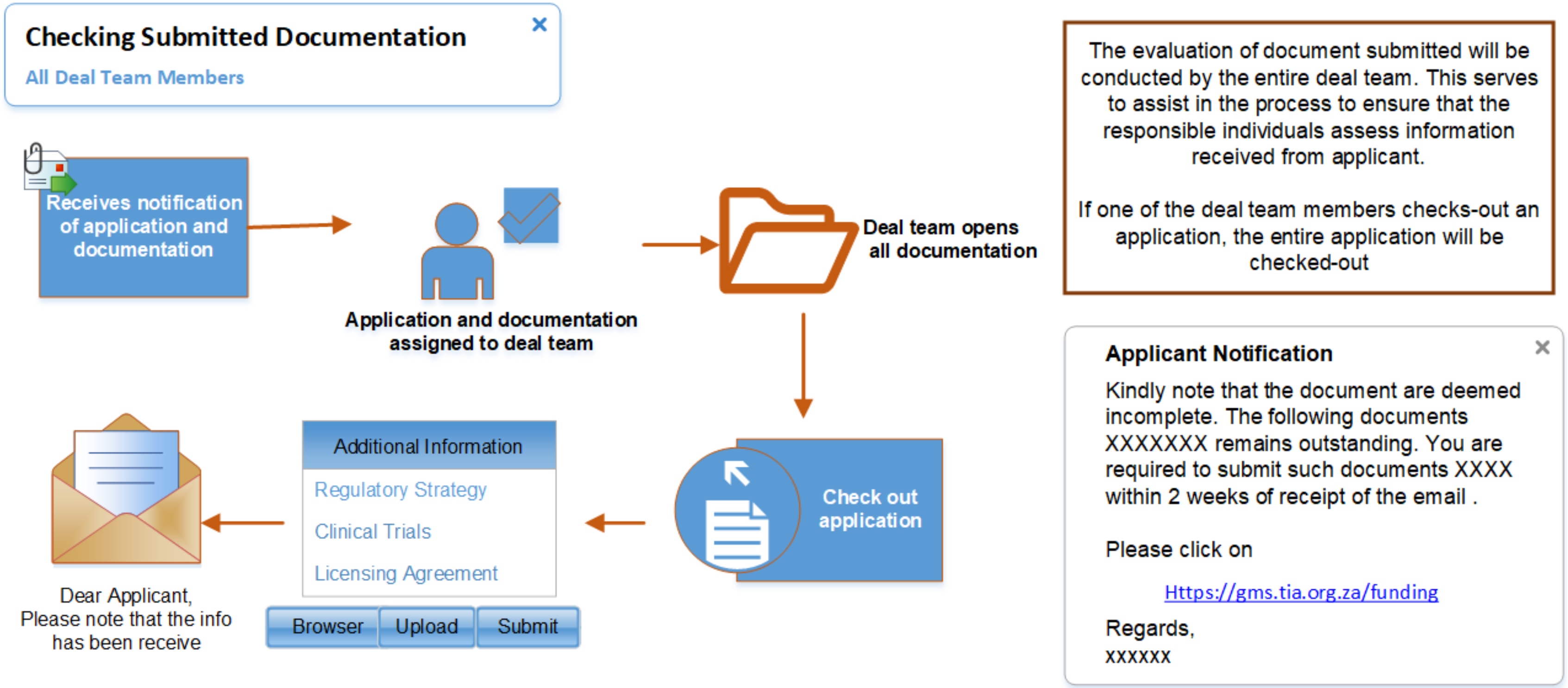


Diagram 7: Investment Due Dilligence Specifications

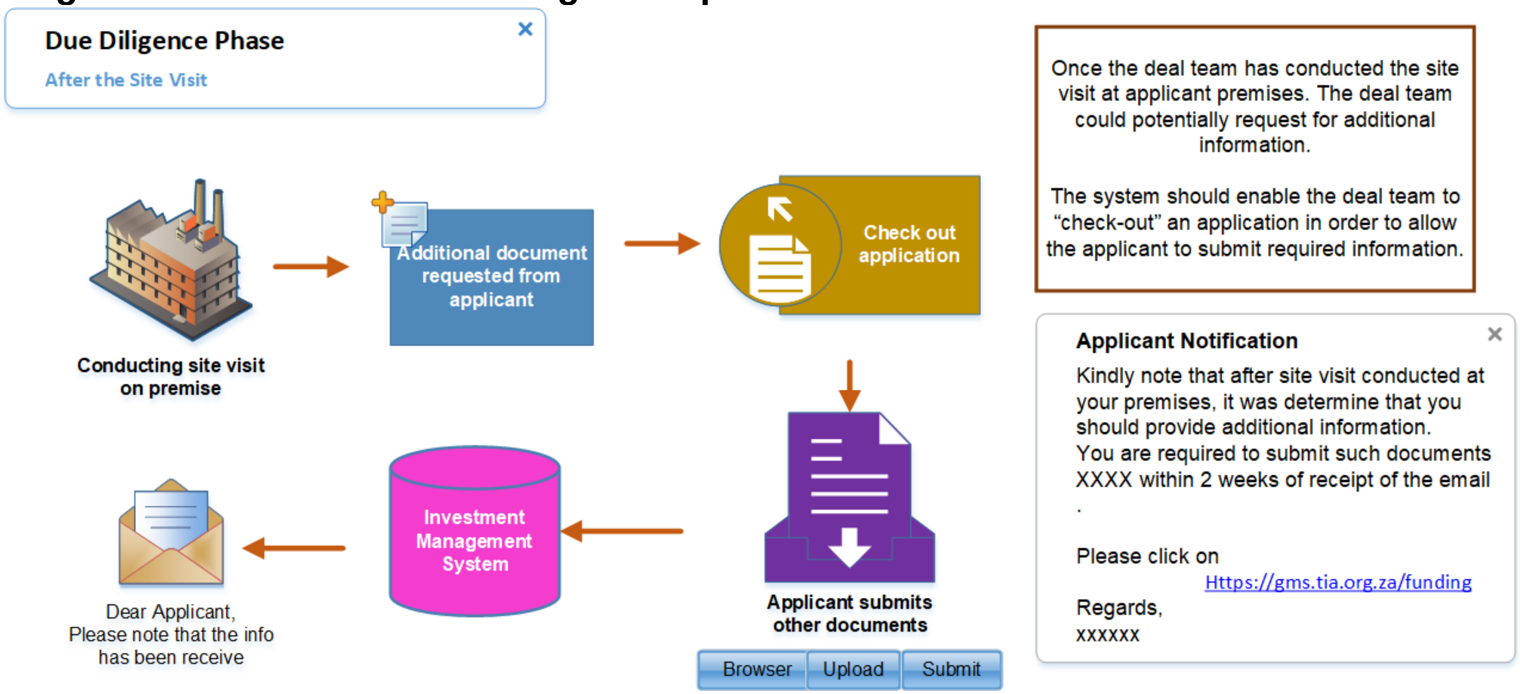
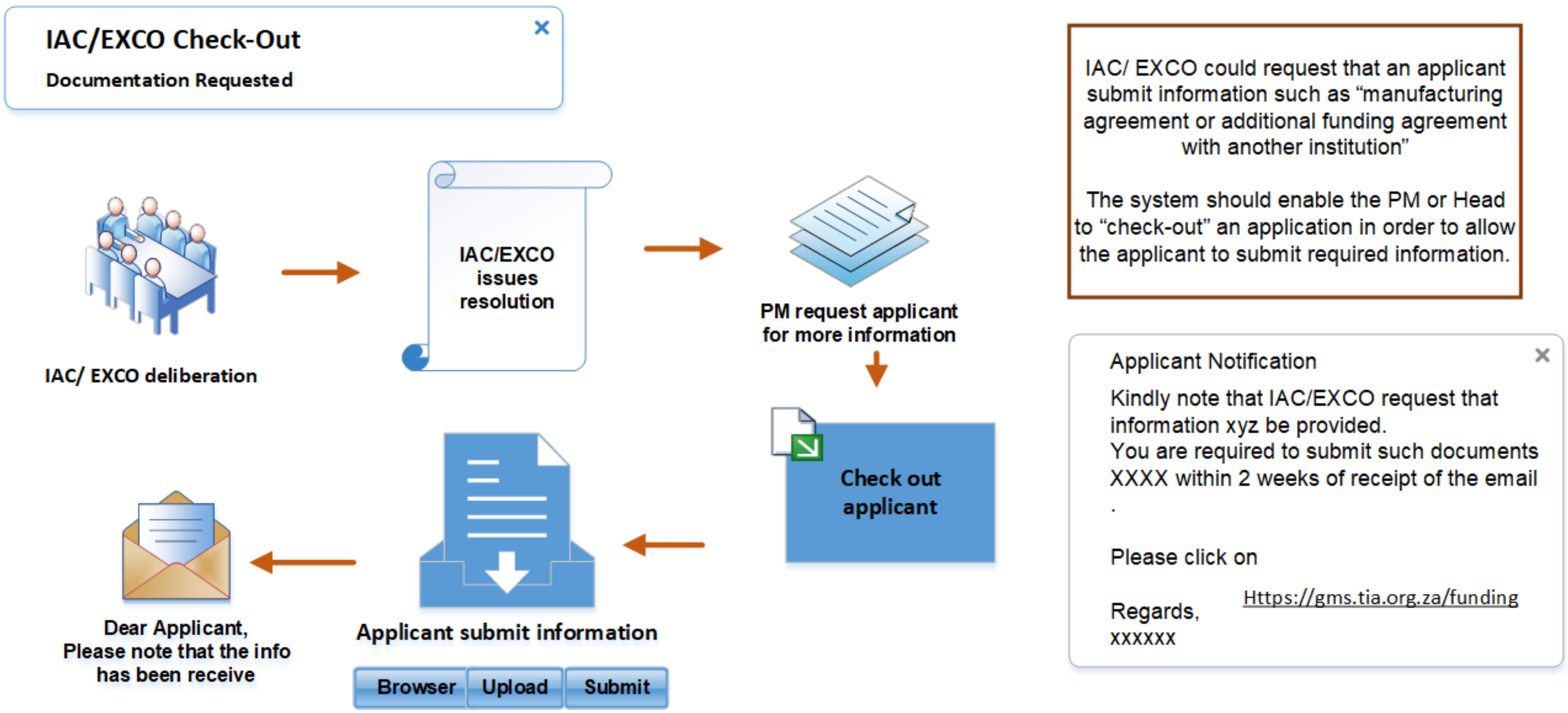


Diagram 8: Approval Committees Specifications



technology innovation
AGENCY
Innovating Tomorrow Together

SECTION A: SUPPORTING DOCUMENTS AND TEMPLATES

FUNDING APPLICATION

1. Funding Application (Template No:1)

This template is applicable to all TIA funding instrument. The completed application should not exceed 10 pages.

1 TECHNOLOGY INNOVATION

1.1 The proposed technology innovation which could include innovation (an idea, invention, prototype, concept, process, product, service offering) requiring financial support from TIA.
1.2 What is the difference (newness, uniqueness and novelty) of the innovation?
1.3 What is available in the market that is comparable to the proposed innovation?
1.4 proposed social innovation
1.5 What is the progress of development to date of the proposed innovation (TRL, MRL and BRL check website)?
1.6 What work still needs to be done to progress the development to a point where the proposed innovation can be taken to the market.
1.7 Which government regulations, certifications and/or standards do you need to comply with.

2 INTELLECTUAL PROPERTY

2.1 What prior art search have been conducted related to the proposed innovation. Please provide a list of owned or licensed-in registered IP (patent, trade mark, design etc).
2.2 What IP (patent, trade mark, design etc) related to the innovation does the applicant / related parties have or in the process of registering
2.3 What IP is the applicant bringing forward to support the proposed innovation
2.4 What new IP will be developed during the project (foreground IP)
2.5 How will the IP of the proposed innovation be managed?

3 MARKET ANALYSIS

3.1 What problem or challenge that exist or to be solved with the identified innovation
3.2 Describe and quantify the market for the proposed innovation
3.3 Who is the most affected by the described problem or challenge
3.4 Clearly articulated ways on how you plan to get the proposed innovation to the market
3.5 Describe other innovations that exist in the market that directly competes with your proposed innovation and indicate what makes your innovation more appealing
3.6 Indicate if you are engaging with potential customers, if so, provide evidence
3.7 How is your innovation going to make money (generate profit) and transform the industry?

4 PROJECT TEAM

4.1 Complete the table below outlining key skills, competencies and capabilities of the project team to deliver on the expected outcomes.

Name and Surname	Role in the project	Area of expertise and experience related to the project	Gender	Race

4.2 Complete the table below outlining gaps that exist to progress the innovation to commercialisation.

Role in the project	Area of expertise and experience related to the project	Gender	Race

4.3 What are current or future partnership arrangements and what are the IP implications

5 PROJECT EXECUTION PLAN

5.1 Download and populate the project execution plan and budget. The project execution plan details work to be conducted, timelines, deliverable, go/no-go stage gates and the budget

6 RISKS

6.1 Identify the risk which affects the development and commercialisation of the technology and mitigation strategies. (i.e. Regulatory, environmental, financial, personnel, other)

IDENTIFIED RISK	MITIGATION STRATEGY	PROBABILITY OF OCCURRENCE (H,M,L)	SEVERITY (H,M,L)

2. Basic Assessment (Template No:2)

ASSESSMENT CRITERIA		Comments/Rationale	Rating (1-5) (1) poor, (2) fair, (3) good, (4) very good and (5) excellent
MARKET/COMMERCIAL OPPORTUNITY	**Need** - What is the **problem**? Who is affected and relevant as a customer? How big / Urgent is the problem to the customer. What alternatives exist to solve the problem?		2
	Value Proposition - What is the value of solving the problem to the customer? Such that if the problem is not solved, how does it affect the customer?		4
	Value Chain- is the value chain well understood in terms of structure and opportunity for value extraction		5
	Opportunity Size – How big is the potential market? This includes size, growth, value……..		3
	Competition - Competitors in terms of identity, size and the alternative products they offer. How does the degree of competitive intensity and barriers to entry including ease of adoption affect the ability for successful market entry?		1
	Total Score MARKET/COMMERCIAL OPPORTUNITY		3
TECHNOLOGY INNOVATION	**What** is the solution to the problem? How does the proposed solution work? Detailed description of the process/product/technology to be developed.		3
	What makes the solution better compared to what might already exist in the market?		4
	What **stage of development** is it at (use TRL scales)? Explain how the technology has progressed to justify TRL level, and highlight any notable awards/achievements.		4
	What **further development still needs** to be done to ready the process/product/technology to market? And comment on the budget requirements.		1
	TOTAL Score TECHNOLOGY INNOVATION		3
INTELLECTUAL PROPERTY PROTECTION	Comment on **the nature, ownership and registration status of the IP.** Also on the potential for future IP registration.		4
	Is there a **proper patenting/protection strategy?**		5
	Comment on the **IP protection landscape or trends for the proposed technology**		1
	Total Score INTELLECTUAL PROPERTY PROTECTION		3
CONSORTIUM/TEAM	Comment on the capabilities **(knowledge of the industry/technology, previous experience, notable skills)** of the team members, in regard to the roles for the project to enable delivery on the proposed development.		3
	From a cursory search on the team members, comment on the **core members delivery track records** in regard to publicly funded programmes/projects		3
	Comment on **the identified skills gap** for the team to develop the technology		2
	TOTAL Score STAKEHOLDERS/CONSORTIUM/TEAM		3
BUDGET	Comment on the alignment of the individual budget line items to the **TIA allowable cost guidelines**?		5
	Comment on the **feasibility of the budget**, i.e., does the proposed budget seem realistic (over- or under- budget)?		3
	TOTAL Score FUNDING/BUDGET		4

DUE DILIGENCE TEMPLATES

3.1 Technical Due Diligence (Template No:3)

SECTOR	<Insert>
NAME OF PROJECT	
COMPILED BY	<Insert>
REVIEWED BY	<Insert>

1. EXECUTIVE SUMMARY
This section should provide a summary of the technology due diligence analysis, findings and outcomes.

2. TECHNOLOGY DESCRIPTION
This section should cover description of the technology (what is the technology about) and the anticipated solution whether it's a process/ product/ service and uniqueness of the proposed technology (value proposition).

3. TECHNOLOGY ANALYSIS
This section should cover the current technology readiness level and anticipated TRL once TIA funding has been obtained. The analysis should:

3.1 Compare the proposed technology in relation to globally, current, and relevant or out-dated technologies? Does the proposed technology offering align with the current and emerging trends?
3.2 Provide a list of collaborators involved in this project and their role in the technology development.
3.3 Quality and performance consideration and; regulatory approvals and certification.
3.4 Articulate the technology scaling/ demonstration/ piloting

4. TECHNOLOGY RISKS
4.1 Technology Risk assessment (Risk identification, Risk analysis, Evaluation and Mitigation)

No.	Identified Risk	Mitigation Strategy	Probability (H,M,L)	Severity (H,M,L)	Deal Breaker
1.					
2.					
3.					

Key

Severity	High			
	Medium			
	Low			
Probability		Low	Medium	High

5. RECOMMENDATION
This section should cover the conclusions and recommendation on whether TIA should consider funding the technology or not.

3.2 Commercial Due Diligence (Template No:4)

Project Title	Insert Text			Date	Insert Text	
TIA Fund	Tech Development	☐		☒	TRL	Insert Text

EXECUTIVE SUMMARY

a) This section should summarise the outcomes of the due diligence including description of the technology, condition precedent, relationship management, challenges, socio-economic impact and outcomes.

MARKET ANALYSIS

a) This section should cover the value proposition, market segmentation (who will buy the solution, size and growth of the market, market challenges, drivers and constraints) and customer analysis (who is the most important customer, target segment, the proportion that are practically reachable) of the innovation under consideration.

INDUSTRY & COMPETITOR ANALYSIS

a) This section should cover the industry value chain, industry challenges, drivers and constraints, competitor's technology analysis (advantages of the proposed technology compared to existing and possible future technologies) related to the technology under consideration.

SUPPLIER AND RELATIONSHIP MANAGEMENT

a) This section should cover material supplier value chain, required and current key supplier materials, material accessibility and cost implications thereof.

ROUTE TO MARKET AND RETURN ON INVESTMENT

a) This section should cover strategies applied to get the technology to the market (i.e. existence or possibility of commercial partner, licensing strategy), revenue streams, payments terms, cost structure (inherent cost, expensive resources and activities and dominant business cost structure).

b) Transformational agenda including socio-economic contribution and impact.

TEAM

a) This section should cover the project team capabilities, skills and competencies to commercialise the technology and how the team can be capacitated to ensure successful commercialisation of the technology.

FINANCIAL MODEL AND FINANCIAL HEALTH OF APPLICANT

a) This section should cover a summary of the financial model and the financial health of the applicant.

