



**Independent Communications Authority of South Africa**

350 Witch-Hazel Avenue, Eco Point Office Park

Eco Park, Centurion.

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**APPOINTMENT OF A SERVICE PROVIDER TO PROVIDE RISK AND COMPLIANCE MANAGEMENT SYSTEM WITH A MAINTENANCE AND SUPPORT AGREEMENT OF 5 YEARS ON AN 80/20 PPPFA 2000, PREFERENTIAL PROCUREMENT REGULATION: 2017.**

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**1. Background and Scope**

ICASA's current risk and compliance system contract ended in March 2020. It is against this background that ICASA Risk Management and Compliance unit seeks to procure an automated, integrated Risk and Compliance Management software solution.

The Integrated software should include the following outputs:

- ✓ Enterprise Risk Management (ERM) and compliance software solution (on-site) to support the documenting, tracking, measurement, management, and reporting of enterprise and compliance risks.
- ✓ Provide once-off training on the use of the software and licenses for the following.

<b>RISK MANAGEMENT SYSTEM</b>	<b>NUMBER OF PEOPLE</b>
Full licenses for Risk Management (Risk Management staff)	5
License to update (12 Risk Champions, 9 Regional Managers and 10 Executives)	31
License for the following: <ul style="list-style-type: none"> <li>– View all risks and actions allocated to the user (Senior Managers, managers and D1 specialist)</li> </ul>	70

<b>COMPLIANCE MANAGEMENT SYSTEM</b>	<b>NUMBER OF PEOPLE</b>
Full licenses for Compliance Management (Compliance Management staff)	5
Act owners license-To capture and update compliance with the relevant ACT	12

- ✓ The supplied risk and compliance software must be the latest version on the general release.
- ✓ Any software vulnerabilities identified by ICASA need to be addressed by the service provider.
- ✓ The proposed system must integrate into active directory.
- ✓ The application should be a web-based software for all licensed users and provide access for specialists from D1 and above in ICASA to do the following:
  - Capturing and Updating of risks
  - Rating of risks
  - Capturing and Updating of controls
  - Capturing action plans against identified risks, audit findings, incidents etc.
  - Update progress on action plans
  - View all risks and actions allocated to the user.
- ✓ Risk Dashboard for Executive Management.
- ✓ Provide compliance task Management.
- ✓ Provide compliance dashboards and reporting for executive management.

- ✓ Identify, analyse, monitor and treat existing and potential compliance-related risks across ICASA.
- ✓ Issue quarterly law monitors to update Act owners on new legislation and changes.

#### **4. Specifications**

The terms of reference/specifications for the proposed bid is specified in Annexure A.

#### **5. Briefing Session**

There will be a non-compulsory briefing session.

#### **6. Evaluation of the Bids**

The received bids will be evaluated on the 80/20 procurement principle as per the Supply Chain Management Policy and the relevant Treasury Regulations. The bid will also be evaluated for functionality as per the functionality table below.

#### **7. Content Bid Functionality**

##### **Phase 1: Bidder's reliability, experience, reputation, profitability and long-term sustainability**

Only top five (5) bidders who passed the cut-off of 80/100 in Phase 1, will be evaluated for live demonstration.

##### **Phase 2: Live Demonstration**

Only top five (5) bidders who passed the cut of 80/100 in Phase 1 will be invited to do live demonstration of their systems to the ICASA Bid Evaluation panel. Bidders will be required to demonstrate their systems based on the requirements indicated in Annexure B.

A total of 80 points are allocated for live demonstration. One (1) point is allocated for each function/ activity listed in Annexure B.

Only bidders who passed the cut-off of 64 /80 (i.e. 80%) in Phase 2 will be evaluated further for price and BBBEE.



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

<b>REQUIRED SYSTEM</b>	<b>RISK AND COMPLIANCE MANAGEMENT SYSTEMS</b>	<b>DATE</b>	
<b>VENDOR NAME</b>		<b>EVALUATOR</b>	

## BIDDER

This section evaluates the bidder's reliability, experience, reputation, profitability and long-term sustainability and system live demonstration.

