



**Independent Communications Authority of South Africa**

350 Witch-Hazel Avenue, Eco Point Office Park

Eco Park, Centurion.

Private Bag X10, Highveld Park 0169

Telephone number: (012) 568 3000/1

## **Annexure A**

### **TERMS OF REFERENCE / SPECIFICATIONS**

#### **1. PURPOSE**

The Independent Communications Authority of South Africa (ICASA) wishes to appoint a reputable service provider to provide independent assurance services on the Microsoft Exchange Server environment.

#### **2. BACKGROUND**

ICASA requires the services of a qualified, experienced and professional internal audit services provider to perform an audit of the Microsoft Exchange Server environment within ICASA.

ICASA requires a quotation from service providers to assist with knowledge, skills, expertise and audit tools to assess the MS Exchange Server risks and controls.

Assurance is required on:

- The MS Exchange Server and applications to manage communications internally and externally from a user access, privacy, confidentiality, integrity, availability and security perspective.
- Review of applications that manage the flow of Exchange transactions for data confidentiality, integrity and availability.
- The recording and monitoring of system and database administrator activities within this environment to ensure only authorised activities are

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performed whilst data confidentiality, integrity and availability is maintained.

### **3. SCOPE OF WORK**

The scope of work entails the performance of the audit in accordance with the Institute of Internal Auditors International Standards for the Professional Practice of Internal Auditing relating to the following:

- To assess all policies, procedures and standards in respect of MS Exchange Server.
- To assess security, confidentiality, integrity and availability configurations on the MS Exchange Server operating systems and databases. Use appropriate and reliable tools where necessary.
- To assess security, confidentiality, integrity and availability configurations on the applications that reside and support the MS Exchange Server.
- To document and discuss all work performed with Internal Audit and the IT Management.
- To discuss and agree on the findings or controls weaknesses and remedial actions with Internal Audit and IT Management.

### **4. DELIVERABLES**

The following deliverables are expected from the service provider:

- Produce an audit file including relevant working papers and supporting documentation (electronic and hard copy) on the Team Mate system which

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must be made available to ICASA Internal Audit Division with quality assurance reviews signed off.

- Provide remedial actions for controls weakness that have been discussed and agreed with the IT Management and Internal Audit in respect of findings or issues identified.
- Produce and present an audit report on the work performed and any control weaknesses including the effectiveness and efficiency of all controls tested.
- Presentation to the Audit, Risk Ethics & Disclosures Committee on the findings emanating from the work performed.

## **5. COMPOSITION OF THE PROJECT TEAM AND THEIR FEES**

It is expected that the team consists (at least) of the following members:

- Project leader, Manager and team members (Auditor) must have the relevant qualifications (refer to the functional criteria 10.1), skills, experience in conducting internal audit assurance and consulting service and membership to professional bodies for each of the members listed, particularly for the project leader and manager.
- With regard to the number of staff/team members that will be required per level, the service providers should also provide CVs for all individuals required.

The financial proposal shall be clearly designed to reflect all costs without causing any confusion, which may include travelling costs from the base

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premises to the venue. All relevant costs will be taken into account for the purposes of evaluating prices.

Bidders are advised to use the following tables as the basis to formulate their financial proposal (VAT Excluded).

<b>Team Member</b>	<b>Qualification &amp; experience</b>	<b>Tariff per Hr (Normal time)</b>	<b>Tariff per Hr (Over time/ Saturdays)</b>	<b>Tariff per Hr (Sundays / Public Holidays)</b>	<b>Total</b>
Project Leader					
Manager					
Auditor					

## **6. DURATION OF THE PROJECT**

The duration of the project is for a period of two (2) months from the date of appointment, subject to the Service Level Agreement being concluded and agreed by both Parties.

## **7. SPECIAL CONDITIONS OF TENDER**

7.1. A hybrid model shall be employed to encourage imparting of knowledge to ICASA's Internal Audit team.

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- 7.2. The bidder may not cede or assign any part of its agreement with ICASA nor subcontract any part of the assignment assigned to them without the prior written authorisation of ICASA.
  - 7.3. ICASA reserves the right to impose penalties in cases where the service provider fails to perform the services.
  - 7.4. A schedule of all related parties must be disclosed in the bid document.
  - 7.5. ICASA may disqualify a Bidder whose proposal contains a misrepresentation
  - 7.6. All intellectual property rights emanating from this project will vest with ICASA in all formats (either electronically or hard copy or any other format).
  - 7.7. Confidentiality
    - 7.7.1 Bids submitted will not be revealed to any other bidders.
    - 7.7.2 All information pertaining to ICASA obtained by the bidder as a result of participation in this bid is confidential and must not be disclosed without written authorization from ICASA.
    - 7.7.3 The bidder must be prepared to commence with the contract immediately after the conclusion of the Service Level Agreement.
  - 7.8. ICASA will adopt a fair and reasonable remuneration framework for consultants as stipulated in the National Treasury Instruction No. 02 of 2016/2017 Cost Containment Measures, taking into account:
    - 7.8.1 The 'Guideline on fees for Audits done on behalf of the Auditor-General of South Africa (AGSA)' as issued by the South African Institute of Chartered Accountants (SAICA);
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7.8.2 The 'Guide on Hourly Fee Rates for Consultants', as issued by the Department of Public Service and Administration (DPSA); and/or

7.8.3 Remuneration guidelines issued by professional service organizations or regulatory bodies, as may be relevant.

7.9 The rates of remuneration will be subject to negotiation, not exceeding the applicable rates as contained in the guidelines referred to above.

