

**ANNEXURE A: RISK AND COMPLIANCE MANAGEMENT SYSTEMS VENDOR & SYSTEM
EVALUATION FORM**

REQUIRED SYSTEM	RISK AND COMPLIANCE MANAGEMENT SYSTEMS	DATE	
VENDOR NAME		EVALUATOR	

COMPANY

This section evaluates the company's reliability, experience, reputation, profitability and long-term sustainability.

QUESTION	WEIGHT	POINT	TOTAL
<p>1) How long has the company been offering risk and compliance softwares? (include business profile, company registration documents)</p> <ul style="list-style-type: none"> - If the company has been in operation for at least 10 years. (5) - If the company has been in operation for between 8 and 9 years. (4) - If the company has been in operation for between 5 and 7 years. (3) - If the company has been in operation for between 3 and 4 years. (2) - If the company has been in operation for between 1 and 2 years. (1) 	20		
<p>2) Provide at least five references in the last ten(10) years where your company undertook similar projects in South Africa.</p> <ul style="list-style-type: none"> - If the Company provided five (5) or more contactable and relevant references (5) - If the company provided four (4) contactable and relevant references (4) - If the company provided three (3) contactable and relevant references (3) - If the company provided two (2) contactable and relevant references (2) - If the company provided one (1) contactable and relevant references (1) 	10		

QUESTION	WEIGHT	POINT	TOTAL
<p>3) Is the company profitable and with a sustainable business model to guarantee its continued existence? (provide annual financial statement in line with whatever requirements is applicable to your entity)</p> <ul style="list-style-type: none"> – Annual financial statement indicating positive gross profit margin of 10% or more (5) – Annual financial statement indicating positive gross profit margin between 8-9% (4) – Annual financial statement indicating positive gross profit margin between 6-7% (3) – Annual financial statement indicating positive gross profit margin between 5-6% (2) – Annual financial statement indicating positive gross profit margin between 1-4% (1) <p>4) At least 1 team member must posses experiences as developer (IT Technical Skills). Please provide their CV's supported by certified copies of their ID's and IT Related qualifications</p> <ul style="list-style-type: none"> – At least one team member with 10 and above years of experience as a developer (5) – At least one team member with 9-5 years of experience as a developer (4) – At least one team member with 4-3 years of experience as a developer (3) – At least one team member with 2-1 years of experience as a developer (2) – At least one team member with 11-0 months of experience as a developer (1) 	<p style="text-align: center;">10</p> <p style="text-align: center;">10</p>		
<p>RISK AND COMPLIANCE SYSTEM</p>			
<p>This section evaluates the risk and compliance management systems functionality and operations</p>			

QUESTION	WEIGHT	POINT	TOTAL
5) Meet risk management requirements as per annexure A risk management -Meet all 28 requirements with explanation for each item (5) -Meet 20-27 requirements with explanation for each item (4) - Meet 19-11 requirements (3) -Meet 10-8 requirements (3) -Meet 7-1 requirements (1)	25		
6) Meet compliance management requirements as per annexure A compliance management -Meet all 21 requirements with explanation for each item (5) -Meet 20-15 requirements with explanation for each item (4) - Meet 14-13 requirements (3) -Meet 12-10 requirements (3) -Meet 9-1 requirements (1)	25		
Only bidders who passed the cut-off of 80 for functionality, will be evaluated for price, BBBEE.	100		

ANNEXURE A RISK MANAGEMENT

RISK MANAGEMENT MODULE

This section evaluates the company's ability to support ICASA with its Risk Management.

HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK ACTIVITIES?
<ul style="list-style-type: none">• Generates a comprehensive risk register at all levels of the organisation incorporating Key Risk Indicators, Risk Appetite, Capacity and Threshold levels. The system must also have the functionality to control self-assessments & surveys. It must accommodate different types of risk registers.
<ul style="list-style-type: none">• Allows for voting on categories of risks
<ul style="list-style-type: none">• Incident reporting on newly identified risks
<ul style="list-style-type: none">• Escalation function from all levels not limited to the following:<ul style="list-style-type: none">– Non-achievement of deadlines– Risk above acceptable tolerance– Showcase incidents on transversal risks in the organisation
<ul style="list-style-type: none">• Provides an Organisation-wide view of the risk universe at strategic, operational, business unit and processes levels.
<ul style="list-style-type: none">• Keeps risk oversight and risk owners aware of a changing risk environment.
<ul style="list-style-type: none">• Enables ICASA to manage its enterprise-wide risk and specific risk universe.
<ul style="list-style-type: none">• Provides various assessment methods including but not limited to surveys and workshops
<ul style="list-style-type: none">• Flexible enough to be aligned with ICASA approved Risk Management Framework and strategies.
<ul style="list-style-type: none">• Provides standardised Risk Management templates for risk monitoring and reporting.
<ul style="list-style-type: none">• Enables the effective implementation of the Risk Management Framework with functionality to manage, monitor and track risks at all levels, including Risk Control Self Assessments.
<ul style="list-style-type: none">• Includes an Incident and Near-miss register
<ul style="list-style-type: none">• Capture the identified risks, action plans, assessment and monitoring reports with flexible filter options

HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK ACTIVITIES?

- Allows the controls to be captured at every level of risks identified and linked to risks and contributing factors and allow for rating of controls
- Provides proactive monitoring, including status tracking, automated reminders on due/overdue action plans and progress updates
- Holds a risk library for all users to access and for administrators to modify
- Able to capture/import existing risk register (from excel documents)
- Links risks to objectives/outcome identified in the Strategic Plan and Annual Plan
- Allows capturing and management of contributing factors for each risk
- Provides a risk dashboard for monitoring of risks by management
- Provides a Combined Assurance model
- Flexible i.e. configurable solution to suit our unique requirements and frameworks without any programmer intervention
- Enables seamless reporting and creation of dashboards to monitor trends
- Ensure the integrity of data and provides an audit trail of all changes to records and changes to user access rights in the system
- Has an accurate, integrated and customisable reporting functionality.
- Facilitate data migration from the currently used system into the new system
- Contain user audit trails to monitor the activity of users
- Ability to be used by multiple users at the same time and ensure real-time updating

ANNEXURE A COMPLIANCE MANAGEMENT MODULE

This section evaluates the company's ability to support ICASA with its Compliance Management.

HOW DOES THE SYSTEM HELP WITH THE FOLLOWING COMPLIANCE ACTIVITIES?
<ul style="list-style-type: none"> • Incident reporting on new compliance risks identified
<ul style="list-style-type: none"> • Escalation function from all levels not limited to the following: <ul style="list-style-type: none"> – Non-achievement of deadlines – Risk above acceptable tolerance – Showcase incidents on transversal risks in the organisation
<ul style="list-style-type: none"> • Provides an organisation-wide view of the compliance universe
<ul style="list-style-type: none"> • Enables the effective implementation of the compliance Management Framework with functionality to manage, monitor and track compliance risks at all levels including Control Self Assessments.
<ul style="list-style-type: none"> • Captures compliance identification, assessment and monitoring reports with flexible filter options
<ul style="list-style-type: none"> • Allows the controls to be captured at every level and linked to legislation, regulations, policies, codes and instructions and contributing factors and allow for rating of controls
<ul style="list-style-type: none"> • Provides proactive monitoring, including status tracking, automated reminders and progress updates
<ul style="list-style-type: none"> • Able to hold a library for all users to access and administrators to modify
<ul style="list-style-type: none"> • Able to capture/import existing compliance register, CRMP from excel or CSV files.
<ul style="list-style-type: none"> • allows capturing and management of contributing factors for each compliance activity
<ul style="list-style-type: none"> • provides a compliance dashboard for monitoring of compliance risks by management
<ul style="list-style-type: none"> • Incident reporting on newly identified compliance risks
<ul style="list-style-type: none"> • Provides for compliance requirements, obligations responsibility maps
<ul style="list-style-type: none"> • Enables capturing of compliance Key Risk Indicators, provide a checklist, compliance risk profile etc.
<ul style="list-style-type: none"> • Flexible i.e. configurable solution to suit our unique requirements and frameworks without any programmer intervention

HOW DOES THE SYSTEM HELP WITH THE FOLLOWING COMPLIANCE ACTIVITIES?
• Enables seamless reporting and creation of dashboards to monitor trends
• Ensure the integrity of data and provides an audit trail of all changes to records and changes to user access rights in the system
• Has an accurate, integrated and customisable reporting functionality.
• Facilitate data migration from the currently used system into the new system
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ANNEXURE B NON-MANDATORY

USER CONTROLS

This section evaluates the company's compliance with governance principles.

