



**Independent Communications Authority of South Africa**

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

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**1. Background and Scope of work**

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 solutions.

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.

<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:	70

–View all risks and actions allocated to the user (Senior Managers, managers and D1 specialist)	
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<b>COMPLIANCE MANAGEMENT SYSTEM</b>	<b>NUMBER OF PEOPLE</b>
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 within agreed timelines.
- ✓ The proposed system must integrate into active directory for user authentication.
- ✓ 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 management and risk champions to view.
- ✓ 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.
- ✓ Upload 40 legislations as part of ICASA compliance Universe including the relevant requirements. The list of legislations will be provided by ICASA.
- ✓ Issue quarterly law monitors to update Act owners on new legislation and changes.

## 2. Period of assignment

Five (5) years

## 3. Payment Schedule

The bidders are required to indicate payment schedule for the period of 5 years per financial year.

Activity	Year 1	Year 2	Year 3	Year 4	Year 5
1.	Installation of the systems to ICASA platform	Licences and Technical support	Licences and Technical support	Licences and Technical support	Licences and Technical support
2.	Provision of licensing	Maintenance support	Maintenance and Technical support	Maintenance and Technical support	Maintenance and Technical support
3.	Maintenance and Technical support	-	-	-	-
4	Training of staff (123) in three sessions of 4hrs each	-	-	-	-
<b>Total payment per annum</b>	<b>R000</b>	<b>R000</b>	<b>R000</b>	<b>R000</b>	<b>R000</b>

## 4. Bid evaluation

The bid will be advertised on E-Tender Portal and ICASA's Website on an 80/20 procurement principle.

Bidders will be evaluated on; (a) submission of the required Supply Chain Management compliance documents, (b) functionality, (c) live demonstration and (d) price and specific goals. Only the top 5 bidders who meet the cut-off score of 40 specific goals out of 60 goals (66.67%) for functionality will be considered further for live demonstration of the systems.

Further to that, the bidders who meet cut-off score of 30 out of 40 goals on live demonstration will be evaluated further for price and BBEE evaluation.

All bid proposals submitted will be evaluated following the 80/20 procurement principle as prescribed by National Treasury Regulations.

No	Category	Weight
<b>A.</b>	<b>Price</b>	<b>80</b>
<b>B.</b>	<b>Specific goals</b>	<b>20</b>
	<b>TOTAL</b>	<b>100</b>
<b>C.</b>	<b>Functionality: Pre-qualification criteria</b>	
<b>1.</b>	<p>Phase 1: Bidder's experience</p> <p>1) How long has the bidder been offering risk and compliance softwares? (The bidder must provide business profile)</p> <p><input type="checkbox"/> More than 10 years' experience = 5 points</p> <p><input type="checkbox"/> 8-9 years' experience. (4)</p> <p><input type="checkbox"/> 5 to 7 years' experience. (3)</p> <p><input type="checkbox"/> 3 to 4 years' experience. (2)</p> <p><input type="checkbox"/> 0 to 2 years' experience. (1)</p>	<b>10</b>
<b>2.</b>	<p>Service provider's understanding of the Terms of Reference and proposed methodology. The methodology must include a detailed project Plan, Administration, Communication and value-added services which include the following:</p> <p>•Detailed project plan on how the project will be</p>	<b>20</b>

	<p>executed.</p> <ul style="list-style-type: none"> <li>• Plan on how the project will be administered.</li> <li>• Plan on how Communication will be rendered.</li> </ul> <p><input type="checkbox"/> Methodology provided with all three (3) below:</p> <ul style="list-style-type: none"> <li>• project plan,</li> <li>• administration,</li> <li>• communication channels (5)</li> </ul> <p><input type="checkbox"/> Methodology provided without all three (3) below:</p> <ul style="list-style-type: none"> <li>• project plan,</li> <li>• administration,</li> <li>• communication channels (1)</li> </ul>	
<b>3.</b>	<p>Key Personnel Expertise (Bidder must provide a detailed CVs for two personnel who worked in providing IT support functions on either Governance, Risk or Compliance)</p> <p><input type="checkbox"/> More than 5 years' experience in providing IT support (5)</p> <p><input type="checkbox"/> Four years' experience (4)</p> <p><input type="checkbox"/> Three years' experience (3)</p> <p><input type="checkbox"/> Two years' experience (2)</p> <p><input type="checkbox"/> One year experience and lower (1)</p>	<b>15</b>
<b>4</b>	<p>Key Personnel Qualifications (Bidder must provide a detailed qualifications (certified copies within 6 months) for two personnel with relevant qualifications)</p> <p><input type="checkbox"/> IT (3-year diploma/degree and above (5)</p> <p><input type="checkbox"/> No IT (3-year diploma/degree and above (1)</p>	<b>15</b>
<p><b>TOTAL FOR FUNCTIONAL PRE-QUALIFICATION CRITERIA.</b></p> <p><b>Grand Total: 60</b></p> <p><b>Minimum cut-off point: 40</b></p>		<b>60</b>
<b>5.</b>	<p><b>Phase 2: Live Demonstration</b></p> <p>Demonstration of the system as per the requirements indicated in Annexure B.</p>	<b>40</b>

	A total of 40 points are allocated for live demonstration. Only bidders who passed the cut-off of more than 30 /40 (i.e. 75%) in Phase 2 will be evaluated further for price and preferential points.	
	<b>TOTAL FOR FUNCTIONAL PRE-QUALIFICATION CRITERIA.</b> <b>Grand Total: 40</b> <b>Minimum cut-off point: 30</b>	<b>40</b>
	<b>TOTAL FOR FUNCTIONALITY PHASE ONE AND TWO</b>	<b>100</b>

## ANNEXURE B

**Please note successful bidders in Phase 1 of the functionality will further be evaluated on live demonstration of the systems virtually (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
<b>Risk Management Module Capabilities</b>	•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.	1
	•Allows for voting on categories of risks	2
	• Escalation function from all levels not limited to the following: – Non-achievement of deadlines – Risk above acceptable tolerance.	1
	•Provides an Organisation-wide view of the risk universe at 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.	1
	•Includes an Incident and Near-miss register	1

MODULE	HOW DOES THE SYSTEM HELP WITH THE FOLLOWING RISK ACTIVITIES?	POINTS
	•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/export 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.	1
	•Provides a Combined Assurance model.	1
	•Contain user audit trails to monitor the activity of users.	1
<b>TOTAL</b>		<b>20</b>

## 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>	•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;	2
	•Provides an organisation-wide view of the compliance universe.	3
	•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.	2
	•Allows the controls to be captured at every level, including the contributing factors and allow for rating of controls.	3
	•Provides proactive monitoring, including status tracking, automated reminders and progress updates.	1

<b>MODULE</b>	<b>HOW DOES THE SYSTEM HELP WITH THE FOLLOWING COMPLIANCE ACTIVITIES?</b>	<b>PONTS</b>
	•Able to hold a library for all users to access and administrators to modify.	1
	•Able to capture/import/export existing compliance register, Compliance Risk Management Plan 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
	•Contain user audit trails to monitor the activity of users.	1
<b>TOTAL</b>		<b>20</b>

### Subtotal points

<b>Total</b>	<b>Risk</b>	20
	<b>Compliance</b>	20
<b>Subtotal</b>		<b>40</b>

\*The bidder will receive the total score if they are able to demonstrate ability of the system to provide the function.

\*The bidder will receive the score of zero (0), when they can't fully demonstrate ability of the system to provide the function.