



South African Reserve Bank

Financial Services Department: Procurement Section

370 Helen Joseph Street (formerly Church Street)

Pretoria

0002

Request for Proposals

GvdW/05-2013

Provision of a solution to perform database vulnerability management, active monitoring and reporting

Date of issue 19 May 2013

Closing date: Wednesday 05 June 2013, at 11:00

State full name of organisation/individual:

State discipline:

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Abbreviations

BBBEE	broad-based black economic empowerment
RDBMS	Relational Database Management Systems
ICT	information and communications technology
ID	identity
RFP	Request for Proposal
SA	system administrator
SARB	South African Reserve Bank

Glossary

the Bank	the South African Reserve Bank
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Invitation for Proposals

1. Invitation

The South African Reserve Bank (the Bank) wishes to purchase a solution to perform functions as detailed in section 3 of this document.

Potential vendors must kindly take note that the Bank is a National Key Point and, as such, shortlisted vendors may be subjected to extensive security vetting as dictated by the enabling legislation and to the acceptance of a Confidentiality Agreement.

Proposal documents **clearly marked “original proposal”**, together with five (5) copies **clearly marked as “copy”**, and an electronic copy of your proposal will be received until **11:00 on Wednesday, 05 June 2013** and must be enclosed in sealed envelopes, bearing the applicable tender headings, tender reference number, the closing time and due date, as per the supplied cover page of this document.

The proposals must be **deposited in the tender box** situated at the

Head Office
South African Reserve Bank
370 Helen Joseph Street (formerly Church Street)
Pretoria, 0002

For the attention of Ms Gerda van der Walt.

Proposals shall remain valid for a period of 120 (one hundred and twenty) days from the closing date for the submission of tenders, during which period it may not be amended or withdrawn.

Late submissions will not be considered.

Section 1: Conditions of Proposal

1.1 Introduction

1.1.1 The Bank will select a vendor or vendors from among those shortlisted from this request for proposal (RFP).

1.1.2 Please note that

- (i) the costs incurred or losses suffered by the vendor(s) in preparing and submitting a proposal and providing the solution, including visits to the Bank premises, are not reimbursable as a direct cost of the assignment; and
- (ii) the Bank is not bound to accept any of the proposals submitted.

1.1.3 The Bank policy requires that the vendor(s) provide professional, objective, and impartial advice, and at all times hold the Bank's interests paramount, without any consideration for future work.

1.1.4 It is the Bank's policy to require that the vendor(s) observe the highest standard of ethics during the execution of such RFPs. The Bank will reject a proposal for award if it determines that the vendor(s) recommended for the award have engaged in corrupt or fraudulent activities in competing for the proposal in question.

1.2 Clarification and amendment of the proposal documents

1.2.1 Vendors may request clarification of any information in the proposal before the submission date. Any request for clarification must be sent in writing (by electronic mail (email)) to the following person at least 48 hours before the closing date:

**Ms Gerda van der Walt, telephone number: 012 313-3787; or
email to Gerda.vanderWalt@resbank.co.za.**

1.2.2 The Bank may, for any reason, whether on its own initiative or in response to clarification requested by an invited service provider, amend the proposal. Any amendment shall be issued in writing through addenda.

1.2.3 Addenda shall be sent by fax or emailed to all participating vendors and will be binding on them. The Bank may, at its discretion, extend the deadline for the submission of proposals.

1.3 **Preparation of proposal**

1.3.1 Vendors are requested to submit a proposal written in English.

1.3.2 In preparing the proposal, vendors are expected to examine the documents constituting this proposal in detail. Material deficiencies in providing the information requested may result in rejection of a proposal.

1.3.3 While preparing the proposal, vendors must ensure that the majority of the key professional staff proposed has a proven, extended and stable working relationship with them.

1.3.4 Vendors may act as a consortium with other vendors to respond to the RFP. However, a primary vendor must act as the respondent, and it will be the primary vendor's responsibility to negotiate and conclude relationships with any other vendors.

