



**TITLE SPECIFICATION FOR THE AUDIT
TOOL**

REFERENCE REV
CP_TSSPEC_152 0
PAGE: 1 OF 25
DATE: AUGUST 2022

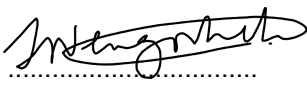


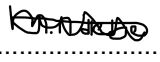
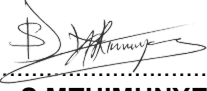

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FOREWORD

This document was prepared by the following Work Group member/s:

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1. INTRODUCTION

City Power requires services from experienced Service Providers for provision of an auditing tool to automate and enhance the internal audit processes. The proposed audit tool shall meet the existing and future City Power business requirements.

2. SCOPE OF WORK

The scope of work entails supply, installation, configuration and commissioning of the Auditing tool. The successful bidder shall provide support and maintenance of the deployed solution for the period of 36 months. The auditing tool shall comply with local government mandates, national Cyber Security Policy Framework of 2012 Policies such as Sarbanes Oxley (SOX).

3. NORMATIVE REFERENCES

The following documents contain provisions that, through reference in the text, constitute requirements of this specification. At the time of publication, the editions indicated were valid. All standards and specifications are subject to revision, and parties to agreements based on this standard are encouraged to investigate the possibility of applying the most recent editions of the documents listed below.

COBIT:Control Objectives for Information and Related Technology. It is a framework created by the ISACA (Information Systems Audit and Control Association) for IT governance and management

KING IV: Technology and Information Governance

TOGAF:The Open Group Architecture Framework is a framework for enterprise architecture that provides an approach for designing, planning, implementing, and governing an enterprise information technology architecture.

POPI: Protection of Personal Information Act, 2013

GWEA: Government Wide Enterprise Architecture framework

ECT Act25 of 2002: Electronic Communications and Transactions Act25 of 2002
Cyber Act

Document number	Document title
IEEE 802.3z	Standard for Gigabit Ethernet over optical fibre and shielded twisted pair (STP)
ANSI/IEEE 162-1963	IEEE Standard Definitions of Terms for Electronic Digital Computers
IEEE/AIEE 34-1922	AIEE Standards for Telephony and Telegraphy
EEE 1680-2009	(IEEE Standard for Environmental Assessment of Electronic Products (Revision of IEEE: 1680-2006)
IEEE 487.3-2014	IEEE Standard for the Electrical Protection of Communication Facilities Serving Electric Supply Locations Through the Use of Hybrid Facilities
IEEE 802.3-2015	IEEE Standard for Ethernet - (Revision of IEEE:802.3-2012)
IEEE 802-2014	IEEE Standard for Local and Metropolitan Area Networks: Overview and Architecture (Revision to IEEE: 802-2001)

4. REQUIREMENTS

4.1 General Requirements

The proposed tool shall have the following capability and functionalities:

- 4.1.1 Store all audit projects for the period of 5 years
- 4.1.2 Store all working papers
- 4.1.3 Generate standard procedures when the audit is started
- 4.1.4 Working papers to be grouped per audit, per stage of execution within the audit (planning, execution and finalisation)
- 4.1.5 Review or coaching notes shall be attached to the working paper
- 4.1.6 Electronically sign-off of working papers by the reviewer to confirm that the review has been addressed
- 4.1.7 Clearly show review or coaching notes have been addressed by the preparer and signed-off by the reviewer
- 4.1.8 Different levels of security/access for different users
- 4.1.9 Audit trail on all working papers and restrictions on the deletion of the working papers
- 4.1.10 Dashboard that shows the progress of the audit and status of all working papers
- 4.1.11 Built-in project management tool
- 4.1.12 Lock projects after they have been finalised so that no further changes can be made
- 4.1.13 Generate pre-populated audit report template that clearly show criteria, finding, root cause etc.

4.2 Technical Environment

- 4.2.1 The proposed audit tool shall be installed on premise and shall be able to run on VM environment
- 4.2.2 The proposed audit tool shall run Microsoft SQL
- 4.2.3 The required server/s for the proposed audit tool shall be provided by City Power
- 4.2.4 The Service Provider shall provide the specification of the required server/s for the proposed audit tool.
- 4.2.5 The Service Provider shall indicate any additional requirements that City Power shall fulfil to ensure audit tool functionality.