FUNDING STRUCTURE

Discuss the proposed funding instrument and the associated TIA return. Comment on the application is priced in a certain way, availability of funds/ budget, proposed funding structure and IRR.

Table 1: Conditional grant with levy

ITEM	DETAILS		
INSTRUMENT	Conditional grant with levy.		
TOTAL AMOUNT	R Insert Text		
EXPECTED EXPENDITURE	YEAR 1 R Insert Text	YEAR 2 R Insert Text	YEAR 3 R Insert Text
	YEAR 4 R Insert Text	YEAR 5 R Insert Text	YEAR 6 R Insert Text
LEVY ON GROSS REVENUE	E.g. 10% levy on gross revenue		
AGREED IRR	Enter nominal IRR (from IRR Matrix)		
PAYBACK PERIOD	Years (approximate) to reach target IRR		
LEVY TERM	Bet YR6 & YR7		

3.3 IP Due Diligence (Template No:5)

PROJECT TITLE	Insert Text	**PROJECT NO.**	Insert Text
COMPILED BY	Insert Text	**REVIEWED BY**	Insert Text
		DATE	Insert Date

INTRODUCTION

This section should aim to cover what the business has been requested to do, description of the applicant, disclaimer including a list of supporting documents obtained from client or during the due diligence phase (report is based on the accuracy of the information provided at the date of conducting the due diligence).

THE TECHNOLOGY

This section should aim to describe the technology in terms of the Intellectual Property (IP).

BACKGROUND IP

This section should aim to cover, what IP the applicant is bringing forward to support the application and any IP ownership issues.

NOVELTY ASSESSMENT

This section should aim to cover the novelty or uniqueness assessment of the technology, including prior art searches.

FOREGROUND IP AND STRATEGY

This section should aim to cover the intellectual property to be developed through the project, including Foreground IP ownership issues, registerable and non-registerable IP and IP strategy.

IP LEGAL ANALYSIS

This section should aim to cover analysis of IP aspects in various contractual agreements related to the technology under consideration.

DISCUSSION, CONCLUSION AND RECOMMENDATION

Summarise factual findings with regards to the background and project IP, prior art results, legal analysis and agreements analysis and discuss the consequences thereof, including recommendations regarding the investment to be made/ not.

3.4 Legal Due Diligence (Template No:6)

PROJECT TITLE	Insert Text	PROJECT NO.	Insert Text
COMPILED BY	Insert Text	REVIEWED BY	Insert Text
		DATE	Insert Date
		INTERNAL CLIENT	Insert Text

INTRODUCTION

The application for due diligence consideration, including the qualification and assumptions. (Confirm the mandate or task given to the Legal Service Unit)

EXECUTIVE SUMMARY

This section covers a summary of the findings from the due diligence investigation and the recommendations.

CORPORATE AND GOVERNANCESTRUCTURE

This section covers the directorship, CIPC searches, shareholding, share certificate, management structure, board of director arrangements, shareholder agreements, memorandum of incorporation, founding legislation

CONTIGENCY LIABILITY

This section covers litigations, tax and applicants credit checks (CSD and Lexis Nexis)

CONTRACTUAL OBLIGATIONS

This section covers contractual agreements that relates to the innovation (product/service/process) such as, licensing agreements, manufacturing agreements, development contracts

LEGISLATIVE/ REGULATORY FRAMEWORK

This section covers all the laws and regulations applicable to the innovation (product/service/process)

RECOMMENDATIONS

3.5 Due Diligence Checklist (Template No:7)

ACTIVITIES	DESCRIPTION OF CHECKLIST	YES	NO
	Internal and external auditor's reports		
	Audited and unaudited statements		
	Latest cashflow statement		

ACTIVITIES	DESCRIPTION OF CHECKLIST	YES	NO
FINANCIAL	Supply Chain / Procurement Policy		
	Administrative expense and payroll expenses		
	Income statements		
	Any debt or liabilities		
	Budget plan		
TAX	Tax clearance certificate		
	Tax filling of the past five years		
	Tax report over the past five years		
	BEE certificate or level		
INTELLECTUAL PROPERTY	List the pre-existing technologies which are similar in this field of technology and give a detailed technological comparison of your proposed technology with the already existing technologies		
	Give a list and details on background intellectual property to the proposed technology		
	List and give details of anticipated foreground intellectual property which will emanate from your proposed technology including any already filed applications including expected ownership.		
HUMAN RESOURCE	Copies of employee's employment contract – employees who will be directly involved in the project		
	Copies of employee benefits plan (pension fund, bonus, etc)		
	Copies of performance review process		
	Employees wellness		
	HR policies and procedures (succession plan)		
	Project team cv and past employees' reference		
	List of persons involved in the project (roles and responsibilities)		
	Succession and retention plan		
	Organogram of management (roles and responsibilities) including certified copies of their identity documents.		
	Copies of management contracts indicating restraint of trade, non-circumvention and confidentiality clauses.		
	Governance structure		
	Copies of share certificates issued to shareholders		
	Share register confirming list of shareholders and shares held.		

ACTIVITIES	DESCRIPTION OF CHECKLIST	YES	NO
LEGAL	Certificate of Incorporation issued by the Companies and Intellectual Property Commission (CIPC)		
	Memorandum of Incorporation.		
	Financial Intelligence Centre Act, 2001 (FICA) documents – Copy of identity document and proof of address such as a utility bill of all project team members, including directors and shareholders		
	List of all relevant laws and regulations applicable to the business/product or technology.		
	Regulatory approval (permits, licenses, authorisations certificates and notifications).		
	Copies of all agreements to which the company is a party relating to the technology such as a lease agreement, funding agreements, consultancy agreements, licensing agreements, loan agreements, non-disclosure agreements, technology transfer agreements and the like		
	Supply details of any litigation, arbitration, investigations, pending or threatened action by or against the company in relation to the technology, including IP disputes.		
	Details of all awards, settlement or arrangements in relation to the underlying technology.		
	Conflict of interest		
COMMERCIALISATIONISATION	Obtain customer references and contact for verification for information given		
	Check the percentage of sales of each customer. Determine major customers for each product line		
	Competition - determine total size of market (s) and the main competitors (by name) with market shares		
	Who are the supplier		
	What are supplier commitments		
	Who are the alternative suppliers		
	Independent market report commissioned		
TEAM	Management team CVs and organisational structure		
	Project team CVs, employment contract		
	Project team capability and competency profile		
	Organisational culture or value report		
	Employee competency assessment report		

3.6 Innovation Programme Due Diligence Checklist **(Template No:8)**

Activities	Description of checklist	Yes	No
Intellectual Property	Provide a list and details on Background Intellectual Property to your proposed technology		
	Give details of anticipated Intellectual Property e.g. patents, that will emanate from the proposed technology		
	What is your IP strategy (i.e. strategy for registration of IP, entering into contracts, licences etc) for your business?		
	Are there any ownership issues relevant to the past IP or anticipated IP		
	Provide details of any registered or non-registered IP which has already emanated from your technology (e.g. any registered patents, designs, trademarks or copyright).		
Legal	**Individual:** • Certified copy of Identity Document of the applicant (certified 6 months preceding the application date). • Proof of physical address. • In case of a minor, certified copies of minor's parents or legal guardian (certified 6 months preceding the application). • In case of a minor represented by their legal guardian, a certified copy of the High Court order confirming that they are appointed as the learner's legal guardian. • In case of a minor, proof of physical address of minor's parents or their legal guardian.		
	Corporate information: • CIPC Certificate of Incorporation • Memorandum of Incorporation • Share register confirming list of shareholders and shares held • Copies of share certificates issued to shareholders.		

Activities	Description of checklist	Yes	No
	• CSD Report • Tax clearance certificate • Financial Intelligence Centre Act, 2001 (FICA) documents (Certified ID copies of directors, proof of residence of directors and proof of the company's physical address) **Governance structure:** • Board composition (lists of directors, board committees) • Shareholders Agreement (members' rights & directors' provisions)		

4. RECOMMENDATION REPORT

4.1 Recommendation Approval Checklist (Template No:9)

Project Name	Insert Text
Project Background	Insert Text
Investment Recommendation	Insert Text
Applicant Name	Insert Text
Recommended Approval Amount	Insert Text
Funding Instrument	Insert Text
Strategic Fit	Insert Text
Mandate Fit	Insert Text

INVESTMENT PROCESS COMPLIANCE

TASK	CHECK	INDIVIDUAL	REPORTS AND DATES	COMMENTS
1. Full application received	☐	Insert Text	Insert Text	Insert Text
2. Assessment conducted	☐	Insert Text	Insert Text	Insert Text
3. Due diligence conducted	☐	Insert Text	Insert Text	Insert Text
4. Is the request in line with IFP?	☐	Insert Text	Insert Text	Insert Text

TASK	CHECK	INDIVIDUAL	REPORTS AND DATES	COMMENTS
5. Is budget in line with allowable costs guideline?	☐	Insert Text	Insert Text	Insert Text
6. Is the recommended instrument as per IFP	☐	Insert Text	Insert Text	Insert Text
7. Confirmation of budget availability?	☐	Signed off: BU Head________	Signed off by Divisional Executive_______	Signed off by Management Accountant_____
8. Co-funding percentage	☐	Insert Text	Insert Text	Insert Text
9. Project supported	☐	Signed off: PM ________________	Signed off by BU Head ______________	Signed off by Divisional Executive_________
10. Business Unit	☐	Signed off: PM ________________	Signed off by BU Head ______________	Signed off by Divisional Executive_________
11. Previous Exposure				
12. Was this project previously audited by Internal Audit				

TRANSFORMATIONAL AGENDA

TASK	COMMENTS
1. Does the investment opportunity address employment equity	
2. How are previously disadvantaged individuals going to be supported through this project?	
3. What is the percentage of black ownership in the project?	
4. What is the percentage female ownership in the project?	

5. what is the percentage youth ownership in the project?	
6. What is the number of trained people from marginalised or poor communities?	
7. What the number and percentage of directorship in the project?	
8. What is management composition and percentage for the project?	
9. Demographics Spread – Which Province will benefit from this project?	
10. Black Economic Employment (BEE)	

1. EXECUTIVE SUMMARY

Give detailed overview of the final recommendation (approve / reject), with coherent motivation and a clear rationale for the motivation, i.e. reasons and/or conditions, based on the application submitted and due diligence report, fit and deal structure term sheet.

2. INVESTMENT PORTFOLIO ANALYSIS

<This section provides a detailed overview of the division investment portfolio analysis focusing on the health of the investment portfolio (active disbursing, active non-disbursing, investments undergoing liquidation, business rescue and under workout>

2.1 Overall Post-Approval Investments

2.2 Regional Spread with total spent in each region

2.3 High Education Institution (HEIs) and Science Council Intellectual Property (How much is funded through HEIs and Science Council

2.4 Division Transformational Agenda (This must cover number of PDIs that have been funded by TIA and exit opportunities for designated groups)

2.5 Investment Portfolio Demographic Spread (Women, PDIs, Youth, People of Disabilities)

3. PROJECT OVERVIEW

Give a detailed description on the applicant, their statutory regulatory requirements, description of the technology/ innovation and the overall objectives and deliverables.

4. DUE DILIGENCE OUTCOMES

This section must clearly articulate key outcomes of the due diligence reports including risks identified.

4.1 Technical Due Diligence

4.2 Commercial Due Diligence

4.3 Financial Due Diligence

4.4 Legal Due Diligence

4.5 IP Due Diligence

5. DEAL STRUCTURE

Provide an overview of the deal structure and the agreed terms, value, and potential return on TIA's investment as well as proposed exit options.

6. SOCIO-ECONOMIC BENEFITS

Articulate socio-economic benefits including transformational agenda (youth, gender, race, women, people with disability) resulting from implementation of the project.

7. RISK ASSESSMENT

List the note-worthy risks and/or risk areas that have been identified in the due diligence exercise, together with any conditions of investment/risk mitigating steps identified to address said risks, having regard to the following:

IDENTIFIED RISK	MITIGATION STRATEGY	PROBABILITY (H, M, L)	SEVERITY (H, M, L)
• Technology(ies) on which the product/service offering is based or relies on			
• IP position			
• Team – expertise, experience, and industry knowledge			
• Operation systems and processes			
• Financial			
• Marker and industry			
• Business Model			
• Other			

5. POST-APPROVAL

5.1 Progress Report (Template No:10)

NB: This report should not exceed 10 pages.

PROJECT NO	Insert Text			
PROJECT TITLE	Insert Text			
REPORTING PERIOD START DATE	Insert start date of the quarter e.g. 1 July 2013			
REPORTING PERIOD END DATE	Insert end date of the quarter e.g. 31 October 2013			
REPORT NUMBER 1 OF 12 (TOTAL NUMBER OF REPORTS)	Insert Text			
PROJECT START DATE	Insert official date of project commencement			
EXPECTED PROJECT END DATE	Insert expected end-date of project			
FUNDING	**Contracted**	Insert Text	**Disbursed**	Insert Text
BUDGET YEAR 1	Insert Text			
CLIENT NAME	Insert Text			
CLIENT-TEL NO., E-MAIL	Insert Text			
COLLABORATION MEMBERS	Insert main collaboration members and names of representatives. Provide at least one other contact detail (Name, telephone, e-mail)			
CLIENT SIGNATURE, DATE	Insert Text			

CP COMMERCIALISATION PHASE	TRL: TECHNOLOGY READINESS LEVEL	INDICATE WHAT HAS BEEN ACHIEVED
Basic Research (CP1)	TRL 1 Basic principles	Insert Text
	TRL 2: Technology concept	Insert Text
Technology and Product (CP2)	TRL 3: Initial proof of concept	Insert Text
	TRL 4: Integrated components validation in a laboratory environment	Insert Text
	TRL 5: Integrated components validation in a relevant environment	Insert Text
	TRL 6: System/subsystem model or prototype demonstration in a relevant environment	Insert Text
	TRL 7: System prototype demonstration in an operational environment	Insert Text
	TRL 8: Actual system completed and qualified through test and demonstration	Insert Text
	TRL 9: Actual system proven through successful operations	Insert Text
Market Validation and Launch	CP3: Market validation and launch	Insert Text
Expansion	CP4: Expansion	Insert Text

EXECUTIVE SUMMARY

In less than 200 words,

1. *Give an overview of the project, objectives and expected outcomes, as set out in the agreement.*

2. *Describe the status (on track, re-scope proposed, delay: reason, impact, mitigation plan, tactical change required, potential show-stopper)of each of the objective, milestone and activities*
3. *Provide a narrative describing what has been done to work towards accomplishing the planned activities milestones and activities.*
4. *Report on any barriers encountered and how the barriers were addressed. In the event that the barriers remain unaddressed, please provide reasons.*
5. *Define any changes in the global and local market that have significant impact on the continuation and successful completion of the project, e.g introduction of new product/ technologies in the market.*
6. *Report on achievements and challenges encountered over the reporting period*

MILESTONE AND DELIVERABLES STATUS

<List the project milestones for the entire project as captured in the agreement and the activities in the table provided below. Fill in the actual completion dates, milestone status as either of the following on-track, re-scope proposed, delayed. Provide a justification for any activities that are still in progress or were not met. NB: Please put in all the progress information on milestone for the previous and the quarter under review>

Milestone	Planned Activities		Achieved Activities	Criteria	Completion Date	Progress
M1	1					
	2					
M2	1					
	2					

PROJECT FINANCIAL INFORMATION

<Use the financial statement excel sheet provided to you. Information in the budget section must be aligned with agreed budget according to the project plan and contract. Please ensure the budget is sufficiently detailed and add notes to explain all significant variations from budget >

MARKET AND INDUSTRY TRENDS

4.1 Market Trends

<Use the financial statement excel sheet provided to you. Information in the budget section must be aligned with agreed budget according to the project plan and contract. Please ensure the budget is sufficiently detailed and add notes to explain all significant variations from budget >

Market or industry trend	Impact on your business	Your contingency plan
General comments on your market (customers) and industry (competitors)		

(Also provide numbers on the table below)

No of discrete Product/Service Offerings	No of local Partnerships	No of International Partnerships

4.2 Technology Trends

<Use the financial statement excel sheet provided to you. Information in the budget section must be aligned with agreed budget according to the project plan and contract. Please ensure the budget is sufficiently detailed and add notes to explain all significant variations from budget >

Emerging technology (and time to come to the fore)	Impact on current technologies	Your contingency plan
General Comments on technology		

INTELLECTUAL PROPERTY

b) <Please list (including country of issuance/filing and the owner) any patents, trade-marks, copyright been issued or patent applications been filed or inventions disclosed on any of the existing technology in this quarter on which (i) the project inventions would be dependent, or (ii) that will be further developed as part of the project? Also list any in-licensed IP/technologies. Note that more detail in relation to IP issues should be incorporated in the Quarterly Technical Progress Report>

DESCRIPTION	COUNTRY OF ISSUANCE/FILING	OWNER

(Also provide numbers on the table below)

LIST PATENTS GRANTED	LIST PATENTS FILED	LIST PATENTS IN-LICENCED

PROJECT RISK MANAGEMENT

<In less than 200 words, provide an update to the risk matrix identified at project definition workshop, with potential future risk and these have been mitigated.>

TEAM CAPABILITIES TO COMPLETE THE PROJECT

<In less than 200 words, list all the issues related to the team's capabilities to complete the project as originally planned and agreed on the contractual agreement.>

CONTRACT MANAGEMENT

<In less than 200 words, please indicate whether are potential contractual agreement entered upon with third party and terms of the agreement and, how it impacts on TIA funding. Eg license agreement, manufacturing agreement.>

INFORMATION MANAGEMENT

<In less than 250 words, describe the information management arrangements adopted for the project phase e.g. document control, storage, security and backup of hard copy and soft copy records and documents, level of documentation maintained. Identify any issues that arose because of these arrangements.>

5.2 Progress Review Report (Template No:11)

PROJECT NAME AND PROJECT NUMBER			
COMPANY NAME			
TIA CONTRACTED AMOUNT			
TOTAL CO –FUNDING AMOUNT			
TOTAL PROJECT FUNDS			
DISBURSEMENT TO DATE		**Expenditure to date**	
REMAINING COMMITMENT - TIA			
STA *(SPECIFY)*			
REPORTING PERIOD			

1. PROJECT AIM AND OBJECTIVES

<In less than 150 words, provide the aim and the objective of the project

2. STATEMENT OF PROGRESS

< In less than 150 words, give a summary of the performance of the project.>

3. PROGRESS MADE VERSUS PLANNED WORK

<In less than 150 words, provide a review of the project progress which should include work completed, work still to be conducted, any delays in completing project activities and milestones and, actual project deliverables.>

4. FINANCIAL ANALYSIS

<Analyse milestone expenditure against budget, use or application of funds disbursed. Use the guidelines provided to financial analysis>

5. RELEVANT INDUSTRY TRENDS

<In less than 150 words, indicate the changes in the market, technology, industry that impact the original value proposition of the project.>

6. CHANGES OR UPDATES TO THE RISK PROFILE,

<In less than 150 words, provide an update to the risk matrix identified at project definition workshop, with potential future risk and these have been mitigated.>

7. TEAM CAPABILITIES TO COMPLETE THE PROJECT

<In less than 150 words, provide an analysis of the parties to the project and their respective financial and non-financial contributions and, consider the adequacy of the team to complete the project.>

8. CONTRACT MANAGEMENT

<Provide a review of the project compliance with TIA funding agreement and review of any third-party agreement.>

9. RECOMMENDATION FOR THE FUTURE

<Recommendations>

10. SIGNATURES

____

PREPARED BY <Insert Name>

____

REVIEWED BY <Insert Name>

5.3 Project Deviation (Template No:12)

PROJECT TITLE	Insert Text	**PROJECT NO.**	Insert Text
BUSINESS UNIT	Insert Text	**BENEFICIARY**	Insert Text
TIA CONTRACTED AMOUNT	Insert Text	**AMOUNT DISBURSED TO DATE**	Insert Text
PROJECT START DATE	Insert Text	**PROJECT EXPECTED COMPLETION DATE**	Insert Text
NOMINATION REPRESENTATIVE	Insert Text	**PORTFOLIO MANAGER NAME**	Insert Text

DEVIATION REQUEST DETAILS			
BUDGET	☐	**TERMS OF THE AGREEMENT**	☐
ROYALTY PAYMENT	☐	**EQUITY STRUCTURE**	☐
HUMAN RESOURCES	☐	**REGULATORY**	☐
PROJECT SCOPE/STRATEGY (MILESTONES NOT AFFECTING FINAL PROJECT LIFECYCLE, DELAY OF FINAL PROJECT DATE, EARLY COMPLETION OF THE PROJECT)	☐	**QUALITY/ TESTING**	☐
PROJECT TIMELINES	☐	**OTHER:**	☐
CAPITAL EQUIPMENT	☐	**EXPLAIN OTHER:**	Insert Text

1. DESCRIBE THE DEVIATION

In a maximum of 200 words, provide an explanation of the actual deviation.