1.4 **Submission of proposal**

1.4.1 Vendors must note that if the conditions set out hereafter are not closely adhered to, it may result, at the sole discretion of the Bank, in the proposal not being accepted for consideration.

1.4.2 The original proposal shall contain no inter-lineation or overwriting, except as necessary to correct errors made by the service provider. Any such corrections must be initialled by the person or persons who sign(s) the proposals.

1.4.3 Proposals must be submitted on the official forms included in the proposal documents and preferably not be qualified by the vendor's own conditions of proposal.

1.4.4 Each vendor is required to return the complete set of proposal documents, which was obtained from the Bank, with all the required information supplied and completed in all respects.

1.4.5 Vendors are requested to supply all information requested in the RFP.

1.4.6 Vendors are instructed to adhere strictly to the numbering used in the proposal document to facilitate ease of evaluation.

1.4.7 Vendors must note that it remains their responsibility to ensure the **timely** delivery of the proposal.

1.5 **Completion of proposal**

1.5.1 The forms included in these proposal documents are drawn up so that essential information has to be furnished. The proposal document contains forms to be completed by the vendor in every detail, in ink.

1.6 **Signing of proposal**

1.6.1 The person duly authorised thereto shall sign the proposal.

1.7 **Publicity and media releases**

1.7.1 While the RFP process is in progress, the vendor is not entitled to generate publicity or issue media releases that in any way refer to this RFP or the vendor's response to it, without the prior written consent of the Bank.

1.8 **Procurement process**

1.8.1 This is the proposal stage of the procurement process.

1.8.2 The Evaluation Committee will evaluate the proposals on the basis of the evaluation criteria. Each proposal will be awarded a score.

1.8.3 A number of shortlisted respondents will be invited for a presentation to the evaluation panel.

1.8.4 A proposal shall be rejected at this stage if it does not respond to important aspects of the brief or if it fails to achieve the minimum score pre-determined by the Evaluation Committee.

1.8.5 The *estimated* dates for the procurement process is as follows:

- **RFP issued:** 19 May 2013
- **RFP closes:** 05 June 2013

1.9 Requirements

1.9.1 Potential solution providers will be required to meet the following minimum criteria:

- Proven implementation experience
- At least two contactable references.

1.10 Proposal evaluation criteria

1.10.1 Proposals will be evaluated based on, among other criteria, the following :

- Company profile which contains commercial requirements such as tax clearance certificate and a certificate of incorporation
- Proven track record and experience in similar projects
- The proposed fee structure
- Capacity and expertise to deliver the requirements included in the scope with relevant *curriculum vitae*

- Compliance with broad based black economic empowerment initiatives
- References.

1.11 **Negotiations**

1.11.1 Negotiations will include a discussion of the proposal. The Bank and the vendor will work out final terms of reference indicating activities, staff, logistics and reporting. The agreed programme and final terms of reference will then be incorporated in the “Description of Services” and will form part of the agreement.

1.11.2 Special attention will be given to getting the most the vendor(s) can offer, the best value for money within the available budget and to clearly define the input required from the Bank to ensure satisfactory results.

1.12 **Awarding the Proposal**

1.12.1 The RFP will be awarded following negotiations. After successful negotiations, the Bank will promptly notify other vendors on the shortlist that they were unsuccessful. The appointed vendor is expected to commence on the date as agreed upon with the Bank.

1.12.2 The Bank reserves the right to appoint more than one vendor, to address different sections of the scope, should that be considered in the best interest of the Bank.

1.13 **Confidentiality**

1.13.1 Information relating to the valuation of the proposal and recommendations concerning awards shall not be disclosed to the vendors who submitted the proposals or to other persons not officially involved in the process, until the successful vendor has been notified that it has been awarded the RFP.

1.14 Withdrawal, substitution and modification of the Request for Proposal

1.14.1 The Bank reserves the right to withdraw, substitute or modify the RFP. Notification of any withdrawal, substitution or modification will be given to all vendors.

