

TERMS OF REFERENCE

CALL FOR PROPOSALS

INTEGRATED MANAGEMENT SYSTEM (IMS) CERTIFICATION AUDITS

FOR TRANSNET NATIONAL PORTS AUTHORITY

("TNPA") FOR A PERIOD OF 3 YEARS (36 Months)

(Registration No. 90/00900/06)

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 1 of 9

Table of Contents

1. Purpose of this document.....	3
2. Background.....	3
3. Motivation for conducting IMS Certification Audits	4-5
4. Project Scope.....	5
5. Project Deliverable.....	6
6. Project Duration.....	7
7. Audit Times.....	7
8. Financial Proposal.....	7-8
10. Annexure A.....	9

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 2 of 9

1. Purpose of this document

To seek authority to source a Service Provider with an Accredited Certification Body to conduct an Integrated Management System (IMS) Certification Audit for Transnet National Ports Authority ("TNPA") i.e. (Business Continuity Management, ICT Service Management and Risk Management) for all the businesses identified in annexure A.

2. Background

A strategic decision was taken by the Transnet Risk Management Team on the 20th of October 2016 to develop and implement an Integrated Risk Management System processes for Transnet which gave effect to the establishment of the Transnet Integrated Management Approach ("TIMA") Programme. Following this decision, the first phase ("Phase 1") of the project which involved the development of the eighteen (18) procedures was completed and handed over on 13 November 2017.

Transnet had implemented Transnet Integrated Management System ("TIMS") as from January 2018. This was known as phase 2, and this involved policies, procedures and standards implementation and system's related data / documentation is loaded and managed in a centralized software systems called Sharepoint.

Phase 3 involved the process of certifying the Transnet on ISO 45001:2018, ISO 14001:2015 and ISO 9001:2015. Transnet certification on ISO 45001:2018, ISO 14001:2015 and ISO 9001:2015 was achieved in 2021.

Following the certification of the 3 (three) ISO standards, TNPA a division of Transnet identified a need to implement additional ISO standards at TNPA (See table 1 below).

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 3 of 9

No.	ISO STANDARD	NAME
1	ISO 31000:2018	Risk Management
2	ISO 22301:2019	Business Continuity Management
3	ISO 20000-1:2018	Information Technology – Service Management

Table 1

TNPA in consultation with Transnet TIMS Program Director agreed to have the TNPA implementing, validating, and obtaining certification on the following standards which are integrated in the existing TIMS 18 Core procedures.

It is in this context that an Accredited Certification Body is required for verifying compliance to the requirements of ISO 20000-1:2018, ISO 22301: 2019 and ISO 31000:2018 for TNPA.

Stage 1 Audit of the certification audit is expected to be executed during May 2023.

3. Motivation for conducting IMS Certification Audits

The need for this IMS certification audit is informed by the development and implementation of the IMS that was seeking to ensure compliance to legislative requirements, SANS requirements, Transnet policies and code of practices and its commitment to environmental sustainability, improving performance and the management of strategic assets.

Standardised Safety, Health, Environment, Quality, Risks, Security, Compliance and other business processes have traditionally been a challenge for TNPA given its size and complexity.

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 4 of 9

TNPA had established new ways of doing business and standardized most processes to align to the overall business strategic objectives. This approach guarantees improvements in measuring and monitoring performance of the entire organisation.

4. Project Scope

With the centralized and integrated system, there shall be one (1) Stage 1 audit for TNPA at the national level and this is due to the TNPA IMS documentation having been developed and carried out in a similar manner across all TNPA Business Units at the different sites.

For Stage Two (2) verification audit, a multi-listing approach is being proposed where sites can be sampled with the aim of issuing certification for TNPA as listed on Annexure A.

The proposed IMS Certification Audit is therefore aimed at:

- Conducting a full system certification audit, that includes Stage 1 and 2, to verify conformance and the effectiveness of the integrated management system implemented in accordance with ISO 20000-1:2018, ISO 22301:2019 and ISO 31000:2018 for TNPA requirements;
- Ascertaining the extent to which TNPA operations within each business unit comply currently with applicable system requirements;
- Reviewing TNPA Integrated Management System and Compliance Obligations, including internal policies;
- Highlighting instances of non-compliance and specifying the exact requirements that are not complied to;
- Identifying short-comings and gaps in the system for each business;
- Suggesting corrective measures or providing recommendations at each business;
- Recommending and/or proposing measures that must be taken to ensure system compliance;
- Recommending the company for Certification, where compliance is satisfactory;
- Compilation of comprehensive reports of TNPA detailing the findings and recommendations of the entire audit;

