

# Vetted Pro

Sibanye process flow overview

# Sibanye RFP

## System Profile: Integrated Vetting Platform for Sibanye Overview

The Integrated Vetting Platform is a comprehensive system designed to streamline and enhance the vetting process for individuals and companies working with Sibanye. The platform aims to provide a single database for all vetting requirements, leveraging AI to generate reports that meet the company's criteria.

### Key Features

#### 1. Individual Vetting:

1. Education verification - Criminal record checks - ID verification - Address verification - Credit checks - Other relevant checks

#### 2. Business Vetting: - Company registration verification (CIPC) - Director checks - Business location verification - Other relevant checks

#### 3. Invoice Vetting: - Description of services vs. RFP - Invoice value vs. RFP - Payment terms and invoice payment dates verification

#### 4. Benefits

1. Single Platform: A centralized database for all vetting requirements, eliminating duplication and enhancing efficiency.

2. AI-Generated Reports: Automated report generation based on company criteria, ensuring consistency and accuracy.

3. Supplier Report Storage: Storage of reports from various suppliers (e.g., Lexus Nexus, MIE, Transunion, Experian) with date stamping.

4. Vetted Skills Base: A database of vetted individuals and companies, enabling Sibanye to identify and utilize local suppliers in compliance with legislation.

#### 5. Goals

1. Streamline Vetting Process: Automate and standardize the vetting process, reducing manual errors and increasing efficiency

2. Enhance Compliance: Ensure compliance with regulatory requirements and company policies through thorough vetting and monitoring.

3. Improve Decision-Making: Provide accurate and timely information to support informed decision-making.

4. Support Local Suppliers: Facilitate the use of local suppliers, promoting community development and economic growth.

#### 6. Target Users

1. Sibanye Employees: Procurement, finance, and risk management teams.

2. Suppliers: Companies and individuals working with Sibanye.

#### 7. Technical Requirements

1. AI Integration: Integration with AI algorithms for report generation and data analysis.

2. Database Management: A robust database management system to store and manage vetting data

3. Integration with Third-Party Suppliers: Integration with various suppliers' systems for seamless data exchange.

#### 8. By implementing the Integrated Vetting Platform, Sibanye can enhance its vetting processes, improve compliance, and support local suppliers, ultimately contributing to the company's success and community development.

# Key CVP of system

## Efficiencies

- Cost –
  - reduce cost of verifications –remove duplication requests
  - Less man power to process
- Time
  - System tracks and monitors
  - Single view and input / output platform

## Management

- The system manages workflows and thus impacts efficiencies and
- Effectiveness
  - By managing efficiencies and producing value through key reports

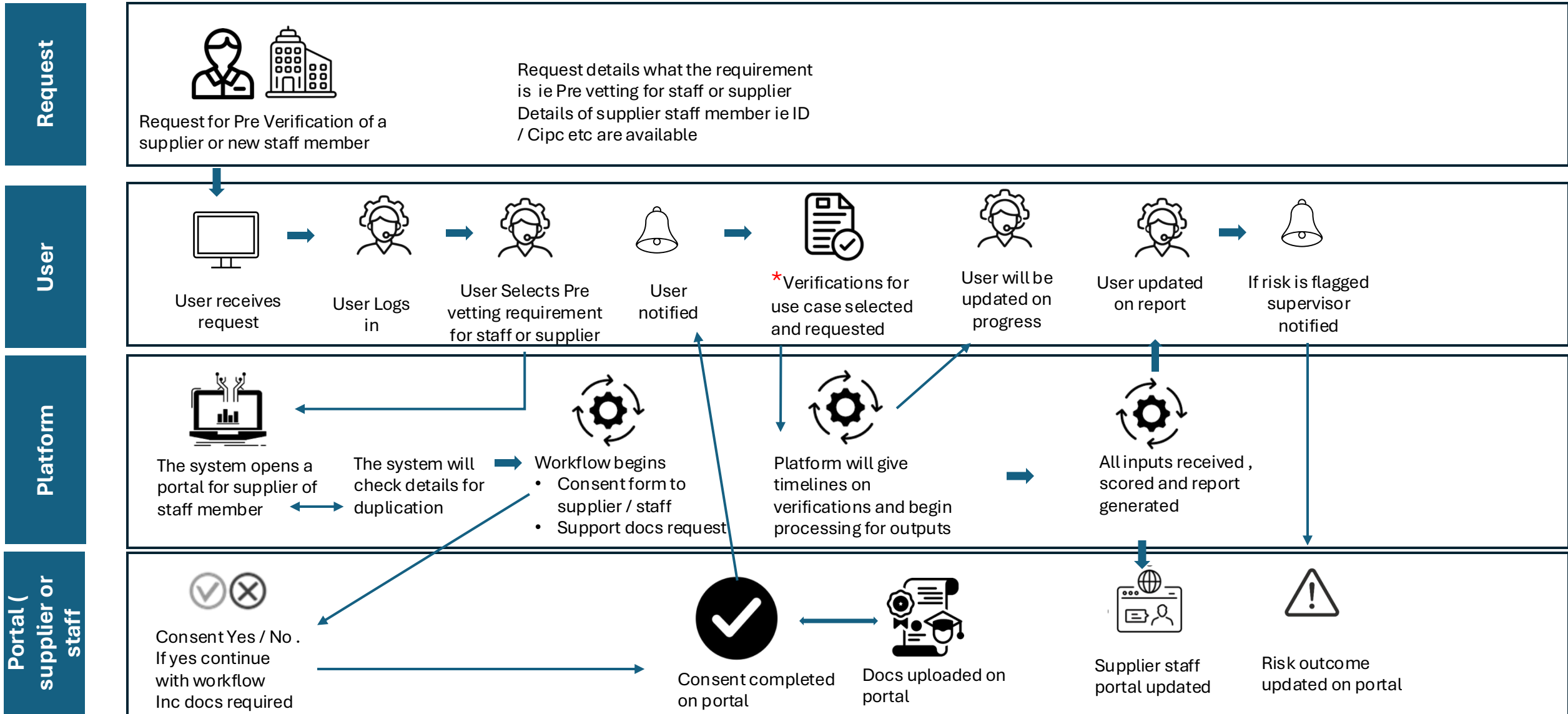
## Key Outputs

- This is dependent on client objectives
- Mitigate Risk and Fraud
  - Platform can give a view of risk rating by supplier
- Cost
  - Process is effective and manages the workflow