2. CAUSE OF THE DEVIATION

In maximum of 200 words, describe what cause the need for this deviation.

3. IMPACT OF THE DEVIATION

In a maximum of 200 words, detail the impact of the proposed deviation on the project, time and budget.

4. IMPACT OF NOT DEVIATING

In maximum of 200 words, explain what is the impact if the deviation is not approved?

5. RISK ASSESSMENT

Indicate how different the risk profile as compared to the current or contracted investment is. List all risks that have been identified as a result of this deviation, together with proposed mitigation to address the risks.

5.4 Close-Out Report (Template No:13)

PROJECT NAME	Insert			
PROJECT NUMBER	Insert			
DATE COMPILED	Insert			
PROJECT START DATE	Date			
ACTUAL PROJECT END DATE	Date			
FUNDING	CONTRACTED	R Insert	DISBURSED	R Insert
BUDGET YEAR 1	Insert			
CLIENT NAME	Insert			
CLIENT-TEL NO., E-MAIL	Insert			
COLLABORATION MEMBERS	Insert			
CLIENT SIGNATURE, DATE	Insert			

BACKGROUND

Give the background, aim, objectives, challenges, achievements and status of the project.

REASONS FOR CLOSE OUT

Detail the reasons for closing the project. Indicate whether the project objectives have been achieved or not, if not why.

PARTNERS VIEW ON CLOSING OUT

What is the partners (co-funder, client or consortium members) view of closing out. Are they in agreement with the close out.

FINANCIAL POSITION

Detail the financial position of the project, focusing on asset acquired, IP developed, bank account (surplus and undisbursed funds) and liabilities (Creditors).

LESSONS LEARNT

What lessons did you learn in the project.

RECOMMENDATION

Provide recommendation on legal entity, assets, IP, liabilities, bank account (surplus and undisbursed funds)

FUTURE CONTACTS

SECTION B:

TECHNOLOGY STATIONS PROGRAMME

1. TECHNOLOGY STATION FUNCTIONAL REQUIREMENTS

The business rule related to spell checks under technology station functional requirement must not be implemented.

1.1 Client Capturing Form

Prospective SMME/entrepreneur will approach a Technology Station (via phone, email or walk in). A client capture form is completed and submitted with the assistance of the Technology Stations personnel. A meeting could be arranged to assist capture the client's information. The verification of the ID and company registration details are necessary for this stage to ensure that support is provided to south African citizens and/ or individuals holding permanent residents. System must provide ID and CPIC verification functionality.

Functionality	Specification	Comply	Not comply
Capture client details on the client capturing form			
1.1 Create login credentials	The system must enable user profile registration (username and password).		
1.2 Reset login credential	The system must enable the user to reset a new password and username if they have forgotten their password/ username.		
1.3 Send login notification	The system must send login notification to the user, detailing the username and password.		
1.4 Capture Client details	The system must enable the user to capture client information on the client capturing form.		
1.5 Upload Client Capturing Form	The system must provide capability to upload client capturing form		
1.6 Receive request from clients via email	The system must provide capabilities for clients to submit request via email that is		

Functionality	Specification	Comply	Not comply
	interfaced/ embedded within the solution provided.		
1.7 Transfer client information into the system	The system must provide capabilities to automatically transfer mandatory field into the system for users to action		
1.8 Report on performance information	The system should provide capabilities of reporting based on various criteria, e.g. gender, youth, race, age, region, etc		
1.9 Verify ID and company registration and tax compliance	The system must provide capabilities to interface with Home Affairs, SARS, CSD and CIPC for verification of identify documentation, company registration and tax compliance status. (The list is not exhaustive; this will be expanded with time based required stakeholder consultation)		
1.10 Create reference number	The system must provide capability to create an enquiry number and a reference number for every client that have accepted the quotations and other services rendered by TIA.		
1.11 Generate attendance register	The system must provide capability for creation of attendance register and allocation of a reference number for each client assisted during capacity development at various areas.		

Functionality	Specification	Comply	Not comply
1.12 Send notification after client details are captured	System must provide capability to send out SMS and email notifications to clients who have been successfully captured		
1.13 Auto save and recover information for completed sections	The system must provide capability to auto save and recover information for completed section.		
1.14 Print completed sections	The system must provide capability to download and print completed client capturing form		
1.15 Submit client capturing form	The system must provide capability to submit the completed client capturing form		
1.16 Repeat clients	System must provide capability to indicate and report on repeat client served according to various jobs provided at any technology station		
1.17 Transfer client from one technology station to other	System must provide capability to transfer client from one technology station to the other while retaining the same unique reference number		
1.18 Capture joint/ collaborative projects	System must provide capability for technology stations who are collaborating on the same project, to capture activities that will be conducted by that station and the outputs thereof.		

Functionality	Specification	Comply	Not comply
1.19 Report on joint/ collaborative projects	The system must provide capability for users of a joint/ collaborative projects to report against activities that they needed to complete		
1.20 Report on joint/ collaborative projects	The system must provide capability to issue a single report for joint/ collaborative projects		
1.21 Change of records	The system should provide capability for change approval process		
1.22 Audit trail for all records	The system must provide capabilities for audit trail of all records submitted and changed		

1.2 Activity Management Process

A meeting must be scheduled with potential client and station/platform personnel to unpack and agree on the scope of work. The scope of work must clearly define the anticipated outputs of the project, timelines, cost implications and team to be involved. The technical assessment also needs to be completed to determine the feasibility of the project and whether its suitable to be implemented.

Functionality	Specification	Comply	Not comply
1. Upload technical feasibility report	The system must provide capability for upload of the technical feasibility report (mandatory field on the system)		
2. Accept or reject the client	The system must provide capabilities to accept or reject the client based on the technical feasibility report		

Functionality	Specification	Comply	Not comply
3. Send email and SMS communication	The system must provide capability to issue a standard communication and/ or notification to rejected/ accepted client		
4. Complete scope of work	If the client is accepted, the system must enable the technology station to complete the scope of work that needs to be signed by both parties.		
5. Upload T051 form	The system must provide capability to upload the T051 form		

1.3 Final Quotation

A revised quotation with detailed scope of work (T051) is issued and all the services to be provided are stated on the quotation. If the station's contribution exceeds operational allocations, the project is referred to the Management Committee for a final decision. These decisions are then communicated to the SMMEs and finally negotiated; additional project funding can be applied from TIA/TSP or other funding agencies.

Functionality	Specification	Comply	Not comply
1. Issue quotation	The system must provide capability for technology station to issue quotations through system		
2. Accept / reject quotation	The system must provide capability for the SMME client to accept or decline a quotation		
3. Revise/ Reject quotation	If quotations are declined, then the system must enable technology stations to revise or reject the quotations should the SMME client not accept the initial quotations issued		

Functionality	Specification	Comply	Not comply
4. Issue final quotations that are VAT inclusive	The system must provide capabilities to issue final quotations that are VAT inclusive		

1.4 Subsidy Matrix

A subsidy scoring sheet is used to determine subsidy percentage that SMMEs qualifies for and whether the project will be subsidised at 100% or SMME will be required to contribute.

Functionality	Specification	Comply	Not comply
1. Download the subsidy matrix form	The system must provide capabilities for downloading of the subsidy matrix form		
2. Capture subsidy percentage on the subsidy matrix form	The system must provide capability to capture the percentage of the subsidy issued. The tally should be conducted on the form and the final score must be captured on the system.		
3. Create summary notes for 100% subsidy	If the SMMEs is subsidised 100%, then the system must provide capability to capture notes/ summary for disclosure on the subsidy to the Technology Transfer Office (TTOs).		
4. Download and upload IP 7 form	The system must provide capability to download and upload the IP 7 Form.		
5. Upload completed subsidy matrix	The system must provide capability to upload the signed subsidy matrix form.		
6. Report on clients that have been 100% subsidised	The system must provide capability for Technology Station to report on number of SMMEs that have been subsidised 100% and pull a report of the disclosures to TTOs.		

Functionality	Specification	Comply	Not comply
7. Approve 100% subsidy	Where the SMME has been subsidised 100%, the system must provide capability for technology station to request and capture Management Committee approval (approval/ escalation process)		
8. Flag previously subsidised clients	The system must provide capability to track the SMMEs with repeat project and flag number of times the SMMEs have subsidised.		

1.5 Project Sign Off or Acceptance of Work

The project sign-off and/ or acceptance of work is signed off once work has been completed by the technology station.

Functionality	Specification	Comply	Not comply
1. Sign acceptance of work/ project sign off	The system must provide capabilities for the client and/ or technology station to sign off the acceptance of work or project sign off document.		
2. SMS/ email project sign-off and/ or acceptance of work	The system must capability for sending out SMS and/ or email to client to accept or sign-off the acceptance of work and/ or project sign-off. **Workflow:** **Client select Yes:** The system must provide capability for the project to the technology station to co-sign **Technology Station Yes:** The system must provide capability for the technology		

Functionality	Specification	Comply	Not comply
	station personnel to sign the project sign-off and/ or acceptance of work **Client selects No:** The system must provide capability for client to comment and redirect the project back to the technology station not as closed.		
3. Timestamp all project sign-off and acceptance of work	The system must provide capability to capture time signed by clients and/ or technology stations personnel.		

1.6 Functional and Operational, Non-Functional, and Non-Operational Technology Station

Functionality	Specification	Comply	Not comply
Build technology station key performance indicators	• The system must provide capability for automation of the technology station key performance indicators. • The system must provide flexibility for TIA to update the technology station key performance indicators as and when they change. • The system must provide capability for the technology station key performance indicators to be created per TIA financial year.		
Issue technology station key performance indicators	• The system must provide capabilities for the technology station key performance indicators to be issued to Technology Station personnel		
Complete technology station key performance indicators	• The system must provide capability for the Technology Station personnel to complete the technology station key performance indicators, as part of Monitoring and Evaluation Reporting.		

<table>
<tr><th>Functionality</th><th>Specification</th><th>Comply</th><th>Not comply</th></tr>
<tr><td></td><td>• The system must provide capability for PMs to complete the technology station key performance indicators.</td><td></td><td></td></tr>
<tr><td>4. Validate, verify, and update the technology station KPI</td><td>• The system must provide capability for the PMs to validate, verify, and update the technology station KPIs numbers initially captured by the Technology Station personnel.</td><td></td><td></td></tr>
<tr><td>5. Calculate functional and operation and/ or non-function and non-operational</td><td>The system must provide capability to calculate the technology station performance as outlined in table below.
<table>
<tr><th colspan="2">Assessment Areas</th><th>Weight Contribution</th><th>Q Performance</th><th>%</th></tr>
<tr><td rowspan="2">Operational: Planning and Funding Allocations (55% weight) Pre-investment</td><td>Operational Plans and Budget Approved</td><td>35%</td><td>100%</td><td>35,0%</td></tr>
<tr><td>Disbursement to TS:HEI</td><td>20%</td><td>100%</td><td>20,0%</td></tr>
<tr><td>Functional: Corporate and management indicators Are they doing what they are committed to do (45 weight%) Post- investment</td><td>TS Maturity Levels Rating as a %</td><td>45%</td><td>100%</td><td>45,0%</td></tr>
<tr><td></td><td></td><td>Overall %</td><td>100%</td><td>100%</td></tr>
</table></td><td></td><td></td></tr>
<tr><td>Classify according to functional and operational as well as non-functional and non-operational</td><td>The system must provide capability to generate a report on which technology stations are functional and operational and/ or non-functional and non-operational. The technology station is functional and operational at 90% and any percentage lower is non-functional and non-operational.

Note: The report must be generated on TIA’s annexure B 2.1 form, editable by the PM</td><td></td><td></td></tr>
</table>

Functionality	Specification	Comply	Not comply
Edit Annexure B 2.1	The system must provide capability for PM to edit Annexure B 2.1.		
Issue complete Annexure B 2.1	The system must provide capability for PM to issue completed Annexure B 2.1 form to Head for review.		
Sign Annexure B 2.1	The system must provide capability for the Head and PM to sign off Annexure B 2.1 for submission to Monitoring and Evaluation Specialist.		

SECTION B: SUPPORTING DOCUMENTS AND TEMPLATES

1.7 Client Capturing Form (Template No:14)

Personal Details*

Technology Station		
First name (s)		
Last Name (Surname)		
ID number		
Are you disabled?	**Yes:**	**No:**

Mr	Mrs	Miss	Dr	Other
Gender	Male		Female	
Youth	Yes		No	
Race	African	White	Coloured	Indian
Nationality				
Type of Disability (Voluntary disclosure)				

Contact details*

Address line 1	
Address line 2	
Area Code	
Telephone	
Cell phone	
Work Tel	
Other	
Fax	
Email	
Website	

Business Details*

Do you have a business			Yes	No	
Name of business					
Business Type	CC	Pty	Sole Prop	Co-op	NFP
Registration no.					
Tax No.					
VAT					
Tax Clearance			Yes	No	
No of employees	Males		Females		
Annual Turnover					
Business Profile (BF)	SME	Large	HEIs/SC *	Start-up	
(BF) if other					

*** Science Councils**

Service at Technology Station

Testing	
Analysis/Analytical Services	
Manufacturing	
Consultation/Technology Audit	
Product & Process Development	
Applied Engineering Design & Development	

Description of Business/Idea

Information Provided

Drawing	CAD Data	Sample	Other	

Research and Development	
Technology Demonstration /Training	
3D Prototyping	

Expectation on product/process	
SABS Approval	
Quality Standards	
Compliance	
Competitive	
Green Technology	
Ability to perform practical application after training	

If other	

Envisaged socio-economic impact	
Technological Innovation	
New Markets or Larger Markets	
Export Facilitated	
Jobs Created / Secured	
Productivity /Increase in turnover	

Client name*:

____

Signature: __________________________________ **Date**: ___________________

Technologist / Engineer Signature*____ **Date**:

____

1.8 Subsidy Scale Matrix (Template No:15)

Subsidy Scale Matrix

*Only in very extreme cases will a 100% subsidy be given. Normally, the highest subsidy offered is 50%. When something is offered free of charge, the person will often not worry if no progress is made. (2008 IPR Act compliant)

Form 003

Client Name		**Project Number:**	
SCORE CRITERIA		**POINTS**	**SCORE**
TURNOVER PER ANNUM	Below R 200,000.	25	
	R 250,000 - 350,000	20	
	R 350,000 to R 550,000	15	
	R550,000 to R 1,000,000	10	
	R 1,000,000 to R 2,000,000	5	
	Above R2,000,000	0	
PROJECT VALUE	Below R50,000	25	
	R50,000 to R 150,000	20	
	R150,000 to R200,000	15	
	R200,000 to R300,000	10	
	R300,000 to R 500,000	5	
	Below R2500	0	
PDI SHAREHOLDING	100%	25	
	81 to 99%	20	
	61 to 80%	15	
	41 to 60%	10	
	21 to 40%	5	
	0 to 20%	0	
REPEAT PROJECTS	1st Project	25	
	2nd Project	20	
	3rd Project	15	
	4th Project	10	
	5th Project	5	
	6th Project and more	0	
TOTAL OUT OF 100			

SCALE OF SUBSIDY	
Below and up to 45	**65%**
46 to 55	**70%**
56 to 65	**75%**
66 to 75	**80%**
76 to 85	**85%**
86 and above	**90%**

Recommended by Station Engineer ___________________________ Date: __________________________

Authorized by Station Manager ______________________________ Date: ___________________________

1.9 Quotation (Template No:16)

Quotation /Cost Estimate				Form 002
Company			**Quote/Project no**	
Contact Person			**Date**	
Postal Address				
Tel				
Cell				
Email				
Description of work to be done		**Unit Cost**	**Quantity**	**Total**
NOTE: This quote/estimate is valid for 15 days Delivery will be discussed on receipt of order			**Total excl VAT**	
			less subsidy	
			14% VAT	
			Total incl VAT	

Acceptance

I hereby accept the quote, subject to the stipulations as specified and I guarantee that I am property authorized in terms of the Resolution:

Signature	Capacity
Print name	Date
Order number (compulsory)	VAT registration number (compulsory)

Purchase order to be made out to xxxxxxxx University of Technology
Work will only commence on receipt of order number and company VAT registration number
Please compete and return via fax to xxx xxx xxxx

1.10 Funding Application (T051-Template No:17)

Request for project funding: Application form

Technology Station					
Request for approval of / additional funds for Major Projects					
1. Company details					
Name of business					
Type of business					
Location (City and Province)					
Physical address					
Telephone and fax					
Email address					
Contact person					
Annual Turnover					
Number of Employees					
Ownership and management	**HDI/BEE**		**YES**		**NO**
Gender	**Male**		**Female**		
Project	**Start Date**		**End Date**		
2. Project details (please give detailed information on the items listed below)					
Brief Description of Project, including both its start date and end date					
Motivation (why is it important; which company will benefit; expected outcomes)					
What are the main new ideas driving this innovation, in comparison with existing technologies/techniques/process?					
Has confidentiality agreements and IP issues been addressed?					
How will the project address the competitiveness of the SME(s) involved?					

