



South African Reserve Bank

**Financial Surveillance Department - Procurement Section
370 Helen Joseph Street (formerly Church Street)
Pretoria**

Request for Proposal – RFP KvS 01/2015

**Appointment of a Service Provider for the provisioning, implementation and
maintenance of an
Integrated Cross-Border Foreign Exchange Reporting Solution (I-CFERS)
for the South African Reserve Bank.**

Date of issue 12 July 2015

A compulsory briefing session will be held on 21 July 2015 at 09:00

Closing date: 10 August 2015 at 11:00 AM

State full name of organisation/individual:

State discipline

Table of Contents

1	INVITATION FOR PROPOSALS	4
2	CONDITIONS OF PROPOSAL	5
2.1	INTRODUCTION	5
2.2	CLARIFICATION AND AMENDMENT OF THE PROPOSAL DOCUMENTS	5
2.3	PREPARATION OF PROPOSAL	5
2.4	SUBMISSION OF PROPOSAL	6
2.5	COMPLETION OF PROPOSAL	6
2.6	SIGNING OF PROPOSAL	6
2.7	PROCUREMENT PROCESS	6
2.8	REQUIREMENTS	7
2.9	PROPOSALS EVALUATION CRITERIA	7
2.10	NEGOTIATIONS	7
2.11	AWARDING OF THE TENDER	8
2.12	CONFIDENTIALITY	8
2.13	WITHDRAWAL, SUBSTITUTION AND MODIFICATION OF RFP	8
3	NOTES TO SERVICE PROVIDER	9
3.1	PRICE TO INCLUDE	9
3.2	PROPOSAL	9
3.3	RESPONSE TO QUESTIONS	9
3.4	QUALITY ASSURANCE	10
4	SCOPE OF WORK	11
4.1	INTRODUCTION AND BACKGROUND	11
4.2	THE INTEGRATED CROSS-BORDER FOREIGN EXCHANGE TRANSACTION REPORTING SOLUTION (I-CFERS) PROGRAMME	13
4.3	SCOPE OF THE RFP	13
4.4	STRUCTURE OF THE RFP	18
4.5	FUNCTIONAL REQUIREMENTS	18
4.6	REQUIREMENTS: BUSINESS CHANGE	40
4.7	REQUIREMENTS: ENTERPRISE ARCHITECTURE AND ARCHITECTURE SERVICES	44
4.8	NON-FUNCTIONAL REQUIREMENTS	48
4.9	IMPLEMENTATION APPROACH AND SERVICES	64
4.10	IMPLEMENTATION AND SUPPORT	68
4.11	MAINTENANCE	75
5	BREAKDOWN OF COSTS	76
5.1	PRICING MECHANISMS AND CHARGES	76
5.2	PRICING PROPOSALS	76
5.3	BILL OF MATERIAL	78
6	SUMMARY OF CONDITIONS OF CONTRACT	79
6.1	CONDITIONS OF CONTRACT	79
6.2	CONTACT PERSON	79
6.3	COST	79
6.4	INSURANCE	79
6.5	PROTECTION OF SERVICE	79
7	ABBREVIATIONS, TERMS AND DEFINITIONS	80
7.1	ABBREVIATIONS	80
7.2	TERMS	83
	ANNEXURE A: FORM OF TENDER	84

ANNEXURE B: UNDERTAKING OF CONFIDENTIALITY..... 85
ANNEXURE C: SECURITY VETTING..... 87

1 Invitation for Proposals

The South African Reserve Bank (the Bank) wishes to appoint a Service Provider to provide, implement and maintain a Multifactor Authentication Security Solution. The Bank accordingly invites your organisation as a potential Service Provider to take part in the Request for Proposal (RFP).

A compulsory briefing session will be held on 21 July 2015 at 09:00. Details are as follows:

Venue: South African Reserve Bank,
Conference Centre Auditorium
370 Helen Joseph, Pretoria

Contact person: Karen van Schalkwyk

RSVP your attendance by e-mailing your details to Karen.vanschalkwyk@resbank.co.za on or before 16 July 2015.

Potential Service Providers must kindly take note that the Bank is a national Key-Point and as such short-listed Service Providers will be subjected to extensive security vetting as dictated by the enabling legislation and the acceptance of a Confidentiality Agreement.

Proposal documents together with 1 copy and 1 electronic copy (PDF format) clearly marked "original proposal", "copy" and "electronic copy", will be received until **11h00 on Monday, 10 August 2015** and must be enclosed in sealed envelopes, bearing the applicable tender headings, tender reference number as well as the closing time and due date, as per the supplied cover page of this document.

Kindly include an electronic copy of your response.

The proposals should be deposited in the tender box situated at the South African Reserve Bank, Head Office, 370 Helen Joseph Street (formally Church Street) Pretoria, for attention Karen van Schalkwyk. 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.

Kindly acknowledge receipt of this invitation and communicate your decision whether your company intends to submit a proposal to: Karen.vanschalkwyk@resbank.co.za

For technical enquiries please submit questions to: Karen van Schalkwyk at Karen.vanschalkwyk@resbank.co.za.

2 Conditions of Proposal

2.1 Introduction

- 2.1.1 The Bank will select an organisation/individual among those short-listed from the invitation.
- 2.1.2 Please note that (i) the costs incurred or losses suffered by the Service Provider in preparing and submitting a proposal and negotiating the tender, 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.
- 2.1.3 The Bank policy requires that Service Providers provide professional, objective, and impartial advice and at all times hold the Bank's interests paramount, without any consideration for future work.
- 2.1.4 It is the Bank's policy to require that Service Providers observe the highest standard of ethics during the execution of such RFP's. The Bank will reject a proposal for award if it determines that the Service Provider recommended for the award has engaged in corrupt or fraudulent activities in competing for the project in question.

2.2 Clarification and amendment of the proposal documents

- 2.2.1 Service Providers may request clarification of any information in the proposal before the submission date. Any request for clarification must be sent in writing (by e-mail) to the following person at least 48 hours before the closing date:

Ms Karen van Schalkwyk, telephone number: 012-399 7104, or

E-mail to Karen.vanschalkwyk@resbank.co.za

- 2.2.2 The Bank may, for any reason, whether at its own initiative or in response to a clarification requested by an invited Service Provider, amend the proposal. Any amendment shall be issued in writing through addenda.
- 2.2.3 Addenda shall be sent by fax or e-mailed to all invited Service Providers and will be binding on them. The Bank may at its discretion extend the deadline for the submission of proposals.

2.3 Preparation of proposal

- 2.3.1 Service Providers are requested to submit a proposal written in English.
- 2.3.2 In preparing the proposal, Service Providers 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.
- 2.3.3 While preparing the proposal, Service Providers must ensure that the majority of the key professional staff proposed has a proven, extended and stable working relationship with them.

2.4 Submission of proposal

- 2.4.1 Service Providers are warned 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.
- 2.4.2 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 initialed by the person or persons who sign(s) the proposals.
- 2.4.3 Proposals have to be submitted on the official forms included in the proposal documents and preferably not be qualified by the Service Provider's own conditions of proposal.
- 2.4.4 Each Service Provider 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.
- 2.4.5 Service Providers are requested to supply all information requested in the RFP.
- 2.4.6 Service Providers are instructed to adhere strictly to the numbering used in the proposal document to facilitate ease of evaluation.
- 2.4.7 Service Providers are to note that it remains the responsibility of the tenderers to ensure the timely delivery of the proposal.

2.5 Completion of proposal

- 2.5.1 The forms included in these proposal documents are drawn up so that essential information has to be furnished. The proposal document contains forms of tender to be completed by the Service Provider in detail, in ink.

2.6 Signing of proposal

- 2.6.1 The person duly authorised thereto shall sign the proposal.

2.7 Procurement process

- 2.7.1 This is the proposal stage of the procurement process.
- 2.7.2 The Evaluation Committee (EC) will evaluate the proposals on the basis of the evaluation criteria. Each proposal will be awarded a score.
- 2.7.3 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 EC.
- 2.7.4 Shortlisted Service Providers will be requested to present their proposal to the evaluation committee and possibly undertake a Proof of Concept (POC).

2.8 Requirements

2.8.1 Potential Service Providers will be required to meet the minimum requirements as stated in this Request for Proposal. In addition, Service Providers must take note of the following:

- Two contactable references within a similar corporate environment are required. Kindly provide contact names and numbers.
- All human resources that will be considered for this initiative should be S.A citizens. Persons with a dual citizenship will not be considered.

2.9 Proposals evaluation criteria

2.9.1 Proposals will be evaluated based on the following minimum criteria inter alia;

- Company profile which contains (commercial requirements such as tax clearance certificate, certificate of incorporation, etc.
- Proven track record and experience in similar projects.
- The proposed fee, timeline and breakdown of deliverables.
- Capacity and expertise to deliver the functional, technical and general requirements as stated in this Request for Proposal.
- Flexibility and capacity to accommodate changes.
- Compliance to Black Economic Empowerment initiatives, (please enclose BEE certificate).
- References.
- Provision of information as stipulated in 3.2.1.

2.10 Negotiations

2.10.1 Negotiations will include a discussion of the proposal. The Bank and the Service Provider will work out final Terms of Reference indicating activities, staff, logistics and reporting. The agreed program and final Terms of Reference will then be incorporated in the "Description of Services" and will form part of the agreement. Special attention will be given to getting the most the Service Provider can offer, the best value for money within the available budget and to clearly define the inputs required from the Bank to ensure satisfactory results.

2.11 Awarding of the tender

- 2.11.1 The tender will be awarded following negotiations. After successful negotiations, the Bank will promptly notify other Service Providers on the shortlist that they were unsuccessful. The appointed Service Provider is expected to commence on the date as agreed upon with the Bank.

2.12 Confidentiality

- 2.12.1 Information relating to the valuation of the proposal and recommendations concerning awards shall not be disclosed to the Service Providers who submitted the proposals or to other persons not officially involved in the process, until the successful Service Provider has been notified that it has been awarded the tender.

2.13 Withdrawal, Substitution and Modification of RFP

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

3 Notes to Service Provider

3.1 Price to include

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

3.2 Proposal

3.2.1 The proposal is required to comprise the following:

- Company profile (including tax clearance certificate and certificate of incorporation) and client references.
- BBBEE details and rating certificate.
- Section 3 of this document: Scope/specifications and plan of action as well as an indication of ability to deliver the defined functional and technical requirements.
- Post implementation support and approach.
- Cost breakdown to include deliverables and milestones.
- Project timelines for the duration of the programme.
- Form of Tender (Annexure A).
- Undertaking of confidentiality (Annexure B).
- Security vetting documents (Annexure C).

3.3 Response to questions

3.3.1 All requirements have been formulated in a question and the questions have been placed into a table for the vendor response. The "level" on the right of the requirement indicates a high, medium or low priority requirement. The vendor is required to:

1. Place an "X" in the appropriate response code column (multiple selections not allowed) for each of the general requirements. Omitted responses will be assessed as rating of "NA".
2. Utilise the comments section for explanations, clarifications and alternate proposals.
3. Identify the software module or tool which will meet the requirement. If this is an additional or "add-on" product beyond the core offering, for which additional licensing would be required, please note this.
4. Note any assumptions, constraints or issues in the appropriate placeholder.

5. Note any assumptions, constraints or issue the Service Provider might be making as it pertains to the function specified in the comments section. Each item must provide the reason or rationale supporting the item of concern and/or counterproposal. If the Service Provider does not identify specific concerns, it will be deemed accepted.

Table 1: Functional Requirements Response Criteria

Response to Requirement	Abbreviation	Definition and Criteria
Out of Box	OB	Functionality exists, out-of-box, with no configuration or modification. Functionality to meet this requirement is installed and operational at other sites and can be demonstrated to the organisation.
Configuration	CF	Functional requirement is met through configuration changes to the existing system. "Configuration" includes changes via administration consoles or changes to parameters within system configuration files.
Custom	CS	Functional requirement will be met through programmatic changes, enhancements or extensions to the system source code. Such changes imply future maintenance consideration, such as analysis, planning, potential changes and enhancements, re-application during updates, upgrades, or when applying software patches.
Future	FU	Requirement will be met by proposed solution that is currently under development, in Beta test, or otherwise not yet released.
Supplied by Third Party	TP	Functional requirement is met or provided by third-party software package and is included in this proposal. Functionality to meet this requirement is installed and operational at other sites and can be demonstrated to the organisation. Capability is "bolt-on" and will require maintenance of the integration with the core package as well as future updates, upgrades, or software patches to the 3rd party component.
Not Avail	NA	Functional requirement will not be provided by system.
Yes		"Yes" will be interpreted that the requirement as defined is fully met and included in the solution costing.
No		"No" means that it is not met and not included in the solution costing.

3.4 Quality Assurance

- 3.4.1 The Bank's Project Manager will agree with the Service Provider on set standards of quality acceptance.
- 3.4.2 Intellectual Property Rights to project material to transfer to the Bank upon the completion of the project.

