

**BANKING SECTOR EDUCATION AND TRAINING AUTHORITY (BANKSETA)**

**REQUEST FOR TENDER -** **TO APPOINT A SUITABLY QUALIFIED SERVICE PROVIDER IN SOUTH AFRICA FOR PROVISION OF A HOSTED RISK MANAGEMENT SYSTEM FOR A PERIOD OF FIVE (05) YEARS**

**Bid No: BS/2023/RFB478**

**ANNEXURE B**

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| **Clause per TOR** | **Specification/Terms of Reference Requirement** | **Complies to specification (Yes/No)** | **Comments/Further Information** |
| 4.2 | **Compliance Management**  |  |  |
| 4.2.1 | Customised alerts organised aligned by industry |  |  |
| 4.2.2 | Provide standard compliance checklist  |  |  |
| 4.2.3 | Ability to perform online compliance verification  |  |  |
| 4.2.4 | capture all the acts relevant to BANKSETA and the associated compliance risk for each one (BANKSETA will provide compliance universe) |  |  |
| 4.2.5 | Notify compliance owner regarding compliance dates  |  |  |
| 4.3 | **Risk Management** |  |  |
| 4.3.1 | Provides a central data repository for risk management  |  |  |
| 4.3.2 | Provides audit trails and history  |  |  |
| 4.3.3 | Supports for risk assessment and control (standard templates and processes) |  |  |
| 4.3.4 | **The structure of the risk registers:** |  |  |
| 4.3.4.1 | Objectives |  |  |
| 4.3.4.2 | Risks |  |  |
| 4.3.4.3 | Contributing factors  |  |  |
| 4.3.4.4 | Consequences  |  |  |
| 4.3.4.5 | Current / Existing Controls  |  |  |
| 4.3.4.6 | Action plans  |  |  |
| 4.3.4.7 | Timeframes |  |  |
| 4.3.4.8 | Action Owners |  |  |
| 4.3.4.9 | Risk Owners |  |  |
| 4.3.5 | **Enables linking of objectives to Risks at all levels within the organisation**  |  |  |
| 4.3.6 | **Provide of reporting**  |  |  |
| 4.3.6.1 | Dashboard  |  |  |
| 4.3.6.2 | Heat maps |  |  |
| 4.3.6.3 | Trends,  |  |  |
| 4.3.6.4 | Scorecards |  |  |
| 4.3.6.5 | Audit trails |  |  |
| 4.3.7 | **Allow custom reporting (BANKSETA own reporting)** |  |  |
| 4.3.8 | **Allows Action Plan monitoring** |  |  |
| 4.3.8.1 | Notifications |  |  |
| 4.3.8.2 | Reminders |  |  |
| 4.3.8.3 | Escalations |  |  |
| 4.3.9 | **Enable incident management**  |  |  |
| 4.3.9.1 | Records incidents  |  |  |
| 4.3.9.2 | Loss events  |  |  |
| 4.4 | **Provision of workshop trainings**  |  |  |
| 4.4.1 | Provide training to thirty (30) users in year 1 |  |  |
| 4.4.2 | Provide refresher training to thirty (30) users in year 2 |  |  |
| 4.4.3 | Provide refresher training to thirty (30) users in year 3 |  |  |
| 4.4.4 | Provide skills transfer to system administrators three (3) |  |  |
| 4.5 | **Provision of hosting, support, and maintenance of the system**  |  |  |
| 4.5.1 | Provide a hosted Risk and Compliance Management System (System must be cloud-based and hosted in South Africa) |  |  |
| 4.5.2 | Configure thirty (30) user devices to the Hosted Risk and Compliance Management System.  |  |  |
| 4.5.3 | Ensure at least 97% System Availability |  |  |
| 4.5.4 | Ensure Risk and Compliance Management System is accessible through web browsers and at minimum supports: |  |  |

Service Provider Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of person Signing \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_