Section 2: Notes to vendors

2.1 Included in the price

2.1.1 The total price shall be deemed to include any and all things and matters necessary for the complete and satisfactory execution and implementation of the solution whether or not specifically referred to in the document.

2.2 Proposal

2.2.1 The proposal must comprise the following:

2.2.1.1 Company profile (including tax clearance certificate and certificate of incorporation)

2.2.1.2 Broad-based black economic empowerment (BBBEE) details and rating certificate

2.2.1.3 Section 3 of this document: Scope of work/Specifications and plan of action

2.2.1.4 Form of Tender (**Appendix A**)

2.2.1.5 Undertaking of confidentiality (**Appendix B**)

2.2.1.6 Security vetting documents

2.2.1.7 Scope of Service Offerings by the Company.

2.3 Quality assurance

2.3.1 The manager of the Bank's Operations Division within the Business Systems and Technology Department will agree with the service provider(s) on set standards of quality acceptance.

2.3.2 Intellectual Property Rights to project material to transfer to the Bank upon the completion of the project.

Section 3: Scope of work/Specifications and plan of action

3.1 **Background**

3.1.1 The Bank operates in a challenging environment, dealing with all the changes and advances in the financial industry, technology and the workplace. The expectations of what information and communications technology (ICT) can do to benefit the Bank, continues to grow.

3.1.2 The Bank's Technological Direction for Relational Database Management Systems (RDBMS) is Microsoft SQL Server and Oracle database.

3.1.3 An audit finding required that strong focus be placed on database vulnerability management and active monitoring.

3.2 **Summary of technology environment**

3.2.1 Currently, the Bank makes use of the following:

3.2.1.1 Microsoft SQL server 2005, 2008, 2008 R2 and 2012

3.2.1.1.1 Microsoft SQL server is installed on Windows server 2003, 2008 2008 R2

3.2.1.2 Oracle database 10G and 11G (R1 and R2) (clustered and standalone)

3.2.1.2.1 Oracle database is installed on AIX 5.6, AIX 6.1, Windows server 2003 R2 and Windows server 2008 R2

3.2.1.3 Sybase ASE 12.5.4

3.2.1.3.1 Sybase is installed on Sun Solaris SUNOS 5.10

3.2.1.4 DB2 v10

3.2.1.4.1 DB2 is installed on z/OS.

Please clearly indicate whether the solution is certified for use with the above-mentioned systems and platforms.

Please also clearly indicate whether the solution is, if not certified, aware of the above systems and platforms and all their components, modules or features and whether there are any specific interoperating requirements.

3.3 **Scope**

3.3.1 The preferred solution must provide database vulnerability management, active monitoring and reporting.

3.3.2 The scope of functions will include the following:

3.3.2.1 Maintain an accurate inventory of all databases deployed.

3.3.2.2 Identify and fix vulnerabilities and misconfigurations by comparing discovered configuration settings against knowledge bases and so on.

3.3.2.3 Restrict inappropriate access to data, metadata and functions, for example, during certain times of the day.

3.3.2.4 User rights management.

3.3.2.5 Enforce assigning least privileges.

3.3.2.6 Track users and receive alerts on suspicious behaviour.

3.3.2.7 Block attacks and vulnerability exploitation.

3.3.2.8 Auditing, logging and monitoring of data manipulation by way of direct database access.

- 3.3.2.9 Logging of database administrator activities.
- 3.3.2.10 Report on password settings, to ensure compliance with laid-down policies.
- 3.3.2.11 System administrator (SA) logs are reviewed and signed off manually but not verified against Requests for Change. It is desirable that the intended solution be able to analyse logs and verify changes against Requests for Change.
- 3.3.2.12 Provide intelligent filters that should ideally be configurable to distinguish between batch or maintenance actions, and production or developer actions.