4.3 Functional Requirements

4.3.1 The proposed audit tool shall be an end to end work-flow based audit management tool which include the following:

4.3.1.1 Audit Modules

4.3.1.2 Audit Planning

4.3.1.3 Audit Execution

4.3.1.4 Audit Scheduling

4.3.1.5 Audit Reporting

4.3.1.6 Audit Follow-up

4.3.1.7 Audit performance tracking.

4.4 User Access

4.4.1 The proposed audit tool should be able to cater for minimum of 30 users

4.4.2 The users shall authenticate using secured credentials

4.5 Administrator Privileges

4.5.1 The tool shall have special access privilege for different user's

4.5.2 The administrator shall have the privilege to enable and disable features such as legal hold and mail encryption.

4.5.3 Administrator shall have full control over data backups and be able to define parameters for the audit tool

4.6 Event Logging

4.6.1 The tool shall log events and activities on the sever

4.6.2 The tool shall store and archive the recoded activities for audit purposes.

4.6.3 The tool shall automatically send Audit tool notifications to administrators.

5. DOCUMENTATION

5.1 The Service Provider shall submit documentation for the audit tool as part of their proposal.

5.2 The Service Provider shall provide hard copy and electronic copy of the audit tool and user documentation

6. TRAINING

- 6.1 The Service Provider shall provide comprehensive technical training to City Power technical resources on the configuration, installation, operation and maintenance of the proposed audit tool
- 6.2 The Service Provider must clearly outline the layout of the recommended training
- 6.3 The Service Provider will also be required to provide training to City Power technical resources on the system when enhanced features and functionality becomes available as the system is upgraded.
- 6.4 The Service Provider shall provide training for end users on the system operation and features.
- 6.5 The Service Provider shall work closely with City Power's resources during the implementation in a live environment to ensure practical knowledge transfer.

7. QUALITY MANAGEMENT

A Quality Management System shall be set up in order to assure the quality of the Audit tool archiving solution during design, development, production and servicing. Guidance on the requirements for a quality management system may be found in the following standards: ISO 9001:2015. The details shall be subject to agreement between the City Power and Supplier/Contractor.

8. HEALTH AND SAFETY

A Health and Safety Plan/System shall be set up in order to ensure proper management and compliance of the Audit tool-archiving solution during installation, operation, maintenance, and decommissioning phase/s. Guidance on the requirements of a Health and Safety Plan/System may be found in ISO 14001:2018 standards. This is to ensure that the asset/service conforms to standard operating procedures and City Power SHERQ Policy. The details shall be subject to agreement between City Power and the Supplier/Contractor.

9. ENVIRONMENTAL MANAGEMENT

An Environmental Management Plan/System shall be set up in order to ensure the proper environmental management and compliance of the Audit tool archiving solution during its entire life cycle (i.e. during design, development, production, installation, operation and maintenance, decommissioning as well as Rehabilitation, Recycling or Disposal phase/s). Guidance on the requirements for an environmental management plan/system may be found in ISO 14001:2018 standards. The details shall be subject to agreement between City Power and the Supplier. This is to ensure that the asset created conforms to environmental standards and City Power SHERQ Policy.

ANNEX A - BIBLIOGRAPHY

None

ANNEX B - REVISION INFORMATION

DATE	REV. NO.	NOTES
AUGUST 2022	0	First issue

ANNEX C- ITEM NO: 1 – GENERAL REQUIREMENTS

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
1.	4.1	GENERAL REQUIREMENTS		
	4.1.1	Store all audit projects for the period of 5 years	Required	
	4.1.2	Store all working papers	Required	
	4.1.3	Generate standard procedures when the audit is started	Required	
	4.1.4	Working papers to be grouped per audit, per stage of execution within the audit (planning, execution and finalisation)	Required	
	4.1.5	Review or coaching notes shall be attached to the working paper	Required	
	4.1.6	Electronically sign-off of working papers by the reviewer to confirm that the review has been addressed	Required	
	4.1.7	Clearly show review or coaching notes have been addressed by the preparer and signed-off by the reviewer	Required	