# Pre Vetting



# Workflow – Pre Vetting



## Notes

- \*Verifications will be based on menu and standardisation
- but depending on requirement / role / circumstance additional verifications could be requested

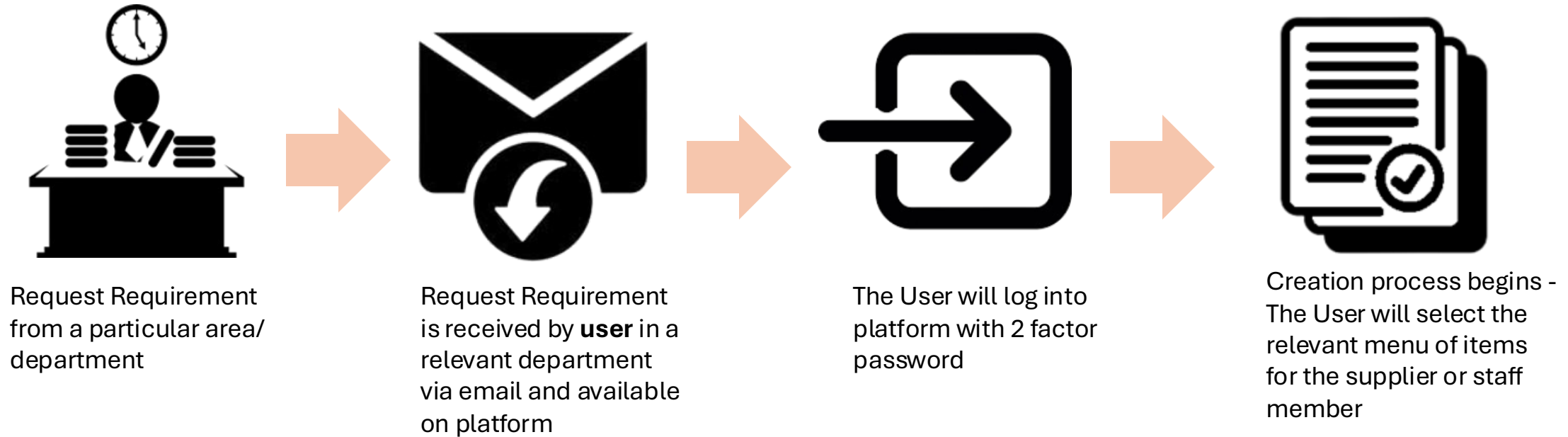
## Document Request

- CV , Qualifications , Certificates , memberships
- Qualification verification will begin

## Other opportunities

- Integration into HR and Procurement systems / areas

## Pre-Vetting ( supplier or Staff)– Initiation request



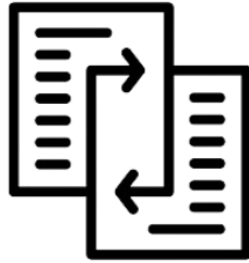
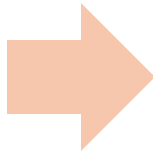
### Notes

1. Request for onboarding of supplier or staff member sent via platform ie this user will have certain permissions ie create request and oversee the progress on the platform
  1. This will contain details of requirement
2. The user will receive request via email with link to platform
3. The user will log into platform with 2 factor password etc
4. The user will begin “ Creation process” . This will include details specific to requirement eg supplier / staff member etc etc
5. This creation process will inform the system to provide the appropriate menu of options
6. The requested is now created on platform

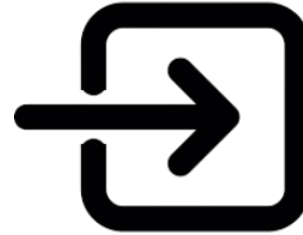
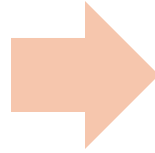
# Pre-Vetting ( supplier or Staff)– Set up



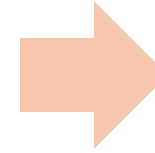
A portal is opened for the pending staff member or supplier



The system will automatically check for duplicates of supplier pending staff member



The User will log into platform with 2 factor password



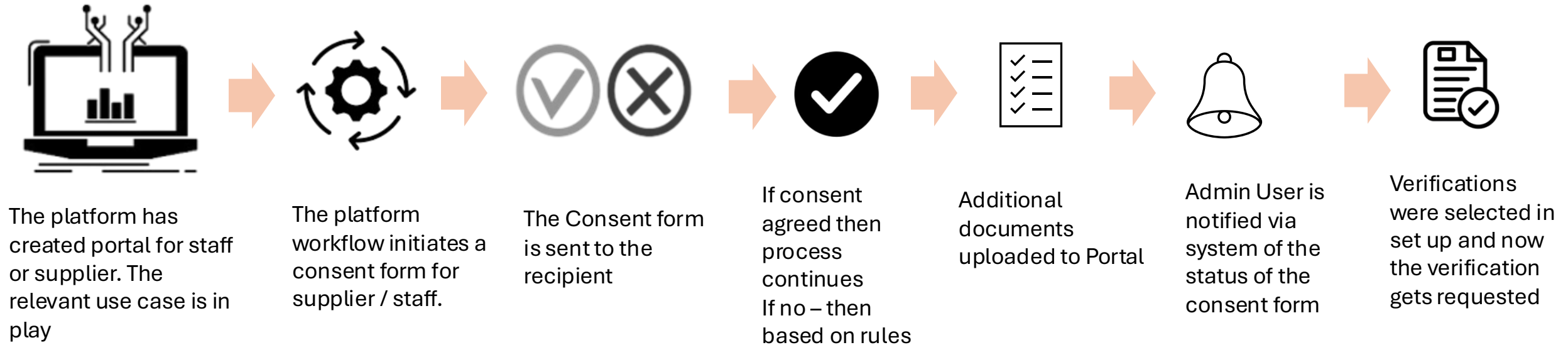
The User will select the relevant menu of items for the supplier or staff member

## Notes

- A portal will be created for every pending staff member or supplier
- Staff menu
  - Pending staff will be grouped into an overall area as there could be multiple interviews
  - Business rules together with HR department rules may only run verifications when candidates are shortlisted or they could run from beginning of process
- The menu of verifications is preset by requirement but there could be additional verifications added based on certain criteria
  - Pending staff will have different requirements to Suppliers