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 5 of 9



5. Project Deliverables

The expected deliverables from the audit include, but may not necessarily be limited to:

- One (1) Centralised Stage 1 Audit conducted virtual with TNPA employees, comprising of data review on SharePoint and One Drive.
- Submission of Audits notification plans a month in advance for businesses to be audited;
- Stage 2, Site Verification for TNPA sites outlined on Annexure A;
- Non-conformances raised must be classified either Low, Medium or High Priority, dependent on the current or potential impact the non-conformity may have on the system/business;
- Full and Comprehensive audit reports with findings and recommendations will be generated within one calendar month from the date of audit completion;
- Executive Summary Report;
- Multi Listing Certificates of TNPA;
- Where applicable and necessary, on-site verification of non-conformity close out actions will take place at the respective TNPA sites.
- A proposed project work programme or project workflow diagram (e.g. Gantt Chart) must be included in the proposal;
- Where applicable bidders are allowed to propose Auditor/s that are capable in auditing in more than one (01) ISO standard.
- Certification/surveillance criteria to be based on a sample of processes formally identified by the terminals with each process audited at least once within a two year cycle;
- Effective administration of the Transnet National Ports Authority account and any related queries / concerns.
- The successful tenderer must be ready to begin rendering the above services by **July 2023**

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 6 of 9

6. Project Duration

The duration of the contract will be a period of three (3) years.

7. Audit Times

The audit time to spend for each individual site is another important element to consider, and the appointed Certification Body shall be prepared to justify the time spent on multisite audits in terms of its overall policy for allocation of audit time. The number of man-hours (days) per site, including the Head Office, should be calculated and outlined accordingly to enable proper adjudication.

8. Financial Proposal

In order to estimate the financial implications for budgeting and planning purposes, we would like the respondents to provide a Financial Proposal covering the following items, as a minimum:

- a) Numbers of Auditors;
- b) Stage 1 (Manhours);
- c) Stage 2 Audit (Man hours);
- d) Surveillance Audit 1;
- e) Surveillance Audit 2;

9. Other Technical Requirements

Prospective bidders should:

- Submit a valid an accreditation certificate as per ISO 17021.

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 7 of 9



- Auditors and related resources for delivering adequate services and the ability to make recommendation to address non - compliance, within the allocated time-frame;
- Provide services in compliance with all TNPA policies, international industry best practices and national and international legislation;

COMPILED BY:

Name and Surname: Mpatisi Pantsi

Designation: SHE IMS & Compliance Manager

Signature: *M. Pantsi*

Date: 07/02/2023

APPROVED/~~NOT APPROVED~~ BY:

Name and Surname: Nelson Mbatha

Designation: Executive Manager – SHE &

Regulatory Oversight

Signature: *N. Mbatha*

Date: 07/02/2023

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 8 of 9

Annexure A:

Transnet National Ports Authority Sites

SITE NAME	ADDRESS
Head Office	Transnet National Ports Authority • Port of Ngqura 6000 • South Africa
Port of Ngqura	Transnet National Ports Authority • Port of Ngqura 6000 • South Africa
Port of Port Elizabeth	Port of Port Elizabeth, Green Street, Port Elizabeth, 6000 South Africa
Port of East London	Transnet National Ports Authority • Port of East London 5200 • South Africa
Port of Durban	Ocean Terminal Building • Port of Durban 4001 • South Africa
Port of Richards Bay	Transnet National Ports Authority • Port of Richards Bay • Bayvue Centre Building • South Africa
Port of Cape Town	Transnet National Ports Authority House • Port of Cape Town 8001 • South Africa
Port of Saldanha	Transnet National Ports Authority, Bayvue Centre, Marine Drive, Port of Saldanha, 7395 South Africa
Port of Mossel bay	Transnet National Ports Authority: 55 Bland Street, Mossel Bay 6500. South Africa
Lighthouses and Navigational Services	Green Point Lighthouse • 100 Beach Road • Mouille Point, Cape Town 8005 • South Africa
Infrastructure Dredging Services	10 Point Road, Durban South Africa

Document Number: TNPA- SPEC-001 Version: 1.0	Document Name: IMS Certification Audit Specification
Issue Date: Tuesday, 07 February 2023	Page 9 of 9