4 Scope of Work

4.1 Introduction and Background

The Financial Surveillance department (FNSD) is responsible for the administration of exchange controls in South Africa under the authority that is delegated to the SARB by the Minister of Finance. Exchange Control Regulations are the legal provisions that limit the extent to which South African residents and companies may transfer funds abroad. Policy decisions on exchange controls rest with the Minister of Finance. The policy is determined by the Minister of Finance and the SARB. The SARB therefore merely acts as an adviser to the Minister of Finance and as an implementer of exchange control policy decisions. The Minister of Finance has delegated to the Governor and/or a Deputy Governor, as well as to the Head of the FNSD (and other officials in the department), all the powers, functions and duties assigned to and imposed on the Treasury under the Exchange Control Regulations (with certain exceptions). The FNSD is, accordingly, responsible for the day-to-day administration of exchange controls.

The Minister of Finance has also appointed certain banks to act as Authorised Dealers (AD) in foreign exchange. This appointment gives these banks the right to buy and sell foreign exchange, subject to conditions and within limits prescribed by the FNSD. Authorised Dealers are not agents for the FNSD, but act on behalf of their clients. Their function is to assist the FNSD in administering exchange control. Rulings issued by the FNSD, set out the authorities granted to Authorised Dealers and the rules and procedures to be followed by the Authorised Dealers in dealing with day-to-day matters relating to exchange control.

Authorised Dealers in Foreign Exchange with Limited Authority (ADLA) including Bureaux de Change are authorised by National Treasury to deal in foreign exchange for the sole purpose of facilitating travel related transactions.

Authorised Dealers and Authorised Dealers with Limited Authority are required to report all cross-border foreign exchange transactions to the FNSD. These transactions are being reported through the Financial Surveillance Reporting System (FRS).

FNSD then brings together various internal and external stakeholders, each with their own business processes, technologies and practices to manage cross-border foreign exchange transactions and data that relates thereto. As a result of this situation, data lacks integration and suffers substantial inefficiencies and quality shortfalls.

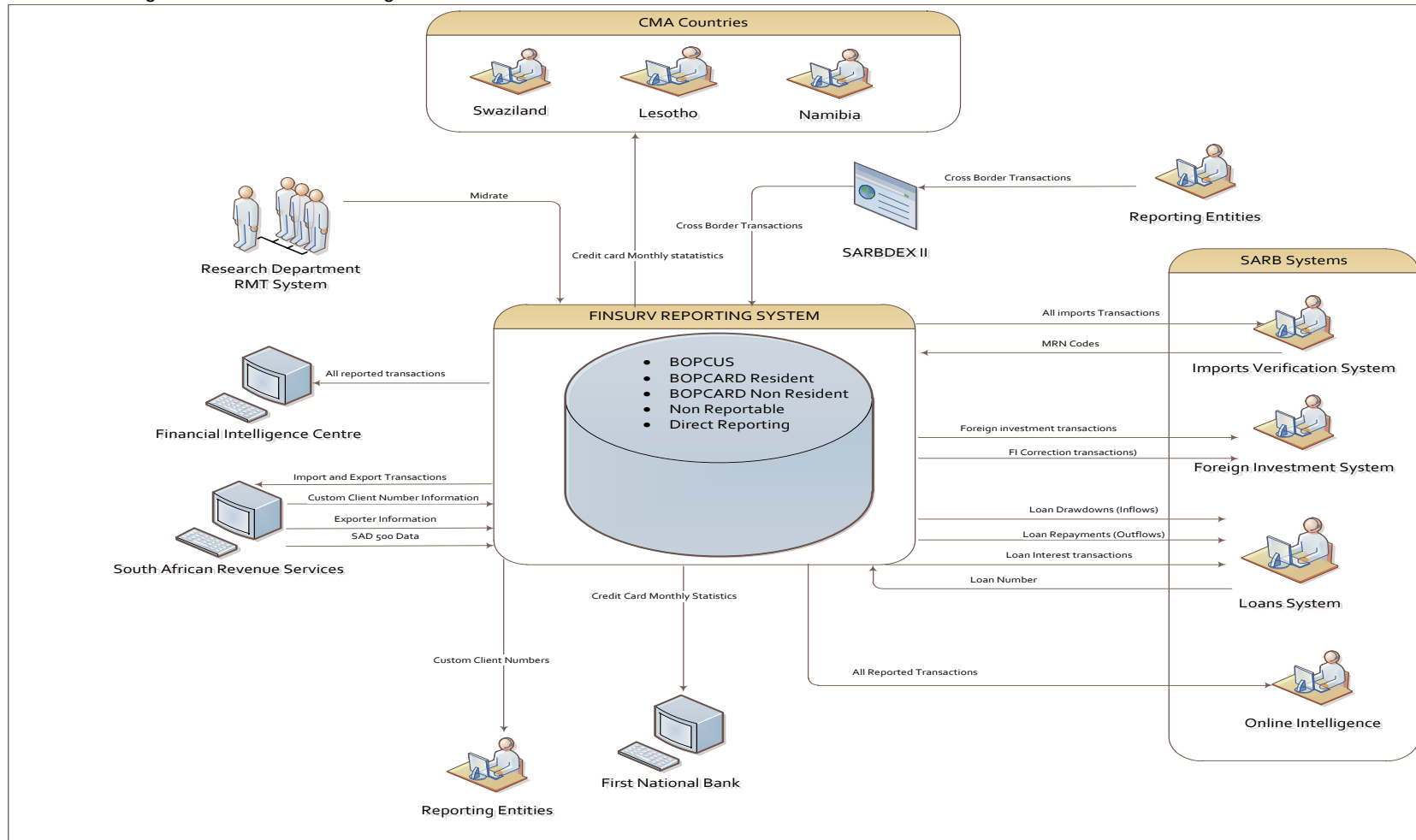
To replace the mainframe solution, FNSD implemented a new financial surveillance reporting solution in August 2013. Since then the solution has been experiencing several issues that impacts the department's ability to receive, survey and use the data related to cross-border transactions it receives from external stakeholders. This is negatively impacting FNSD's relationship with, and reporting to internal and external stakeholders. Issues being experienced, over and above the data integrity issues, are such as the following: performance, incorrect data and rule validations, missing transactions, missing submission files, incorrect calculations, discrepancies in data amongst core and peripheral systems, no end-to-end monitoring, no auditability and no traceability.

To address these inefficiencies and quality shortfalls, FNSD, in agreement with the Business Systems and Technology Department (BSTD), decided to replace the solution as a matter of urgency whilst effectively tackling all the issues to work towards a strategic, long-term business and ICT (information and communications technology) solution to improve the discipline, coordination and reporting of cross-border foreign exchange transactions, and to meet FNSD's growing needs. This initiative is in alignment with the "technology rationalisation" and "maximises benefits to the Group" application principles of the Bank.

4.1.1 Financial Surveillance Reporting System Context Diagram

The below diagram depicts the current FNSD Application Eco-System and internal and external stakeholders that interacts with the FRS.

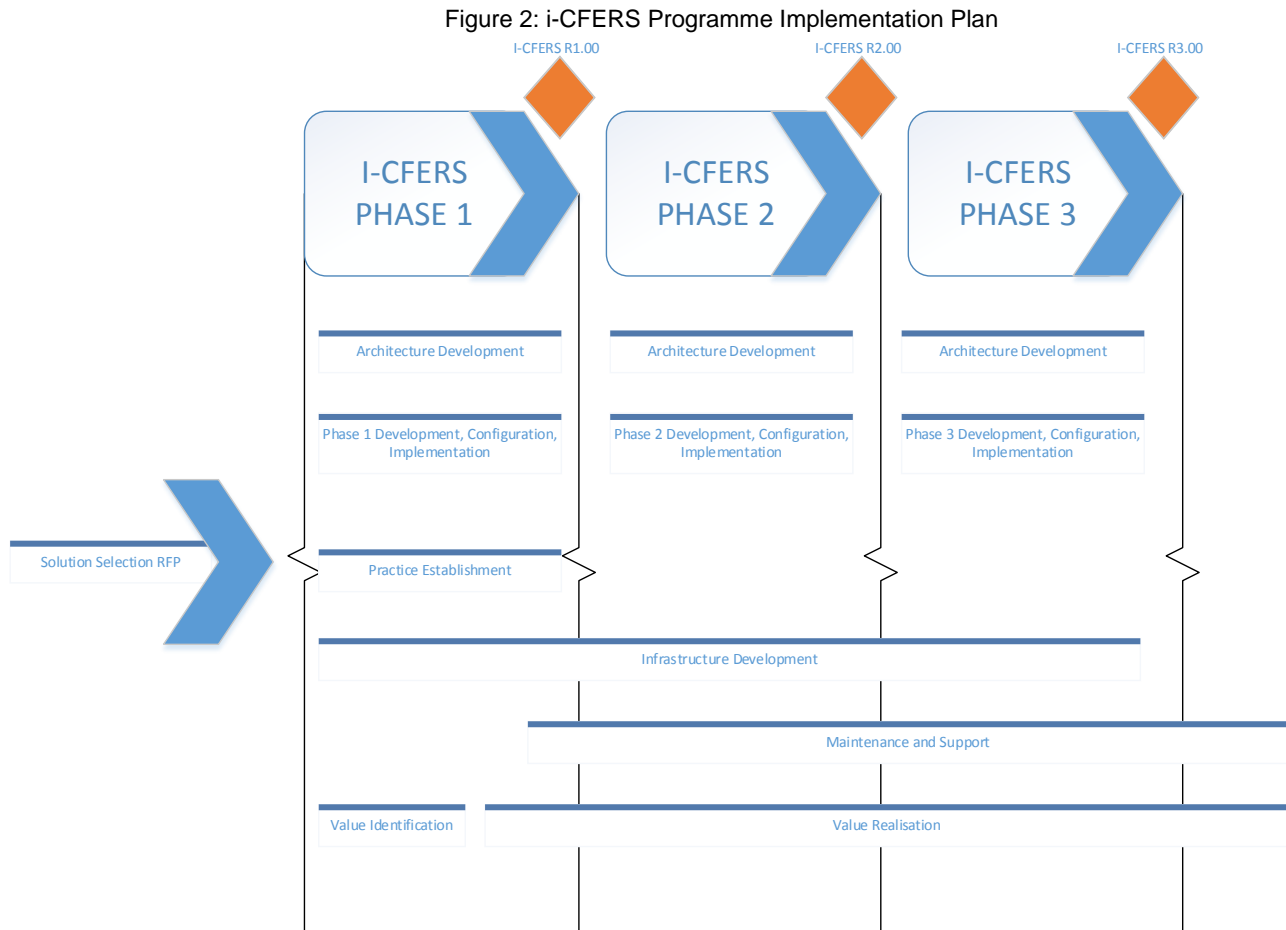
Figure 1: FNSD Context Diagram



4.2 The Integrated Cross-Border Foreign Exchange Transaction Reporting Solution (I-CFERS) Programme

4.2.1 I-CFERS Programme Implementation Plan

The overall high-level approach to the I-CFERS Programme, as anticipated, is illustrated below, and shows the key programme milestones (Implementation Plan).



The SARB anticipates a phased deployment of the solution and expects the Service Provider to present a comprehensive plan that covers all phases. Subject to the SARB's satisfaction with the selected Service Provider's performance of Phase 1, it is the SARB's intention to complete all phases of implementation with the appointed Service Provider. A change in the order of implementation does not change the related charges unless otherwise mutually agreed. The scope of each phase will be verified and confirmed prior to the initiation of the project phase.

4.3 Scope of the RFP

4.3.1 Functional Scope of the RFP

This RFP is for the provisioning, implementation and maintenance of an integrated cross border foreign exchange transaction reporting solution (I-CFERS) to meet FNSD's identified needs, based on a common

set of functional requirements. The solution must address cross-architectural domain, cross-organisational and cross-technology requirements. The implementation is to be phased appropriately as the transition occurs towards a completely integrated and standardised solution.

Changes to the preliminary Implementation Plan, and the phasing of functionality implementation, may be adjusted as a result of proposed recommendations received from potential Service Providers in response to the RFP process. The Bank reserves the right to amend the scope of the project at any time, following which the normal change control process will be followed.

[☒]Solution must be scalable – it must have the ability to handle an enterprise-wide implementation (with reference to Master Data Management, Data Quality Assurance, and Business Intelligence).

4.3.1.1 Phase 1

The goal of the Phase 1 project is to propel FNSD into a new era of advanced business intelligence by revolutionising the data analytics practice of FNSD. The objectives of the Phase 1 project are to:

- Implement a business solution that will ensure a successful industry and organisational change and an integrated ICT solution that will resolve current issues;
- Ensure continued quality[☒] of master and transactional data;
- Modernise business and system integration capabilities;
- Establish a sustainable and scalable[☒] solution for advance business intelligence, master data management and data quality assurance;
- Provide FNSD the ability to achieve automated insight based on pre-set conditions; and
- Provide FNSD the ability to analyse, from a single workbench, structured, semi-structured and unstructured data that resides in various data sources.

The scope of the project includes the following key aspects of the solution:

- Business Practice Establishment:
 - Master Data Management;
 - Data Quality Assurance;
 - Decision Model Management;
 - Rules Management.
- ICT Solutions:
 - Knowledge Computing System;
 - Data Quality Assurance System;
 - Master Data Management System;
 - Virtual, federated Integrator;
 - Enhanced internal and external integration utilising the Enterprise Integration Platform.

The implementation of the solution should result in the retirement of the Code Table System, Financial Analyser System, Financial Surveillance Reporting System, Import Verification System and related integration mechanisms such as Advance Queue System, Electronic Data Interchange System, and Application Programming Interface.