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# Pre-Vetting ( supplier or Staff)– Consent form



## Notes

- The system has created portal and user has selected the necessary menu of verifications
- Staff or Supplier contact details are key and consent is sent to the recipient via email with a link to complete form
  - Timeline creation would be set up and reminders sent through to recipient will happen if consent not received in deadline
  - There could be instances where a consent form is manual but this will be detailed and system will understand this. The output of consent will need to be captured by user and copy uploaded to recipient portal
- Consent form output = yes or no
  - If no – business rules will determine who receives this answer ie project / hiring / procurement sponsor. The output from sponsor needs to be recorded on the recipient portal
  - If yes – the workflow will continue
  - User notified
  - Verification request sent to MIE ( or other)
- Additional documents could be requested ie qualifications , certificates etc. These would be itemised on link / portal and would be uploaded
  - This will form part of the verification request



# Pre-Vetting ( supplier or Staff)– Verifications



The platform will give timelines based on SLA from MIE for the verifications requested



The Admin user will be able to track verification timelines and progress



All verifications have been received and verifications are scored and an initial report created. Supplier vs Staff is different



The recipient portal is updated automatically



The risk score will determine next steps and notification to relevant areas



The decision based on outcome will be updated on portal

## Notes

- The workflows within each portal are live and operating
- Verification requests are sent to verification supplier via API
  - The verification SLA are pre set and will give a timeline on when
  - Progress tracking against SLA will happen , and will be available under the relevant portal and the admin tracking report ( could be multiple requests)
    - Exception reporting will be required and if SLA not adhered to then possible incident / follow up request sent via system to Endleleni .
      - Reports will be available to relevant parties ie User plus Endleleni
    - Qualification verifications typically have longest lead time
- Once all verifications are in portal / platform then full score will be available
  - The risk score will determine possible pathways and business rules will determine decision making requirements
- The outcome of report and decision by management in Sibanye whether it's a “ Go” , “ Problem” or “No Go” will be uploaded to portal

# Pre-Vetting ( supplier or Staff)– Reports ( Sibanye Users)



The platform will generate admin reports / dashboards/ workflows etc

The dashboard will give an overview of who , how many , what , when, problems etc

The user can single out a particular staff / supplier for further action

Escalation requests will be reported in dashboard and supplier/ staff portal

Overall risk score and report determines further steps

## Notes

- Dashboards for admin to track progress at a combined and individual level are key
  - The dashboard will be available on set up
  - Each step in the process will create up dates
  - If there are system requests – this will be tracked and reminders sent out
- Escalation requests by admin user will be pre set up and will be reported for tracking purposes
  - The escalation workflow – depending on nature could be sent to Endleleni ( verification supplier issues) or to people in Sibanye
- The overall report will determine the following
  - Risk level
  - Go no Go
  - Supervisor intervention and required update
  - Costing of verifications based on requests ( this will update Endleleni admin finance tab/ menu)

# Pre-Vetting ( supplier or Staff)– Reports / Dashboards ( Endleleni)



The platform will generate admin reports / dashboards/ workflows etc

Escalation requests will be reported in dashboard and supplier/ staff portal

Escalation requests ie supplier/ system will sent to Endleleni Admin and appropriate process will be followed

Verifications ordered and used will be added to financial report.

Dashboard with drill down options will be used to oversee the process

## Notes

- Dashboards by use case will showcase all reportable items for Endleleni
  - Escalation on verifications – actioned by Endleleni will be updated on Sibanye and Endleleni portals / dashboards
  - Verification requests and count of verifications supplied ie cost and revenue
  - Password changes
  - Users and the usage



# Post Vetting

PwC's Global Economic Crime and Fraud Survey 2022 revealed that 51% of organisations have experienced fraud, corruption, or other economic crimes in the last 24 months.

# Fraud in mining overview

In South Africa, mining suppliers face a significant risk of fraud, particularly related to procurement, tender manipulation, "fronting" schemes where companies falsely claim to be BEE compliant to secure contracts, and bribery, often targeting government officials to gain favorable treatment or contracts, especially due to the complex regulatory landscape and opportunities for exploitation within the Mining Charter requirements; this can involve inflated invoices, fictitious suppliers, and collusion with mine employees to divert funds or materials.

Key aspects of fraud risk in South African mining supply chains:

- **Mining Charter exploitation:** Companies may falsely claim to meet BEE (Broad-Based Black Economic Empowerment) requirements to secure contracts, often through "fronting" where a non-BEE entity pretends to be a majority owner of a BEE company.
- **Tender manipulation:** Suppliers may engage in collusion to inflate prices or manipulate the bidding process to favor certain companies.
- **Bribery and corruption:** Offering bribes to government officials or mine employees to gain favorable treatment regarding permits, contracts, or regulatory approvals.
- **Fictitious invoices and payments:** Creating fake invoices to divert funds or inflate expenses.
- **Invoice manipulation:** Altering invoice details to increase the amount paid to a supplier
- **Falsified documentation:** Presenting false documentation to meet procurement requirements
- **Collusion with Mine employees:** Internal employees collaborating with suppliers to facilitate fraudulent activities like theft of materials or inflated invoices

Factors contributing to fraud risk:

- **Complex regulatory environment:** The Mining Charter and its requirements create opportunities for manipulation and exploitation.
- **Opaque procurement processes:** Lack of transparency in the procurement process can enable fraudulent activities
- **High-value transactions:** The large sums of money involved in mining operations make it attractive for fraudulent activity
- **Weak internal controls:** Companies with inadequate internal controls are more vulnerable to fraud

Mitigating fraud risk:

- **Robust due diligence:** Thoroughly vetting potential suppliers, including checking their BEE compliance and financial history
- **Transparent procurement processes:** Implementing clear and transparent procurement procedures with strict checks and balances
- **Strong internal controls:** Establishing robust systems to monitor transactions, detect anomalies, and prevent fraudulent activity
- **Ethics and compliance training:** Educating employees on ethical business practices and anti-fraud policies
- **Collaboration with law enforcement:** Reporting suspicious activities to relevant authorities

# Post Vetting – Overview



## Objectives

- Fraud Detection of existing suppliers
- Risk detection
- Single platform to manage the process
- Efficiency delivery ie
  - automation / AI = time saving
  - Cost saving – manage verifications and potential abuse



- Utilise relevant verifications to “audit” suppliers
- Suppliers = business entity and directors
- This is one of the steps