1.11 IP 7 Form (IP 7 Form-Template No:18)

Docket Number	**Invention Disclosure Form**	Responsible Person

INSTRUCTIONS:

1. All disclosures of inventions, plant bred varieties, functional designs and computer programmes have to be made on this form
2. Please complete the form fully by using the instructions provided throughout the form as guidelines
3. Once complete, please click on “file”, then “save as”, then “tools” (towards the top right hand corner), then “security options”
4. Please select a password and enter it in both the fields “password to open” and “password to modify”.
5. Click on “okay”
6. Please re-enter the same password in the field “reeenter password to open”
7. Please email the protected form to the Directorate of Research and Innovation
8. Please provide the Innovation Manager with the password either by phone (+27 12 382 4985) or by fax (+27 12 382 5325)
9. **Ensure that you keep your password safe and that you give it to no other but the Innovation Manager**

1. TITLE OF INVENTION - *(Use a brief but concise title to best name the invention.)*

2. DESCRIPTION OF INVENTION
2.1 Describe the general purpose of the invention - *(Describe the potential **application** of the invention. Technical details should be limited.)*
2.2 Explain the problem that the invention solves - *(Identify and describe the technical or commercial **problem** that the invention would solve in the fields of trade or industry or agriculture.)*
2.3 Technical description of the invention - *(Provide a **detailed** technical description of the invention. Use diagrams to aid in your description if need be. Also highlight aspects of the invention that make it **unique**.)*
2.4 Keywords - *(Provide a short list of keywords that highlight the important aspects of the invention. This will be used as a basis for conducting the necessary searches.)*
2.5 Indicate the development stage of invention - *(Indicate if a laboratory prototype, a full-scale prototype, a model system, a complete product, a software programme is available. Also briefly mention what additional development will be required to realise a near-ready product/service/process.)*

SECTION C:

LEGAL DOCUMENT CONTROL

1. LEGAL SERVICE FUNCTIONAL REQUIREMENTS

The legal service functional requirements are articulated below.

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
UR001	Authentication	Login	• The system must provide the user the ability to log in or the system will login the user automatically in case they are on TIA directory and they are linked to the legal system		
UR002		Logout	• The system must provide capability for user to logout after user logged in successful.		
UR003		Change Password	• The system must provide capability for user to change password		
UR004		Forgot Password	• The system must provide capability for user to request for new password		
UR005	Request for due diligence services	Create Request	• The system must provide capability for line of business to request for services to Legal Service Business unit		
UR006		Submit Request	• The system must provide capability for line of business to submit request for services to		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
			Legal Service Business unit		
UR007		Attach documentation	• The system must provide capability for line of business to attach documentation to request for services submitted to Legal Service Business unit		
UR008		Documentation dropdown list	• The system must provide capabilities for a dropdown list of mandatory documentation required by Legal Service to review and accept the request require		
UR009		Edit Request	• The system must provide capability for line of business to edit request for services to Legal Service Business unit as and when required before the submission of request or after the additional information request by Legal Advisor		
UR010		Cancel request	• The system must provide line of business with ability to cancel request for services to Legal		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
			Service Business unit before the allocation has been conducted by the Head: Legal Services. The cancellation request after the allocation must be followed by reasons for cancellation.		
UR011	Workload Management	Resource Allocation	• The system must provide capabilities to assess each team members workload prior to allocation of workload		
UR012		Workload dashboard	• The system must provide capabilities for all team members to access the business unit workload dashboard		
UR013		Assign and reassign workload	• The system must provide capability to assign and reassign due diligence service request to any of the team members based on workload		
UR014	Due Diligence Project Plan	Design project plan	• The system must provide capabilities for the due diligence team to create a project plan with specific milestones, deliverables and timelines		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
UR015		Update project plan	• The system must provide capabilities for the due diligence team to update the project plan as work gets completed		
UR016		Download project plan	• The system must provide capabilities to download the project plan		
UR017		Print project plan	• The system must provide capabilities to print out the project plan		
UR018		Due diligence service level agreement (SLA)	• The system must provide capabilities to capture due diligence SLA and track outputs by each deal team member		
UR019	Request for operational contracts from Supply Chain Management	SCM agreements request	• The system must provide capabilities to interface with TIA business process management from Supply Chain Management that deals with requisition management and tender management process		
UR020	Contract Management	Create a new Contract	• The system must provide capabilities to upload a MS word version of contract for comments and inputs		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
UR021		Issue Contract	• The system must provide capabilities to issue the contract to clients for comments and inputs		
UR022		Update Contract	• The system must provide capabilities to update contract with comments and inputs obtained		
UR023		Sign contract	• The system must provide for capabilities to interface with Docusign for electronic signatory		
UR025		View expiry and renewal date	• The system must provide capabilities for users to view the contract expiry or renewal date		
UR026		Unique reference number	• The system must provide capability to allocate each contract with a unique reference number		
UR027		Issue contract register	• The system must provide capabilities to create a contract register reflecting the following fields: - Name of Contract - Type of contract - Signature Date - Business Unit		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
			- Amount Contracted - Contract duration period - Type of funding Agreements/type of Service Agreements		
UR028		Search Contract	• The system must provide capabilities to search for contracts		
UR029	User Management	Add new User	• The system must provide capabilities for System administrator to add new User		
UR030		Update User Information	• The system must provide capabilities for Executive Manager to update User's information		
UR031		Delete User	• The system must provide capabilities for System Administrator to delete a User		
UR032		Grant roles to users	• The system must provide capabilities for System Administrator to grant roles to User		
UR033		Revoke roles from users	• The system must provide capabilities for Head: Legal or System		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
			Administrator to revoke roles to User		
UR034	Work initiation	Receive request	• The system must provide capability request from the client		
UR035		Allocate request	• The system must provide capability for System administrator and/or Head: Legal Service to allocate request to Legal Advisor.		
UR036	Notification	Notify client, staff and legal advisors	• The system must send notification letter to client for the request • The system must automatically notify Head of legal request issued to the unit • The system must automatically notify Legal Advisor of legal request allocated by Head: Legal Services • The system must automatically inform Legal Advisors reviewing legal request • The system must provide capabilities to send alerts, notifications and reminders		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
			• The system must provide capabilities to send draft contracts to TIA clients • The system must provide capabilities to send final contract/ issue Execution Copy to TIA client		
UR036	Maintenance of information	Maintain and update user information	• The system must provide the ability to update and maintain client information • The system must enable Legal to update the documents related to a specific file once more documents are added, replaced or removed • The system must provide Legal with capabilities to capture information and upload supporting documents.		
UR037			• The system must provide capabilities to manage files which contain the documents related to request.		
UR038	Information extraction	Download and print information	• The system must enable Legal to download and print any information including contract,		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
			contract register, turnaround times, etc		
UR039	Information index	Index records	• The system must provide capabilities to index records including archive schedules		
UR040	Information tracing	Track and trace information	• The system must track progress made on each case/request • The system must track history of each transaction/ request/case • The system must enable tracking of correspondence with TIA client		
UR041	Information dashboard	Display various statistics	• The system must provide capabilities to demonstrate workload for each Legal Advisor to ensure activities are completed on time • The system must provide capability to display task allocated to Legal Advisor • The system must provide visibility for all the Legal Team of work allocated to each team member		

FR Use case ID	Functional Group	Requirements Name	Requirements Description	Comply	Not comply
UR042	Timelines tracking	Track various turnaround times	• The system must provide capabilities to track turnaround time taken by client to respond back to TIA with comments • The system must provide capability to track time taken by Legal Advisors to complete activities assigned to them		
UR043	Contract review scheduling	Schedule meeting/event	• The system must provide ability to schedule contract review sessions with TIA clients		
UR044	Work progress status	Provide work progress status	• The system must provide the status of the progress of work, work recently resumed, partially done, completed, work closed or finished, contract signed, Work paused or On-hold due to particular reasons, contract expired, Work/Litigation sent for external review, Valid contract, Obsolete contract, etc		

SECTION D:

GRASSROOT INNOVATION PROGRAMME (GIP) and INNOVATION SKILLS DEVELOPMENT (ISD)

1. GRASSROOT INNOVATION PROGRAMME FUNCTIONAL REQUIREMENTS

ID	Title	Description	Comply	Not comply
GIPFR_001	Create login credentials	• The system must provide capability for applicant to create username and password.		
GIPFR_002	Resend login credential	• System must provide capability for applicant to reset username and password, create a new password and username if they have forgotten their password/ username		
GIPFR_003	Send login notification	• System must provide capability to send login notification to applicant, detailing the username and password		
GIPFR_004	Complete on-line application	• The system must provide capability for applicant to create and populate an application.		
GIPFR_005	Print completed sections of the application	• The system must provide capability to download and print completed applications		
GIPFR_006	Upload of additional information to the application	• The system must provide capability to upload additional information required from applicants		

ID	Title	Description	Comply	Not comply
GIPFR_007	Submit application	• The system must provide capability for applicant to submit validated application		
GIPFR_008	Send notification to the applicant of registered and submitted application	• The system must provide capability to notify applicant about the registered application by sending username and password and the application reference number. • The system must provide capability to send confirmation of submission to the applicant.		
GIPFR_009	Send notification PM of submitted application	• System must provide capability to send a submission notification to the PM and Coordinators of the GIP		
GIPFR_010	Allocate application	• System must provide capability for PM / System Administrator to allocate the projects to assessors.		
GIPFR_011	Track application audit trail	• The system must provide capability for an audit trail of application from inception. • The system must provide applicants with capability to track status of their application as it progresses		

ID	Title	Description	Comply	Not comply
		through the evaluation and approval process: (1) Under review (2) Shortlisted (Pitching Invitation) / Rejected (Rejection Communication) (3) Stage 2: Submission to Exco (4) TIA-DSI Innovation for Inclusive Development Steering Committee (5) Approved (Award Communication) / Rejected (Rejection Communication) (6) Contracting		
GIPFR_012	Refer application	• The system must provide capability to refer applications to other TIA instruments. • The system must provide capability to refer application to external stakeholder with the applications as attachment.		
GIPFR_013	Withdraw application	• The system must provide capability for applicants to withdraw the application from TIA.		

ID	Title	Description	Comply	Not comply
GIPFR_014	Amend application	• The system must provide capability for applicant to amend application.		
GIPFR_015	Allocate, unallocated application	• The system must provide capability for system administrator to allocate the application to PM / Assessors to conduct assessment. • The system must provide capability to send alerts to Head and PM of unallocated applications. • The system must provide capability to perform multiple allocation at same time.		
GIPFR_016	View status of application	• The system must provide capability for client to be able to view the status of their applications.		
GIPFR_017	Make shortlisting recommendation	• The system must provide capability for PMs to make recommendation regarding the shortlisted candidates.		
GIPFR_018	Invite shortlisted candidates to the pitch	• The system must provide capability to invite shortlisted candidates to pitch. • The system must provide capability to send SMS and e-mail notifications to the		

ID	Title	Description	Comply	Not comply
		shortlisted applicants informing them about an invitation to the pitch.		
GIPFR_019	Evaluate application pitch	• The system must provide capability for Judges to conduct and capture candidate pitch evaluation directly on the system.		
GIPFR_020	Compile pitch recommendation	• System must provide capability for Judges to conduct pitch evaluation recommendation.		
GIPFR_021	Applicant to complete investment profile	• The system must provide capability to request applicants to provide additional information for the investment profile		
GIPFR_022	Invite an applicant to training /or boot camp	• System must provide capability to invite an applicant to attend training or boot camp.		
GIPFR_023	Create approval pack for steering committee	• The system must provide capability to create an approval pack that will be submitted for TIA-DSI IID Steering Committee deliberation		
GIPFR_024	Send Steering Committee decision	• The system must provide capability to send email and SMS notification to applicant		

ID	Title	Description	Comply	Not comply
	communication to applicant	communicating TIA CEO/Executive decision. Decision can either be approval, rejection or deferred.		
GIPFR_025	Create GIP Programme statistics	• The system must provide capability to create Programme statistics (Race, Gender, Age, Disability, Province, City/Town/Suburb, Municipality etc.)		
GIPFR_026	Create Application Report	• The system must provide capability to create an application report including (Name, Surname, Application, Project number, date of submission, date of allocation, Date of assessment completion, Assessment Recommendation/Outcome, Comments for recommendation. ID Number of applicants, DOB, Gender, Race, Financial Year)		
GIPFR_027	Capture Contract	• The system must provide capability for PM to capture contract received from Legal		
GIPFR_028	Capture project details (support package,	• The system must provide capability for Programme Manager/ Portfolio Manager		

ID	Title	Description	Comply	Not comply
	milestones, deliverables, activities, budget and timelines	to capture information from funding agreement such as milestones, deliverables, activities, budget and timelines • The system must provide capability to extract content of the agreement to enable reporting – milestones, deliverables, activities and timelines		
GIPFR_029	Create on-line progress report	• The system must provide capability for client to create an online progress reports and upload required supporting documentation as per progress and required evidence reporting requirements.		
GIPFR_030	Submit quarterly report	• The system must enable client to submit quarterly reports and receive an email and SMS notification.		
GIPFR_031	Track status quarterly report	• The system must provide capability for client to view the status of the report whether has been reviewed by PM or not.		
GIPFR_032	Add new risk	• The system must provide capability for client to add		

ID	Title	Description	Comply	Not comply
		new risks without deleting the old risk populated by the PM.		
GIPFR_033	Review quarterly reports	• The system must provide capability for PM review and make notes/recommendations on a quarterly report submitted by client and notify client of the recommendations.		
GIPFR_034	Send notification to Head of the completed quarterly reviews	• The system must provide capability to send notification to the Head of completed quarterly report reviews		
GIPFR_035	Edit reviewed quarterly report	• The system must provide capability for Head to edit quarterly report review with track changes and submit it back to PM.		
GIPFR_036	Sign quarterly review report	• The system must provide capability for PM and Head to sign the quarterly review report by means of electronic signature.		
GIPFR_037	Update and amend contracted project plan	• The system must provide capability for clients to submit their request to update or amend project plan		

SECTION D: SUPPORTING DOCUMENTS AND TEMPLATES

Assessment Scoring: Template No 18

Project Name:					
Project Number:					
Assessment Date:					

INSETA CALL FOR PROPOSAL ASSESSMENT 18 DECEMBER 2020					
Criteria	**Description**	**Comments**	**Score 1-5 (1 = Poor 2 = Fair, 3 = Good, 4 = Very Good, 5 = Excellent)**	**Weighting**	**Weighted score**
Innovation					
Value proposition					
Target Market					
Clarity of Needs					
Social impact					
					0
					0
Overal comment					
Recommendation					

Judging Scoring Sheet Template 19

science & technology
Department: Science and Technology
REPUBLIC OF SOUTH AFRICA

technology innovation AGENCY

Grassroots Innovation Programme
Pitching Scoring Sheet

Name of Applicant	

(B) Evaluation Criteria	**Comments**
Defining the Problem	
Technology Solution	
Packaging the Solution for the Market	
How will it make money?	
The Innovator Entrepreneurs connect to purpose (Intention) □ **Stamina** □ **Willingness to learn**	
Social Impact (problem being solved is clearly defined with clear reasoning why the particular product innovation being presented will solve the challenge)	

Final Comments:	Reccomended	Not Reccomended

GIP Package

Reviewer Name	
Title	
Organisation	
Signature	
Date	

1.1 Grassroot Innovation Programme information requirement

ID	Title	Description	Comply	Not comply
GIPIR_001	Pitch Scoring Sheet	This report will consist of scoring from each judge		
GIPIR_002	Survey	A communication template to be sent with CRM links to the client for capture feedback (1) after submitting application (2) after pitching and (3) at the end of year one		
GIPIR_003	Project / investment profile	Client will be able to complete additional information on their project		
GIPIR_004	Programme Statistics Report	This report will consist of all demographics (Age, Gender, Race), number of applications submitted, Number of applications progressed to pitching session, Number of applications accepted, number of referred to TIA programme and number of applications referred to external support, Number of invited for training or boot camp		
GIPIR_005	Steering committee discussion	This report will contain all steering committee discussions		

SECTION E:

SEED FUND PROGRAMME

1. SEED FUND PROGRAMME FUNCTIONAL REQUIREMENTS

1.1 Registration and call for proposal

ID	Title	Description	Comply	Not comply
FR 1	**System Registration**			
FR1_001	Create implementing partner profiles	• The system must provide capability for TIA to create implementing partner profiles.		
FR1_002	Create login credential	• System must provide capability for implementing partners to create username and password		
FR1_003	Send login notification	• System must provide capability to send login notification to the implementing partners, detailing the username and password		
FR1_004	Create reference number	• The system must provide capability to create reference number for every application registered. This reference should reflect throughout the project lifecycle be at the pre-and post-approval.		
FR1_005	Open call for proposal window	• The system must provide capability for closed call for proposals to be opened by TIA to the implementing partners and/ or direct applicants		
FR1-006	Close call for proposal window	• The system must provide capability for the closed call for proposal window that was opened for implementing partners to submit their funding applications		

1.2 Funding Application and Assessment

ID	Title	Description	Comply	Not comply
FR 1	**Submit and assess application**			
FR1_001	Complete online application	• The system must provide capability for applicants working through the implementing partners to complete their funding application. • The system must provide capability for a drop down that allows applicant to choose the implementing partner they submit their application through • System must provide capability for applicants to submit their funding application		
FR1_002	Acknowledge receipt	• System must issue automatic respond acknowledging receipt of the funding application		
FR1_003	Assess application	• The system must provide capability for implementing partners to assess the application against a set of assessment criteria. (Use template number: 2) • The system must provide for capability for the Implementing partners to access specific application submitted to them. **Workflow** • ***Next Stage of Assessment***: Prepare for Implementing Partners • ***Reject***: Issue a communication to applicant		
FR1_004	Recommend application	• The system must provide capability to recommend applications that have progressed past the assessment stage		

ID	Title	Description	Comply	Not comply
		to the implementing partners steering committee.		
FR1_005	Issue implementing partners steering committee pack	• The system must provide capability to prepare and issue an implementing partner steering committee pack with supporting documentation.		
FR1_006	Create meeting agenda	• The system must provide capability to create meeting agenda with specific applications allocated against a specific date		
FR1_007	• Capture committe e decisions	• The system must provide capability to capture investment decisions taken by the implementing partners steering committee. The system must provide capability for PMs/ the committee to include a priority list of recommended applications, minutes to be uploaded by implementing partners. • Workflow ▪ Recommended/not recommended by SFCM: Prepare for Implementing Partners to ▪ Reject: Issue a communication to applicant • The system must provide capability for the committee to include prioritized applications and provide reasons for those that were not prioritised.		