4.3.1.2 Phase 2

The goal of the Phase 2 project is to bring internal and external stakeholders together to act as a coordinated whole by enabling cross-industry, cross-organisation and cross-department business process integration. The objectives of the Phase 2 project are to:

- Implement a business and an integrated ICT solution that will:
 - Improve and automate the registration of correspondence;
 - Improve and automate the registration of applications received from AD's and integrated storage of documents on the e-Docs System;
 - Improve and automate the submissions of Quarterly Assets Allocation Reports (QAAR);
 - Improve and automate the submissions of Prudential Returns; and
 - Improve and automate the submissions of a MP1423 form.

The scope of the project includes the following key aspects of the solution:

- ICT Solutions:
 - Forms Administration System.

The implementation of the solution should result in the retirement of the Correspondence Registration System, the Foreign Investment System, the Portfolio Investment Reporting System and related integration mechanisms such as the Data Exchange System.

4.3.1.3 Phase 3

The goal of the Phase 3 project is to complete the transition to a completely integrated cross-border foreign exchange transaction reporting solution. The objective of the Phase 3 project is to:

- Improve and automate the registration of foreign loans; and
- Phase 2 Requirements Implementation.

The implementation of the solution should enhance the functionality of the Forms Administration System and should result in the retirement of the Foreign Loan System and related integration mechanisms.

4.3.2 Scope of Product

SARB wishes for a Technology Partner who is committed to best practice and who can provide the following:

- Information and Communication Technology or Technologies (ICT) – 'The Product'

The provisioning of an ICT solution that once customised and/or configured by the Service Provider will provide and meet the business requirements under the i-CFERS Programme. This needs to be done within the context of the SARB Enterprise Architecture guidance to best leverage existing investments where possible and minimise unwarranted complexity.

The key requirements for the product are addressed under 4.5 Functional Requirements and those applicable to the product are summarised here:

- Systems Monitoring;
- New Data Reporting Needs;
- Search Engine;
- Reports;
- Decision Models & Rule Engine;
- Master Data Management;
- Systems and Data Integration;
- Reporting Tool;
- OLAP;
- Advance Analytics;
- Agile Data Modelling and Application Development;
- Data Quality Assurance;
- Visualisation;
- FNSD Controls; and
- Functionality that resides in core baseline application and the peripheral baseline applications thereto:
 - Financial Surveillance Reporting System (FRS)
 - Foreign Investment System (FIS)
 - Foreign Loan System (FLS)
 - Correspondence Registration System (CRS)
 - Financial Analyser System (OFA)
 - Code Table System
 - Portfolio Investment Reporting System (PIRS)
 - Import Verification System (IVS)

4.3.3 Scope of Services

The Service Provider must refer to the Statement of Work enclosed to this RFP, as RFP Schedules 1 and 2, for details on the scope of services. SARB wishes to contract with a single Service Provider who is committed to best practice and can provide the following services:

4.3.3.1 Implementation Services

- Application Strategy, Architecture and Planning;
- Acquisition and Management;
- IT Service Continuity and Disaster Recovery Planning;
- Requirements Definition;
- Design Specification;
- Programming/Development;
- Integration and Testing;
- Implementation and Migration;
- Programme Management;
- Project Management;
- Value Realisation Services;
- Infrastructure and Solution System Administration Services.

The following, although not detailed in Schedules 1, are included in the scope:

- Training; and
- Organisational Change Management.

The key requirements for the solution are addressed under 4.5 Functional Requirements and those applicable to the implementation services are summarised here:

- Requirements Specifications;
- Business Process Re-engineering;

4.3.3.2 Support Services

- Application Support services
 - Service Level Management;
 - Technical Support;
 - Incident Resolution and Problem Management;
 - Solution Change Management;
 - Disaster Recovery;
 - Monitoring, Reporting and Review Services;
- Application Maintenance services
 - Corrective and Emergency Maintenance;
 - Preventive Maintenance;
 - Adaptive Maintenance;
 - Perfective Maintenance;
- Support Services
 - Competency Centre Establishment;
 - Training and Knowledge Transfer;
 - Documentation;
 - Defect Tracking;
 - Release Management;
 - Software Configuration Management;
 - Solution Change Management; and
 - Resource Management.

4.3.3.3 Maintenance Services

The provision of software maintenance for 'The Product' that will cover:

- Software upgrades; and
- Software support to level 4.

4.3.4 Scope of Organisation

The primary users of the solution will be the FNSD. The FNSD comprises six (6) divisions and are located at the head office of the Bank.

The current and anticipated secondary users of the solution (directly or indirectly via integration) will be:

- Economic Research and Statistics Department;
- Bank Supervision Department;
- Reporting Entities (Authorised Dealers, Direct Reporting Entities and Card Reporting Entities);

- Authorised Dealers with Limited Access;
- Institutional Investors;
- SARS;
- JSE;
- DHA;
- CIPC;
- FSB;
- FIC.

4.4 Structure of the RFP

The information supplied in this RFP and additional information supplied during the RFP process should allow Service Provider to submit Proposals which accurately respond to SARB's requirements. It is the responsibility of Service Provider to request additional information or details which they reasonably require, and to raise potential inconsistencies which they may detect. If SARB cannot supply the requested information, or is not able to give it with the expected accuracy, the Service Provider must, when responding to this RFP, list each instance where it has not received sufficient information and clearly list and justify the resultant impact on its commitments, and propose changes if needed.

Table 2: RFP Structure and Documents

#	DOCUMENT	RESPONSE TEMPLATE
0.0	RFP Main Document for i-CFERS	Yes
0.1	RFP Enclosure A - Enterprise Architecture Guidelines	No
0.2	RFP Enclosure B - Functional Requirements Catalogue	Yes
1.1	RFP Schedule 1 - Implementation Services SOW	No
1.2	RFP Schedule 2 - Support Services SOW	No
1.3	RFP Schedule 3 - Governance & Relationship Management	No

4.5 Functional Requirements

Requirements elicited from all the FNSD divisions were used as input to formulate key requirements. The key requirement postulate the business need in a generic sense and are as such underpinned by the detailed requirements as described in the RFP Enclosure B - Functional Requirements Catalogue. The relation between the detail requirement and the key requirement are illustrated in the mentioned catalogue. The key requirement might be representative of unique needs or has multiple use cases across the FNSD.

Notwithstanding the key requirement, the Service Provider must still respond to each individual detailed functional business requirement in the RFP Enclosure B - Functional Requirements Catalogue to ensure that it is understood and factored in.

4.5.1 Monitoring, Alerts and Notifications

<p>Number 1.</p>	<p>Requirement</p> <p>Systems Monitoring Tool. The solution must:</p> <ol style="list-style-type: none"> 1. Have the capabilities to integrate with the enterprise integration monitoring tool and enterprise systems management and monitoring tools to provide it with oversight of its technical environment. The Service Provider must provide the required skilled resources and ensure that the required integration and system monitoring features are implemented using the enterprise tools. 2. Have the capabilities to provide the FNSD with alerts in case technical issues are being experienced, or notifications that communicates status related to technical processing. 3. Have the capabilities to implement system controls to enforce business or business process controls. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the solution and its features.</i> 	<p>Level High</p>
<p>The SARB's comments</p> <p>FNSD need to detect problems as soon as possible so they can take corrective actions immediately. For this real-time monitoring and alerting is required to make it simple to track progress and diagnose problems quickly. Need a dashboard to provide a unified view of all the environments in the FNSD solution space. Refer to Requirements Catalogue: Systems Monitoring Tool & FNSD Controls for the detailed requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
<p>Assumptions:</p>		
<p>Constraints:</p>		
<p>Issues:</p>		
<p>Software Stack:</p>		

4.5.2 Knowledge Computing

Number 2.	Requirement Search Engine. The solution must : 1. Enable flexible and intelligent ways to query and browse and organise and report from multiple data stores simultaneously, accessing both structured and unstructured data. 2. Implement existing searches and new searches. <i>The Service Provider is required to:</i> a. <i>Provide an overview of the solution and its features.</i>	Level High
<p>The SARB's comments</p> <p>FNSD explores the data in multiple data stores to form true analysis and information from the data gathered. Informative searches requires the ability to perform e.g. keyword-based searches, natural language searches, fuzzy lookups, fuzzy groupings, synonym mining (included, but not limited to).</p> <p>System capability is required that allows the simultaneous search, or fixed reporting, from multiple, disparate and searchable data stores. The end user must be able to construct a single query or report request which is distributed to the data stores participating in the federation. The federated engine should then aggregate the results that are received from the data stores for presentation to the user into a useful form. It should at least consists of (but not limited to) (1) transforming a query or report and broadcasting it to a group of disparate data stores, with the appropriate syntax, (2) merging the results collected from the data sources, (3) presenting them in a succinct and unified format with minimal duplication, and (4) providing a means, performed either automatically or by the end user, to interact with the result set.</p> <p>Querying capabilities includes (but are not limited to):</p> <ul style="list-style-type: none"> • Ability to allow users access to pre-defined queries and ad hoc queries (create queries on the fly). • Interactivity – selecting / deselecting which data elements to be included, filtering data, sorting data. • Ability to connect to relationship data stores and multidimensional data stores – with the same features and performance available. • To pre-set the query output to look exactly the way that adheres to the FNSD's standard or user preferences. <p>Refer to Requirements Catalogue: Search Engine, for the detailed requirements.</p>		
Requirement is met <input checked="" type="checkbox"/> OB <input type="checkbox"/> CF <input type="checkbox"/> CS <input type="checkbox"/> FU <input type="checkbox"/> TP <input type="checkbox"/> NA	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

<p>Number</p> <p>3.</p>	<p>Requirement</p> <p>Decision Model and Rules Engine. The solution must:</p> <ol style="list-style-type: none"> 1. Have the capabilities to define, deploy, monitor and maintain decision models. 2. Have the capabilities to define, deploy, monitor and maintain rules (business, system, data, and integration) separately from the application code. 3. Have the capabilities to combine decision models, rules, online analytical processing and advance analytics to inform a better research. 4. Implement decision models (new concept) and existing rules and new rules. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the solution and its features.</i> b. <i>Explain the depth and width of the reach of the solution in terms of the FNSD application ecosystem.</i> c. <i>Comment on the user friendliness of the solution.</i> d. <i>Explain the solicitation of decision models and rules during data preparation, data exploration and advance analytics system processes.</i> e. <i>Comment on the externalisation of the Rules Engine or not.</i> 	<p>Level</p> <p>High</p>
<p>The SARB's comments</p> <p>The decision model is a logical representation of business logic. It is an intellectual template for perceiving, organizing, and managing the business logic behind a business decision to define a full and rigorous specification of that logic. A definition of business logic is a set of business rules represented as atomic elements of conditions leading to conclusions. From this full and rigorous specification, business decisions can be automated. In order for FNSD to follow it, a decision model must be translated into whatever format is most easily referenced and managed by them.</p> <p>Types of rules should include at least, business rules, system rules, data rules and integration rules, but are not limited thereto.</p> <p>Refer to Requirements Catalogue: Decision Model & Rules Engine, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
<p>Assumptions:</p>		
<p>Constraints:</p>		
<p>Issues:</p>		
<p>Software Stack:</p>		

Number	Requirement	Level
4.	<p>Visualisation Tool. The solution must:</p> <ol style="list-style-type: none"> 1. Have the capabilities to convert data into a visual format to the user so that the characteristics of the data and the relationship among data entities or data elements can be analysed or reported. 2. Implement existing queries, reports, tables, dashboards, charts and graphs as well as new once, unless otherwise stated. <p>The Service Provider is required to:</p> <ol style="list-style-type: none"> a. Provide an overview of the solution and its features. 	High

The SARB's comments

FNSD requires a simple, yet powerful and features-rich interface and underlying technology stack to allow it to access; visualise and collaborate around data that is residing and streaming into a variety of data stores, in an effective, large data and large user scale manner.

Reporting capabilities includes (but are not limited to):

- Query interface.
- Report interface.
- Table (such as standard or pivot) interface.
- Charts and Graphs.
- Dashboards.
- Export capabilities to MS Excel, MS Word, to a flat file, and to PDF.
- Integration with Microsoft Office (MS) environment – embedding of MS features within the tool.

Refer to Requirements Catalogue: Visualisation, for the detailed requirements.