- Location of business premise in said area
- Manual process that will require a geolocation process
- This talks to doorstep suppliers

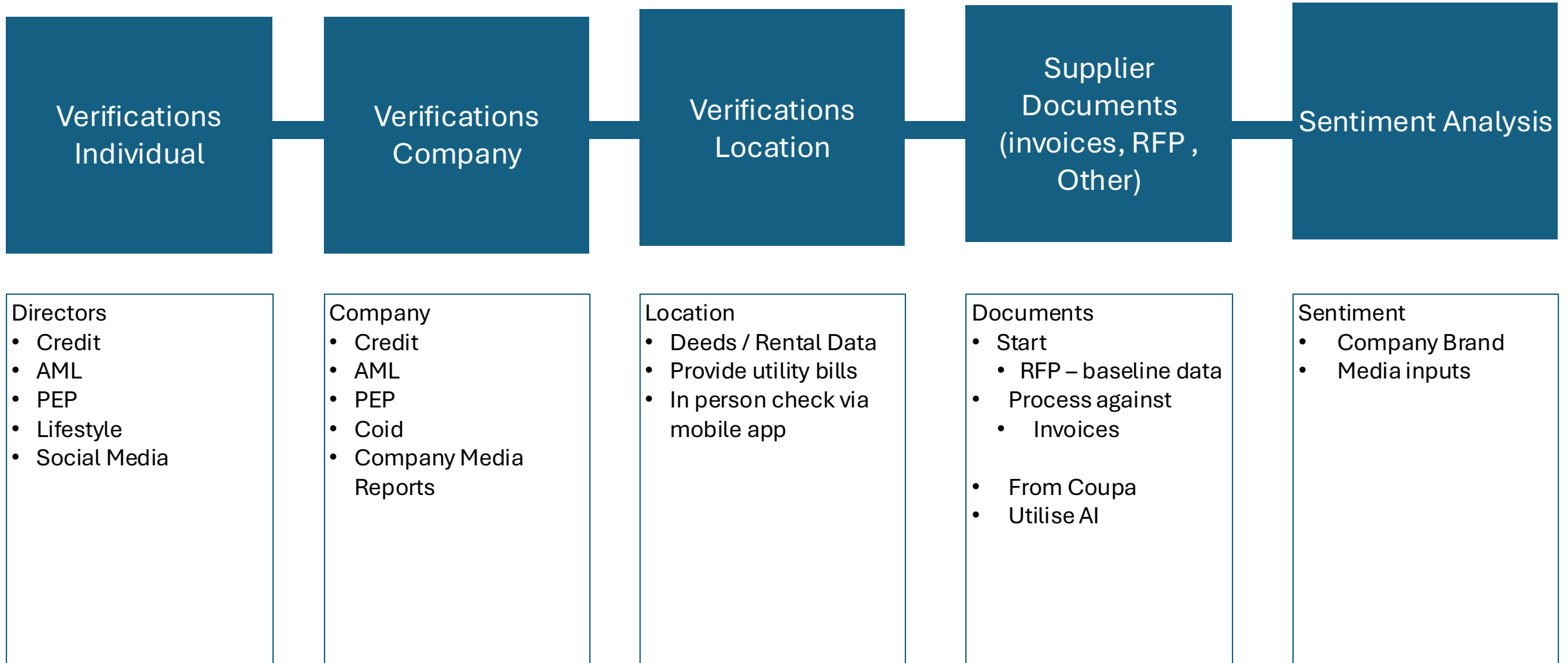


- Document fraud recognition through AI technology
- Baseline requirement through original RFP document and agreed contract