3.4 **Deliverables**

- 3.4.1 Reports must cover the scope.
- 3.4.2 Reports must be configurable and customisable, with the ability to create new custom reports from a built in report.
- 3.4.3 Reports must contain customisable automated exception alerts.

3.5 **Completion of the Request for Proposal response**

- 3.5.1 For ease of reference and evaluation, your RFP response must use the same reference numbers included in the table in paragraph 3.5 Requirements Evaluation.
- 3.5.2 For each question (unless otherwise indicated) provide a written response, motivating and supporting the score provided. Provide any supporting documentation such as certificates and reference details.

- 3.5.3 You are required to respond to *every* section. You may elect to form a partnership with another service provider for sections not within your organisation's core offerings.
- 3.5.4 All cost estimates should be provided on a fixed-price basis. The Bank would consider an approach where the fixed price estimates are finalised, following the initial planning phase.
- 3.5.5 All shortlisted respondents will be required to do a Proof of Concept installation of their solution at the Bank's Head Office.
- 3.5.6 The scope of the Proof of Concept will be for one Microsoft SQL Server and one Oracle RAC.
- 3.5.7 Kindly provide in your response to this RFP, your planning for the Proof of Concept.
- 3.5.8 All shortlisted respondents will be required to provide a presentation on their results, from the Proof of Concept.

3.6 Requirements evaluation

3.6.1 Experience

No.	Question	Response
1	Provide references of installations in the last three (3) years. <ul style="list-style-type: none">• Client• Details of engagement• Contact name• Contact email• Contact telephone	
2	How many of these initiatives were in South Africa?	
3	How many of these initiatives were in the financial industry?	

3.6.2 Knowledge transfer

No.	Question	Response
1	What knowledge transfer strategy would your company propose for the transfer of skills to bank personnel? Please explain briefly.	
2	Local skills availability and level of skills.	

Please attach a copy of your standard contract for these services



South African Reserve Bank

Appendix A

Undertaking of Confidentiality

This undertaking of confidentiality is made and entered into on this ____ day of _____ 2013, by _____ (insert full names) in his/her capacity as _____ (insert) of _____ (insert name of institution and registration number, where applicable), with its usual place of business at _____(insert), hereinafter referred to as the “recipient”, in favour of the South African Reserve Bank, hereinafter referred to as the “SARB”, with its usual place of business at 370 Helen Joseph Street (formerly Church Street), Pretoria, 0002.

In consideration of the mutual covenants and provisions contained herein, the recipient undertakes as follows:

In this agreement, the following terms will have the meanings ascribed to them below:

“effective date” shall mean the date upon which this agreement is signed;

“SARB” shall mean the party making information, as defined below, available to the other party;

“recipient” shall mean the party to whom information, as defined below, is made available;

“information” shall include:

Information relating to the feasibility project;

Data furnished, disclosed and/or transmitted to the recipient, whether disclosed orally or in writing, which is clearly identified by the SARB as being confidential; and

Notes, analyses and other documents prepared by the recipient or its representatives which have been based upon or derived from confidential information received from the SARB.

“product/service” shall mean the feasibility project and services described in this Request for Proposal.

In furtherance of this agreement, the SARB may, at its discretion make information available to the recipient. Information disclosed verbally, in writing or electronically will be considered as confidential. However, information shall not include any information which:

Is contained in a publicly available printed publication prior to the date of this agreement;

Is or becomes publicly known through no wrongful act on the part of the recipient;

Is known by the recipient without any proprietary restrictions at the time of receipt of such information from the SARB or becomes known to the recipient without proprietary restrictions from a source other than the SARB; or is independently developed by the recipient without reference to the information disclosed by the SARB.

The recipient agrees to receive the information in the utmost confidence and to keep the same information confidential, using at least the same degree of care as is used by the recipient to protect its own confidential information.