QUESTION
<ul style="list-style-type: none">• What segregation of duties measures are in place?
<ul style="list-style-type: none">• Please demonstrate the process of granting user access rights

REPORTING

This section evaluates the company's ability to help ICASA with legislative, compliance, operational reporting and the ease with which ICASA employees and managers can create custom reports.

QUESTION
• Does the system have built-in reporting templates for legislative and compliance reporting?
• Demonstrate how long does it take to generate customised report
• Does the system run on an SQL Server?
• Does it have a relational database?
• Can the vendor show us how its database schema document looks like?
• Will the vendor supply ICASA with a printed database schema and how often is the schema updated?
• Does the software operate in an environment where development and production are separate?

COMPATIBILITY

This section evaluates the company's ability to integrate with existing ICASA systems.

QUESTION
<ul style="list-style-type: none">• Is this a windows application or a web application?
<ul style="list-style-type: none">• What are the minimum hardware requirements for installing and running the software on the server? On workstations? Specifically, how much available space is required on the disk drive, and how much RAM do we need for optimum performance?
<ul style="list-style-type: none">• What are the minimum operating system requirements for the server and the workstations?

DOCUMENTATION

This section evaluates the company's ability to support ICASA with relevant system documentation as well as keeping these documents up-to-dated.

QUESTION
<ul style="list-style-type: none">• When we purchase the software, do we receive a printed system manual at an extra charge?
<ul style="list-style-type: none">• Alternatively, are we expected to use the online help feature to look up how to use the application and buy the print- or CD-based materials separately?
<ul style="list-style-type: none">• Are explanations of error messages included in the documentation?
<ul style="list-style-type: none">• Are the directions clear as to how someone uses the software effectively?
<ul style="list-style-type: none">• Are courses of action enhanced by useful examples where appropriate?
<ul style="list-style-type: none">• Does the company update the SOP's for free or charge for that?

ONLINE HELP

This section evaluates the company's ability to support ICASA personnel with system-related queries and complex transactional issues.

QUESTION
<ul style="list-style-type: none">• Is the interface user-friendly enough to be used with a minimum of computer expertise?
<ul style="list-style-type: none">• Is there a Web site we can visit for troubleshooting tips, lessons, or technical support?
<ul style="list-style-type: none">• How does the system evaluate and validate user input?
<ul style="list-style-type: none">• When an entry is invalid, is it easy to redo the entry?

TRAINING, SUPPORT, AND UPDATES

This section evaluates the company's ability to train ICASA employees who will be using the system and the ease with which technical support can be obtained.

QUESTION
• Is training for our staff included in the purchase price of the software?
• Will the vendor train our staff on-site, or do we have to send staff out for training?
• Does the vendor train all staff members, or do they use a train the trainer arrangement?
• What kind of tech support do we receive for the purchase price of the software?
• What are the hours of operation of tech support?

QUESTION
• How many free calls can we make per week or month?
• How responsive is the customer service, what is the turnaround time on calls?
• Are there any fee support options available?
• How often is the software updated?
• Are notifications of updates automatically e-mailed?
• Will the sales/support representative inform us when minor patches or significant upgrades are available?

BACKUP AND DISASTER RECOVERY

This section evaluates the company's capacity and preparedness to deal with disasters and catastrophic events.

QUESTION
<ul style="list-style-type: none">• How does the software make it easy to perform manual and scheduled automatic backups?• Does the vendor offer any free disaster recovery support; in case we have a catastrophic hardware failure?

DATA IMPORT AND EXPORT OPTIONS

This section evaluates the company's ability to minimise manual data capturing.

QUESTION
<ul style="list-style-type: none">• Will the software allow us to export data to an external file type, such as a database, spreadsheet, or plain text (e.g., delimited and fixed length), so we can manipulate that data for special reports?
<ul style="list-style-type: none">• Will the software allow us to import data from external sources, such as databases or spreadsheets, so we do not have to key in old data from scratch?
<ul style="list-style-type: none">• Does the system support Optical Character Recognition (OCR) for uploading documents and reduce data capturing?