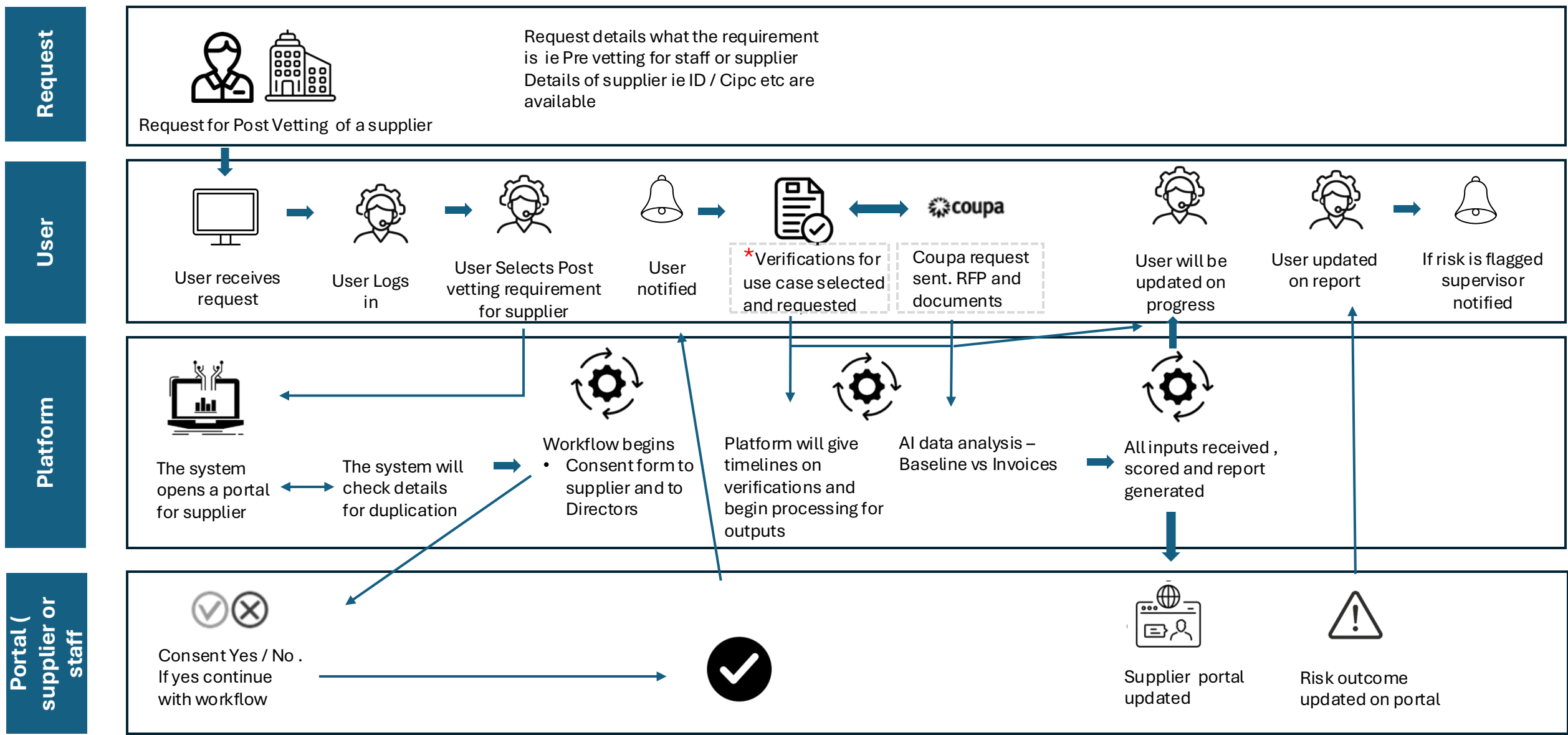


- Verifications, location, document analysis will be separately scored as well as combined as an overall Risk Score

# Supplier Verifications



# Workflow – Post Vetting

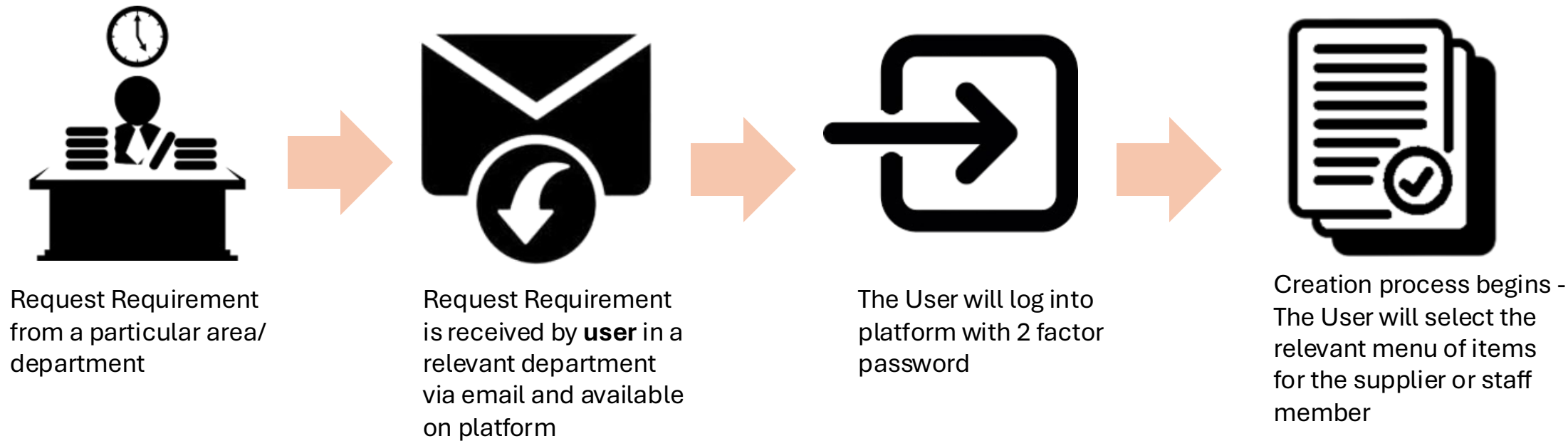


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# Post Vetting ( supplier or Staff)– Initiation request



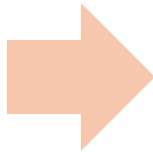
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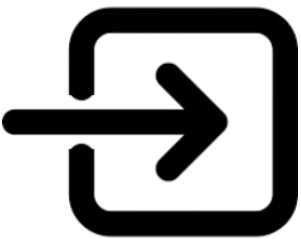
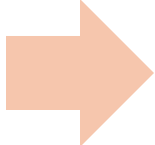
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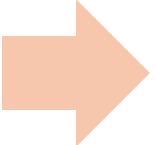
A portal is opened for supplier or staff member project



The system will automatically check if there are any previous verifications.



The User will log into platform with 2 factor password

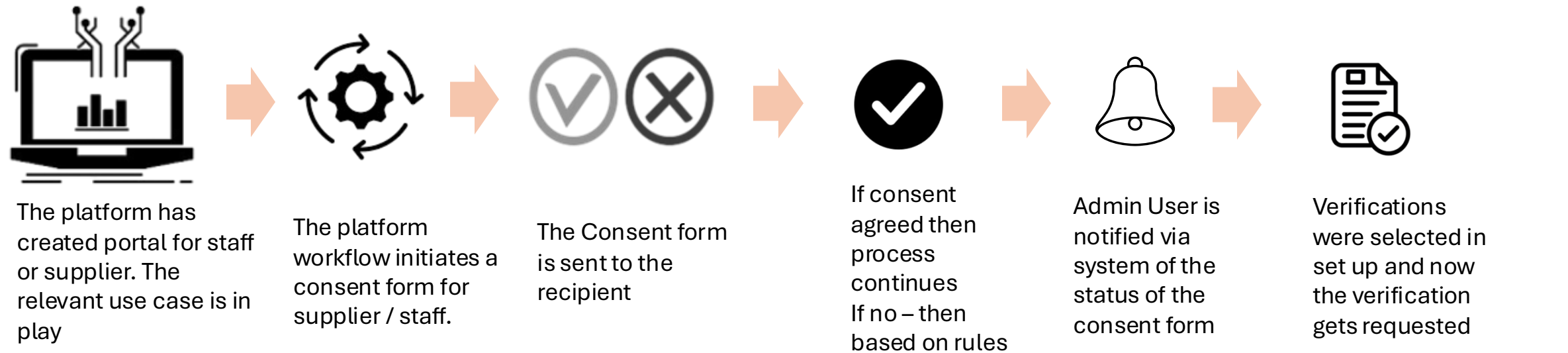


The User will select the relevant menu of items for the supplier or staff member

## Notes

- A portal will be created for supplier
- Staff menu
  - This will be for any staff members that are seen as a “risk”
  - Or a company wide project to determine if people have a risk profile
- The menu of verifications is preset by requirement but there could be additional verifications added based on certain criteria
- The key areas required for supplier are
  - Company relevant verifications
  - Individual Director verifications
  - Coid
  - Location
  - Document / Invoice analysis
- This will be selected and the next step of the process will begin