ID	Title	Description	Comply	Not comply
FR 2	**Project Planning**			
FR2_001	Create project plan	• The system must provide capability for applicant to modify their project plan after the implement partner steering committee had assessed the applications		
FR2_002	Approve, amend, reject project plan	• The system must provide capability for TIA personnel to approve, further amend and or reject the amended project plan submitted through the implementing partners • The system must provide capability for communication to be issued to applicants whose projects have been prioritised for funding to amend their project plan.		
FR 3	**Recommendation report**			
FR3_001	Recommend application	• The system must provide capability to develop the recommendation report (comprising of all projects recommended for approval. List of projects must be pulled through the system) that will be channelled in accordance with TIA delegation of authority **Workflow** • Below and Equals R 1 million: Send recommendation to Executive for approval		

ID	Title	Description	Comply	Not comply
		• Below and Equals to R 5 million: Send recommendation to IAC for approval • Below and Equals to R 15 million: send recommendation to ExCo for approval		
FR3_002	Executive approval	• The system must provide capability for the Head of the Business Unit to submit the recommendation pack (memo, list of implementing partners selected projects, project plans) to Executive • The system must provide capability for the Executive to amend, approve and/ or reject the recommendation submitted. • The system must provide capability to capture decision and/ or resolution on each recommendation		
FR3_003	IAC approval	• **FR7_ Submit Approval Pack**		
FR3_004	ExCo/ IFC/ Board Approval	• **FR7_ Submit Approval Pack**		
FR 3-005	Submit progress report	• The system provide capability to submit progress report to the implementing partners twice a year • The system provide capability to submit the progress report pack to the implementing partners steering committee		

ID	Title	Description	Comply	Not comply
		• The system must provide capability for the implement partner steering committee decisions to be captured on the system (disbursement decision, deviation, termination, exit)		
FR 3_006	Submit sub-programme report	• The system must provide capability for the implementing partners to submit the subprogramme report to TIA The system must provide capability for the PMs to review the subprogramme report		
FR3_007	Complete closeout report	• The system must provide capability for PMs to complete the close-out report. • The system must provide capability for the PM to send the project documents. • The system must provide capability for the client to complete and submit the close-out report • The system must provide capability for the implementing Partners to provide comments on the submitted close-out reports		
FR3_008	Handle disbursement	• Description FR 3.4 (Handle funds disbursement)		
FR3_009	Deviation request	• Description FR 3.3 (Rescope project) • The system must provide capability for deviation request to be reviewed and approved by the implementing partners steering committee.		

ID	Title	Description	Comply	Not comply
FR3_0010	Handover projects to other business units	• The system must provide for capability for PM to handover projects to another business unit. • The system must provide capability for PMs to send invitation for project close out meetings with implementing partners to business units such as Bioeconomy and Commercialisation.		
FR3_0011	Exit and termination	• Description FR 3.5 (Project Exit, terminations and close out) • The system must provide capability for the implementing partners to redirect the funds for terminated projects to another project. • The system must provide capability for implementing partners to draw reports of funds that has been redirected to other project because of terminated projects.		
FR 4: Seed Fund Implementing Partners Onboarding				
FR4-001	Upload Expression of Interest	• The system must provide capability to upload the completed expression of interest • The system must provide capability to upload the expression of interest guidelines		
FR 4-002	Review and edit	• The system must provide capability for PMs and candidate to review and edit the submitted expression of interest.		

ID	Title	Description	Comply	Not comply
	expression of interest			
FR 4-003	Conduct due diligence on the expression of interest	• The system must provide capability for PMs to conduct the due diligence on the interested partners. (The due diligence covers the legal arrangements, corporate governance, and tax compliance)		
FR 4-004	Prepare recommendation report	• FR 3-001 Recommendation approval description		
FR 4-005	Executive Approval	• FR 3-002 Executive Approval description		
FR 4-006	IAC approval	• FR7 (001-009) IAC Approval description		
FR 4-007	ExCo/ IFC/ Board approval	• FR7 (010-015) ExCo/IFC/Board Approval description		

SECTION F:

GLOBAL CLEANTECH INNOVATION PROGRAMME (GCIP)

1. GLOBAL CLEANTECH INNOVATION PROGRAMME FUNCTIONAL REQUIREMENT

ID	Title	Description	Comply	Not comply
System Registration				
GCIPFR_001	Create login credentials	• The system must provide capability for applicant to create username and password.		
GCIPFR_002	Resend login credential	• System must provide capability for applicant to reset username and password, create a new password and username if they have forgotten their password/ username		
GCIPFR_003	Send login notification	• System must provide capability to send login notification to applicant, detailing the username and password		
GCIPFR1_004	Create reference number	• The system must provide capability to create reference number for every application registered. This reference should reflect throughout the project lifecycle		

ID	Title	Description	Comply	Not comply
Submit on-line Applications				
GCIPFR_005	Complete on-line application	• The system must provide capability for applicant to create and populate an application.		
GCIPFR_006	Print completed sections of the application	• The system must provide capability to download and print completed applications		
GCIPFR_007	Upload of additional information to on application	• The system must provide capability to upload additional information required from applicants		
GCIPFR_008	Submit application	• The system must provide capability for applicant to submit validated application		
GCIPFR_009	Send notification to the applicant of registered and submitted application	• The system must provide capability to notify applicant about the registered application by sending username and password and the application reference number. • The system must provide capability to send		

ID	Title	Description	Comply	Not comply
		confirmation of submission to the applicant.		
GCIPFR_010	Send notification Coordinator: GCIP of submitted application	• Whenever an application is submitted the system must provide capability to send a submission notification to the Coordinator GCIP.		
Complete application assessment				
GCIPFR_011	Allocate application	• System must provide capability for the Coordinator: GCIP to allocate applications that have been screened to PMs.		
GCIPFR_012	Track application audit trail	• The system must provide capability for an audit trail of the application from inception. • The system must provide capability for applicants to track status of their application as it progresses through the process		
GCIPFR_013	Refer application	• The system must provide capability to refer		

ID	Title	Description	Comply	Not comply
		applications to other TIA instruments. • The system must provide capability for external stakeholder with the applications as attachment.		
GCIPFR_014	Withdraw application	• The system provide capability for applicants to withdraw the application from TIA.		
GCIPFR_015	Amend application	• The system provide capability for applicant to amend application.		
GCIPFR_016	Allocate, unallocated application	• The system must provide capability for Coordinator: GCIP to allocate the application to PM to conduct assessment. • The system must provide capability for Coordinator: GCIP to receive notification of unallocated applications. • The system must provide capability to perform		

ID	Title	Description	Comply	Not comply
		multiple allocation at same time.		
GCIPFR_017	View status of application	• The system must provide capability for applicants to be able to view the status of their applications.		
GCIPFR_018	Conduct assessment	• The system must provide capability for PMs to conduct assessment on application and provide recommendations • The system must provide capability to send communication to applicants on the assessment conducted • The system must provide capability to notify Coordinator GCIP of the applications being assessed		
GCIPFR_019	Assess applications after round 1	• The system must provide capability for Legal Services to conduct an assessment on the application.		

ID	Title	Description	Comply	Not comply
GCIPFR_020	Create GCIP Programme statistics	• The system must provide capability to create Programme statistics (Race, Gender, Age, Disability, Province, City/Town/Suburb, etc.)		
GCIPFR_021	Capture Contract	• The system must provide capability for Coordinator GCIP to capture the terms and condition signed by the applicant on the system		
Round 2 Judging				
GCIPFR_022	Invite candidates to the pitch	• The system must provide capability to invite shortlisted candidates to pitch. • The system must provide capability to send SMS and e-mail notifications to the shortlisted applicants informing them about an invitation to the pitch.		
GCIPFR_023	Evaluate application pitch	• The system must provide capability for Judges to conduct and capture candidate pitch		

ID	Title	Description	Comply	Not comply
		evaluation directly on the system.		
GCIPFR_024	External evaluators pack	• The system must provide capability to create and send pack to external evaluators.		
GCIPFR-025	Consolidate the pitching scores	• The system must provide capability for communication of the decisions		
GCIPFR_026	Capture project details (support package, milestones, deliverables, activities, budget and timelines	• The system must provide capability for Coordinator to capture information from funding agreement such as milestones, deliverables, activities, budget and timelines for the entire programme • The system must provide capability to extract content of the agreement to enable reporting – milestones, deliverables, activities and timelines		

SECTION G:

INNOVATION PROGRAMMES (TICP, TPP)

- **TICP – TECHNOLOGY INNOVATION CLUSTER PROGRAMME**
- **TPP- TECHNOLOLGY PLATFORM PROGRAMME**

1. INNOVATION PROGRAMME FUNCTIONAL SPECIFICATION

1.1 Development of Concept Paper

ID	Title	Description	Comply	Not comply
FR 1	**Innovation Programme Concept Paper**			
FR1_001	Develop concept paper	• The system must provide capability for the Programme Manager to develop the concept paper on an online designed concept paper template. • The system must provide capability for the Programme Manager to submit the concept paper for review by the Head		
FR1_002	Review the concept paper	• The system must provide capability for the Head to review the concept paper submitted by the Programme Manager		
FR1_003	Recommend to Executive	• The system must provide capability for the Head to submit the concept paper to the Executive for review and approval		
FR1_004	Capture Executive, Head and PM deliberation	• The system must provide capability for the Executive, Head and PM to capture deliberations held on whether		

ID	Title	Description	Comply	Not comply
		to approve or reject the concept paper **Workflow** • Approves: proceed to the due diligence stage • Reject: reengages with stakeholder		

1.2 Due Diligence Phase

ID	Title	Description	Comply	Not comply
FR 2	**Submit due diligence reports**			
FR2_001	Choose due diligence approach	• The system must provide capability to select a due diligence approach whether due diligence will be outsourced to external experts or conducted internally. **Workflow** • Insufficient capability route it to the Head and Executive for approval • The system must provide capability to select the appropriate external experts based on (partnerships, commercialisation, value proposition, consortium, and technology) • Sufficient capability route it to Head to request for due diligence resource from Head: Legal		

ID	Title	Description	Comply	Not comply
FR2_002	Send documents to external expert	• The system must provide capability for Programme Manager to allocate concept paper and other supporting documents to external experts to conduct the due diligence • The system must provide capability to send documents to external experts. • The system must not enable the external expert to download and print TIA records.		
FR2_003	Complete DD report	• The system must provide capability to complete the due diligence reports on the online due diligence template.		
FR2_004	Assessment of DD reports	• The system must provide capability for Heads and PMs to review and comment on the due diligence reports		
FR2_005	Escalation of incomplete due diligence	• The system must provide capability to send an escalation to the Head of all incomplete due diligence on weekly basis. • The system must provide capability to send an escalation of all notification unattended by the Head to Executive		
FR2_006	Develop project plan	• The system must provide capability for the Programme Manager to revise the project plan submitted by the Host Entity		

ID	Title	Description	Comply	Not comply
FR2_007	Approve, amend, or reject project plan	• The system must provide capability for PM to approve, amend and/ or reject the proposed project plan		
FR2_008	Complete and submit due diligence report	• The system must provide capability for the external experts to complete their due diligence reports and have it submitted online. • Access to the system to external experts must be deactivated 30 days after submission of the due diligence reports.		

1.3 Business Case

ID	Title	Description	Comply	Not comply
FR 3	**Business Case**			
FR3_001	Develop business case	• The system must provide capability for Programme Manager to prepare the business case • The system must provide capability for the Programme Manager to submit the business case • The system must provide capability for the Head to review, comment and endorse the business case • The system must provide capability for the Head to submit the business case		

ID	Title	Description	Comply	Not comply
		to the Executive for approval and review		
FR3_002	Maintain version control	• The system must provide capability to maintain version control of documents at business case stage		
FR3_003	Send notification of complete business case	• The system must send notification to Heads of all completed and incomplete business case on weekly basis		
FR3_004	Executive approval	• The system must provide capability for a Head to send the business case to the Executive of innovation programme below R 1 million for their approval • The system must provide capability for the Executive to commend on the business case submitted • The system must provide capability on for the Executive to approve or reject the business case. **Workflow:** 3. Approve 4. Reject		
FR4_ Submit Approval Pack				
FR4_001	Create approval pack	• The system must provide capability for creation of an approval pack that will be submitted for IAC deliberation.		

ID	Title	Description	Comply	Not comply
FR4_002	Create IAC meeting agenda	• The system must provide capability for creation an IAC agenda		
FR4_003	View approval pack content	• The system must provide capability for IAC committee members to download and read the committee documentations simultaneously.		
FR4_004	Capture IAC decision	• The system must provide capability for IAC Secretariat to capture IAC proceedings and decision on specific projects • The system must provide capability to send an email notification to stakeholder communicating IAC decision. Decision can either be approval, rejection or deferred.		
FR4_005	Create IAC resolution register	• The system must provide capability to create IAC resolution register.		
FR4_006	Send reminders of uncommunicated decisions	• The system must provide capability to send out reminders of uncommunicated IAC decisions within 48hours of IAC meeting to Executive/Head.		
FR4_007	Escalate all unattended reminders of uncommunicated decisions	• The system must provide capability to escalate all unattended reminders of uncommunicated IAC decision to Executive within 48hours and should Executive not attend to the issue it shall		

ID	Title	Description	Comply	Not comply
		be escalated to CEO within 24hours of non-activity.		
FR4_008	Send IAC approval notification Company Secretariat	• The system must provide capability to send out an email notification to the Company Secretariat of all applications that have been approved by IAC for EXCO consideration		
FR4_009	Create EXCO/ IFC/Board investment approval pack	• Description as (FR4_001)		
FR4_010	Create EXCO/IFC/Board investment Agenda	• Description as (FR4_002)		
FR4_011	View approval pack content	• Description as (FR4_003)		
FR4_012	Capture EXCO/IFC/Board decision on specific projects	• Description as (FR4_004)		
FR4_013	Send EXCO/IFC/Board communication decision	• Description as (FR4_006)		

ID	Title	Description	Comply	Not comply
FR4_014	Reminders and escalation of uncommunicated decision	• Description as (FR4_008 and FR4_009)		
FR4_015	Capture, submit Business Plan/ Annual Operational Plan	• The system provide capability for client to create and submit the business plan/ annual operational plan		
FR4_016	Review business plan/ operational plan	• The system provide capability for PMs to review the business plan/ operational plan for discussion with the Head. • The system must provide capability for PM to provide comments to the client for consideration.		
FR4_017	Amend business plan / operational plan	• The system provide capability for client to amend the business plan/ operational plan.		
FR4_018	Head approval	• The system must provide capability for Head to approve the annual operational plan		
FR4_019	IAC approval	• Description FR 4_001-008 (IAC approval)		
FR4_020	EXCO approval	• Description **FR4_009-FR4_014 (ExCo approval)**		
FR4_021	Handle Disbursement	• Description **(3.4 Funding Disbursement)**		

ID	Title	Description	Comply	Not comply
FR4_022	Submit quarterly report	• Description **(3.2 Quarterly Report Submission)**		
FR4_023	Sub-programme	Description FR 3_006 • The system must provide capability for the implementing partners to submit the subprogramme report to TIA. • The system must provide capability for the PMs to review the subprogramme report.		
FR4_024	Deviation Request	• Description (3.3 Rescope Project)		

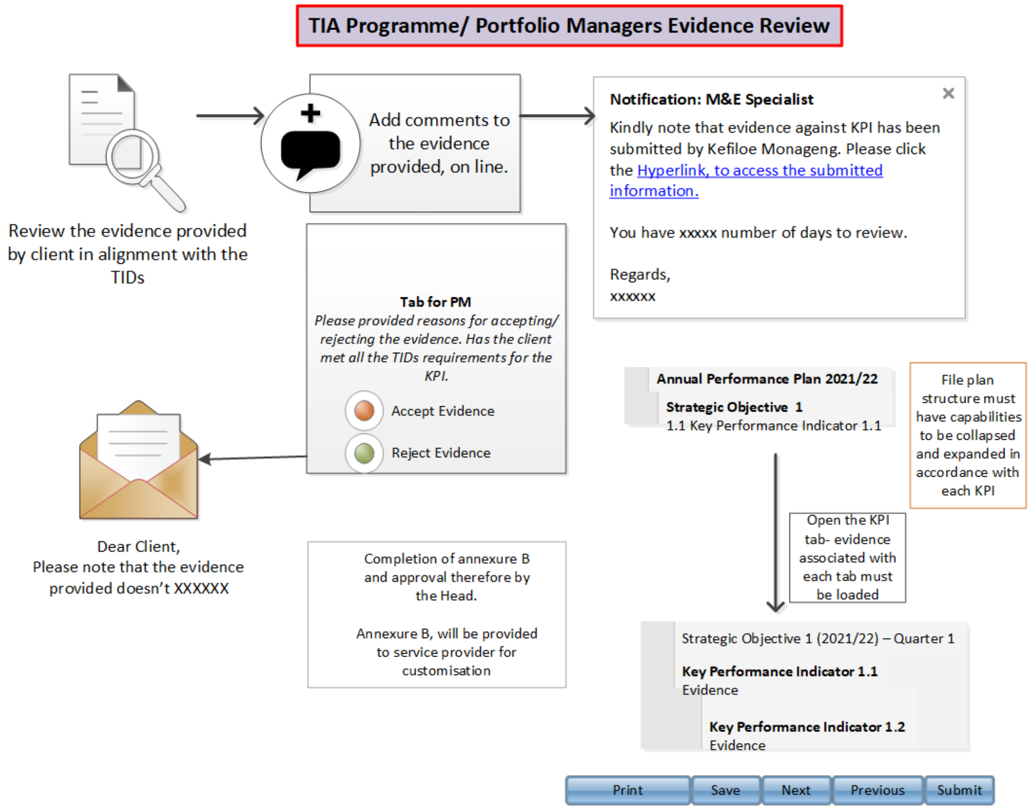
SECTION H:

MONITORING AND EVALUATION

2. MONITORING AND EVALUATION FUNCTIONAL SPECIFICATION

2.1 Programme/ Portfolio Managers Evidence Review

Diagram 9: TIA Programme/Portfolio Managers Evidence Review

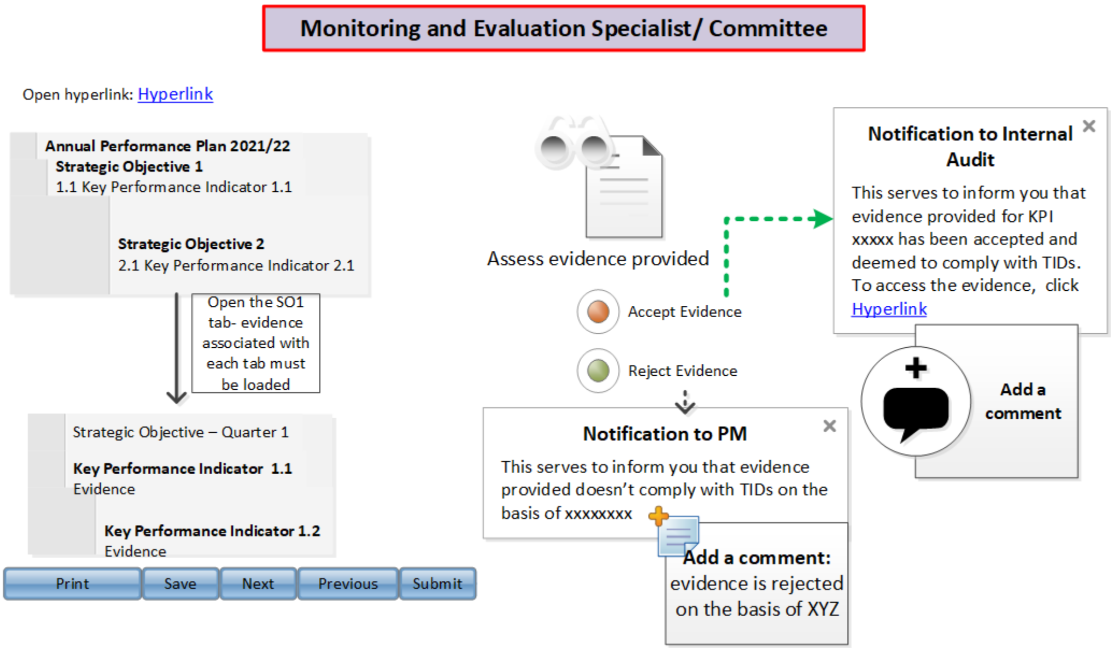


Functionality	Specification	Comply	Not comply
1. Open performance evidence submission period	The system must provide capability for M&E Specialist to open period for submission of performance evidence		
2. Close performance evidence submission period	The system must provide capability for M&E Specialist to close the period for submission of performance evidence		

Functionality	Specification	Comply	Not comply
3. Extension of performance evidence submission period	The system must provide capability for M&E Specialist to request permission to extend the deadline dates from the Executive The system must provide capability for approval/ declining of the extension		
4. Capture performance evidence	The system must provide capability for PMs to capture, performance evidence in accordance with the prescribed RPN		
5. Dropdown list with specific RPN output	The system must provide capability for a dropdown list of RPN output that PMs can upload and comment against		
6. Capture and retrieve evidence	The system must provide capabilities of capturing and retrieving evidence submitted		
7. Send accepted evidence to the Head	The system must provide capabilities for sending evidence to the Head for approval/ rejection		
8. Accept or not accepted Evidence	The system must provide capability for the Head to review and make decision to accept or reject evidence submitted		
9. Submit accepted evidence to Monitoring and Evaluation Specialist	The system must provide capabilities for the Head to submit accepted evidence to the M&E Specialist		
10. Send notification to M&E Specialist	The system must provide capability to send a notification to M&E specialist of all accepted evidence		
11. Resubmission of evidence	The system must provide capability for resubmission of evidence to be uploaded		

2.2 Evidence validation by Monitoring and Evaluation Specialist

Diagram 10: Monitoring and Evaluation Specialist/Committee

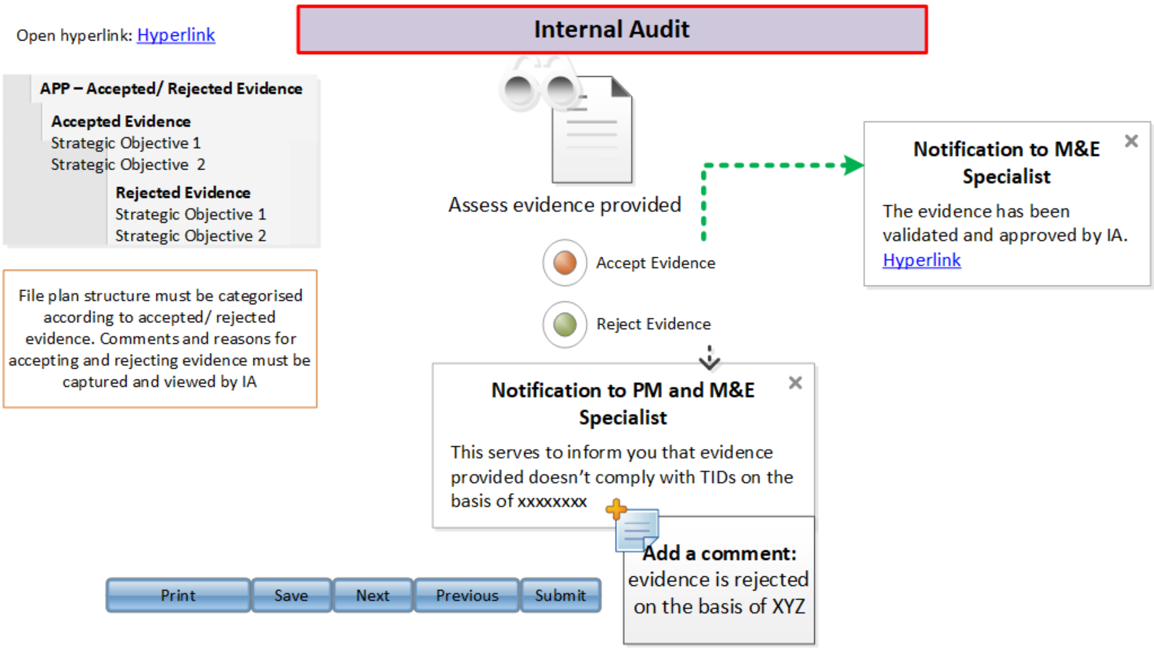


Functionality	Specification	Comply	Not comply
1. Capture all evidence submitted, not accepted, and accepted	System must provide capability to capture all evidence submitted, not accepted, and accepted		
2. Review, validate evidence	The system must provide capabilities for the M&E Specialist to accept/ query evidence		
3. Send notification to M&E Specialist	The system must provide capability to send a notification to the M&E Specialist for evidence submitted		
4. Capture reasons for not accepting evidence	The system must provide capabilities for the M&E Specialist to capture reasons for not accepting evidence		

Functionality	Specification	Comply	Not comply
5. Capture reasons for querying the evidence	The system must provide capabilities for the M&E Specialist to capture reasons for querying evidence		
6. Send notification to Head and PM	The system must send dual communication to Head and PM and bookmark reasons for querying evidence		
7. Submit accepted evidence to Internal Audit	The system must provide capabilities for M&E Specialist to submit accepted evidence to Internal Audit		
8. Send notification to Internal Audit	The system must provide capability to send a notification to Internal Audit of all accepted evidence and collate a report of not accepted evidence.		
9. Report on performance matrix	The system must provide capabilities to report on organisation performance using matrix		
10. Audit trail of performance evidence	The system must provide capabilities for sourcing the audit trail related to performance evidence submitted, accepted, resubmitted, and queried		
11. Lodge a complaints/ an appeal	The system must provide capability for line of business to appeal on decision to query evidence to Executive The system must provide capability for Internal Audit to view reasons provided by Executive on appeals on queried evidence.		

2.3 Evidence vetting by Internal Audit

Diagram 11: Evidence vetting by Internal Audit



Functionality	Specification	Comply	Not comply
1. Review and vet evidence	The system must provide capability for Internal Audit to review and vet evidence against the approved RPN		
2. Accept or Not Accept evidence	The system must provide capabilities for Internal Audit to accept or not accept evidence from the M&E Specialist		
3. Send notification on accepted / not accepted evidence	The system must provide capabilities to issue notification to PMs, Head and M&E Specialist on accepted / not accepted evidence		
4. Capture reasons for clarity on evidence	The system must provide capabilities for Internal Audit to ask for clarity on evidence before accepting / not accepting evidence		

Functionality	Specification	Comply	Not comply
5. Summary note of accepted / not accepted evidence	The system must provide capability for Internal Audit to comment on accepted / not accepted evidence		
6. Lodge an appeal against not accepted evidence	The system must provide capabilities for Heads of Business Units to lodge an appeal to Head of Internal Audit against not accepted evidence (escalation process)		

SECTION H: SUPPORTING DOCUMENTS AND TEMPLATES

2.4 Annexure B 1: APP Evidence Capturing Report Form (Template No: 20)

*Can this information be made public and shared with other parties (other than DSI)? (X)	Yes	x	No	
*Indicate if this is a Bio-Economy Project (X)	Yes		No	

1. PROJECT TRACKING NUMBER				GMS:			
2.*KPI No.:		3. *DSI SOOG PI No.:		4.1 *Start Date		4.2 *End Date	
5.*Business Unit Submitting							
6.*Name of Coordinator							
7.*Is the evidence now submitted valid for this FY? (X)				Yes		No	
8. If NO, provide reasons why							

9.*Programme/sub-programme Name	
10.*Project Name	
11.*Project Manager Name	
12.* Brief Project Description (The 'WHAT')	

13.*Geographic Location/Physical Address (where)	
14.*Project Owner/Beneficiary (name and contact details = who)	
15.*Type of Owner/Beneficiary (e.g. SMME, PDI, University, Private, Entrepreneur, International, etc.)	
16.* Disaggregation of beneficiaries: total # of beneficiaries	
(i) Women	
(ii) Youth	
(iii) Persons with disabilities	
17.*Type of Agreement in Place (Signed when and expiring when) Name of the funding agreement e.g TIA/UKZN	
18.*Project/Purpose (The 'Why' is the project undertaken, what is its purpose?)	

19.*Which sector does this project fall in (Energy, ICT, etc.)	
20.*What is the DTI's Standard Industrial Classification (SIC) Sub-Group Number for this Project	

21.*Funder/Investor Details and Amount (How is the project funded and by who?)					
TIA Funded	**DSI Ring-Fenced Funded**	**NGO Funded**	**Other Gov Dept. Funded**	**Private Nationally Funded**	**Internationally Funded**

22.*Programme/Project Budget/Spent Tracking for FY		
Budget for the Year	**Spend YTD**	**Variance %**
23.*Reason for Variance	**N/A**	

24.*Programme/Project Budget/Spent Tracking Per Quarter				
Target FY	**Achieved YTD**	**Target for Quarter**	**Actual for Quarter**	**Variance %**
R	**R**	**R**	**R**	**%**
25.*Reason for Variance				

26.*TIA Data Sheet for all People Interventions- Two Tables are required: one for JOBS and one for Training (see TID) – provide also Annexure G1 (jobs) or G2 and H for training

Per Month (Use and Excel Workbook	**Men**				**Women**				**Youth**				**People with Disability**				**Comments**
	B	**W**	**I**	**C**	**B**	**W**	**I**	**C**	**B**	**W**	**I**	**C**	**B**	**W**	**I**	**C**	
START 1 APRIL																	

27.*Name of Person who had Compiled this Evidence Report			
28.*Compilation Date			
29.*List of Evidence Submitted and Clearly indicate the combination of evidence used as per RPN (if applicable)			
30.* Name of BU Head Approving this Evidence Report			
31.*BU Head Signature		**32.*Date**	

2.5 ANNEXURE B2: Programme Evidence Capturing Form (Template No 21)

From:

To:

Analysis/Summary Report: Quarterly performance, progress and feedback to ….

Corporate Performance Indicators

The Technology Innovation Agency (TIA) would like to inform you that the **… performance for current financial year to date (YTD) is broadly on track / not on track at ….%** as detailed in Table 1 below**.**

The Technology Station's (TSs) quarterly performance achieved **…%** assists through technology support and **…%** for SMME / Individuals that received training of the Q… FY2019/20 targets. We have attached the check sheet and the database of clients that were counted and validated by TSP BU in FY2021/22 Q…. which is ending in …..(month) 2021.

<table>
<tr><th colspan="8">KPI 2.3 - Number of Small, Medium, and Micro Enterprises receiving technology support.</th></tr>
<tr><th rowspan="3">TS - HEI</th><th rowspan="2" colspan="2">Annual Targets</th><th colspan="3">Progress on Reported Clients after Formal Verification, Review and Analysis</th><th colspan="2"></th></tr>
<tr><th colspan="3">Q…: month – month 2017</th><th colspan="2">FY2017/18</th></tr>
<tr><th colspan="2">Total</th><th>Target</th><th>Actual</th><th>% Achieved Q…</th><th>YTD</th><th>% Achieved YTD</th></tr>
<tr><td rowspan="2">(name)</td><td>Assist</td><td></td><td></td><td></td><td></td><td rowspan="2"></td><td rowspan="2"></td></tr>
<tr><td>Training</td><td></td><td></td><td></td><td></td></tr>
</table>

Accumulative disaggregate data: Type of Enterprises provided with Innovation Enabling and Support	
Registered SMME	
Non-Registered: Techno Entrepreneur	
Non-Registered Innovators & Entrepreneur	
Non-Cumulative: Demographics data of enterprise supported in the TS	
Gender - Woman	
Black and PDI (also referred to as HDI)	
Race - S.A Nationals	
Youth Projects supported in the TS	
Disabled Individuals	

Knowledge based products analysis – Q… FY 2020/21

For Q…, the TS supported a total of …. clients. A total of ….. of those clients were provided with training services. These clients are not included in the figure below.

The figure below indicates that from the clients supported, a total …. clients (…..%) were provided with basic Science, Engineering and Technology (SET) services to service existing markets.

TRL 8: Pre Commercialisation **Access to New to Market**	**A** **…%** of innovative products for clients supported in the TS to access new markets	**B** **….%** of knowledge based new products as a result of designs, copyrights and application of R&D publications from HEI
TRL 3 to 7: Application of Research & Development Technologies **Existing Markets**	**C** **….**% of innovators and client's products that where supported through skills and training, routine services to comply to local / international standards and specification	**D** **….%** of enterprises receiving technological intervention and know-how – trade secrets in TS transferred to enterprise to enable them to improve their products / process competitiveness
	Basic SET interventions - to contribute towards universities being more responsive to the needs of enterprises	In-depth interventions - to enable enterprises, SMMEs in particular, to benefit from the specialised knowledge and innovative technology of the universities

Yours Sincerely

________________________ Date: _________________

Programme Manager: TSP

________________________ Date: _________________

Head: TSP[1]

Acknowledgement by TS:

________________________ **Date:** _________________

TS Manager:

[1] ***The person who appends his/her signature to this document, hereby warrants, guarantees and certifies that he/she had verified the evidence for correctness, completeness and adequacy in accordance with the stipulations of the relevant TID governing this submission of evidence, and he/she had checked the quality of such evidence before it being submitted to Monitoring and Evaluation.***

2.6 ANNEXURE B2: Programme Evidence Capturing Form (Template No 22)

KPI	Description	Q1 Target	Q1 Actual	Q1 % Achieved	Q2 Target	Q2 Actual	Q2 % Achieved		Q2 YTD Target	Q2 YTD Actual	Q2 YTD %	Q3 Target	Q3 Actual	Q3 % Achieved	Q3 YTD Target	Q3 YTD Actual	Q3 YTD %	Q4 Target	Q4 Actual	Q4 % Achieved	Year-end Target	Year-end Actual	Year-end progress
SO1	**Commercialised innovations**																						
1.1	Number of licensed or assigned technologies	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
1.2	Number of projects involving industry in execution	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
1.3	Number of successfully diffused technologies	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
1.4	Number of products launched	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
1.5	Total value of signed agreements entered into with third parties	0	0	#DIV/0!	0	0	#DIV/0!		R0	0	#DIV/0!	0	0	#DIV/0!	R0	0	#DIV/0!	0	R0,00	#DIV/0!	0	0	#DIV/0!
SO2	**Delivering on the Bio-economy Strategy**																						
2.1	Number of successfully demonstrated bio-based technologies	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
2.2	Number of existing Technology Platforms that are operational and functional	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	7	0	0%	0	0	#DIV/0!	0	0	#DIV/0!
2.3	Number of new Technology Platforms established in targeted regions	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
2.4	Number of operational and functional Technology Innovation Clusters	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	5	0	0%	0	0	#DIV/0!	0	0	#DIV/0!
SO3	**SMMEs supported through strategically informed and regionally distributed Technology Stations**																						
3.1	Number of existing Technology Stations and centres providing science, engineering and technology support that are operational and functional	0	0	#DIV/0!	18	0	0	#REF!	0	0	#DIV/0!	0	0	#DIV/0!	18	0	0%	0	0	#DIV/0!	0	0	#DIV/0!
3.2	Number of new centres providing science, engineering and technology support in targeted regions	0	0	#DIV/0!	0	0	∞	#REF!	0	0	∞	0	0	#DIV/0!	0	0	∞	0	0	#DIV/0!	0	0	#DIV/0!
3.3	Number of small, medium and micro enterprises accessing science, engineering and technical services	0	0	#DIV/0!	1000	0	0		1000	0		1000	0	0%	2000	0	0%	0	0	#DIV/0!	0	0	0%
3.4	Number of high-level research graduates (Honours, Master's and Doctoral students)	0	0	#DIV/0!	0	0	#DIV/0!		0	0		95	0	0%	95	0	0%	0	0	#DIV/0!	0	0	#DIV/0!
3.5	Knowledge and innovation products produced	0	0	#DIV/0!	0	0	#DIV/0!		0	0		145	0	0%	145	0	0%	0	0	#DIV/0!	0	0	#DIV/0!
Programme 1	**Administartion**																						
A1.1	Percentage of approved funded positions filled annually	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	80%	0	0%	0	0	#DIV/0!
A1.2	Achieve an unqualified external audit Opinion (for the 2020/21 financial year with no new material matters identified by 31 July 2021)	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
A1.3	Number of media platforms used to promote TIA initiatives	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
A1.4	Improve investment decision turnaround times	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
A1.5 (a)	Recruitment initiatives which will move TIA demographics closer to the Economically Active Population (EAP)	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
A1.5 (b)	Support women and youth owned businesses through procurement initiatives	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
A1.6 (a)	Implement initiatives to upskill resources in terms of commercialisation and IP Management skills	0	0	#DIV/0!		0	#DIV/0!		0	0	#DIV/0!		0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
A1.6 (b)	Availability of required resources – Create a panel of service providers for in-sourcing/outsourcing approaches	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!
A1.7	The number of interns / graduates upskilled through exposure to TIA operations	0	0	#DIV/0!	0	0	#DIV/0!		0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!	0	0	#DIV/0!