QUESTION	POINTS	COMMENTS
<p><b><u>Phase 1: Bidder's reliability, experience, reputation, profitability and long-term sustainability</u></b></p> <p>1) How long has the bidder been offering risk and compliance software? ( include business profile, bidders registration documents)</p> <ul style="list-style-type: none"> <li>- If the bidder has been in operation for at least 10 years. (5)</li> <li>- If the bidder has been in operation for between 8 and 9 years. (4)</li> <li>- If the bidder has been in operation for between 5 and 7 years. (3)</li> <li>- If the bidder has been in operation for between 3 and 4 years. (2)</li> <li>- If the bidder has been in operation for between 1 and 2 years. (1)</li> </ul>	<b>35</b>	

QUESTION	POINTS	COMMENTS
<p>2) Provide at least five references in the last ten(10) years where you undertook similar projects in South Africa.</p> <ul style="list-style-type: none"> <li>– If the bidder provided five (5) or more contactable and relevant references (5)</li> <li>– If the bidder provided four (4) contactable and relevant references (4)</li> <li>– If the bidder provided three (3) contactable and relevant references (3)</li> <li>– If the bidder provided two (2) contactable and relevant references (2)</li> <li>– If the bidder provided one (1) contactable and relevant references (1)</li> </ul>	<b>35</b>	
<p>3) Is the bidder profitable and with a sustainable business model to guarantee its continued existence? (provide audited annual financial statement or management accounts certified by an accountant in line with whatever requirements is applicable to your entity)</p> <ul style="list-style-type: none"> <li>– Audited annual financial statement or management accounts certified by accountant indicating positive gross profit margin of 10% or more (5)</li> <li>– Audited annual financial statement or management accounts certified by accountant indicating positive gross profit margin between 8-9% (4)</li> <li>– Audited annual financial statement or management accounts certified by accountant indicating positive gross profit margin between 6-7% (3)</li> <li>– Audited annual financial statement or management accounts certified by accountant indicating positive gross profit margin between 5-6% (2)</li> <li>– Audited annual financial statement or management accounts certified by accountant indicating positive gross profit margin between 1-4% (1)</li> </ul>	<b>20</b>	

QUESTION	POINTS	COMMENTS
<p>4) At least 1 team member must possess 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"> <li>- At least one team member with 10 and above years of experience as a developer (5)</li> <li>- At least one team member with 5-9 years of experience as a developer (4)</li> <li>- At least one team member with 3-4 years of experience as a developer (3)</li> <li>- At least one team member with 1-2 years of experience as a developer (2)</li> <li>- At least one team member with 0-11 months of experience as a developer (1)</li> </ul>	<b>10</b>	
<p><b>Total for Functional Criteria</b></p> <p>Only top five (5) bidders who passed the cut-off of 80/100 in Phase 1, will be evaluated for live demonstration (i.e. Phase 2)</p>	<b>80</b>	
<p><b><u>Phase 2: Live Demonstration</u></b></p> <p>5) Demonstration of the system as per the requirements indicated in Annexure B.</p> <p>A total of 80 points are allocated for live demonstration. One (1) point is allocated for each function/ activity listed in Annexure B.</p> <p>Only bidders who passed the cut-off of 64 /80 (i.e. 80%) in Phase 2 will be evaluated further for price and BBEE.</p>		

**ANNEXURE B**

**Please note successful bidders in Phase 1 of the functionality will further be evaluated on live demonstration of the systems (this will include user interface)**

**RISK MANAGEMENT MODULE**

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

<b>MODULE</b>	<b>HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK ACTIVITIES?</b>	<b>POINTS</b>
<b>Risk Management Module Capabilities</b>	<ul style="list-style-type: none"> <li>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 &amp; surveys. It must accommodate different types of risk registers.</li> </ul>	1
	<ul style="list-style-type: none"> <li>Allows for voting on categories of risks</li> </ul>	1
	<ul style="list-style-type: none"> <li>Incident reporting on newly identified risks</li> </ul>	1
	<ul style="list-style-type: none"> <li>Escalation function from all levels not limited to the following:               <ul style="list-style-type: none"> <li>Non-achievement of deadlines</li> <li>Risk above acceptable tolerance</li> <li>Showcase incidents on transversal risks in the organisation</li> </ul> </li> </ul>	1
	<ul style="list-style-type: none"> <li>Provides an Organisation-wide view of the risk universe at strategic, operational, business unit and processes levels.</li> </ul>	1
	<ul style="list-style-type: none"> <li>Keeps risk oversight and risk owners aware of a changing risk environment.</li> </ul>	1
	<ul style="list-style-type: none"> <li>Enables ICASA to manage its enterprise-wide risk and specific risk universe.</li> </ul>	1
	<ul style="list-style-type: none"> <li>Provides various assessment methods including but not limited to surveys and workshops</li> </ul>	1
	<ul style="list-style-type: none"> <li>Flexible enough to be aligned with ICASA approved Risk Management Framework and strategies.</li> </ul>	1



MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK ACTIVITIES?	POINTS
<b>Risk Management Module Capabilities</b>	<ul style="list-style-type: none"> <li>Provides standardised Risk Management templates for risk monitoring and reporting.</li> </ul>	1
	<ul style="list-style-type: none"> <li>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.</li> </ul>	1
	<ul style="list-style-type: none"> <li>Includes an Incident and Near-miss register</li> </ul>	1
	<ul style="list-style-type: none"> <li>Capture the identified risks, action plans, assessment and monitoring reports with flexible filter options</li> </ul>	1
	<ul style="list-style-type: none"> <li>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</li> </ul>	1
	<ul style="list-style-type: none"> <li>Provides proactive monitoring, including status tracking, automated reminders on due/overdue action plans and progress updates</li> </ul>	1
	<ul style="list-style-type: none"> <li>Holds a risk library for all users to access and for administrators to modify</li> </ul>	1
	<ul style="list-style-type: none"> <li>Able to capture/import existing risk register (from excel documents)</li> </ul>	1
	<ul style="list-style-type: none"> <li>Links risks to objectives/outcome identified in the Strategic Plan and Annual Plan</li> </ul>	1
	<ul style="list-style-type: none"> <li>Allows capturing and management of contributing factors for each risk</li> </ul>	1
	<ul style="list-style-type: none"> <li>Provides a risk dashboard for monitoring of risks by management</li> </ul>	1
	<ul style="list-style-type: none"> <li>Provides a Combined Assurance model</li> </ul>	1
<b>TOTAL</b>		21

## COMPLIANCE MANAGEMENT MODULE

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

MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING COMPLIANCE ACTIVITIES?	PONTS
<b>Compliance Module Capabilities</b>	<ul style="list-style-type: none"> <li>• Incident reporting on new compliance risks identified</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Escalation function from all levels not limited to the following:               <ul style="list-style-type: none"> <li>– Non-achievement of deadlines</li> <li>– Risk above acceptable tolerance</li> <li>– Showcase incidents on transversal risks in the organisation</li> </ul> </li> </ul>	1
	<ul style="list-style-type: none"> <li>• Provides an organisation-wide view of the compliance universe</li> </ul>	1
	<ul style="list-style-type: none"> <li>• 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.</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Captures compliance identification, assessment and monitoring reports with flexible filter options</li> </ul>	1
	<ul style="list-style-type: none"> <li>• 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</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Provides proactive monitoring, including status tracking, automated reminders and progress updates</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Able to hold a library for all users to access and administrators to modify</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Able to capture/import existing compliance register, CRMP from excel or CSV files.</li> </ul>	1

MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING COMPLIANCE ACTIVITIES?	POINTS
	<ul style="list-style-type: none"> <li>allows capturing and management of contributing factors for each compliance activity</li> </ul>	1
	<ul style="list-style-type: none"> <li>provides a compliance dashboard for monitoring of compliance risks by management</li> </ul>	1
	<ul style="list-style-type: none"> <li>Incident reporting on newly identified compliance risks</li> </ul>	1
	<ul style="list-style-type: none"> <li>Provides for compliance requirements, obligations responsibility maps</li> </ul>	1
	<ul style="list-style-type: none"> <li>Enables capturing of compliance Key Risk Indicators, provide a checklist, compliance risk profile etc.</li> </ul>	1
<b>TOTAL</b>		<b>14</b>

### OTHER SYSTEM REQUIREMENTS FOR BOTH MODULES

This section evaluates the system's requirements and additional features that facilitates ease of use.

MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK AND COMPLIANCE ACTIVITIES?	POINTS
<b>Additional Capabilities and System Features</b>	<ul style="list-style-type: none"> <li>Flexible i.e. configurable solution to suit our unique requirements and frameworks without any programmer intervention</li> </ul>	1
	<ul style="list-style-type: none"> <li>Enables seamless reporting and creation of dashboards to monitor trends</li> </ul>	1
	<ul style="list-style-type: none"> <li>Ensure the integrity of data and provides an audit trail of all changes to records and changes to user access rights in the system</li> </ul>	1

MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK AND COMPLIANCE ACTIVITIES?	POINTS
	<ul style="list-style-type: none"> <li>• Has an accurate, integrated and customisable reporting functionality.</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Facilitate data migration from the currently used system into the new system</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Contain user audit trails to monitor the activity of users</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Ability to be used by multiple users at the same time and ensure real-time updating</li> </ul>	1
<b>TOTAL</b>		7

**USER CONTROLS**

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

<b>QUESTION</b>	<b>POINTS</b>
• What segregation of duties measures are in place?	1
• Please demonstrate the process of granting user access rights	1
<b>TOTAL</b>	<b>2</b>

## 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	POINTS
• Does the system have built-in reporting templates for legislative and compliance reporting?	1
• Demonstrate how long does it take to generate customised report	1
• Does the system run on an SQL Server?	1
• Does it have a relational database?	1
• Can the vendor show us how its database schema document looks like?	1
• Will the vendor supply ICASA with a printed database schema and how often is the schema updated?	1
• Does the software operate in an environment where development and production are separate?	1
<b>TOTAL</b>	<b>7</b>

### COMPATIBILITY

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

QUESTION	PONITS
<ul style="list-style-type: none"> <li>Is this a windows application or a web application?</li> </ul>	1
<ul style="list-style-type: none"> <li>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?</li> </ul>	1
<ul style="list-style-type: none"> <li>What are the minimum operating system requirements for the server and the workstations?</li> </ul>	1
<b>TOTAL</b>	<b>3</b>

### 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	PONITS
<ul style="list-style-type: none"> <li>When we purchase the software, do we receive a printed system manual at an extra charge?</li> </ul>	1
<ul style="list-style-type: none"> <li>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?</li> </ul>	1
<ul style="list-style-type: none"> <li>Are explanations of error messages included in the documentation?</li> </ul>	1
<ul style="list-style-type: none"> <li>Are the directions clear as to how someone uses the software effectively?</li> </ul>	1
<ul style="list-style-type: none"> <li>Are courses of action enhanced by useful examples where appropriate?</li> </ul>	1

• Does the company update the SOP's for free or charge for that?	1
<b>TOTAL</b>	<b>6</b>



**ONLINE HELP**

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

<b>QUESTION</b>	<b>POINTS</b>
• Is the interface user-friendly enough to be used with a minimum of computer expertise?	1
• Is there a Web site we can visit for troubleshooting tips, lessons, or technical support?	1
• How does the system evaluate and validate user input?	1
• When an entry is invalid, is it easy to redo the entry?	1
<b>TOTAL</b>	<b>4</b>

## 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?	1
• Will the vendor train our staff on-site, or do we have to send staff out for training?	1
• Does the vendor train all staff members, or do they use a train the trainer arrangement?	1
• What kind of tech support do we receive for the purchase price of the software?	1
• What are the hours of operation of tech support?	1
<b>TOTAL</b>	<b>5</b>

QUESTION	
• How many free calls can we make per week or month?	1
• How responsive is the customer service, what is the turnaround time on calls?	1
• Are there any fee support options available?	1
• How often is the software updated?	1
• Are notifications of updates automatically e-mailed?	1
• Will the sales/support representative inform us when minor patches or significant upgrades are available?	1
<b>TOTAL</b>	<b>6</b>

**BACKUP AND DISASTER RECOVERY**

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

<b>QUESTION</b>	<b>POINTS</b>
• How does the software make it easy to perform manual and scheduled automatic backups?	1
• Does the vendor offer any free disaster recovery support; in case we have a catastrophic hardware failure?	1
<b>TOTAL</b>	<b>2</b>

**DATA IMPORT AND EXPORT OPTIONS**

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

<b>QUESTION</b>	<b>POINTS</b>
• 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?	1
• 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?	1
• Does the system support Optical Character Recognition (OCR) for uploading documents and reduce data capturing?	1
<b>TOTAL</b>	<b>3</b>