<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>
<p>Assumptions:</p>	
<p>Constraints:</p>	
<p>Issues:</p>	
<p>Software Stack:</p>	

Number	Requirement	Level
5.	<p>Advance Analytics Tool. The solution must:</p> <ol style="list-style-type: none"> 1. Have the capabilities to discover meaningful patterns in data to provide insight of the current situation, to uncover hidden patterns in data, to predict the future and to make repeatable decisions. 2. Profile existing data to create meaningful patterns and models for historical data. <p>The Service Provider is required to:</p> <ol style="list-style-type: none"> a. Provide an overview of the solution and its features. b. Comment on the pre-preparatory work that might be required to profile current data. 	High
<p>The SARB's comments</p> <p>A system processing capability is required that combines data from multiple content sources to infer events or patterns that suggest more complicated circumstances. This is to identify meaningful events (such as opportunities or threats) and respond to them as quickly as possible.</p> <p>Should include (but not be limited to):</p> <ul style="list-style-type: none"> • Descriptive Analytics – analysis of historic data for performance profile and rationale. • Summary Statistics and Ranking - numbers that summarize properties of the data. • Transaction Profiling – manual, semi-automatic or automatic analysis to extract meaningful information from data and to create previously unknown trends, patterns, anomalies, outliers, novelties, noise, deviations, exceptions and associations. • Predictive Analytics - generating predictive real time scores (probabilities) for each individual unit, and using historical performance data combined with rules, algorithms and models to determine the probable future outcome. • Prescriptive Analytics - suggesting actions to benefit from the predictions and showing the implications of each decision option. <p>Refer to Requirements Catalogue: Advance Analytics, for the detailed requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number	Requirement	Level
6.	<p>Online Analytical Processing Tool. The solution must:</p> <ol style="list-style-type: none"> 1. Enable flexible and intelligent ways to analyse data in real time from multiple data stores simultaneously, accessing both structured and unstructured data. <p>The Service Provider is required to:</p> <ol style="list-style-type: none"> a. Provide an overview of the solution and its features. 	High
<p>The SARB's comments</p> <p>A system capability is required to answer relational and multidimensional queries swiftly to enable the end user to analyse data interactively from multiple perspectives. It should include (but not be limited to) at least basic analytical operations such as consolidation (aggregation of data that can be accumulated and computed in one or more dimensions) and de-consolidation – in real time, drill-down (navigating through the details), and slicing (take out a specific set of data of the OLAP cube) and dicing (viewing the slices from different viewpoints). A very fast response time is required. Data should preferably be stored in an optimised multidimensional array storage, since pre-computation and storage of data in cubes might be required.</p> <p>Refer to Requirements Catalogue: Online Analytical Processing, for the detailed requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
<p>Assumptions:</p>		
<p>Constraints:</p>		
<p>Issues:</p>		
<p>Software Stack:</p>		

Number	Requirement	Level
7.	<p>Reporting Tool. The solution must:</p> <ol style="list-style-type: none"> 1. Enable flexible and intelligent ways to report from multiple data stores simultaneously, accessing both structured and unstructured data. 2. Implement existing reports and new reports. <p>The Service Provider is required to:</p> <ol style="list-style-type: none"> a. Provide an overview of the solution and its features. 	High
<p>The SARB's comments</p> <p>FNSD explores the data in multiple data stores to form true analysis and information from the data gathered. Informative searches requires the ability to perform e.g. keyword-based searches, natural language searches, fuzzy lookups, fuzzy groupings, synonym mining (included, but not limited to).</p> <p>System capability is required that allows the simultaneous search, or fixed reporting, from multiple, disparate and searchable data stores. The end user must be able to construct a single query or report request which is distributed to the data stores participating in the federation. The federated engine should then aggregate the results that are received from the data stores for presentation to the user into a useful form. It should at least consists of (but not limited to) (1) transforming a query or report and broadcasting it to a group of disparate data stores, with the appropriate syntax, (2) merging the results collected from the data sources, (3) presenting them in a succinct and unified format with minimal duplication, and (4) providing a means, performed either automatically or by the end user, to interact with the result set.</p> <p>Reporting capabilities includes (but are not limited to):</p> <ul style="list-style-type: none"> • Ability to allow users pre-defined reports and ad hoc reports (create reports on the fly). • Interactivity – selecting / deselecting which data elements to be included, filtering data, sorting data. • Ability to connect to relationship data stores and multidimensional data stores – with the same features and performance available. • Scheduling and distribution capabilities. • Security at report level, folder level, column level, row level, or even individual cell level. • To pre-set the reports to look exactly the way that adheres to the FNSD's standard or user preferences. <p>Refer to Requirements Catalogue: Reporting Tool & Reports, for the detailed requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number	Requirement	Level
8.	<p>Agile Data Modelling and Application Development in Big Data Analytics. The solution must:</p> <ol style="list-style-type: none"> 1. Support an agile data model. When new data needs arise, the changes to the data model are minimal or negligible, and that, therefore, the changes to be made to the systems are minimal as well. Data models should be easy to extend and do not lead to changes in the current system. 2. Preferably not organise the data in relational tables, be able to organise data in hierarchical structures and can have records of a table with different structures. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the solution and its features.</i> 	High
<p>The SARB's comments</p> <p>Regulation, market forces and the business environment changes all the time. This results in a constant need to change or add to the reporting requirements of the Bank on order to respond to the internal and external factors that shapes the business environment. The requirement is for a solution that will be agile and robust enough to accommodate constant changes to the reporting schemas and reporting needs of the Bank and the industry in order to improve the turnaround time to implement new changes or to empower business itself to enact changes to the solution.</p> <p>It's important that data models and applications are flexible so that new data needs can be added to the data model easily with preferably minimal changes to the rest of the data model and systems.</p> <p>Refer to Requirements Catalogue: Agile Data Modelling & Application Development, for the detailed requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

4.5.3 Master Data Management

Number	Requirement	Level
9.	<p>Master Data Management Tool. The solution must:</p> <ol style="list-style-type: none"> 1. Include a master data management tool. 2. Implement existing master data elements and new master data elements. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the solution and its features, inclusive of collaboration capabilities with integration landscape.</i> 	High
<p>The SARB's comments</p> <p>The master data management tool will be used to support the master data management business practice and include (but not limited to) capabilities such as data collection, data transformation, rules incorporation, data storage, data distribution and governance.</p> <p>Refer to Requirements Catalogue: Master Data Management, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

4.5.4 Integration

Number	Requirement	Level
10.	<p>Virtual Integration. The solution must:</p> <ol style="list-style-type: none"> 1. Have the capabilities to integrate / link (geographically) distributed systems in such a manner that they work together seamlessly and are easily accessible from the user's perspective. 2. Integrate existing systems and data stores and new systems and data stores. 3. Integrate data stores of different management structure i.e. relational, multi-dimensional. <p>The Service Provider is required to:</p> <ol style="list-style-type: none"> a. Provide an overview of the solution and its features. 	High
<p>The SARB's comments</p> <p>Data remains in the source systems and the ability exists to define a set of views to provide unified access of the view to the user. System capability is required that allows the simultaneous search, or fixed reporting, from multiple, disparate and searchable data stores.</p> <p>Also refer to 'Search Engine' and 'Reporting Tool' key requirements in this RFP the Requirements Catalogue: Systems and Data Integration, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number 11.	Requirement Modernisation of Integration Landscape. The solution must: <ol style="list-style-type: none"> 1. Employ modern integration capabilities and services and shall utilise the Enterprise Integration Platform (EIP) as the enabling technology. The Service Provider must provide the required skilled resources and ensure that the required integration are implemented using the enterprise tools. 2. Include inbound and outbound integration capabilities to data sources provided by data producers and data consumers. 3. Provide a channel and mechanism for both a sophisticated source-target technology environment and an immature source-target technology environment. 4. Implement existing integration touch points and new integration touch points. <i>The Service Provider is required to:</i> <ol style="list-style-type: none"> a. <i>Provide an overview of the solution and its features (its proprietary integration solution and collaboration capabilities with EIP) and variants of channels and mechanisms.</i> 	Level High
<p>The SARB's comments</p> <p>The Bank are moving towards an enterprise integration platform (ICT solution) composed of a collection of technologies and services which form the enterprise middleware to enable integration of systems across the enterprise. The Service Provider must re-engineer the current integration landscape as the transition occurs towards an enterprise-wide and standardised integration solution.</p> <p>Integration touch points that currently exist (be it automated or manual) and new integration requirements should be catered for; new touch points includes, but is not limited to: CIPC, DHA, FSB, JSE, SARS and RE.</p> <p>Note that the back office solutions of some of the external stakeholders might not enable a modern and sophisticated source-target technology environment. An alternate solution to accommodate this constraint should exist.</p> <p>Refer to the Requirements Catalogue: Systems and Data Integration, for information related to the detailed technical requirements.</p>		
Requirement is met <input checked="" type="checkbox"/> OB <input type="checkbox"/> CF <input type="checkbox"/> CS <input type="checkbox"/> FU <input type="checkbox"/> TP <input type="checkbox"/> NA	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

4.5.5 Data Quality Assurance

<p>Number 12.</p>	<p>Requirement</p> <p>Data Quality Assurance Tool. The solution must:</p> <ol style="list-style-type: none"> 1. Have the capabilities to create and deploy reusable data quality rules and processes in real-time environments to data across multiple data sources and systems in batch, in real time, or by utilising web services. 2. Have the capabilities to enrichment data – processing to enhance or refine raw data. 3. Test the quality of historical data and spontaneously clean the data in existing data stores during an official product take-on quality assurance process. 4. Implement existing data quality rules and new data quality rules. 5. Implement existing data elements and new data elements unless the Service Provider recommends otherwise. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the solution and its features.</i> 	<p>Level High</p>
<p>The SARB's comments</p> <p>Acceptable data quality is crucial to the operational and transactional processes of FNSD and to the reliability of the business analytics and business intelligence reporting it performs. A data quality assurance systems capability is required to ensure or verify the reliability and effectiveness of the data.</p> <p>Refer to Requirements Catalogue: Data Quality Assurance & New Data Reporting Needs, for the detailed requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
<p>Assumptions:</p>		
<p>Constraints:</p>		
<p>Issues:</p>		
<p>Software Stack:</p>		

4.5.6 Forms Administration

Number	Requirement	Level
13.	<p>Forms Administration. The solution must:</p> <ol style="list-style-type: none"> 1. Provide capabilities to automate business processes such as ADLA application forms and QAAR submissions. 2. Provide business process (workflow) integration capabilities by connecting diverse back office systems located at disparate sites (internal and external to the Bank) in a secure manner. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the solution and its features.</i> 	High
The SARB's comments		
<p>To drive operational efficiencies and collaboration with internal and external stakeholders, SARB is looking for a solution to connect systems or entities internally and externally to the Bank. This entails providing a system that can be configured to automate the process of completing, submitting and adjudicating hard copy documents / aka business process input forms and tracking the record through a workflow.</p> <p>The Bank would prefer to leverage its investment in the existing integration platform (EIP).</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number	Requirement	Level
14.	<p>Forms Administration. The solution must:</p> <ol style="list-style-type: none"> 1. Provide capabilities to set-up new business scenarios for automation in a simple and system configurable manner. <p>The Service Provider is required to:</p> <ol style="list-style-type: none"> a. Elaborate on the configurability of the solution to implement new business scenarios. 	High
<p>The SARB's comments</p> <p>It must be simple enough to set-up a new business scenario, e.g. when the security management department needs to automate the security vetting process – therefore capturing and submitting of the security clearance forms and its supporting documentation; or foreign loan applications.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number	Requirement	Level
15.	<p>Forms Administration: Integration. The solution must:</p> <ol style="list-style-type: none"> 1. Notify other systems, or trigger an event in other systems upon finalisation of the record of application. 2. Notify a user/s upon finalisation of the record of application. <p>The Service Provider is required to:</p> <ol style="list-style-type: none"> a. Elaborate on the depth and width of the feature. 	High
The SARB's comments		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number 16.	Requirement Forms Administration: Document Management. The solution must : 1. Allow the user to attach supporting documentation of various media formats to the record of application e.g. ADLA Application Form. <i>The Service Provider is required to:</i> a. <i>Provide an overview of the solution and its features.</i>	Level High
The SARB's comments		
Requirement is met <input checked="" type="checkbox"/> OB <input type="checkbox"/> CF <input type="checkbox"/> CS <input type="checkbox"/> FU <input type="checkbox"/> TP <input type="checkbox"/> NA	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number 17.	Requirement Forms Administration: Document and Record Management. The solution must : <ol style="list-style-type: none"> 1. Move the supporting documentation associated with the record of application to the e-Docs System upon finalisation of the record of application. 2. Record the transaction as a vital record in the Records Management System where appropriate. 3. Establish an association link between the Forms Administration System > Document Management System or Forms Administration System > Records Management System where appropriate as discussed in 2 and 3 respectively. <i>The Service Provider is required to:</i> <ol style="list-style-type: none"> a. Provide an overview of the solution and its features. 	Level High
<p>The SARB's comments</p> <p>To maximise benefit to the Bank, it deployed an enterprise-wide document management solution (currently MS SharePoint) and will soon implement a Records Management solution. The Bank opts for solutions that are fit for purpose.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number 18.	Requirement Forms Administration: Rules. The solution must : 1. Have the ability to implement and execute rules. <i>The Service Provider is required to:</i> a. <i>Provide an overview of the solution and its features.</i>	Level High
The SARB's comments		
Requirement is met <input checked="" type="checkbox"/> OB <input type="checkbox"/> CF <input type="checkbox"/> CS <input type="checkbox"/> FU <input type="checkbox"/> TP <input type="checkbox"/> NA	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

Number 19.	Requirement Forms Administration: Rules Engine. The solution must : 1. Have the ability to solicit, implement and execute rules defined in the Rules Engine. <i>The Service Provider is required to:</i> <i>a. Provide an overview of the solution and its features.</i>	Level High
The SARB's comments		
Requirement is met <input checked="" type="checkbox"/> OB <input type="checkbox"/> CF <input type="checkbox"/> CS <input type="checkbox"/> FU <input type="checkbox"/> TP <input type="checkbox"/> NA	The Service Provider's comments	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