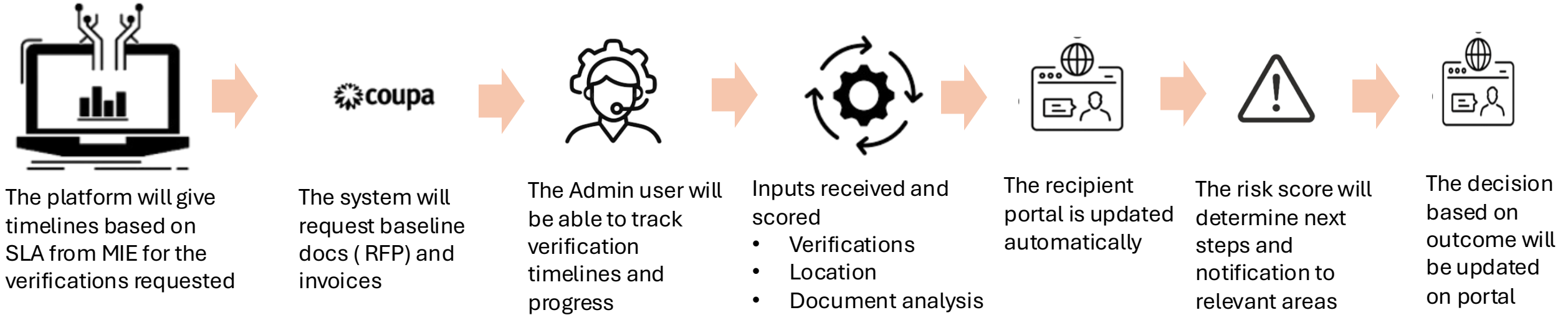
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RFP



# RFP Challenges in South Africa

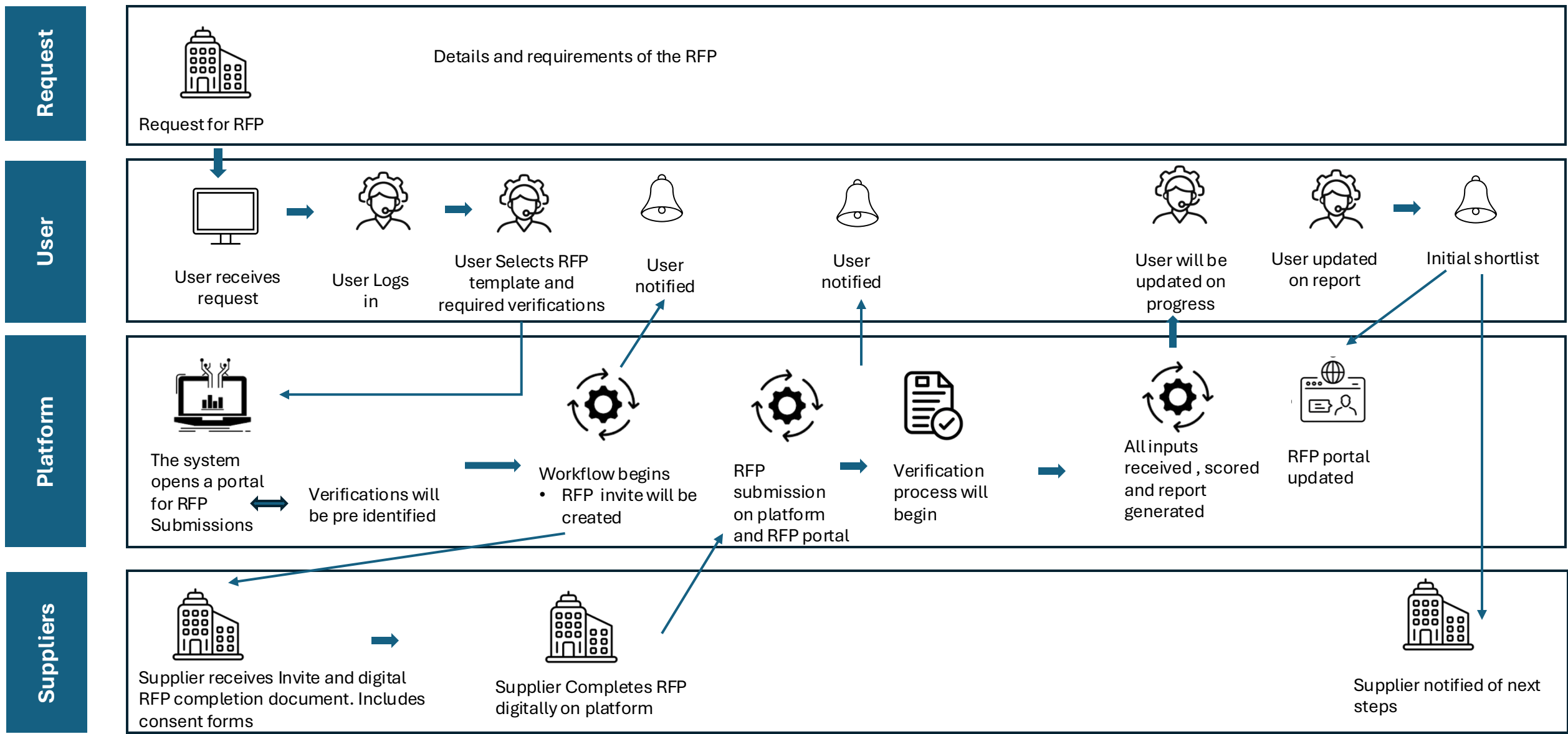
South African procurement, particularly in the public sector, faces numerous challenges including corruption, lack of capacity, and inefficient processes. These issues, compounded by socio-economic factors and a complex regulatory environment, hinder effective service delivery and economic development.