The recipient further agrees to disclose the information only to its authorised employees, sub-contractors, suppliers, legal advisors and financial advisors whose services are required in furtherance of the objectives of the business relationship between the parties, and to require each of its colleagues, and its authorised employees, sub-contractors, suppliers, legal advisors and financial advisors to comply with the terms of this agreement, prior to the disclosure to such employees, sub-contractors, suppliers, legal advisers and financial advisers.

The recipient shall not make any additional copies of information without the express written consent of the SARB. The recipient, will at its own cost, and after a written request has been submitted by the SARB, return all documents and tangible property in its possession which contain any part of the information disclosed to the recipient by the SARB hereunder.

The recipient shall use such information only in connection with the furtherance of the business relationship between the parties, and the recipient shall make no further use, in whole or in part, of any such information. However, nothing in this agreement shall restrict the SARB from using, disclosing or disseminating its own information in any way.

The recipient shall not be entitled to utilise the name of the SARB in publicity releases, advertising or for other promotional purposes without securing the prior written consent of the SARB.

The obligations imposed by this agreement will remain in perpetuity.

This agreement sets forth the entire agreement and understandings between the recipient and the SARB (the "parties") as to the subject matter hereof and supersedes, cancels, and merges all agreements, negotiations, commitments, writings, and discussions between them as to the subject matter prior to the date of this agreement. Neither of the parties shall be bound by any condition or

representations with respect to such subject matter, other than as expressly provided in this agreement or as duly set forth on or subsequent to the date of this agreement in writing, and signed by a proper and duly authorised representative of the parties.

This agreement will be governed by and construed in accordance with the law of the republic of South Africa and the parties agree to submit to the exclusive jurisdiction of the South African courts.

In the event of the invalidity or unenforceability of any provision of this agreement under any applicable law, the parties agree that such invalidity or unenforceability shall not affect the validity or enforceability of the remaining portions of this agreement.

In witness whereof the recipient has caused this agreement to be signed in its name.

Signature of recipient on behalf of the organisation referred to at the beginning of this agreement, who by affixing his/her signature hereto warrants his/her authority to bind the organisation.

Name

Title

Date



South African Reserve Bank

Appendix B

Security Vetting

Please note that each company, consultant and or contractor appointed by the Bank will be subjected to a personnel security vetting process in accordance with the Bank's Security Vetting Policy. Companies, consultants and contractors must submit copies of the following documentation.

1. Documents to be submitted with regard to the Company

- 1.1 Company name and registration number;
- 1.2 A valid tax clearance certificate – Tender (not older than six (6) months);
- 1.3 A certified copy of a valid certificate to commence business;
- 1.5 A certified copy of a valid certificate of change of name of company;
- 1.6 A certified copy of a valid certificate of incorporation of a company having a share capital;
- 1.7 A certified copy of the JV agreement;
- 1.8 A certified copy of professional indemnity insurance cover;
- 1.9 A list reflecting the names and identity (ID) numbers of all the company directors; and
- 1.10 A company profile.

2. Documents to be submitted with regard to consultants or contractors or staff

- 2.1 A list reflecting the names, ID numbers and a short description of the role of each staff member on the proposal.
- 2.2 A certified copy of the first page of the ID book of each staff member on the proposal.

3. Security Vetting Process

As the Bank is an organ of state and a National Key Point, the National Intelligence Agency is obliged to issue all Bank employees (permanent and temporary employees of the Bank, job applicants, independent contractors or contract workers, consultants, and other service providers) with a security clearance. Through personnel security vetting, the Bank ensures that all employees have appropriate security clearances for the work they are required to do.

The personnel security vetting process is guided by the principles of fairness, objectivity, professionalism, respect for human rights and privacy, and the application of due processes as enshrined in the Bill of Rights, Chapter II of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996). In particular, the employee's right to privacy, religion, belief, opinion, freedom of expression, freedom of association, freedom of movement and residence, and political rights will be duly respected by the Bank.

All the individuals that you may require for the purpose of this project will have to complete a security clearance questionnaire and be successfully security cleared prior to accessing any Bank premises or information.