4.5.7 Baseline Application Replacement

Number	Requirement	Level
20.	Other Required Functionality / Features. The solution must : 1. Cover existing system functionality where this is still required. 2. Cover new system functionality / features where it is required.	High
The SARB's comments		
A revitalization of the existing ecosystem of FNSD systems are required to modernise and optimise the environment. A prerequisite is a like-for-like replacement – all the functionality and features that the users are currently accustomed to must exist in the new system. Included in the re-engineering process is the inclusion of requests for new functionality. The implementation and transition to the desired target state should occur according to the application roadmap.		
Requirement is met	The Service Provider's comments	
<input checked="" type="checkbox"/> OB <input type="checkbox"/> CF		
<input type="checkbox"/> CS <input type="checkbox"/> FU		
<input type="checkbox"/> TP <input type="checkbox"/> NA		
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

4.5.8 Next Generation Banking

Number	Requirement	Level
21.	<p>Application Service Provision. The solution must lean itself to a multi-tenant architecture that can serve multiple organisations (locally and abroad), and partitions its data accordingly.</p> <p><i>The Service Provider is required to:</i></p> <p style="padding-left: 40px;">a. <i>Provide an overview of the software licencing and delivery model and solution architecture.</i></p>	High
<p>The SARB's comments</p> <p>It is the Bank's strategic intent to have an integrated infrastructure existing in the SADC region and to achieve this, has to implement the same solution or provide application services from within South Africa to CMA countries. The software might be hosted centrally and licensed on a subscription basis.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> OB <input type="checkbox"/> CF</p> <p><input type="checkbox"/> CS <input type="checkbox"/> FU</p> <p><input type="checkbox"/> TP <input type="checkbox"/> NA</p>	<p>The Service Provider's comments</p>	
Assumptions:		
Constraints:		
Issues:		
Software Stack:		

4.6 Requirements: Business Change

To revolutionise the discipline, coordination and reporting of cross border transactions requires both an ICT solution and new business practices for the initiative to be successful. In the absence of the required supporting business practices, the ICT solution will merely be the implementation of enabling technologies for practices that does not exists, or which require practices novel to the FNSD. The key requirements for new business practices are stated here.

Number	Requirement	Level
22.	<p>Decision Models & Rules Management Business Practice. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Establish a business practice and governance framework to manage the formation and maintenance of Decision Models and Rules for the FNSD solution. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of such an operating model.</i> 	High
<p>The SARB's comments</p> <p>The mandate of the business practice would be to ensure that Decision Models and Rules are consistently defined, managed and governed, in a standardised fashion.</p> <p>The decision model is a logical representation of business logic. It is an intellectual template for perceiving, organizing, and managing the business logic behind a business decision to define a full and rigorous specification of that logic. A definition of business logic is a set of business rules represented as atomic elements of conditions leading to conclusions. From this full and rigorous specification, business decisions can be automated. In order for FNSD to follow it, a decision model must be translated into whatever format is most easily referenced and managed by them.</p> <p>Types of rules should include at least, business rules, system rules, data rules and integration rules, but are not limited thereto.</p> <p>Refer to Requirements Catalogue: Decision Model & Rules Engine, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
23.	<p>Data Model Management Business Practice. The Service Provider shall:</p> <p>1. Establish a business practice and governance framework to manage the formation and maintenance of Data Models for the FNSD solution.</p> <p><i>The Service Provider is required to:</i></p> <p>a. <i>Provide an overview of such an operating model.</i></p>	High
<p>The SARB's comments</p> <p>The mandate of the business practice would be to ensure that Data Models are consistently defined, managed and governed, in a standardised fashion.</p> <p>FNSD needs access to, and knowledge of, the data models to be able to randomly search and integrate data themselves without BSTD involvement. They need to know what the data means and what all the rules and relationships are that apply to the data as described in the data model. Knowledge of the data model will be crucial for FNSD to develop their own queries and reports, to integrate data from multiple content stores, deal with data quality issues and survey the data without technical assistance.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>The Service Provider's comments</p>

Number	Requirement	Level
24.	<p>Master Data Management Business Practice. The Service Provider shall:</p> <p>1. Establish a business practice and governance framework to manage the formation and maintenance of Master and Reference Data for the FNSD solution.</p> <p><i>The Service Provider is required to:</i></p> <p>a. <i>Provide an overview of such an operating model.</i></p>	High
<p>The SARB's comments</p> <p>The mandate of the business practice would be to ensure that Master Data are consistently defined, managed and governed, in a standardised fashion.</p> <p>To enable the FNSD to link all of its critical data, shared across the industry, the Bank, FNSD and systems, to one place, called a 'master file', which provides a common point of reference. This will streamline data sharing. Master data is critical data elements shared amongst more than one system. Reference data is critical data elements shared amongst more than one data entity in the same data schema.</p> <p>Refer to Requirements Catalogue: Master Data Management, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>The Service Provider's comments</p>

Number	Requirement	Level
25.	<p>Master Data Producers and Consumers. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Find reputable sources of master data. 2. Engage with the producers thereof to obtain the freshest data. 3. Engage with producers and consumers to establish a data sharing business practice and business arrangements as required. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of such an operating model.</i> 	High

The SARB's comments

Master Data Management and Data Quality Management require agreements from the producers or consumers of the data (internal and external stakeholders) to ensure programme success. Should include (but not be limited to) aspects such as:

- Collaboration consensus: producers and consumers work together in a coordinated manner to share and use data, information and resources to make sure that the quality criteria of each participant is met;
- Entity (company, individual etc.) identity consensus: producers and consumers work together in a coordinated manner to define techniques to distinguish entity identity and to remediate entity identity errors, in a fashion that is trusted by each participant;
- Protection of information; and
- Limitation of use.

Refer to Requirements Catalogue: Master Data Management, for information related to the detailed technical requirements.

Requirement is met <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments
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Number	Requirement	Level
26.	<p>Data Quality Assurance Business Practice. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Establish a business practice and governance framework to manage the formation and maintenance of Data Standards for the FNSD solution. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of such an operating model.</i> 	High

The SARB's comments

The mandate of the business practice would be (1) to ensure that data standards are consistently defined, managed and governed, in a standardised fashion; (2) to protect the usage of the data; (3) to monitor and remedy data quality issues.

Refer to Requirements Catalogue: Data Quality Assurance, for information related to the detailed technical requirements.

Requirement is met <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments
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<p>Number</p> <p>27.</p>	<p>Requirement</p> <p>Data Standards Definition and Implementation. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Define common data definitions, formats, representation and structures of all data layers and elements. 2. Implement data standards across the industry, with the involvement and agreement of internal and external stakeholders. 3. Include the identification of master data elements in the process. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of such an operating model.</i> b. <i>Comment on the pre-preparatory work that might be required to understand, interpret and re-organise current data.</i> 	<p>Level</p> <p>High</p>
<p>The SARB's comments</p> <p>Data standardisation is the first step to ensure that data is able to be shared across the industry, the Bank, FNSD and systems. This establishes trustworthy data for use by all; enables better analysis of the data and maximises compatibility, interoperability, repeatability and quality.</p> <p>Refer to Requirements Catalogue: Data Quality Assurance, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

4.7 Requirements: Enterprise Architecture and Architecture Services

Number	Requirement	Level
28.	<p>'Phase 2' Specification and Design. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Produce functional and technical specifications and a conceptual solution design, for what is termed the 'phase 2' requirements. This must be done in light of an integrated and optimised cross border foreign exchange reporting solution. 2. Implement Phase 2 requirements in accordance with the programme roadmap. 	High
<p>The SARB's comments</p> <p>Phase 2 currently includes what is mentioned in the Requirements Catalogue: Requirements Specification. Any additional requirements discovered during the requirements analysis and design phases will be agreed upon for inclusion in the scope. A proper change management process will be followed. Refer to Requirements Catalogue: Requirements Specification, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>The Service Provider's comments</p>

Number	Requirement	Level
29.	<p>Business Process Re-Engineering. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Perform work to analyse and redesign the existing business processes within the FNSD and between it and internal and external stakeholders in order to optimise end-to-end business processes and to automate non-value-added tasks. 2. Implement business changes throughout industry. 3. Document the baseline architecture. 4. Document the target architecture. 5. Perform a baseline-target gap analysis to produce a report with recommendations. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. Provide an overview of the approach and deliverables. 	High
<p>The SARB's comments</p> <p>An extensive amount of time is spent to generate MS Excel spreadsheets to manage the day-to-day operational activities and to collate information required for intelligent decision making. This is inefficient and prone to errors. The requirement is for the optimisation of the business processes by alleviating, or eliminating, the use of MS Excel spreadsheets. There are also opportunities for business process improvements. Refer to Requirements Catalogue: Business Process Re-Engineering, for information related to the detailed technical requirements.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>The Service Provider's comments</p>

<p>Number</p> <p>30.</p>	<p>Requirement</p> <p>Application Re-Engineering. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Perform work to analyse and redesign all the systems in the FNSD ecosystem that are in the scope of the RFP, in light of a complete redesign for an integrated and optimised cross border foreign exchange reporting solution. 2. Perform unit testing and factory testing of the solution. 3. Manage the training initiative and be the training partner. 4. Document the baseline architecture. 5. Document the target architecture. 6. Perform a baseline-target gap analysis to produce a report with recommendations. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the approach and deliverables.</i> b. <i>Provide a conceptual solution design as the Service Provider envisage it to be.</i> 	<p>Level</p> <p>High</p>
<p>The SARB's comments</p> <p>A revitalization of the existing ecosystem of FNSD systems are required to modernise and optimise the environment. A prerequisite is a like-for-like replacement – all the functionality and features that the users are currently accustomed to must exist in the new system. Included in the re-engineering process is the inclusion of requests for new functionality. The implementation and transition to the desired target state should occur according to the application roadmap.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
31.	<p>Systems and Data Integration: Re-Engineering. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Perform work to analyse the FNSD solution’s integration requirements in order to redesign, with a view to optimise, the functional integration landscape, to provide additional integration capabilities and to automate manual or non-value-adding integration tasks. 2. Perform unit testing and factory testing of the solution. 3. Provide the required technical skilled resources to perform the work under supervision of the Bank. 4. Document the baseline architecture. 5. Document the target architecture. 6. Perform a baseline-target gap analysis to produce a report with recommendations. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the approach and deliverables.</i> b. <i>Provide a conceptual solution design as the Service Provider envisage it to be.</i> 	High
<p>The SARB’s comments</p> <p>The Enterprise Architecture (EA) division of the Bank has developed an Integration Framework. It details the Enterprise Integration Principles, describes the Enterprise Integration Reference Model and defines the integration building blocks for the reference model.</p> <p>A revitalization of the existing ecosystem of FNSD systems are required to modernise and optimise the environment. A prerequisite is a like-for-like replacement – all the functionality and features that the users are currently accustomed to must exist in the new system. Included in the re-engineering process is the inclusion of requests for new functionality. The implementation and transition to the desired target state should occur according to the application roadmap.</p>		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider’s comments</p>	

Number	Requirement	Level
32.	<p>Architecture Implementation Governance. The Service Provider shall:</p> <ol style="list-style-type: none"> 1. Conform to the architecture standards of the Bank 2. Participate in architecture implementation governance activities – the implementation project and its project and solution deliverables shall be subjected to quality checkpoints. <p><i>The Service Provider is required to:</i></p> <ol style="list-style-type: none"> a. <i>Provide an overview of the approach it will follow to ensure architecture compliance.</i> 	High
<p>The SARB's comments</p> <p>The governance model includes the following architecture implementation governance quality checkpoints:</p> <ul style="list-style-type: none"> • Architecture Compliance Reviews The Architecture Compliance Review is a scrutiny of the compliance of the implementation project against established architectural standards and requirements; with the goal to identify errors in the architecture implementation early, and thereby reduce the cost and risk of changes required later in the lifecycle. It will also provide an overview of the compliance of the architecture to mandatory enterprise standards and requirements; by identifying and communicating significant architectural gaps to the implementation organisation and so highlight areas to be addressed for realignment; or highlight areas that need to be considered for inclusion into the architectures. The Architecture Compliance Review is held at the appropriate project milestones or checkpoints in the project's lifecycle and conducted on specific implementation deliverables. • Quality Gate Reviews Quality Gate Reviews are applied as a project quality assurance mechanism. The aim of the process is to assure quality at the milestones of the project, to assure that all key deliverables and actions have been completed in compliance with best practices and to enable project managers to continuously communicate and build quality into the project and to improve transparency of the project. Project Quality Gate Reviews means: Formal assessment of the quality and integrity of the project deliverables; Formal checklists are used throughout the life of a project; Formal sign off and acceptance occurs at each gate; Measure customer satisfaction throughout the project; and Information is assured to be communicated to the correct stakeholders during the project. • Product Quality Assurance The purpose of the product quality assurance checkpoints is to assure the quality of the software-under-test before handover from one testing environment to another. Product quality assurance is catered for at the following milestones of the SDLC: Software Testing, System Testing, User Acceptance Testing, Market Testing and DR Testing. The key measures of a test include coverage and quality. Test coverage measurements the completeness of the testing cycle. Quality is a measure of the reliability, stability, and performance of the software-under-test and is assessed by evaluating the test results, specifically the defects identified during testing, therefore using defect analysis to measure quality. Defects analysis involves analyzing the classification and distribution of defects, which provides an indication of the reliability of the software. 		
<p>Requirement is met</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