Specific challenges within the South African RFP (Request for Proposal) process include:

<b>Corruption and Maladministration:</b> Instances of corruption and mismanagement in procurement processes are prevalent, leading to inflated costs, unfair bidding practices, and poor service delivery, particularly in municipalities	<b>Lack of Capacity and Expertise:</b> A shortage of skilled personnel and inadequate training in procurement practices can lead to non-compliance with regulations, poor contract management, and inefficient decision-making.	<b>Inefficient Processes:</b> Lengthy and complex RFP processes, coupled with a lack of transparency and inadequate planning, contribute to high procurement costs and delays.	<b>Fragmented Legislation and Regulation:</b> The varying procurement practices across different government entities create inefficiencies and inconsistencies, resulting in different prices being paid for the same goods and services.	<b>Lack of Transparency:</b> Insufficient transparency throughout the procurement process can create opportunities for corruption and hinder accountability.	<b>Costly RFPs:</b> The administrative burden and complexity of RFPs can make the process expensive, particularly for smaller businesses.
<b>Vendor Issues:</b> Limited vendor participation due to factors like capacity constraints, lack of trust in the process, or concerns about payment delays can impact the competitiveness of the procurement process	<b>Risk Aversion:</b> The focus on risk mitigation in traditional RFP processes can stifle innovation and limit opportunities for more cost-effective or innovative solutions.	<b>Stakeholder Communication:</b> Poor communication and collaboration between stakeholders involved in the RFP process can lead to delays and misunderstandings.	<b>Enforcement of Regulations:</b> Weak enforcement of existing procurement laws and regulations can lead to repeated violations and undermine the integrity of the procurement system	<b>Strategic Focus:</b> A lack of strategic focus in procurement can result in high costs and poor quality outcomes.	<b>Preferential Procurement:</b> The preferential procurement system, while intended to address historical inequalities, can be costly and ineffective if not implemented properly.



# Workflow – RFP



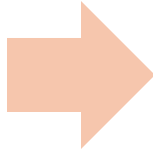
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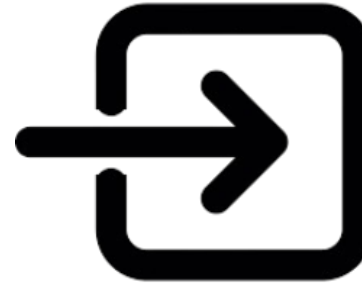
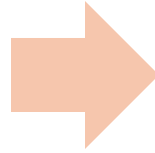
# RFP - Initiation request



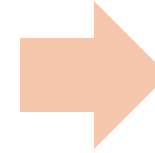
Request Requirement from a particular area/ department. This will include the RFP template



Request Requirement is received by **user** in a relevant department via email and available on platform



The User will log into platform with 2 factor password



Creation process begins -  
The User will select the relevant menu of items for verifications.

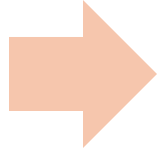
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2. The user will receive request via email with link to platform
3. The user will log into platform with 2 factor password etc
4. The user will begin “ Creation process” . The RFP template has been selected ( the template will have verification requirements links
5. This creation process will inform the system to provide the appropriate menu of options ie required verifications
6. The requested is now created on platform

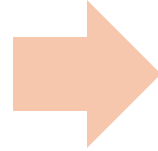
# RFP - Set up



A portal is opened to capture all the received RFP's . There will be separate portals for suppliers participating



A RFP invite will be created on the system and a link will be sent to relevant department to publish for submission



Part of the RFP link an attached to the RFP requirement will be the relevant requirements and instructions

## Notes

- A portal will be created for RFP
  - Sub portals will be created when a submission is received
- An invite together with the RFP submission link will be sent to the relevant department
  - Instructions and requirements will be included on the RFP template – A separate link could be utilised to understand if a potential supplier is going to participate or not
  - This will inform the system of all potential suppliers interested in applying

# RFP – Invite and Consent form



The platform has created portal for RFP and sub portals will be created on participation submission



Invite received by supplier. Supplier completes initial phase



Yes or No to applying . If yes consent form needs to be agreed to



Portal Updated and Sub Portal for applying supplier created



RFP dashboard created



Admin User notified and supplier notified of steps

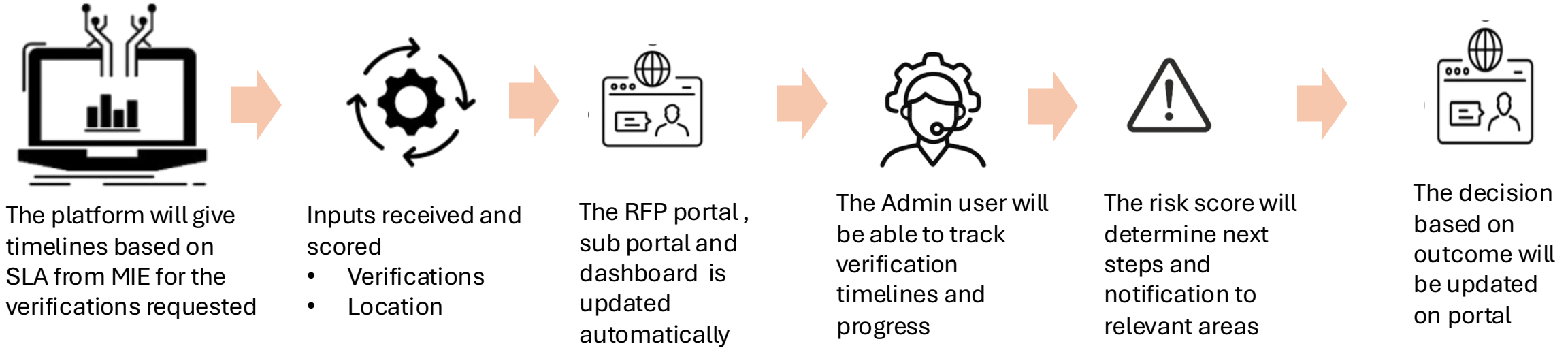


System will initiate request for verifications

## Notes

- The platform has created an RFP portal and is ready for sub portals based on initial YES / No submission from supplier
- Supplier will access invite and will go through instructions and requirements
  - Company name , registration number , directors and ID numbers
- If the supplier is interested will sign off on instructions and indicate Yes. This is link based and will trigger a workflow back to system
  - Consent form will also be required . This will form part of instructions but consent form will be a separate yes answer
- Once RFP Yes to applying and Consent form is received. A sub portal will be opened
  - This will also trigger a request for verifications based on requirement
- RFP dashboard will also be created which will update as suppliers complete links
  - Timelines and updates will be available to Admin User and possible ongoing notifications to supplier

