

REF: RFI UJ 01/2022

CALL FOR REQUEST FOR INFORMATION FOR A GOVERNANCE, RISK AND COMPLIANCE (GRC) SOFTWARE TOOL / SOLUTION

1. DISCLAIMER

1.1 This Request for Information (RFI) does not create any representation, either express or implied, that:

- any tender or procurement process will proceed; or
- if a tender or procurement process does proceed, that the participant's tender or other form of application (if any) will be given any preference or special consideration.

1.2 Participants are still required to follow any tender or procurement process that may take place.

2. THE PURPOSE OF THE REQUEST

The University of Johannesburg seeks information for a GRC software tool / solution for Enterprise Risk Management Compliance Management, as well as incident management tool.

3. DOCUMENTATION

Interested parties should submit the relevant information pertaining to below using the link provided

<https://www.uj.ac.za/tender>

3.1 A general overview of your company, its history, its capabilities, and markets served.

3.2 Where is your company headquarters located? List all other offices and their proximity to our campuses. List the number of employees at each location and the general breakdown of their roles (e.g., Sales, Tech. Support, Development). Please provide an organizational chart.

3.3 What is your total number of employees and the total number of subcontractors or contingent workers?

3.4 A statement of the performance commitments, guarantees, and remedies you are willing to offer.

3.5 Who are your three biggest competitors?

3.6 Is your company involved in any threatened litigation, investigation, reorganization, receivership, filing, strike, audit, corporate acquisition, or other

action that could have an adverse impact on your ability to provide products and services? If so, please describe the nature of the item and its potential impact.

4. FUNCTIONAL REQUIREMENTS

4.1 GENERAL SOLUTION INFORMATION

- 4.1.1 The University seeks to obtain a Comprehensive Governance, Risk and Compliance management software tool / solution.
- 4.1.2 Describe your ability to provide a complete solution(s); identify specific capabilities.
- 4.1.3 List your previous experience providing solutions for customers of similar size, scope, and requirements.
- 4.1.4 Identify problems encountered in delivering similar solutions.
- 4.1.5 Identify the benefits obtained for customers.
- 4.1.6 Describe your high-level estimate of the time required to develop, deliver, and implement the solution.
- 4.1.7 What standard types of training is offered? How often? Where are courses offered? Is the training available at our site or remotely?
- 4.1.8 Provide further information on your product support offerings and support availability.
- 4.1.9 Is the tool customizable according to client requirements?
- 4.1.10 What is your typical pricing and cost for a customer of similar size? Please feel free to provide parameters and/or qualifiers around your response. This pricing request will not be considered an official quote and is only for informational purposes only.
- 4.1.11 Please provide a detailed description of your warranty services, maintenance services, and support services, including service levels, escalation procedures, and remedies applicable if there is a failure to respond or restore within stated timelines.

4.2 Technical Requirements

4.2.1 Risk management

- a) Support for different user profile roles. e.g., system administrator, broadcast user, super user, general user.
- b) Unlimited simultaneous logins.
- c) The ability for the client administrator to amend input fields and naming conventions to suit the requirements of the client.
- d) Importing of Excel documents to update system content (e.g., risk registers).
- e) The ability to export customisable/summary reports in required formats.
- f) Separate user profile creation, as well as organisational structure.
- g) The ability to restrict access to certain reports based on user profiles
- h) An integrated system which can assist with the combined assurance function will be an advantage.

- i) The ability to provide reporting statistics in chart-format/heatmaps as per client requirements and or interface with BI
- j) Must be able to accommodate the UJ Risk matrix.
- k) Fields /columns should be customisable according to UJ input requirements
- l) Dropdown facility for manual inputs
- m) Fraud incident management tool to enable capturing of fraud incidents and other reports received via the Ethics line; ability to identify and track timelines, statistics, and control weaknesses

4.2.2 Compliance Module

- a) Cloud based information repository for information sourced across the institution.
- b) Capture and assign tasks to relevant risk and action owners.
- c) Keep the regulatory universe and departmental compliance profiles with built in risk matrix for the analysis of compliance risks.
- d) Capture existing controls and additional controls in the Compliance Risk Management Plan (CRMP) format.
- e) Generate a residual risks heat map from the compliance risks identified and the controls captured.
- f) Ability to build-in monitoring metrics for effective monitoring and reporting
- g) Prompt compliance risk owners and actions owners to undertake monitoring actions and/or to implement compliance controls as per Monitoring Plans and CRMPs, respectively.
- h) Automate various compliance tools (registers), i.e non-compliance register, Regulatory Incidents register, etc.
- i) Keep the control repository for ease of reference for linking of multi-disciplinary controls to applicable institution disciplines, i.e multipurpose policies.
- j) Compliance reporting, i.e Compliance status report format, compliance stats and dashboards
- k) Automate compliance function effectiveness self-assessment.
- l) Enable the teams to perform periodic compliance self-assessments

5. Confidentiality

Any information relating to the tender process shall be treated with confidence. The responder shall not be entitled to any information disclosed by another respondent to the tender. The details of the evaluation process will remain confidential to UJ.

6. Protection of personal information

The University of Johannesburg (“UJ”, “the University”, “we”, “us”, “our”) recognises that when the respondents submit their proposals in response to this RFI, it will provide personal information, which UJ will process for the sole purpose of the RFI. By submitting its proposal in responding to this RFI, the respondents give consent to the processing of its Personal Information by UJ.

UJ respects the privacy of all its stakeholders (“you”, “your”) and acknowledges its responsibility to comply with the Protection of Personal Information Act (POPIA), other related data protection legislations and the directives of the South African constitution and national legislation. The University is committed to the protection of personal information and does so through legislative compliance and adherence to its policies for the protection of and access to all personal information held by it.

The University collects, stores, uses and protects personal information that can be associated with any of its stakeholders (data subjects), whether natural or legal persons, and which can be used to identify you or that person. The University must collect and process applicable personal information about you when you engage with us. This enables us to manage our relationship with you and run the relevant University operations. The University is committed to the protection of our Data Subjects Privacy rights.

The comprehensive privacy notice is available on request.

Closing date for submissions is 13 June 2022 at 12 noon.

Please include the name and contact details for the relevant contact person and use the following reference as the subject heading: REF: RFI UJ 01/2022

Proposals to be uploaded on the following link, <https://www.uj.ac.za/tender>