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Full name of company: _____

ANNEX C- ITEM NO: 1 – GENERAL REQUIREMENTS

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
1	4.1.8	Different levels of security/access for different users	Required	
	4.1.9	Audit trail on all working papers and restrictions on the deletion of the working papers	Required	
	4.1.10	Dashboard that shows the progress of the audit and status of all working papers	Required	
	4.1.11	Built-in project management tool	Required	
	4.1.12	Lock projects after they have been finalised so that no further changes can be made	Required	
	4.1.13	Generate pre-populated audit report template that clearly show criteria, finding, root cause etc.	Required	

Note: Ticks, Cross [✓, X], Astrick [*], Word [Noted] or TBA ["To Be Advice"] will not be accepted

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ITEM NO. 1 - GENERAL REQUIREMENTS

Deviation Schedule

Any deviations offered to this specification shall be listed below with reasons for deviation. In addition, evidence shall be provided that the proposed deviation will at least be more cost-effective than that specified by City Power.		
Item	Sub Clause of CP_TSSPEC_152	Proposed deviation

Note: Ticks, Cross [√, X], Astrick [*], Word [Noted] or TBA [“To Be Advice”] will not be accepted

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Tenderer’s Authorised Signatory: _____

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Full name of company: _____

ANNEX C- ITEM NO: 2 – TECHNICAL ENVIRONMENT

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
2.	4.2	TECHNICAL ENVIRONMENT		
	4.2.1	The proposed audit tool shall be installed on premise and shall be able to run on VM environment	Required	
	4.2.2	The proposed audit tool shall run Microsoft SQL	Required	
	4.2.3	The required server/s for the proposed audit tool shall be provided by City Power	Required	
	4.2.4	The Service Provider shall provide the specification of the required server/s for the proposed audit tool.	Required	
	4.2.5	The Service Provider shall indicate any additional requirements that City Power shall fulfil to ensure audit tool functionality.	Required	

Note: Ticks, Cross [✓, X], Astrick [*], Word [Noted] or TBA ["To Be Advice"] will not be accepted

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Tenderer's Authorised Signatory: _____

Name in block letters

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Full name of company: _____

ITEM NO. 2 – TECHNICAL ENVIRONMENT
Deviation Schedule

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Note: Ticks, Cross [√, X], Astrick [*], Word [Noted] or TBA [“To Be Advice”] will not be accepted

Tender Number: _____

Tenderer’s Authorised Signatory: _____
Name in block letters Signature

Full name of company: _____

ANNEX C- ITEM NO: 3 – FUNCTIONAL REQUIREMENTS

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
3.	4.3	FUNCTIONAL REQUIREMENTS		
	4.3.1	The proposed audit tool shall be an end to end work-flow based audit management tool which include the following:		
	4.3.1.1	Audit Modules	Required	
	4.3.1.2	Audit Planning	Required	
	4.3.1.3	Audit Execution	Required	
	4.3.1.4	Audit Scheduling	Required	
	4.3.1.5	Audit Reporting	Required	
	4.3.1.6	Audit Follow-up	Required	
	4.3.1.7	Audit performance tracking.	Required	

Note: Ticks, Cross [✓, X], Astrick [*], Word [Noted] or TBA ["To Be Advice"] will not be accepted

Tender Number: _____

Tenderer's Authorised Signatory: _____

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Full name of company: _____

ITEM NO. 3 – FUNCTIONAL REQUIREMENTS
Deviation Schedule

Any deviations offered to this specification shall be listed below with reasons for deviation. In addition, evidence shall be provided that the proposed deviation will at least be more cost-effective than that specified by City Power.		
Item	Sub Clause of CP_TSSPEC_152	Proposed deviation

Note: Ticks, Cross [√, X], Astrick [*], Word [Noted] or TBA [“To Be Advice”] will not be accepted

Tender Number: _____

Tenderer’s Authorised Signatory: _____
Name in block letters Signature

Full name of company: _____

ANNEX C- ITEM NO: 4 – USER ACCESS

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
4.	4.4	USER ACCESS		
	4.4.1	The proposed audit tool should be able to cater for minimum of 30 users	Required	
	4.4.2	The users shall authenticate using secured credentials	Required	

Note: Ticks, Cross [✓, X], Astrick [*], Word [Noted] or TBA ["To Be Advice"] will not be accepted