# RFP - Verifications



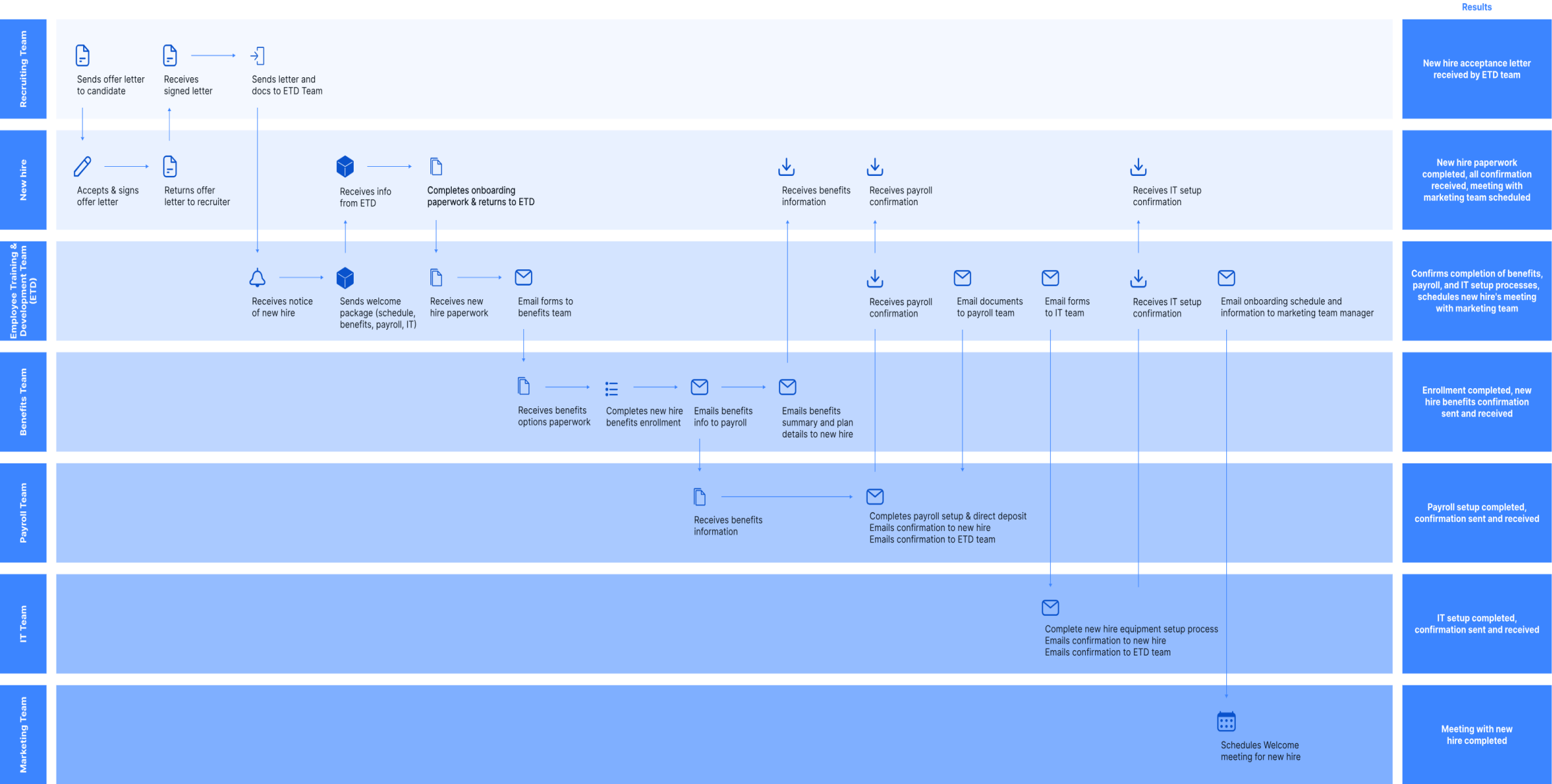
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# Back up Slides



# Does procurement / HR become integrated or is it notification only driven



# High Level Process

Activity	Requirements	Impact Area	Impacts
User Set Up	Passwords / Levels / Permissions	Admin Back end	Password reset , User permissions , exception reporting , tracking , user reports
Platform Set up	Pre Verification / Post verification / RFP builder/ Reports / Doc interrogation / Scorecard / Menus for functionality and requirements / Pricing / Verification Usage – Supplier and client	DB / Admin	
Menu by situation	Pre verification – baseline verifications ie standardised vs alternate verifications ie supplier / staff member specific Same for Post verification and RFP	User / Admin / DB	
Workflows for menu and requirement	<ul style="list-style-type: none"> <li>• Verifications – ie Crim / Qualification have different requirements</li> <li>• Standardised Verifications = everything else</li> <li>• Requests</li> <li>• Consent</li> </ul>		
Consent forms	<ul style="list-style-type: none"> <li>• Digital = final</li> <li>• Verification runs off consent approval</li> </ul>		
APIs	<ul style="list-style-type: none"> <li>• Usability / usage reports</li> <li>• Online / Offline</li> <li>• Client Choice</li> <li>• Track and manage SLA</li> </ul>		



# Admin

Scenario	Main Menu	Sub 1	Sub 2	Sub 3	Sub 4	Outcomes
Supplier Set Up	Admin	Suppliers	Supplier Set Up	Company Portal	Company Details	Supplier portals set up with company details
Coupa Doc request	Admin	Suppliers	Upload Docs			Documents uploaded by supplier into individual portal
Verification Upload	Admin	Suppliers	Verifications	Report		Verifications by supplier are uploaded via API – etc Overall verification upload status
Location	Admin	Suppliers	Location confirmation			Location confirmation from mobile app by user confirms location status

# Suppliers

Scenario	Main Menu	Sub 1	Sub 2	Sub 3	Sub 4	Outcomes
Digital Verification Score	Suppliers	Supplier a	Dashboard	Verification overview and score	ALL supplier view	<ul style="list-style-type: none"><li>Verifications are uploaded by supplier , score / analysed</li></ul>
					Individual	<ul style="list-style-type: none"><li>Individual view of verifications – scored</li><li>All Verification score</li><li>It</li></ul>

# Notes

- Backend ie admin – how do duplicates get checked
- Admin menu options
- Reporting – ie not post but during ie staff employment – what is the screen that summarizes all potential candidates and where they are in the process – timelines , risk score , validity of qualifications etc
- Lifestyle can be separate and included menu depending on requirements –
- Escalation report back to Verification supplier ie SLA issues etc
- Password reset ( also requirements ie phone and PC , passkey)
  - Forgotten and monthly password change
- Sentiment analysis – an opportunity as part of and on its own. Through time the portal will enable further sentiment