4.8 Non-Functional Requirements

4.8.1 Application Architecture

Number	Requirement	Level
33.	<p>Application Architecture:</p> <p>The solution application software must have a clearly defined modular architecture that:</p> <ul style="list-style-type: none"> • Illustrates the different modules or components; • Describes the main functional objectives of each module or component; • Describes the granularity of the application software in terms of the ability to add functional modules in future. 	High
<p>The SARB's comments</p> <p>The response must provide a diagrammatic overview of the application architecture with a brief description of each module or component.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>The Service Provider's comments</p>

Number	Requirement	Level
34.	<p>Application Architecture:</p> <p>The solution application software must have a clearly defined error handling approach that:</p> <ul style="list-style-type: none"> • Handles all error conditions without impact on the continued operation; • Reports and makes visible error conditions with appropriate descriptive error messages/ text. 	High
<p>The SARB's comments</p> <p>The response must explain how the application manages the different types of error conditions, including:</p> <ul style="list-style-type: none"> • Errors conditions in business-level processing • Error conditions related to input or output processing/transformation/validation/transmission • Error conditions related to the supporting third-party software stack 		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>The Service Provider's comments</p>

Number	Requirement	Level
35.	<p>Application Architecture: The solution application software must be based on modern development standards, languages, framesets and toolsets.</p>	High
<p>The SARB's comments The Service Provider must describe the languages, framesets and toolsets used to develop the application software. The response should include the platform on which the application is natively developed and tested, as well as the best practice guidelines adopted in the development life cycle.</p>		
<p>Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

4.8.2 Solution Architecture

Number	Requirement	Level
36.	<p>Solution Architecture: The proposed solution must have a clearly defined logical architecture.</p>	High
<p>The SARB's comments The response must clearly illustrate the different architectural tiers of the complete solution (not only the application). The business functional components/modules must be clearly mapped onto the solution architecture components.</p>		
<p>Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

Number	Requirement	Level
37.	<p>Solution Architecture:</p> <p>The solution must be compatible with the SARB’s preferred technology stack.</p>	High
<p>The SARB’s comments</p> <p>The Service Provider must describe the technology stack used by the proposed solution. The SARB’s preferred technology stack is described in the annexures to this RFP. The Service Provider’s response must as a minimum consider the following main preferred components:</p> <ul style="list-style-type: none"> • Web Services is preferred • IIS (or WAS as a second choice) • Java • Oracle • AIX or SUSE Linux (AIX LPARs and VMWare are used respectively for virtualisation) • IBM SAN <p>In addition to responding to the SARB preferred technology stack, the Service Provider must state:</p> <ul style="list-style-type: none"> • The technology stack supported natively (i.e. without any form of code conversion). The response must describe the platform used for development and factory testing, as well as platforms currently in production; • The virtualisation platforms supported and currently in production; • The database management systems supported. The response must define the DBMS used natively for development and testing purposes, as well as the DBMS(s) currently used in implementations in production. 		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider’s comments</p>	

4.8.3 Integration

Number	Requirement	Level
38.	<p>Integration:</p> <p>The proposed solution must be flexible in terms of the input and output file delivery mechanisms, formats and protocols.</p> <p>As a minimum the following must be supported:</p> <ul style="list-style-type: none"> • MQ • XML • XBRL • AS2 (the secure protocol specified by the SA Revenue Services for EDI over HTTP) • SFTP over HTTP • HTTPS (for GUI interaction) • SWIFTNet FileAct 	High
<p>The SARB's comments</p> <p>Currently the component known as SARBDEX acts as the integration layer between the core business application and the reporting entities. It performs XML-level validation of input files and uses MQ to interact with the core application, thus shielding the core business application from the need to integrate with the various delivery mechanisms. The intention is to migrate most if not all of the SARBDEX functions to the new Enterprise Integration Platform.</p> <p>The Service Provider's response must articulate the proposed solution's approach to providing support for the delivery mechanisms and protocols listed.</p> <p>The response should propose alternative mechanisms that the Service Provider deem more suitable or appropriate towards improved operational efficiency, integrity or cost.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
39.	<p>Integration:</p> <p>The proposed solution must integrate with and make use of the SARB Enterprise Integration Platform.</p> <ul style="list-style-type: none"> In particular, the proposed solution must integrate with IBM DataPower Gateway, which is part of the EIP landscape. 	High
<p>The SARB's comments</p> <p>The response must address the requirement from two perspectives:</p> <ul style="list-style-type: none"> First, describe the integration approach to use the EIP as only means with which to establish interconnectivity and data exchange between the core business application on the one hand, and the reporting entities and FNSD users on the other hand; Second, the response must describe how IBM DataPower Gateway would be leveraged; not only for the exchange of files, but also to provide the Web gateway for the GUI. 		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

Number	Requirement	Level
40.	<p>Integration:</p> <p>The browser-based GUI should be able to support multiple browsers and versions thereof, in order to cater for the different reporting entities.</p>	Medium
<p>The SARB's comments</p> <p>The response must describe the supported browsers and the range of versions supported for each of these. The Service Provider should propose an approach to optimise the range of supported browsers, in light of the old software used by some reporting entities (e.g. IE V8).</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

Number	Requirement	Level
41.	<p>Integration:</p> <p>The tools provided for generating queries and reports must be user-friendly and must be integrated with the browser-based GUI provided for the users.</p>	High
<p>The SARB's comments</p> <p>The response must describe the attributes of the proposed solution that enhances usability and general ease of use. Examples of desirable attributes are drop-down menus, search filters and online tip tools.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

Number	Requirement	Level
42.	<p>Integration:</p> <p>The users must be provided with a user-friendly mechanism to download data extracted as the result of queries or reports to a local server.</p>	High
<p>The SARB's comments</p> <p>This mechanism must include support for Excel (.csv) files and the automated conversion of numbers to text where selected for specific columns.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
43.	<p>Integration:</p> <p>The query and reporting tools must be able to access the main database and the databases belonging to the peripheral systems.</p>	High
<p>The SARB's comments</p> <p>The response should describe how the proposed solution would provide a single data access layer over multiple databases for query and reporting purposes.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
44.	<p>Integration:</p> <p>The integrity of the data, reports and results of queries must be guaranteed as absolutely accurate.</p>	High
<p>The SARB's comments</p> <p>The business system has zero tolerance for inaccuracy or inconsistency. The response must describe the mechanisms and measures employed to provide the required guarantees.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
45.	<p>Integration:</p> <p>The validation of input data should include checks to ensure the standardisation of data elements such as names and contact numbers.</p>	Medium
<p>The SARB's comments</p> <p>The response must describe how the proposed solution would achieve this requirement.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
46.	<p>Integration:</p> <p>The integration between the proposed solution and the peripheral systems should enable the automation of selected events (e.g. the arrival of a specific transaction from a reporting entity could trigger an event in a peripheral system).</p>	High
<p>The SARB's comments</p> <p>The response should describe the design principles that would facilitate automation of event triggers across the boundary between the core and peripheral systems.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
47.	<p>Integration:</p> <p>The proposed solution must provide comprehensive error handling and end-to-end management of message/file delivery.</p>	High
<p>The SARB's comments</p> <p>The response must describe the ability of the proposed solution to:</p> <ul style="list-style-type: none"> • Provide full traceability of messages or files between the communications interface and the business application; • Provide event logging showing each point of hand-off from one component to the next between the source and destination systems; • Manage events end to end in terms of the receipt and validation of messages/files, including: <ul style="list-style-type: none"> ○ Hand-off between components in the technology stack; ○ Validations performed by the integration layer; and ○ Validations performed by the business layer. • Generate positive or negative acknowledgements. <p>The response must confirm that the proposed solution does not make use of file shares or the “dropping” of files in directories.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

Number	Requirement	Level
48.	<p>Integration:</p> <p>The proposed solution must provide a clear data architecture in support of the business requirements.</p>	High
<p>The SARB's comments</p> <p>The Service Provider must describe the approach that it will take to ensure that the data architecture is fit for purpose in terms of the large volumes of data being submitted by the reporting entities, as well as the diversity of reporting and data mining and analysis requirements from the users.</p> <p>The response must further describe the data architecture approach for allowing reports, queries or analysis activities to be performed not only against the main repository of business data, but also against the peripheral system databases. The objective is to reduce the current need for duplicated data and custom-built Excel spread sheets servicing the needs of the various FNSD divisions.</p> <p>Refer to RFP Enclosure A - Enterprise Architecture Guidelines for current volumes.</p> <p>The Service Provider is to elaborate on the following topics:</p> <ul style="list-style-type: none"> • How technical resources and workload will be organised and distributed to achieve optimum performance. • How this will be applied that there is no, or minimal impact on the normal transactional operations of the solution. 		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

4.8.4 Security

Number	Requirement	Level
49.	<p>Security:</p> <p>The proposed solution must provide a Role-Based Access Control component. The attributes of the RBAC component must include:</p> <ul style="list-style-type: none"> • Comprehensive password controls and enforced periodic password changes; • Protection of all business and administrative functions through privileges assigned to users; • Segregation of roles (e.g. an administrative user may not perform business function and vice versa); • Ability to set multiple authorisation levels on all functions (4-eye principle); • Ability to allocate a pre-defined role (a set of functional access privileges) to a user; • Ability to define a custom role for a specific business department need; • Ability to grant access on a scheduled basis (start date and end date); • Reporting on all changes to user privileges; • Reporting on successful and unsuccessful user access. 	High
The SARB's comments		
The response must describe how each of the minimum requirements listed above are addressed in the proposed solution, as well as any additional features.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
50.	<p>Security:</p> <p>The proposed solution must have a <u>single</u> RBAC component servicing the complete solution. The proposed solution must provide a single point of sign-on (SSO) from where the users must be able to access all functions in the proposed solution without the need to sign on again.</p>	High
The SARB's comments		
The response must describe how SSO is achieved for the components of the proposed solution.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
51.	<p>Security:</p> <p>The proposed solution must have the ability to integrate with external user credential provisioning systems, for the purpose of user authentication:</p> <ul style="list-style-type: none"> • AD • IDM • RSA SecureID 	High
<p>The SARB's comments</p> <p>The response should include any additional external user credential provisioning and authentication mechanisms supported by the proposed solution. The response should further clearly indicate which of these mechanisms have been implemented in a system currently in production.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
52.	<p>Security:</p> <p>The connections between the components must be authenticated and encrypted.</p>	High
<p>The SARB's comments</p> <p>The response must describe how connections between the different solution components are authenticated, and how data transferred over the connection is encrypted for confidentiality.</p> <p>The response must include Web and GUI connections.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
53.	<p>Security:</p> <p>The integrity and authenticity of files / messages submitted by the reporting entities must be assured.</p>	High
<p>The SARB's comments</p> <p>The response must describe how the authenticity (where it comes from) and integrity (that the content has not been tampered with) of files or messages submitted from the reporting entities are achieved.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
54.	<p>Security:</p> <p>Data must be protected against unauthorised access.</p>	High
<p>The SARB's comments</p> <p>The response must describe how data is protected against unauthorised access, including:</p> <ul style="list-style-type: none"> • While in transit (in queues or work areas); and • While in storage (in the database). <p>The response must further describe the mechanisms used to ensure that user access to data is restricted to their privilege level and business area.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

Number	Requirement	Level
55.	<p>Security:</p> <p>The proposed solution should be subjected to vulnerability testing by an external third party.</p>	Medium
<p>The SARB's comments</p> <p>The SARB intends to subject the proposed solution to vulnerability testing by external specialists prior to acceptance. The Service Provider is expected to co-operate with black/grey/white box testing, and to resolve any vulnerability identified prior to acceptance of the solution.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	The Service Provider's comments	

4.8.5 Operational Monitoring and Management

Number	Requirement	Level
56.	<p>Operational Monitoring and Management:</p> <p>The proposed solution must include clearly defined system administration procedures, which should be automated as far as possible.</p>	High
<p>The SARB's comments</p> <p>The SARB wishes to reduce the time and operational activities associated with system administration activities. As an example: maintaining log files rollover based on preconfigured settings; automated health checks with notifications in case of problems.</p> <p>To this end, the SARB prefers that the solution would operate without the need for batch 'housekeeping' procedures. Although a maintenance window for housekeeping purposes is acceptable, the housekeeping tasks should be automated and the maintenance window kept to a minimum.</p> <p>The response must describe:</p> <ul style="list-style-type: none"> • The housekeeping routines required for the components of the total solution. • How the housekeeping activities can be automated to eliminate operator intervention. The timing, frequency and duration of the maintenance window required to perform the housekeeping activities. 		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

Number	Requirement	Level
57.	<p>Operational Monitoring and Management:</p> <p>The proposed solution must collect event data in order to facilitate the comprehensive and effective operational monitoring and management of the solution as a whole (application components as well as supporting platform software components). The event data must include:</p> <ul style="list-style-type: none"> • Availability/non-availability of the various system components (including the main business modules); • Breakdown in connectivity between components of the system; • Breakdown in connectivity with peripheral and with external systems; • Flow of data between the components; and • Flow of data between the core system and the external systems (peripheral systems, reporting entities). 	High
<p>The SARB's comments</p> <p>The response must describe:</p> <ul style="list-style-type: none"> • The data being collected; • The collection points; • Access to the data (via GUI dashboard or integration with external system monitoring and management tool) 		

Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments	
Number	Requirement	Level	
58.	<p>Operational Monitoring and Management:</p> <p>The proposed solution must integrate with an external enterprise system monitoring and management tool to be implemented by the SARB.</p>	High	
The SARB's comments			
The response must list the systems monitoring and management products that is supported by the proposed solution. The response must further describe the mechanisms and standards used for the integration.			
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments	

4.8.6 Audit

Number	Requirement	Level	
59.	<p>Audit:</p> <p>The proposed system must maintain audit logs:</p> <ul style="list-style-type: none"> • For a period of at least 7 years; • For activities related to business functions; and • For activities related to system administrations. 	High	
The SARB's comments			
The response must describe the types of information collected and stored for audit purposes.			
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments	

Number	Requirement	Level	
60.	<p>Audit:</p> <p>Any changes to data must be visible and the solution must provide a complete history of all changes, including the userID that made each of the changes.</p>	High	
The SARB's comments			
The response must describe the types of information collected and stored for audit purposes.			
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments	

Number	Requirement	Level
61.	Audit: The audit data should be maintained as part of the proposed solution database.	Medium
The SARB's comments The response must describe where the audit data is stored, as well as the mechanisms provided for managing the audit data.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments

Number	Requirement	Level
62.	Audit: The audit data must be secured against modification and against unauthorised access.	High
The SARB's comments The response must describe the security design and attributes protecting the audit data against unauthorised access and against modification.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments

Number	Requirement	Level
63.	Audit: The proposed solution must provide a graphical user interface with which to perform standard or ad-hoc queries and searches against the audit data.	High
The SARB's comments The response must describe the audit reporting capabilities of the proposed solution. Ideally it should be possible to use filters to search for specific events by date, time, reporting entity etc.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments

4.8.7 Availability, Capacity and Performance

Number	Requirement	Level
	Availability, Capacity and Performance:	
64.	The proposed solution must be designed with high availability attributes, capable of operating 24 x 7 with 99,8% availability. In the event of a disaster, operations must be resumed with an RTO of 2 hours and an RPO of zero loss.	High
<p>The SARB's comments</p> <p>The response must describe the design elements and fail-over strategies that will support this objective. The response should consider active-active versus active-passive availability models, load balancing versus clustering, as well as the use of virtualisation rather than a large number of physical servers. The response should further give consideration to each of the architectural tiers. The Bank's expectation is an RPO of zero loss and an RTO of 2 hours (including the time required by business operations to verify system and data integrity).</p> <p>The response should further consider a design alternative that would establish continuous availability between the two SARB operational sites.</p> <p>The response must describe the design attributes of the application software components that confirm that it is able to enable the proposed high availability models.</p> <p>The response must include the proposed use of data replication, traditional backups and database logs in the availability model.</p>		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
	Availability, Capacity and Performance:	
65.	The proposed solution must be able to support the current capacity and expected growth in terms of transaction rates and historical data, without degradation to the throughput or turn-around time on queries.	High
<p>The SARB's comments</p> <p>The response must describe the method for calculating the required capacity in terms of processing power, memory and data storage space.</p> <p>The response must further describe the different classes of business transactions/activities, with the design objective in terms of the expected turn-around response (end-to-end) of these different transaction classes.</p> <p>The response must describe how techniques such as grid computing would be used to ensure that the solution can scale for enterprise-wide deployment.</p> <p>The Bank anticipates that the volumes will grow exponentially within the next couple of years. Refer to RFP Enclosure A - Enterprise Architecture Guidelines for current volumes.</p>		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

4.8.8 Test Environments

Number	Requirement	Level
66.	<p>Test Environments: The proposed solution must support a rigorous test regime through multiple test environments, prior to acceptance and propagation to the production environment.</p>	Medium
<p>The SARB's comments</p> <p>Typically the SARB maintains two sets of system test and acceptance test environments per business system. One set is used to maintain the version of the business system currently in production, while the other set would be used to test a new version prior to acceptance.</p> <p>The response must describe the Service Provider's approach to testing and propagation of new version of software, including the number of test environments required for this purpose.</p> <p>The response should further describe the hardware and software platform required for each of the test environments.</p>		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

4.9 Implementation Approach and Services

4.9.1 Methodology

Number	Requirement	Level
67.	<p>Methodology:</p> <p>The Service Provider must approach the project in an AGILE manner to increase productivity and time to benefits.</p>	High
<p>The SARB's comments</p> <p>To increase productivity and time to benefits an iterative and incremental process should be followed; where requirements and solutions evolve through collaboration between cross-functional teams to allow for the rapid delivery of high-quality solutions aligned to business needs and goals. This will promote reduced 'time-to-market' – delivery of high-value features quicker with shorter cycles - and will ensure that development work is aligned with business needs. This however requires a disciplined project management process that encourages frequent inspection and adaptation, teamwork, self-organisation and accountability,</p> <p>The response must:</p> <ol style="list-style-type: none"> Describe the Service Provider's AGILE methodology. Describe, in spite of AGILE methodology, how the Service Provider will ensure that the required architecture artefacts are produced i.e. functional and technical specifications. Illustrate how its implementation plan supports the AGILE methodology. 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
68.	<p>Methodology:</p> <p>The Service Provider must train the project team in its AGILE methodology at the onset of the project and refresh the training at appropriate intervals.</p>	High
<p>The SARB's comments</p> <p>The response must describe the knowledge transfer plan of the Service Provider's in respect of its AGILE methodology.</p>		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
69.	<p>Methodology</p> <p>The service provider must have a clearly define project management methodology and approach.</p>	High
<p>The SARB's comments</p> <p>Based on experience with implementations of this nature, the Service Provider must provide the typical:</p> <ul style="list-style-type: none"> • High level wbs • project management approach, phases and deliverables • proposed project governance approach and structure • Change management • Critical success factors • Risk management mechanisms 		
<p>Requirement is met</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>The Service Provider's comments</p>	

4.9.2 Knowledge Transfer

Number	Requirement	Level
70.	Knowledge Transfer: The Service Provider must provide adequate transfer of knowledge to allow the SARB to independently manage, upgrade and enhance the new solution	High
The SARB's comments The response must describe the knowledge transfer plan of the Service Provider's in respect of the solution.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

4.9.3 Resources

Number	Requirement	Level
71.	Resources: The Service Provider must have a functional staffing plan indicating the number, characteristics, and schedule for the consultants proposed to support the project	High
The SARB's comments <ul style="list-style-type: none"> The service provider must recommend the proposed resourcing plan 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

4.9.4 Project Plan

Number	Requirement	Level
72.	Project Plan: The implementation plan must make provision for the migration/conversion of data from the legacy systems to proposed solution	High
The SARB's comments The response must describe the service provider's approach.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

4.9.5 Design and Specifications

Number	Requirement	Level
73.	Design and specifications The service provider should be responsible for defining specifications for extended functionality and reports	High
The SARB's comments The Service Provider must describe the role that they will play.		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments

4.9.6 Training

Number	Requirement	Level
74.	Training: The service provider must provide training and associated documentation for the proposed solution, on a train-the-trainer basis	High
The SARB's comments <ul style="list-style-type: none"> • The Service Provider must describe how a plan for the development and delivery of training and documentation is incorporated into the vendor's project plan • Service Provider should provide details of the training that is offered during and after successful implementation of software solution/s, utilising the following individual categories: <ul style="list-style-type: none"> ○ User training ○ Business and administrator training ○ Technical trainingSystem support training 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No		The Service Provider's comments

4.10 Implementation and Support

The Service Provider's ability to provide superior technical capabilities and/or product support on an ongoing basis within South Africa is of paramount concern to the Bank. The partner organisation must be able and willing to commit the necessary resources to support the Bank with both remote (telephone and web) and on-site support when needed according to an agreed service level agreement. Respond to the following requirements pertaining to product and technical support capabilities:

4.10.1 Support and Maintenance service

Number	Requirement	Level
75.	Support and Maintenance service: Service Provider must provide a list of the common business and technical training provided indicating durations, costs, locations and frequency. Describe options for the delivery of this training and the prerequisites, levels and suggested progress through the various courses	High
The SARB's comments		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
76.	Support and Maintenance service: Service Provider must indicate what level of technical support options are available beyond the implementation of the project and also related to any custom configurations and code	High
The SARB's comments		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
77.	Support and Maintenance service: Service Provider must have a helpdesk and service support	High
The SARB's comments		
<p>The service provider must provide details of help desk and service support and in particular including locations of:</p> <ul style="list-style-type: none"> • first-line; • second-line; • remote support (telephone, web, remote connection); and • on-site support, with the estimated hourly rate for such support <p>The service provider must also provide copy of SLA Service provider will be required to meet the Service Level requirements that are defined by FNSD and the industry. The Service Provider is encouraged to propose alternate support models.</p>		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement	Level
78.	Support and Maintenance service: Service Provider must have escrow agreement in place	High
The SARB's comments		
The service provider must provide options and arrangements for an escrow agreement		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

4.10.2 Future Implementation Enhancements

Number	Future Implementation Enhancements:	Level
79.	Service Provider must describe the organizational structure, finances and strategy dedicated to the ongoing research, development and enhancement of the solution	High
The SARB's comments		
	The Service Provider's comments	

Number	Future Implementation Enhancements:	Level
80.	Service Provider must describe the approach to decide the size and nature of service requests for changes to the Bank’s implementation of the product	High
The SARB’s comments		
The Service Provider’s comments		

Number	Requirement Future Implementation Enhancements:	Level
81.	Service Provider must indicate larger requests for changes are managed and prioritized as well as how any costs associated with it are managed	High
The SARB’s comments		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider’s comments	

Number	Requirement Future Implementation Enhancements:	Level
82.	Service Provider must indicate by what means is awareness and knowledge sharing of future enhancements and upgrades is encouraged and leveraged	High
The SARB’s comments		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider’s comments	

Number	Future Implementation Enhancements:	Level
83.	Service Provider must describe how the client and users influence future enhancements to the product and how this caters for clients such as the Bank	High
The SARB's comments		
The Service Provider's comments		

Number	Future Implementation Enhancements:	Level
84.	Service Provider must describe how clients are made aware of future enhancements to the product and the documentation, guidance and assistance that is made available to describe these	High
The SARB's comments		
The Service Provider's comments		

4.10.3 Support Organisation

Number	Requirement Support Organisation:	Level
85.	Service Provider must have an overall support organisation structure that is used to provide support for all support tiers or options (levels 1, 2, 3, etc.)	High
<p>The SARB's comments</p> <ul style="list-style-type: none"> • The service provider must recommend an optimal support model • The service provider should include the original development team of the product. The location of each level in the support organisation should be stated clearly • Service Provider must describe, if any, specific arrangements that would need to be put in place to support the Bank from within South Africa • Service Provider must clearly state whether all aspects of the support are provided directly through the company, or whether a third party would be involved • Service Provider must provide overall staff numbers and general qualifications for each level of the support organisation (user, support, technical support, implementation, development, sales and marketing). Detail the number of years' experience of the staff at each level in the support organisation • Service Provider must indicate the company's change and control management procedures and tools used • Service Provider must describe the process for reporting, escalating and tracking problems and bugs. Does this process include problem notification, logging, tracking, resolution and closure? Does the company use problem-tracking software to log and track problems that have been reported? If so, describe • Service Provider must indicate whether the vendor will provide a single point of contact for all problems pertaining to the core system 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement Support Organisation:	Level
86.	Service Provider must have the ability to provide on-site support if required at short notice.	High
<p>The SARB's comments</p> <p>In this respect, the Bank is looking for the availability of skilled vendor technicians on site within the agreed service level requirements defined by FNSD, taking entry visa requirements and any travel restrictions into consideration, where applicable, and would expect this to be contractually agreed upon</p>		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Support Organisation:	Level
87.	Service Provider must provide details of how severity level 1 support will be provided. In this respect, the Bank is looking for 12 x 5 tier-1 support. Response to the initial support telephone calls and resolution of the problem should be within the required RTO.	High
The SARB's comments		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement Support Organisation:	Level
88.	Service Provider must provide facilities for web-based support.	High
The SARB's comments		
<ul style="list-style-type: none"> Service provider must describe what facilities are provided. For example, publishing known problems and bugs, as well as frequently asked questions and resolution to problemsService Provider must describe what facilities exist to report problems and track their status over the web 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Requirement Support Organisation:	Level
89.	Service Provider must have a release mechanism process that is followed, identifying the frequency of releases and versioning used.	High
The SARB's comments		
<ul style="list-style-type: none"> The service provider must explain the release nomenclature (i.e., minor, major releases) and the effort involved in such upgrades. Also state whether upgrades and fixes are downloadable from a secure site and totally within the control of the Bank or whether vendor assistance is required to carry out the upgrades Service Provider must indicate within the release cycle when a software release will no longer be supported 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

Number	Support Organisation:	Level
90.	Service Provider must Indicate whether the company holds user conferences? Provide a schedule and sample agenda	High
The SARB's comments		
The Service Provider's comments		

4.10.4 Solution Documentation

Number	Requirement Solution Documentation:	Level
91.	Service Provider must have a full list of all available technical and user documentation for potential software packages.	High
The SARB's comments <ul style="list-style-type: none"> • Service provider must provide a full list of all available documentation • Service provider must indicate whether this documentation is available in an electronic format with full search facilities • Service Provider must describe how on-line, context sensitive help is provided • Service Provider must indicate the approach to develop on-line help customised to the Bank's specific configuration and procedures 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

4.11 Maintenance

With reference to the requirements to ensure the future sustainability of the solution following the successful implementation, the vendor is required to provide details of the maintenance offered by them.