Tender Number: _____

Tenderer's Authorised Signatory: _____

Name in block letters

Signature

Full name of company: _____

ITEM NO. 4 – USER ACCESS

Deviation Schedule

Any deviations offered to this specification shall be listed below with reasons for deviation. In addition, evidence shall be provided that the proposed deviation will at least be more cost-effective than that specified by City Power.		
Item	Sub Clause of CP_TSSPEC_152	Proposed deviation

Note: Ticks, Cross [√, X], Astrick [*], Word [Noted] or TBA [“To Be Advice”] will not be accepted

Tender Number: _____

Tenderer’s Authorised Signatory: _____

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Full name of company: _____

ANNEX C- ITEM NO: 5 – ADMINISTRATOR PRIVILEGES

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
5.	4.5	ADMINISTRATOR PRIVILEGES		
	4.5.1	The tool shall have special access privilege for different user's	Required	
	4.5.2	The administrator shall have the privilege to enable and disable features such as legal hold and mail encryption.	Required	
	4.5.3	Administrator shall have full control over data backups and be able to define parameters for the audit tool	Required	

Note: Ticks, Cross [✓, X], Astrick [*], Word [Noted] or TBA ["To Be Advice"] will not be accepted

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ITEM NO. 5 – ADMINISTRATOR PRIVILEGES
Deviation Schedule

Any deviations offered to this specification shall be listed below with reasons for deviation. In addition, evidence shall be provided that the proposed deviation will at least be more cost-effective than that specified by City Power.		
Item	Sub Clause of CP_TSSPEC_152	Proposed deviation

Note: Ticks, Cross [√, X], Astrick [*], Word [Noted] or TBA [“To Be Advice”] will not be accepted

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Tenderer’s Authorised Signatory: _____
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Full name of company: _____

ANNEX C- ITEM NO: 6 – EVENT LOGGING

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
6.	4.6	EVENT LOGGING		
	4.6.1	The tool shall log events and activities on the sever	Required	
	4.6.2	The tool shall store and archive the recoded activities for audit purposes.	Required	
	4.6.3	The tool shall automatically send Audit tool notifications to administrators	Required	

Note: Ticks, Cross [✓, X], Astrick [*], Word [Noted] or TBA ["To Be Advice"] will not be accepted

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Signature

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ITEM NO. 6 – EVENT LOGGING

Deviation Schedule

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Item	Sub Clause of CP_TSSPEC_152	Proposed deviation

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Full name of company: _____

ANNEX C- ITEM NO: 7 – OTHER REQUIREMENTS

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
7.	5	DOCUMENTATION		
	5.1	The Service Provider shall submit documentation for the audit tool as part of their proposal.	Required	
	5.2	The Service Provider shall provide hard copy and electronic copy of the audit tool and user documentation	Required	
	6	TRAINING		
	6.1	The Service Provider shall provide comprehensive technical training to City Power technical resources on the configuration, installation, operation and maintenance of the proposed audit tool	Required	
	6.2	The Service Provider must clearly outline the layout of the recommended training	Required	
	6.3	The Service Provider will also be required to provide training to City Power technical resources on the system when enhanced features and functionality becomes available as the system is upgraded.	Required	

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Full name of company: _____

ANNEX C- ITEM NO: 7 – OTHER REQUIREMENTS

TECHNICAL SCHEDULES A & B:

Schedule A: Purchaser's specific requirements

Schedule B: Guarantees and technical particulars of equipment offered

Table 1: Technical A & B Schedule

Item	Sub-clause CP_TSSP EC_152	Description	Schedule A	Schedule B
7.	6.4	The Service Provider shall provide training for end users on the system operation and features.	Required	
	6.5	The Service Provider shall work closely with City Power's resources during the implementation in a live environment to ensure practical knowledge transfer.	Required	
	7	QUALITY MANAGEMENT Quality management system shall be set up as ISO 9001:2015	Required	
	8	HEALTH AND SAFETY A health and safety plan shall be set up as ISO 14001:2018	Required	
	9	ENVIRONMENTAL MANAGEMENT An environmental management plan shall be set up as ISO 14001:2018	Required	

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ITEM NO. 7 – OTHER REQUIREMENTS

Deviation Schedule

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