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APPOINTMENT OF SERVICE PROVIDER FOR RISK AND COMPLIANCE MANAGEMENT SYSTEMS WITH A MAINTENANCE AND SUPPORT AGREEMENT OF 5 YEARS

1. Background and Scope of work

ICASA's 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 handover training and adhoc training thereafter on the use of the software and licenses for the following.

RISK MANAGEMENT SYSTEM	NUMBER OF PEOPLE
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: − View all risks and actions allocated to the user (Senior Managers, managers and D1 specialist)	70

COMPLIANCE MANAGEMENT SYSTEM	NUMBER OF PEOPLE
Full licenses for Compliance Management (Compliance Management staff)	5
Act owners require licenses to capture and update relevant legislations	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:
  - o Capturing and updating of risks
  - o Rating of risks
  - o Capturing and updating of controls
  - o Capturing action plans against identified risks, audit findings, incidents etc.
  - o Update progress on action plans
  - o View all risks and actions allocated to the user.
- ✓ Risk Dashboard for management and risk champions.
- ✓ Provide compliance task management.
- ✓ Provide compliance dashboards and reporting for management and risk champions.
- ✓ 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.

2. Period of assignment

5 years

3. Briefing Session

There will be a non-compulsory virtual briefing session before the closing date. The briefing session will be done via Microsoft Teams. Prospective service providers will be required to mail the bid administrator requesting the link for the Teams session.

4. Bid evaluation

The bid will be advertised for 21 calendar days in the E-Tender Portal and ICASA's Website on an 80/20 procurement principle.

Bidders will be evaluated on; (a) submission of the required compliance documents, (b) functionality, (c) live demonstration and (d) price and BBBEE. Only bidders who meet the cut-off score of 40 points out of 60 points for functionality will be considered further for live demonstration of the systems. Only top five (5) bidders who passed the cut-off of 40 points in Phase 1, will be evaluated for live demonstration.

Further to that, the bidders who meet cut-off score of 35 out of 40 points on live demonstration will be evaluated further for price and BBBEE evaluation.
 All bid proposals submitted will be evaluated following the 80/20 procurement principle as prescribed by National Treasury Regulations.

No	Category	Weight
A.	**Price**	**80**
B.	**BBBEE Status Level Contribution**	**20**
	TOTAL	**100**
C.	**Functionality: Pre-qualification criteria**	

1.	Phase 1: Bidder's reliability, experience, reputation and long-term sustainability 1) How long has the bidder been offering risk and compliance software? (Include business profile, bidder's registration documents) ☐ If the bidder has been providing the risk and compliance systems for at least 10 years. (5) ☐ If the bidder has been providing the risk and compliance systems for between 8 to 9 years. (4) ☐ If the bidder has been providing the risk and compliance systems for between 5 to 7 years. (3) ☐ If the bidder has been providing the risk and compliance systems for between 3 to 4 years. (2) ☐ If the bidder has been providing the risk and compliance systems for between 0 to 2 years. (1)	**30**
2.	2) Provide contactable references years where you provided risk and compliance management systems in South Africa on the letter head of the referee. ☐ If the bidder provided five (5) or more contactable and relevant references (5) ☐ If the bidder provided four (4) contactable and relevant references (4) ☐ If the bidder provided three (3) contactable and relevant references (3) ☐ If the bidder provided two (2) contactable and relevant references (2) ☐ If the bidder provided one or no contactable and relevant reference (1)	**30**
	TOTAL FOR FUNCTIONAL PRE-QUALIFICATION CRITERIA. **Grand Total: 60** **Minimum cut-off point: 40**	**60**
5.	**Phase 2: Live Demonstration** Demonstration of the system as per the requirements	

	indicated in Annexure B. A total of 40 points are allocated for live demonstration. Only bidders who passed the cut-off of 35 /40 (i.e. 87%) in Phase 2 will be evaluated further for price and BBBEE.	
	TOTAL FOR FUNCTIONAL PRE-QUALIFICATION CRITERIA. **Grand Total: 40** **Minimum cut-off point: 35**	**40**
	TOTAL FOR FUNCTIONALITY PHASE ONE AND TWO	**100**

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.

MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK ACTIVITIES?	POINTS
Risk Management Module Capabilities	• 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.	1
	• Allows for voting on categories of risks	2
	• Incident reporting on newly identified risks	1
	• Escalation function from all levels not limited to the following: – Non-achievement of deadlines – Risk above acceptable tolerance – Showcase incidents on transversal risks in the organisation	1
	• Provides an Organisation-wide view of the risk universe at strategic, operational, business unit and processes levels.	1
	• Provides various assessment methods including but not limited to surveys and workshops	2
	• Provides standardised Risk Management templates for risk monitoring and reporting.	1
	• 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.	1
	• Includes an Incident and Near-miss register	1
	• Capture the identified risks, action plans, assessment and monitoring reports with flexible filter options	1
	• 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	1
	• Provides proactive monitoring, including status tracking, automated reminders on due/overdue action plans and progress updates	1
	• Holds a risk library for all users to access and for administrators to modify	1
	• Able to capture/import existing risk register (to excel or word documents)	1
	• Links risks to objectives/outcome identified in the Strategic Plan and Annual Plan	1
	• Allows capturing and management of contributing factors (root causes) for each risk	1
	• Provides a risk dashboard for monitoring of risks by	1

MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK ACTIVITIES?	POINTS
	management	
	•Provides a Combined Assurance model	1
TOTAL		20

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
Compliance Module Capabilities	•Incident reporting on new compliance risks identified	1
	•Escalation function from all levels not limited to the following: −Non-achievement of deadlines −Risk above acceptable tolerance −Showcase incidents on transversal risks in the organisation	1
	•Provides an organisation-wide view of the compliance universe	1
	•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.	1
	•Captures compliance identification, assessment and monitoring reports with flexible filter options	1
	•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	2
	•Provides proactive monitoring, including status tracking, automated reminders and progress updates	1
	•Able to hold a library for all users to access and administrators to modify	1
	•Able to capture/import existing compliance register, CRMP from excel or CSV files.	1
	•allows capturing and management of contributing factors (root causes) for each compliance activity	1
	•provides a compliance dashboard for monitoring of compliance risks by management	1
	•Provides for compliance requirements, obligations responsibility maps	1
	•Enables capturing of compliance Key Risk Indicators, provide a checklist, compliance risk profile etc.	1
TOTAL		**14**

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
Additional Capabilities and System Features	•Flexible i.e. configurable solution to suit our unique requirements and frameworks without any programmer intervention	1
	•Enables seamless reporting and creation of dashboards to monitor trends	1
	•Ensure the integrity of data and provides an audit trail of all changes to records and changes to user access rights in the system	1
	•Has an accurate, integrated and customisable reporting functionality.	1
	•Contain user audit trails to monitor the activity of users	1
	•Ability to be used by multiple users at the same time and ensure real-time updating	1
TOTAL		6

Subtotal points

Total	Risk	20
	Compliance	14
	Others additional capabilities	6
Subtotal		**40**