SECTION I:

BUSINESS RULES

1. BUSINESS RULES

ID	Business Rules
BR_001	• System must demonstrate ability to minimise length of password settings as follows: (1) capital letter, a number and special characters.
BR_002	• Each applicant can submit one or more applications.
BR_003	• Each application is submitted by one applicant
BR_004	• Each application is associated with only one institution
BR_005	• Each institution can be associated with one or more applications
BR_006	• Each application, if it's a consortium, must be associated with one lead applicant and co-lead applicant
BR_007	• An individual below the age 18 cannot apply for funding.
BR_008	• The applicant should only use a project code and project title as reference.
BR_009	• Application will not be assessed if it's not submitted through on-line system
BR_010	• Any project below TRL3 and below R500 000 will be referred to IE&S division
BR_011	• Only South Africans can apply for funding.
BR_012	• Applicants below the age of 35 and younger with the applications that are below TRL3 will be referred to YTIP programme.
BR_013	• Portfolio Managers can assess one or more submitted applications.
BR_014	• The project will not proceed to EXCO for approval without IAC meeting status and IAC's approval.
BR_015	• No application will proceed to DD without submission and approval of full application by IAC.
BR_016	• To proceed to due diligence an applicant should have completed the full application form and have provided information requested in the due diligence checklist
BR_017	• PMs cannot download and complete the recommendation report without completion of four due diligence cycles.

ID	Business Rules
BR_018	• One recommendation report must be prepared for one application
BR_019	• Complete recommendation report cannot be sent to IAC without review of Heads.
BR_020	• Each IAC sitting can assess one or more recommendations
BR_021	• One recommendation is associated to one IAC sitting
BR_022	• Each IAC sitting can review one or more applications
BR_023	• One application is associated to one IAC sitting
BR_024	• One Contract only applies to one project
BR_025	• Client are required to report the progress of their projects on quarterly basis.
BR_026	• Quarterly reports from clients should cover, milestones, deliverable, activities, budget, timelines
BR_027	• System will not accept any project were project risks, milestones and TRL level have not been completed.
BR_028	• Projects quarterly payments cannot be processed without submission and review of the quarterly reports.
BR_029	• One quarterly review warrants a disbursement or no disbursements.
BR_030	• The last disbursement date of the project must fall within the duration of the project.
BR_031	• Finance unit cannot pay without the signature of the Head and Executive on the disbursement pack.
BR_032	• TIA cannot disburse funds to client without a signed contract.
	• Unique reference numbers must be generated into: ✚ System generated reference number ✚ Specific call for proposal reference number ✚ Innovation Programme specific reference number
BR_033	• Project names should be identifiable with the project.
BR_034 (**GIP business rules**)	• A questionnaire must be developed to enquire from applicants whether they have received funding from the Technology Innovation

ID	Business Rules
	Agency (TIA) or not. Applicants must provide TIA contact details for verification. • Each application will be allocated to more than three (3) reviewers at a time. • Consolidated reports for all Judges' comments must be pulled from the system as follows; judges' comments, scoring and their recommendations. • Notifications should be sent in between panel members as soon as one completes an assessment or evaluation. • All shortlisted candidates should be invited to the pitch via the system e-mail notification and the e-mail should include the presentation template that guides the applicants for pitching session. • The applicant will be required to upload the presentation two (2) days prior to the pitching session.

2. MISSION CRITICAL INFORMATION

Definition:

Significant: *Information required to ensure that a project move to the next stage of the investment value chain. A project cannot progress to the next stage of the investment value chain should the information deemed as "major" be missing. "Can the organisation continue without certain project information".*

Insignificant: *Information that is not deemed critical or essential to progress a project to the next stage of the investment value chain. This implies that the organisation agrees that such information should it not be located it not vital for the existence of the organisation nor impacts the ability to make decision*

Type	Description	Significant /Insignificant	Reason for Level essentiality
Applicants information	Provides contact details of the applicant or TIA client	Insignificant	Applicant information has already been provided in the statement of interest
Statement of Interest	Two-page document indicating initial funding application submitted by the applicant	Significant	Point of entry into the organisation in which the applicant express interest for application. However, upon submission of full application SOI will be deemed insignificant
Basic Assessment Report	Document providing high-level assessment conducted on the statement of interest	Insignificant	Does not provide any decision by the approving body. It's a report that provides information whether the application should proceed to the next stage or not

Type	Description	Significant /Insignificant	Reason for Level essentiality
Full Funding Application	A formal document submitted by an applicant requesting funding from TIA. A funding application covers the following areas that should be completed by the applicant, technology innovation, commercialization, team, IP and budget	Significant	Provides in-depth indication and reasons for funding requested to the organisation. In as much as SOI express interest to apply, full application provides introductory for the funding and that funding was requested by applicant and not TIA staff
1st IAC minutes and resolutions	Minutes and resolution reflecting IAC's deliberation and decisions on whether a full application should proceed to due diligence phase or not	Insignificant	Does not provide any decision by the approving body. It's a report that provides information whether the application should proceed to the next stage or not
Operational Plans	Document providing detailed annual plans to be conducted by a technology station, platform or technology innovation Programme	Significant	Provides in-depth indication and reasons for funding requested to the organisation. In as much as SOI express interest to apply, full application provides introductory for the funding and that funding was

Type	Description	Significant /Insignificant	Reason for Level essentiality
			requested by applicant and not TIA staff
Technical due diligence report	Document detailing in-depth analysis conducted on the technical viability of the proposed technology. The document covers the following areas, technology innovation, technology readiness levels	Insignificant	The documents are significant for the due diligence stage to inform the recommendations to the approving body. The recommendation report takes precedence over the due diligence report
Commercial due diligence report	Document detailing in-depth analysis conducted on the commercial viability of the proposed technology. The document covers the following areas, market, industry analysis, financial modelling, technology readiness level and recommendation on commercial viability	Insignificant	
IP due diligence report	Document detailing in-depth analysis conducted on the Intellectual Property Management of the proposed technology. The document covers the following areas, freedom to operate, IP management strategy, novelty and recommendation on IP viability	Insignificant	
Legal due diligence report	Document detailing in-depth analysis conducted on the legal structure of the proposed technology.	Insignificant	
Project Definition	Document outline clear milestone, deliverables, activities, budget and	Significant	Provides in-depth analysis of the project plan

Type	Description	Significant /Insignificant	Reason for Level essentiality
Workshop Doc	specific timelines to deliver on each project		
Term Sheet	Document defines the terms and condition that are agreed upfront with applicants and will guide development of the final agreement.	Significant	Informs the development of the funding agreements and whether the applicant agreed to the terms prior to approval
Recommendation report	Document submitted to IAC to propose approval of a project. It covers all areas of the due diligence activities conducted.	Significant	Consolidation of the due diligence reports outcomes and reasoning for whether the approving body should endorse or decline the project
Investment Checklist	Document outlining and set to give TIA approving body a confident that process and procedures has been adhered to	Significant	Compliance to the investment processes for the organisation
2nd IAC minutes and resolutions	Document providing discussions and resolutions of IAC regarding application whether to proceed to EXCO for approval or not	Significant	Details decisions take by IAC whether to approve or reject application
EXCO minutes and resolutions	Documents providing discussions and resolutions of EXCO regarding whether an application is approved. Recommended to proceed to IFC or not approved	Significant	Details decisions take by EXCO whether to approve or reject application

Type	Description	Significant /Insignificant	Reason for Level essentiality
IFC/ Board minutes and resolutions	Documents providing discussions and resolutions of regarding whether an application is approved. Recommended to proceed to Board or not approved	Significant	Details decisions take by IFC/Board whether to approve or reject application based on EXCO recommendations
Funding Agreement	A legal agreement between a client and TIA setting out the conditions, terms and obligations for TIA funding.	Significant	Details what the organisation contracted the client to do and how the funds will be utilized, with specific project plans or expenditure plan. A plan detailing how the approved funds will be utilized to deliver on the objectives of the project.
Quarterly Progress Reports	A formal document that is produced by a Client detailing status of a project in relation to the approved milestones, deliverable, budget, timelines and activities	Significant	Provide report on the work being done and how the funds allocated towards the project has been utilized
Quarterly Review Report	Document detailing in-depth analysis conducted by the Portfolio Manager or Programme Manager on the quarterly progress reports submitted by Clients. The document provides independent	Significant	Indicates whether the progress report was reviewed by Portfolio Manager or Programme Manager

Type	Description	Significant /Insignificant	Reason for Level essentiality
	analysis and recommendation by the PM		
Invoice	Document indicating the amount requested by client to be paid by TIA following a project review	Insignificant	Invoice will be included in the disbursement pack
Disbursement Packs	Payment of drawdown amounts to clients, at the initiation of a project and throughout the lifespan of the project.	Significant	The document includes invoice, quarterly review report and payments drawdown
Quarterly payment receipt	Document providing proof of payment issued to client by TIA	Insignificant	Not required as it will be reflected in finance system
Final Report	A formal document that is produced by a client at the final stage of project	Significant	Provides a summary and conclusion of the project lifecycle and activities undertaken in the project
Close-out report	Document prepared by Portfolio Manager and Programme Manager with substantial reason why the project should end	Significant	
Deviations/ Scope Change	Document prepared by Client requesting to deviate from the scope of the project, timeline or budget	Significant	Details of the revision should be reflected, and addendum structured for such changes

SECTION J:

REPORTING REQUIREMENTS

Req	Report Name	Description	Stakeholder	Frequency
FMS 1.1	Overall Application Statistics	Dashboard include the following information on the reports: 1.1.1 **Registered and submitted application**: the report details the number of applications registered but never submitted through the system versus number of applications received. 1.1.2 **Withdrawn, rejected, referred:** details decisions made by the organisation during progression of an application across the investment value chain. 1.1.3 **SOI, Assessment, Application Building, Due Diligence:** clear indication of number of application progression across the investment value chain. 1.1.4 **Applications and Approvals:** detail number of applications received and approved by the organisation as well as the approval rate. 1.1.5 **Number of projects per focal area:** number of applications received per sector 1.1.6 **Approval/Rejection Rate:** demonstrate percentage of applications that have been approved versus rejection rate 1.1.7 **Overall turnaround time:** Investment turnaround time from receipt of an application to contracting	Executive Committee Investment and Finance Committee Board Senior Management	Monthly

Req	Report Name	Description	Stakeholder	Frequency
FMS 1.2	Investment turnaround time	Detail investment turnaround time 1.2.1 Time taken at basic assessment 1.2.2 Time taken at application building phase 1.2.3 Time taken at due diligence stage 1.2.4 Time taken by Executive to approve investments 1.2.5 Time taken at IAC for approval 1.2.6 Time taken for approval at ExCo 1.2.7 Time taken for approval at IFC and/ Board 1.2.8 Check-in and check-out turnaround time 1.2.9 Detail backlog according to focal area	Executive Committee Investment and Finance Committee Board	Quarterly
FMS 1.3	Technology Progression	Detail the following with amounts per category 1.3.1 Number of projects that progressed from one TRL to another 1.3.2 Taken up in the market 1.3.3 Receiving 3rd P funding 1.3.4 Number of prototypes developed 1.3.5 Number of patents filed per quarter 1.3.6 Technology Demonstrated 1.3.7 Technology Diffused to district and local municipalities 1.3.8 Technology transfer packages 1.3.9 Number of projects receiving 3rd P funding	Executive Committee Investment and Finance Committee	Monthly/Quarterly
FMS 1.4	Portfolio Demographics	1.4.1 Detail projects per: a) Sector b) Age c) Province d) Institution e) Gender f) Race g) Disability	Senior management Executive Committee	Monthly

Req	Report Name	Description	Stakeholder	Frequency
		h) Youth		
FMS 1.5	Project Portfolio	1.5.1 **Approved projects by institution:** number of projects, value approved per institution: SMME, HEI, Entrepreneur (TSP, TPP, ISD, YTIP, Bioeconomy, GIP, GCIP, TICP) 1.5.2 **Projects supported at HEI:** detail a list of universities and quantum of funds allocated per institutions 1.5.3 **Project data needed for analytics:** a. Project Name b. Purpose c. Geographic location d. Type of project owner (HEI, SMME, Cos) e. Sector in which project falls f. SIC (dti) – sub-group number f. Budget vs spent to date g. Start date h. End date i. Unit j. PM k. Linked to KPI as described in the APP	Senior Management	Quarterly
FMS 1.7	Project Finance	1.7.1 **Projections, Approved, disbursed:** amounts of approved project and disbursements. 1.7.2 **Income leveraged and collaboration**: details co-funding amount received, and amount received from third party as well as the number of projects having received funding. 1.7.3 Amount/ number of support package provided to grassroot innovators	Executive Committee Investment and Finance Committee Board Senior Management	Monthly/Quarterly
FMS 1.8	SMME Supported	**1.8.1 Number of SMME supported**	Executive Committee	Monthly/quarterly

Req	Report Name	Description	Stakeholder	Frequency
		• Detail number of SMME support, value, per financial year as well as what type of support was provided with disaggregation of SMME demographics into of turn over, number of people employed, new jobs created, women, youth and people with disability ownership, geographic location, rural/depressed area. • Number of people trained – also broken down into gender and race and people with disability, also providing the type and duration of the training. There is also a need to track the people trained for at least 3-5 years to determine improvement in employment and possible career progression **1.8.2 Project transition:** projects handed over to the sub-programmes by programmes. Number of projects from Innovation Enabling that has been transited to Commercialisation and/ or Bioeconomy.	Investment and Finance Committee	
FMS 1.9	Previously Disadvantage Individual	Detail PDIs support through funding instruments 1.9.1 Number of blacks supported (African, Indian, and Coloured) 1.9.2 Number woman involved in approved research and development 1.9.3 Number of previously disadvantage universities supported by TIA	Executive Committee Investment and Finance Committee	Monthly Quarterly
FMS 1.10	Project Funding Structure	1.10.1 **Funding structure:** detail (%) of projects that are loan, equity, royalty,	Senior Management	Bi-annual

Req	Report Name	Description		Stakeholder	Frequency
			grant and split according to the amounts per structure		
FMS 1.11	Number of contracted/ official active partners	1.11.1	Numbers official/contracted active partners collaborating in BU. This includes partnerships with higher education institutions (include. TVETs) and science councils.	ExCo Senior Management	Quarterly
FMS 1.12	Beneficiaries in emerging and advanced technologies	1.12.1	Number of beneficiaries in emerging (incl. Green and Circular Economy) and advanced technologies that have received support (financial or non-financial) in your BU interventions	ExCo Senior Management	Quarterly
FMS 1.13	Commercialised technologies	1.13.1	Number of commercialised technologies taken up in the markets including licenses	ExCo Senior Management	Quarterly

SECTION K:

NON-FUNCTIONAL REQUIREMENTS (TECHNICAL SYSTEM REQUIREMENTS)

1. USER ACCESS RIGHTS

Users	Upload	Capture	Edit	View	Review	Approve	Delete	Time Management
External Users								
Technology Stations and Platform Managers	X	X	X	X	X			
Technology Platforms and Support Centres	X	X	X	X	X			
TICP	X	X	X	X	X			
Seed implementing partners	X	X	X	X	X			
GIP, ISD and GCIP innovators	X	X	X	X	X			
Applicants (All public)	X	X	X	X	X			
TIA general Investees	X	X	X	X	X			
Internal Users								
Business Coordinators	X	X	X	X	X			
Portfolio/ Programme Managers	X	X	X	X	X	X		
Heads		X	X	X	X	X		X
Executives			X	X	X	X		
Internal Audit Manager				X	X	X		
Monitoring and Evaluation Specialist			X	X	X	X	X	X
Super users	X	X	X	X	X	X	X	X
System Administrators	X	X	X	X	X	X	X	X

2. SOFTWARE REQUIREMENTS (MANDATORY)

Vendors are requested to propose the ERS suitable for TIA to cater for the functionality as demonstrated in the design above and explain the following:

- System or Solution proposed for maximum 200 users (internal),
- Software license model (excluding hardware), suite with modules or all-in-one platform with various functionalities,
- User based (per seat)/ Perpetual licensing model or enterprise license,
- Annual license renewal terms and conditions,

- Interfaces/integrations with the TIA systems, i.e. Qlik Sense (Business Intelligence), Active Directory, SAGE Pastel Evolution, SAGE 300, BPM, Outlook, SAGE CRM.

TIA technology stack and versions are shared below.

Virtual Environment
VMWare VSphere 7.0.1

SQL Environment
Microsoft SQL Server 2017 CU23

Mail Environment
Microsoft Exchange Server 2016 CU19

Document Management System
Microsoft Sharepoint 2013 (15.0.5172.1000)

Functional Applications and latest versions
Barnowl 10.3.5
Qlik Sense 13.62
Sage BPM 7.3.1.9
Sage CRM 2020 R2
Sage 300 (People) 21.1.4.2
Sage 200 (Evolution) 7.20.4.000

- Suppliers to indicate whether their software comply with the required design and functionalities indicated.

- Should the suppliers quote software-based SaaS, the later and On-premise should be quoted concurrently with price distinction clearly demonstrated for comparison purposes.

Comment:

3. HARDWARE REQUIREMENTS (MANDATORY)

Suppliers are not required to quote or provide any server / computer hardware as TIA will provide such. However, suppliers are required to list the hardware specifications to run the proposed ERS on. The On-Premise hosting of the solution is preferred with an option to be migrated to a Cloud platform at a later stage. The system will be managed by TIA until the organisation's digital migration is concluded. If the proposed solution is to be hosted on the Cloud platform only by the supplier, indication must be given with the costing thereof.

Furthermore, suppliers are requested to note that TIA uses Microsoft SQL Server as the primary Database hosting platform. It is therefore prudent for suppliers to indicate any compatibility or incompatibility issues if any for TIA to note.
Comment:

4. IMPLEMENTATION REQUIREMENTS (MANDATORY)

Project Implementation

A. Suppliers are requested to outline the following implementation requirements:

i. Supplier are required to submit a list of implementation team comprising of skills and competencies required (CV's to be included) for success delivery of the entire project. Suppliers must also note that its imperative to also ensure team continuity in cases whereby a team member is not available or lost, replacement of such must be with an equivalent resource with same skills and competencies.

ii. Project plan with milestones and implementation period

- **Phase 1 – rollout of Case management, Legal and Workflow and 18 Technology Stations. (3-6 months from the contract has been awarded)**
- **Phase 2- rollout rest of the programmes - 8-10 Technology Platforms, TICP, GCIP, GIP, Seed. (Depending on successful implementation of phase 1)**
- ***Phase 3 – Up to 8 Support centres and any additional TIA external stakeholders to access the system from the external portal. No training will be required at this phase as TIA will train the trainer approach.*** **(Depending on successful implementation of phase 2)**

iii. Provide a list of Project team members to be used with role, qualifications, skills, competencies and relevant experience pertaining to the project.

B. Change Management – End user Training

Suppliers are required to provide system training for the following users according to system access rights for proficiency. Both Online and physical training for TIA internal employees' options must be explored and detailed accordingly. For all external users, online training will be preferred. Two options must be detailed for this training to be conducted whereby skills will be transferred to TIA to conduct this training and an option whereby a supplier will render this training. **Detailed training plan must be submitted.**

<u>Internal Users</u>

- Super Users x 10 (1 per unit)
- System Administrator x 2 (Business Analyst)
- Technical administrator
- 26 x Portfolio and Programme managers
- 34 x HOD's and Executives

<u>External Users</u>

- 36 x Technology stations (2 users per station)
- 18 x Technology Platforms (2 users per platform)
- 27 x Seed implementing partners and 8 SMME's (1 user each)
- 6 x Technology Clusters (2 users per cluster)

Any further training for external users will be conducted by TIA based on the train the trainer model.