7.10 During the assignment, if substitution is necessary, for example, because of ill health or because of a staff member proves to be unsuitable, the preferred bidder should propose other staff of at least the same level of qualifications for approval by ICASA.

## **8. PROCUREMENT POLICIES AND PROCEDURE**

8.1 The general conditions of tender, contract and order will be applicable to this tender.

8.2 ICASA reserves the right to cancel the bid at its sole discretion or to award the bid in full or part.

## **9. MINIMUM REQUIREMENTS/MANDATORY REQUIREMENTS:**

9.1 The prospective bidder must be registered on Central Supplier Database (CSD) prior to submitting bids.

9.2 Tax compliance status must be in order

9.3 Completed and signed SBD forms 1, 3.3, 4 and 6.1 must be submitted.

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**10. EVALUATION CRITERIA (FUNCTIONALITY)**

For the purpose of comparison and in order to ensure a meaningful evaluation, bidders must submit detailed information in substantiation of compliance to the evaluation criteria mentioned (e.g. details of relevant previous work undertaken, letters from previous /current clients, etc.). Minimum Required Score for functionality is 70 points out of 100 points and any bidder scoring less than 70 points will not be considered for further evaluation.

**10.1 FUNCTIONALITY CRITERIA**

CRITERIA	SCORE	WEIGHT
<b>Company experience on conducting similar projects:</b>		<b>40</b>

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<p>i. The service provider should provide evidence that the company is in existence. A detailed company profile should be provided, such should include at least the number of years in existence, services and clients, etc.</p>	<p>Provided a company profile with:            5 years or more= 5 points            3 - 5 years=4 points            2 - 3 years=3 points            1 - 2 years=2 points            Below 1 years=1 point</p> <p>Where no company profile is provided a score equal to 1 will be assigned.</p>	<p>10</p>
<p><b>Testimonials/references</b></p>		
<p>ii. Provide contactable and signed reference letters with company letterheads from companies where MS Exchange Server Audits were provided.</p>	<p>5 letters or more = 5 points            4 letters = 4 points            3 letters = 3 points            2 letters = 2 points            1 or no letter = 1 point</p>	<p>30</p>

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<p><b>Team Qualifications, Skills and Tools for Information Communication and Technology audits:</b></p> <p>CV's for: Project leader, Manager and team members detailing the qualifications, skills, membership to professional bodies for each of the members listed and available tools for IT security and vulnerability assessment.</p>	<p><b>Rating of 5</b></p> <ul style="list-style-type: none"> <li>• Project leader has a CIA with a valid IIA membership.</li> <li>• Manager/s that has a CISA/CISSP/CISM qualification with a valid ISACA membership.</li> <li>• 3 and more of the staff members possess IT and auditing related skills.</li> <li>• Use of IT Security Tools that are relied upon by the AGSA.</li> </ul> <p><b>Rating of 3</b></p> <ul style="list-style-type: none"> <li>• Project leader has a CIA with a valid IIA membership.</li> <li>• Manager/s that has a CISA/CISSP/CISM qualification with a valid ISACA membership.</li> <li>• 2 to 3 of the staff members possess IT and auditing related skills.</li> <li>• Use of IT Security Tools that are relied upon by the AGSA.</li> </ul> <p><b>Rating of 1</b></p> <ul style="list-style-type: none"> <li>• Project leader has a CIA with a valid IIA membership.</li> <li>• Manager/s that has a CISA/CISSP/CISM qualification with a valid ISACA membership.</li> <li>• 1 the staff member possess IT and auditing related skills.</li> </ul>	<p>30</p>
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	<ul style="list-style-type: none"> <li>• Use of IT Security Tools that are relied upon by the AGSA.</li> </ul>	
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<b>Proposed methodology</b>	Presentation should be rendered.	<b>30</b>
<b>Proposed Methodology</b>	<p>Methodology outlining management of project = 5 points</p> <ol style="list-style-type: none"> <li>1. Auditing and Consulting standard to be used</li> <li>2. Approach to conduct audit/consulting</li> <li>3. Description of documentation (planning, fieldwork, reporting)</li> <li>4. Demonstrate quality assurance process</li> <li>5. Project implementation plan</li> </ol> <p>Methodology with only 4 of the items listed above = 4</p>	30

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	Methodology with only 3 of the items listed above = 3	
	Methodology with only 2 of the items listed above = 2	
	Methodology with only 1 or none of the items listed above = 1 point	
<b>Total</b>		<b>100</b>
<b>Minimum Threshold</b>		<b>70</b>

**10.2 THE RATING SCALE FOR THE FUNCTIONALITY CRITERIA**

The bids will be evaluated on a scale of 1-5. Each panel member will rate individual criterion on the score sheet using the following scale for Phase 1.

<b>1=</b>	<b>Very poor</b>	Does not understand the requirements
<b>2=</b>	<b>Poor</b>	Will not be able to fulfil the requirements
<b>3=</b>	<b>Average</b>	Will partially fulfil the requirements

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<b>4=</b>	<b>Good</b>	Will be able to fulfil the requirements
<b>5=</b>	<b>Excellent</b>	Will fully fulfil the requirements

A bidder/s that score less than 70 points out of 100 in respect of overall functionality will be regarded as submitting a non-responsive bid and will be disqualified.

Only Bidder/s that meets the minimum required percentage or minimum points, will be evaluated in terms of price and preference as per the PPPFA Act, No.5 of 2000 and its associated Regulations issued by the National Treasury.

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