4.11.1 Future Maintenance

Number	Requirement Future Maintenance:	Level
92.	Service Provider must provide application software upgrades and enhancements	High
<p>The SARB's comments</p> <ul style="list-style-type: none"> • Service Provider must provide reference to the requirements to ensure the future sustainability of the solution following the successful implementation, the vendor is required to provide details of the maintenance offered by them • Service Provider must provide a statement regarding the probable number of times in an annual period, or longer, that new releases, upgrades, updates and new versions are released/made available to the vendor's customers • Service Provider must provide the manner in which new releases, upgrades, updates and new versions are to be implemented and the period during which the vendor will still provide maintenance and support for previous releases or versions • Service Provider must provide details of the services that the Bank will be entitled to for payment of the maintenance fee and whether the vendor will render services, at the Bank's request, for services that fall outside the scope, for a fee 		
Requirement is met <input type="checkbox"/> Yes <input type="checkbox"/> No	The Service Provider's comments	

5 Breakdown of Costs

5.1 Pricing mechanisms and charges

Respondent is required to clearly identify and explain all the assumptions upon which charges are predicated. Respondent should also state if any charge is subject to special conditions, and clearly specify those conditions and quantify their impact upon the charges.

5.1.1 Implementation Services

The Implementation Services described in RFP Schedule 1 – Implementation Services SOW will be performed by the Service Provider against a "Fixed Fee" which shall be payable per Milestone . The SARB will not in any circumstances be charged for any amount which is more than the agreed Fixed Fee other than in the following circumstances -

- a Change Request is initiated by the SARB, which will lead to a fee being charged either at a newly agreed fixed fee or on a Time and Materials cost basis; or
- an assumption explicitly made by the Service Provider and listed in the Pricing Sheet is no longer valid. To the extent that the impact and consequences of the assumption not being valid has not been explicitly detailed in the Pricing Sheet, a Change Request will be negotiated between the SARB and the Service Provider in accordance with the provisions of the Agreement.

5.1.2 Support Services

The Support Services described in RFP Schedule 2 – Support Services SOW will be performed by the Service Provider on the basis of a unit-based pricing mechanism, as set out in clause 6.1.2.1 below.

Price per Registered User: The basic unit of measurement is the number of Registered Users of the i-CFERS. The Price charged in respect of the Support Services rendered will be charged based on a price per Registered User basis. Charges in respect of Support Services shall only apply with effect from the date on which the applications which form part of the i-CFERS move into production. The charges for a given month will be calculated as follows:

Monthly Charge = # of Registered Users x unit price Where:

of Registered Users = the number of users that are registered during the past calendar month;

Unit Price = the applicable price per Registered User in a given calendar year adjusted for any applicable volume discount and committed cost reduction

5.2 Pricing Proposals

To facilitate a timely and comprehensive evaluation of all submitted information, pricing proposals must be submitted using the templates in this section. The responses must be complete, and where information is omitted from a pricing proposal, the SARB reserves the right to treat that proposal as non-responsive. Any deviation from this format may lead to the rejection of the proposal.

The pricing proposal shall clearly indicate ALL COSTS (fixed and/or variable) that the SARB is expected to incur based on the information contained in this RFP. Any assumptions that Service Provider has made when developing its quotation should be stated in this section.

5.2.1 Implementation Services

Respondents located in South Africa must express pricing in South African Rands, excluding VAT. Respondents located outside the borders of South Africa should be expressed in the local currency applicable in the respondent's country of incorporation or operation.

The Service Provider is requested to:

- (1) Fill the price per phase in the yellow cells
- (2) Fill the maximum amount spent on expenses in a given phase in the yellow cells

Implementation Service Charges	Phase 1	Phase 2	Phase 3
Implementation Services Charges			
Expenses			
Total Implementation Services Charges			

5.2.2 Support Services

The Service Provider is requested to:

- (1) Fill the unit price per volume levels for the registered users in the yellow cells
- (2) Complete this for the 5-year period and incorporate the year-on-year committed cost reductions that are the result of efficiency improvements

Number of Registered Users	Year 1	Year 2	Year 3	Year 4	Year 5
Support Services Charges for:					
<ul style="list-style-type: none"> • Indicative # of Registered Users: 100 					
<ul style="list-style-type: none"> • Indicative # of Registered Users: 300 					

5.2.3 Software Licensing and Maintenance

This section must be used to capture all related software license fees and ongoing maintenance costs. Pricing should comprise all necessary costs, including applicable taxes, duties, licensing and leasing fees incurred to provide the related products and services. Pricing shall be inclusive of all charges and costs for this project incurred by the Technology Partner in providing the related products and services. SARB requires that all costs be transparent. There should be no hidden costs. Technology Partner shall provide costs for all the required Software Package/s and 3rd party software.

The Technology Partner is requested to:

Fill the software license price per volume levels for the registered users for the Production Environment in the yellow cells

- (2) Provide costing for a) Indicative # of Registered Users: 100 & 300

(3) Provide a view of the Software License Usage rights from the contract and provide a cost impact for the costs for the Development, Test/QA and Disaster Recovery environments.

5.2.3.1 Software Package Licensing and Maintenance Pricing Year 1

License Description	Unit	List Price	Discount %	Net Price	Annual Maintenance
Software Package 1					
Software Package 2					
Software Package 3					
Software Package 4					
Sub Total					
VAT @ 14%					
Total Licencing and Maintenance Charges					

5.2.3.2 Software Package Licensing and Maintenance Pricing Year 1 – Year 5

Licencing Model:	Year 1	Year 2	Year 3	Year 4	Year 5
Software Package Licences					
Annual Maintenance					
Total Costs					

5.2.3.3 Software Licensing Cost Impact of Usage Rights

Environment	# Users	Cost Impact	Comments
Development Environment	20 Developers		
Test / QA Environment	50 End Users		

5.3 Bill of Material

The Service Provider is requested to provide a bill of material representative of all the technology components that a Greenfields implementation would require.

6 Summary of Conditions of Contract

6.1 Conditions of contract

The Bank may draft comprehensive conditions of contract after awarding the tender, if deemed necessary. The Bank is agreeable to negotiate the terms and conditions of the contract as may be reasonably required by either the Bank or the Service Provider. Provisions on Intellectual property and Confidentiality will be material to the contract.

6.2 Contact person

The Service Provider is to ensure that a contact person is appointed to the Bank's project.

6.3 Cost

It is the Service Provider's responsibility to ensure that the cost tendered, includes all matters deemed necessary for the successful execution of the project.

6.4 Insurance

The Service Provider is to insure its own personnel, equipment and vehicles.

6.5 Protection of service

The Service Provider must warrant the rendering of the service to the Bank for the period of the contract.

7 Abbreviations, Terms and Definitions

7.1 Abbreviations

Abbreviations	Explanation
RFP	Request for Proposal
SLA	Service Level Agreement
SP	Service Provider
I-CFERS	INTEGRATED CROSS-BORDER FOREIGN EXCHANGE REPORTING SOLUTION
EC	Evaluation Committee
POC	Proof of Concept
BEE	Black Economic Empowerment
ICT	Information and Communications Technology
MDM	Master Data Management
EDI	Electronic Data Interchange
AQS	Advance Queue System
QAAR	Quarterly Assets Allocation Reports
DHA	Department of Home Affairs
CIPC	Companies and Intellectual Property Commission
SOW	Scope of Work
EIP	Enterprise Integration Platform
RE	Reporting Entity
OLAP	Online Analytical Processing
DQM	Data Quality Management
EA	Enterprise Architecture
IIS	Internet Information Server
AIX	Advanced Interactive eXecutive
XBRL	eXtensible Business Reporting Language
XML	Extensible Markup Language
MQ	Message Queue
AS2	Applicability Statement 2

Abbreviations	Explanation
HTTP	Hypertext Transfer Protocol
SFTP	Secure File Transfer Protocol
GUI	Graphical User Interface
RBAC	Role-Based Access Control
SSO	Single Sign-on
AD	Active Directory
AD	Authorised Dealer in foreign exchange
ADLA	Authorised Dealer in foreign exchange with limited authority
APEX	Oracle Application Express
AML	Anti-Money Laundering
ASISA	Association for Savings and Investment South Africa
BSD	Bank Supervision Department
BSTD	Business Systems and Technology Department
CIPC	Companies and Intellectual Property Commission
CMA	Common Monetary Area
DPCI	Directorate for Priority Crime Investigation
DTI	Department of Trade and Industry
DIRCO	Department of International Relations and Cooperation
ESAAMLG	Eastern and Southern African Anti-Money Laundering Group
EU	European Union
FATF	Financial Action Task Force
FDI	Foreign Direct Investment
FIC	Financial Intelligence Centre
FIC Act	Financial Intelligence Centre Act, 2001 (Act No. 38 of 2001)
FinSurv	Financial Surveillance
FRS	Financial Surveillance Reporting System
FNSD	Financial Surveillance Department
FIS	Foreign Investment System
FLS	Foreign Loan System

Abbreviations	Explanation
FMD	Financial Markets Department
Foreign exchange	Means any currency other than currency, which is legal tender in the Republic of South Africa, but excludes the currencies of Lesotho, Namibia and Swaziland. Foreign exchange must be deemed to include any bill of exchange, letter of credit, money order, postal order, promissory note, Rand to or from a Non-Resident Account, traveler's cheques or any other instrument of foreign exchange.
FSB	Financial Services Board
IDC	Industrial Development Corporation
IMF	International Monetary Fund
IRBA	Independent Regulatory Board for Auditors
IVS	Import Verification System
JSE	Johannesburg Securities Exchange
MPL	Macro Prudential Limit
NPA	National Prosecuting Authority
NPS	National Payment System
NPSD	National Payment System Department
OFA	Oracle Financial Analyser
OFAC	Office of Foreign Asset Control
ORM	Online Risk Manager
OTC	Over-The-Counter
PIRS	Portfolio Investment Reporting System
RSHD	Research Department
SABRIC	South Africa Banking Risk Information Centre
SADC	Southern African Development Community
SAICA	South African Institute of Chartered Accountants
SAPO	South African Post Office
SAPS	South African Police Service
SARB	South African Reserve Bank
SARBDEX II	South African Reserve Bank Data Exchange Architecture
SARS	South African Revenue Service

7.2 Terms

Term	Definition
Entity	Refers to institution or individual in Requirements Catalogue
Operating Model	People, Process, Technology, Policy, Procedure
Reporting Entity	Means an Authorised Dealer, Direct Reporting entity and Card Reporting entity
Authorised Dealer	Means, in relation to any transaction in respect of gold, a person authorised by the Treasury to deal in gold and, in relation to any transaction in respect of foreign exchange, a person authorised by the Treasury to deal in foreign exchange
Direct Reporting Entity	Means an independent entity authorised by the Financial Surveillance Department to report transactions directly to the SARB
Card Reporting Entity	Means an Authorised Dealer, including Diners Club International, authorised by the Financial Surveillance Department to report card transactions directly to the SARB

Annexure A: Form of Tender



South African Reserve Bank

Employer: The South African Reserve Bank
Street address: 370 Helen Joseph Street (formally Church Street), Pretoria
Telephone number: 012-313 3544
Service Provider: _____
Contact person: _____
Postal address: _____
Telephone: _____ E-mail: _____ Fax: _____

Proposed tender sum			
14% VAT (if applicable)			
Total:			

Amounts in words

Signed: _____

(for and on behalf of the Service Provider who by signature hereof warrants authorisation hereto)

Date: _____

Vat registration number: _____

Kindly attach a copy of your standard contract and SLA for these services

Annexure B: Undertaking of Confidentiality



South African Reserve Bank

UNDERTAKING OF CONFIDENTIALITY

This undertaking of confidentiality is made and entered into on this ____ day of _____ 2014, 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 (formally Church Street), Pretoria.

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 RFI.

In furtherance of this agreement, the SARB may, at its option, 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 authorized 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 authorized 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 advisors and financial advisors.

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 utilize 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 authorized 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 organization referred to at the beginning of this agreement, who by affixing his/her signature hereto warrants his/her authority to bind the organization.

Name

Title

Date

Annexure C: Security Vetting



South African Reserve Bank

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.

Documents to be submitted with regard to the Company:

- Company name and registration number;
- A valid Tax Clearance Certificate - Tender (not older than 6 months);
- A certified copy of a valid certificate to commence business;
- A certified copy of a valid certificate of change of name of company;
- A certified copy of a valid certificate of incorporation of a company having a share capital;
- A certified copy of the JV agreement;
- A certified copy of Professional Indemnity Insurance Cover;
- A list reflecting the names and ID numbers of all the company directors; and
- A company profile.

Documents to be submitted with regard to consultants/contractor or staff

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

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 (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.