C. Post implementation maintenance and support

Suppliers are requested to provide responses on the following**:**

i. Helpdesk Support (**provide sample escalation process**)
ii. System technical maintenance and support (**sample SLA to be submitted**)

Comment:

6 GENERAL TERMS AND CONDITIONS

6.1 The Respondent is responsible for all costs incurred in the preparation and submission of the proposal.

6.2 A copy/s of any affiliations, memberships and/or accreditations that support your submission must be included in the proposal.

6.3 Kindly note that TIA is entitled to:

6.3.1 Amend any RFP conditions, validity period, specifications, or extend the closing date and/or time of RFP's before the closing date. All Respondents, to whom the RFP documents have been issued, will be advised in writing of such amendments in good time;

6.3.2 Verify any information contained in a proposal;

6.3.3 Not appoint any bidder;

6.3.4 Vary, alter, and/or amend the terms of this RFP, at any time prior to the finalisation of its adjudication hereof;

6.3.5 Disqualify proposals that contain an omission of disclosure of material information, that is factual inaccurate, and/or contains a misrepresentation of facts. This could also lead to the cancellation of any subsequent contracts;

6.3.6 Not accept the lowest proposal or any proposal in part or in whole. TIA normally awards the contract to the Bidder who proves to be fully capable of handling the contract and whose proposal is technically acceptable and/or financially advantageous to TIA. Appointment as a successful contractor shall be subject to the parties agreeing to mutually acceptable contractual terms and conditions. In the event of the parties failing to reach such agreement within 30 (thirty) days from the appointment date, TIA shall be entitled to appoint the contractor who was rated 2nd (second), and so on;

6.3.7 Award this RFP as a whole or in part without furnishing reasons;

6.3.8 Cancel or withdraw from this RFP as a whole or in part without furnishing reasons and without attracting any liability;

6.3.9 The Bidder hereby offers to render all of the services described in the attached documents (if any) to TIA on the terms and conditions and in accordance with the specifications stipulated in this RFP documents (and which shall be taken as part of, and incorporated into, this proposal at the prices inserted therein);

6.3.10 This proposal and its acceptance shall be subject to the terms and conditions contained in this RFP document; and

6.3.11 The Respondent shall prepare for a possible presentation should TIA require such and the Respondent shall be notified thereof no later than 4 (four) days before the actual presentation date.

7 EVALUATION CRITERIA

7.1 Suppliers must ensure the following sections of the TOR have been fully responded to and verified as per the following checklist:

SECTIONS	Responded to:
1. Section A-K including automation of all templates required	
2. General conditions of the tender	
3. Mandatory requirements (Number 9) below	
4. Costing requirements (Number 8) below – Separate document submitted	
5. Part A and B below	
6. SBD forms – SBD1, 4, 6.1, 8 and 9	

7.2 Tender will be evaluated based on the tender response fit with the criteria requirements listed below.

A. FIRST PHASE:

EVALUATION CRITERIA	WEIGHT	MAXIMUM SCORE
1. Number of years in developing and implementing solutions with case management and workflow capabilities by the bidder of same nature and magnitude. Experience in implementing same projects with the value above R5 million. The bidder must provide company profile indicating number of years in developing and implementing solutions with case management and workflow capabilities evidence management as per the functional requirements implemented which were above R5 million in value. **(5)** = 10 years' experience and above **(3)** = More than 5 and less than 10 years' experience **(1)** = Less than 5 years' experience	**0.2**	**5**
2. The bidder must clearly demonstrate compliance to the functional and technical specifications as outlined in sections A-K. The bidders are required to provide a comprehensive document demonstrating compliance for various sections as indicated above reassuring the solution proposed will meet TIA requirements. **(5)** = 100% demonstration of compliance of functional and technical specification narrated for various section as per the requirement. **(0)** = does not demonstrate compliance with functional and technical specification narrated for various section as per the requirement.	**0.45**	**5**
3. Demonstrate relevant experience in developing and implementing a solution with case management and workflow capabilities. The bidder must provide references letter with a score out of 5 (1 lowest 5 highest) of case management and workflow projects. Bidders that do not demonstrate experience in developing and implementing	**0.25**	**5**

EVALUATION CRITERIA	WEIGHT	MAXIMUM SCORE
Evidence reporting requirements will be scored (0). Project implemented should not be older than 5 years. **(5)** = Reference letters from 5 companies **(4)** = Reference letters from 4 companies **(3)** = Reference letters from 3 companies **(2)** = Reference letters from 2 companies **(1)** = Reference letters from 1 company **(0)** = No reference letters provided or irrelevant reference letters		
4. Bidders must provide a project plan with a list of implementation team members with demonstrated relevant qualifications and experience in executing case management and workflow systems and roles defined according to the implementation plan. (5) = Proposed project work plan and relevant team defining qualifications, skills, role and experience in case management and workflow system implementation. (3) = Proposed work plan with team credentials not relevant to case management and workflow system implementation. (0) = No workplan or team credentials not relevant to case management and workflow system implementation.	**0.10**	**5**
Total weighted score/Maximum possible score	***100***	
Minimum qualifying score (expressed as percentage)		***70%***

Bidders that achieved the minimum score of 70%, will be invited to TIA for the Second Phase to make a presentation and the assessors will score such a presentation as follows:

B. SECOND PHASE: SYSTEM DEMONSTRATION TO TIA

EVALUATION CRITERIA	WEIGHT	MAXIMUM SCORE
1. Understanding of the functional and technical specifications requirements (Section A-J) with a proposed solution that will provide case management and workflow for ERS with both internal users and external portal demonstrated for external users. Demonstration of all the TOR section capability is a must for potential suppliers.	**0.2**	**5**
2. Demonstration of external interfaces to respective external sources. Either through the usage of API's or embedded in the system.	**0.45**	**5**
3. Capabilities for automation of templates according to listed templates for respective sections.	**0.25**	**5**
4. System escalations, alerts, task setting and audit trail. Demonstration of various reports as required for management information.	**0.10**	**5**
Total weighted score/Maximum possible score	***100***	
Minimum qualifying score (expressed as percentage)		***70%***

The minimum qualifying score is 70% to proceed to the next phase.

8 COSTING (PHASE 3)

Pricing must be submitted separately, and the following sections must be quoted for accordingly. Pricing for the system must include the following:

a) Functional specifications development for all sections (A-J) of the TOR,

b) Section K to be comprehensively unpacked, i.e**. Software (Initial cost, Hosting Cloud (if applicable), Change Management (End User training) and Maintenance and support over 3 years (post implementation deliverables)**

c) Overall cost breakdown and payment plan over a period of 3 years. This cost must not include license renewal fees for the next 2 years after initial installation. This cost will be addressed as per instruction in (e) above.

d) Maintenance and support cost to be indicated over the project contract period.

e) GMS data migration (to be done by TIA employees). No data migration will be done by the supplier, TIA users will be trained on how to by the supplier on the proposed solution.

f) Project management (TIA to appoint own project manager) no service will be required from suppliers,

g) Annual License renewal fees for the next 2 years **(this cost is necessary to TIA for analysis purposes) hence need to be clearly articulated for demonstration. This cost must be included in the overall tender amount.**

The following will be considered during this Phase:

B-BBEE status level Contributor		**20**
Points for Price		**80**
Maximum Points		**100**

9 MANDATORY REQUIREMENTS

9.1 Proposals will be disqualified or excluded under the following conditions:

9.1.1 Submission after the deadline;

9.1.2 Proposals submitted at incorrect location

9.1.3 Service Providers not registered on Central Supplier Database (www.csd.gov.za)

9.1.4 Service Providers whose tax matters are not in order when TIA appoints

9.1.5 Compulsory briefing session to be attended by a representative of a company that will be responding to the tender.

9.1.6 Service providers will be disqualified if they fail to respond to ALL SECTIONS of the TOR as stipulated.

9.1.7 Outline Project implementation period for Phase 1 over a period of 6 months, and other phases of the project afterwards.

9.1.8 Submission of minimum Level 5 or below BBBEE Certificate/ Signed sworn affidavit by the Commissioner of Oaths.

9.1.9 Submission of client backed proof that the service provider has successfully implemented a similar solution worth R5 million or more.

10 DEADLINE FOR SUBMISSION

10.1 Proposals that contain **TIA006/2021 ON THE SUBJECT LINE** must be submitted at: **Tenders@tia.org.za** not later than **2021/11/19 at 11:00**. **The last day for tender enquiries will be 2021/11/05 at 12:00**

11 PERIOD OF APPOINTMENT

11.1 A successful bidder with be subject to the signing of an agreement with TIA for a period of 36 months. The preferred bidder will be required to prove financial sustainability to TIA as a going concern in order to implement the project successfully over the contract period. This is a condition that must be complied with prior to contracting phase.

SBD1

PART A
INVITATION TO BID

YOU ARE HEREBY INVITED TO BID FOR REQUIREMENTS OF THE (*NAME OF DEPARTMENT/ PUBLIC ENTITY*)					
BID NUMBER:		CLOSING DATE:		CLOSING TIME:	
DESCRIPTION					
BID RESPONSE DOCUMENTS MAY BE DEPOSITED IN THE BID BOX SITUATED AT *(STREET ADDRESS)*					

BIDDING PROCEDURE ENQUIRIES MAY BE DIRECTED TO		**TECHNICAL ENQUIRIES MAY BE DIRECTED TO:**	
CONTACT PERSON		CONTACT PERSON	
TELEPHONE NUMBER		TELEPHONE NUMBER	
FACSIMILE NUMBER		FACSIMILE NUMBER	
E-MAIL ADDRESS		E-MAIL ADDRESS	

SUPPLIER INFORMATION						
NAME OF BIDDER						
POSTAL ADDRESS						
STREET ADDRESS						
TELEPHONE NUMBER	CODE		NUMBER			
CELLPHONE NUMBER						
FACSIMILE NUMBER	CODE		NUMBER			
E-MAIL ADDRESS						
VAT REGISTRATION NUMBER						
SUPPLIER COMPLIANCE STATUS	TAX COMPLIANCE SYSTEM PIN:		**OR**	CENTRAL SUPPLIER DATABASE No:	MAAA	
B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE	TICK APPLICABLE BOX] ☐ Yes ☐ No		B-BBEE STATUS LEVEL SWORN AFFIDAVIT		[TICK APPLICABLE BOX] ☐ Yes ☐ No	
[A B-BBEE STATUS LEVEL VERIFICATION CERTIFICATE/ SWORN AFFIDAVIT (FOR EMES & QSEs) MUST BE SUBMITTED IN ORDER TO QUALIFY FOR PREFERENCE POINTS FOR B-BBEE]						

ARE YOU THE ACCREDITED REPRESENTATIVE IN SOUTH AFRICA FOR THE GOODS /SERVICES /WORKS OFFERED?	☐Yes ☐No [IF YES ENCLOSE PROOF]	**ARE YOU A FOREIGN BASED SUPPLIER FOR** THE GOODS /SERVICES /WORKS OFFERED?	☐Yes ☐No [IF YES, ANSWER THE QUESTIONNAIRE BELOW]

QUESTIONNAIRE TO BIDDING FOREIGN SUPPLIERS
IS THE ENTITY A RESIDENT OF THE REPUBLIC OF SOUTH AFRICA (RSA)? ☐ YES ☐ NO 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

1. BID SUBMISSION:
1.1. BIDS MUST BE DELIVERED BY THE STIPULATED TIME TO THE CORRECT ADDRESS. LATE BIDS WILL NOT BE ACCEPTED FOR CONSIDERATION.
1.2. **ALL BIDS MUST BE SUBMITTED ON THE OFFICIAL FORMS PROVIDED–(NOT TO BE RE-TYPED) OR IN THE MANNER PRESCRIBED IN THE BID DOCUMENT.**
1.3. THIS BID IS SUBJECT TO THE PREFERENTIAL PROCUREMENT POLICY FRAMEWORK ACT, 2000 AND THE PREFERENTIAL PROCUREMENT REGULATIONS, 2017, THE GENERAL CONDITIONS OF CONTRACT (GCC) AND, IF APPLICABLE, ANY OTHER SPECIAL CONDITIONS OF CONTRACT.
1.4. **THE SUCCESSFUL BIDDER WILL BE REQUIRED TO FILL IN AND SIGN A WRITTEN CONTRACT FORM (SBD7).**

2. TAX COMPLIANCE REQUIREMENTS
2.1 BIDDERS MUST ENSURE COMPLIANCE WITH THEIR TAX OBLIGATIONS.
2.2 BIDDERS ARE REQUIRED TO SUBMIT THEIR UNIQUE PERSONAL IDENTIFICATION NUMBER (PIN) ISSUED BY SARS TO ENABLE THE ORGAN OF STATE TO VERIFY THE TAXPAYER'S PROFILE AND TAX STATUS.
2.3 APPLICATION FOR TAX COMPLIANCE STATUS (TCS) PIN MAY BE MADE VIA E-FILING THROUGH THE SARS WEBSITE WWW.SARS.GOV.ZA.
2.4 BIDDERS MAY ALSO SUBMIT A PRINTED TCS CERTIFICATE TOGETHER WITH THE BID.
2.5 IN BIDS WHERE CONSORTIA / JOINT VENTURES / SUB-CONTRACTORS ARE INVOLVED, EACH PARTY MUST SUBMIT A SEPARATE TCS CERTIFICATE / PIN / CSD NUMBER.
2.6 WHERE NO TCS 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: …………………………………………...

SBD 4

DECLARATION OF INTEREST

1. Any legal person, including persons employed by the state[1], 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 a price quotation, advertised competitive bid, limited bid or proposal). 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[2]): ……………………………………..

2.4 Company Registration Number: ……………………………………………………..…….

2.5 Tax Reference Number :

2.6 ………………………………………………………….………

2.7 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.

[1]"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.

[2]"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 presently employed by the state? **YES / NO**

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 the appropriate authority to undertake remunerative work outside employment in the public sector?

YES / NO

2.7.2.1 If yes, did you attach proof of such authority to the bid document?

YES / NO

(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 / trustees /shareholder/ members or their spouses conduct business with the state in the previous twelve months?

YES / NO

2.8.1 If so, furnish particulars:

……………………………………………………………………..

……………………………………………………………………..

……………………………………………………………………...

2.9 Do you, or any person connected with the bidder, have 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?

YES / NO

2.9.1If so, furnish particulars.

…………………………………………………………………...

…………………………………………………………..…….

2.10 Are you, or any person connected with the bidder, 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?

YES/NO

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 Tax Reference Number**	**State Employee Number / Personnel 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 IN TERMS OF PARAGRAPH 23 OF THE GENERAL CONDITIONS OF CONTRACT SHOULD THIS DECLARATION PROVE TO BE FALSE.

……………………………………..   ……………………………………………

Signature   Date

…………………………………   …………………………………

Position   Name of Bidder

SBD 6.1

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 exceed/not exceed R50 000 000 (all applicable taxes included) and therefore the preference point system shall be applicable; or

b) Either the 80/20 or 90/10 preference point system will be applicable to this tender (*delete whichever is not applicable for 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	
B-BBEE STATUS LEVEL OF CONTRIBUTOR	
Total points for Price and B-BBEE must not exceed	**100**

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) "**B-BBEE status level of contributor"** means the B-BBEE status of an entity in terms of a code of good practice on black economic empowerment, issued in terms of section 9(1) of the Broad-Based Black Economic Empowerment Act;

(c) **"bid"** means a written offer in a prescribed or stipulated form in response to an invitation by an organ of state for the provision of goods or services, through price quotations, advertised competitive bidding processes or proposals;

(d) **"Broad-Based Black Economic Empowerment Act"** means the Broad-Based Black Economic Empowerment Act, 2003 (Act No. 53 of 2003);

(e) **"EME"** means an Exempted Micro Enterprise in terms of a code of good practice on black economic empowerment issued in terms of section 9 (1) of the Broad-Based Black Economic Empowerment Act;

(f) **"functionality"** means the ability of a tenderer to provide goods or services in accordance with specifications as set out in the tender documents.

(g) **"prices"** includes all applicable taxes less all unconditional discounts;

(h) **"proof of B-BBEE status level of contributor"** means:

1) B-BBEE Status level certificate issued by an authorized body or person;

2) A sworn affidavit as prescribed by the B-BBEE Codes of Good Practice;

3) Any other requirement prescribed in terms of the B-BBEE Act;

(i) **“QSE”** means a qualifying small business enterprise in terms of a code of good practice on black economic empowerment issued in terms of section 9 (1) of the Broad-Based Black Economic Empowerment Act;

(j) **“rand value”** means the total estimated value of a contract in Rand, calculated at the time of bid invitation, and includes all applicable taxes;

3. POINTS AWARDED FOR PRICE

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

A maximum of 80 or 90 points is allocated for price on the following basis:

80/20 **or** **90/10**

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

Where

Ps = Points scored for price of bid under consideration

Pt = Price of bid under consideration

Pmin = Price of lowest acceptable bid

4. POINTS AWARDED FOR B-BBEE STATUS LEVEL OF CONTRIBUTOR

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		NO	

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		NO	

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 last 51% owned by:	**EME** √	**QSE** √
Black people		
Black people who are youth		
Black people who are women		
Black people with disabilities		
Black people living in rural or underdeveloped areas or townships		
Cooperative owned by black people		
Black people who are military veterans		
OR		
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 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 ………………………………….. ………………………………….. …………………………………..

SBD 8

2 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.

4.1	Is the bidder or any of its directors listed on the National Treasury's Database of Restricted Suppliers as companies or persons prohibited from doing business with the public sector? **(Companies or persons who are listed on this Database were informed in writing of this restriction by the Accounting Officer/Authority of the institution that imposed the restriction after the *audi alteram partem* rule was applied).** The Database of Restricted Suppliers now resides on the National Treasury's website (**www.treasury.gov.za**) and can be accessed by clicking on its link at the bottom of the home page.	Yes ☐	No ☐
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)? **The Register for Tender Defaulters can be accessed on the National Treasury's website (www.treasury.gov.za) by clicking on its link at the bottom of the home page.**	Yes ☐	No ☐
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 ☐	No ☐

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 ☐	No ☐
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**

SBD 9

CERTIFICATE OF INDEPENDENT BID DETERMINATION

1 This Standard Bidding Document (SBD) must form part of all bids[1] 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).[2] 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:

[1] Includes price quotations, advertised competitive bids, limited bids and proposals.

[2] 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.

SBD 9

CERTIFICATE OF INDEPENDENT BID DETERMINATION

I, the undersigned, in submitting the accompanying bid:

____

(Bid Number and Description)

in response to the invitation for the bid made by:

____

_____

(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

SBD 9

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[3] 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.

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.

[3] 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.

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