



TERMS OF REFERENCE

INTERNAL AUDIT SOFTWARE FOR KOBWA REQUEST FOR QUOTATIONS

CLOSING DATE OF SUBMISSIONS: 03rd November 2026

DOCUMENTS MUST BE SUBMITTED AS FOLLOWS:

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BACKGROUND

The Komati Basin Water Authority (KOBWA) was established as a bi-national entity in terms of the Treaty for the purpose of implementing Phase 1 of the development. Phase 1 comprises the design, construction, operation and maintenance of the Driekoppies Dam on the Lomati River in RSA (phase 1a), and the Maguga Dam on the Komati River in Eswatini (phase 1b).

The Treaty provides for the development and utilisation of the water resources of the Komati River Basin from its headwaters in RSA to the confluence with the Crocodile River at Komatipoort. The Komati River Basin is an international drainage basin that is a source of water for the Republic of South Africa, the Kingdom of Eswatini and the Republic of Mozambique. The Basin comprises of a total area of 11,087 km² up to the confluence of the Komati and the Crocodile rivers at Komatipoort, with a mean annual run-off of 1,438 million cubic meters.

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SECTION 1: REQUEST FOR QUOTATION(S)

INTRODUCTION

Interested, competent and experienced consultant(s) are invited to submit a Quotation for Internal Audit Software for Komati Basin Water Authority (KOBWA). Quotations would form the basis for negotiations and eventually entering into an agreement between the successful service provider and KOBWA. The purpose of the internal audit software is mainly to enhance the efficient and effective scope coverage of the audit universe of KOBWA by the in-house internal audit function. KOBWA in particular requires services to suit the nature of its corporate business being a bi-national entity for Eswatini and South Africa on Water Management.

To assist service providers in preparing quotations, the following are enclosed:

Supplementary Information (Section 2), and

Scope of Services & RFQ Requirements (Section 3).

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1. Quotation Consideration(s):

1.1 KOBWA Supplier Database Requirements

Appointed service providers will have to be registered on KOBWA supplier database. Refer to the attached supplier database form.

1.2 Technical Requirements

FUNCTIONALITY CRITERIA	RATINGS	WEIGHT
Company (Service Provider) experience in the industry (internal & external audit software provision): [Attach a summarised audit software client list (industry and country sufficient, no names of clients).]	Company internal & external audit software provision experience: 0 – 04 years: 05 05 – 09 years: 10 10 years and above: 15	15
Competency of Key Solution (Software) Configuration, Training, Implementation & Support Personnel - The experience of the technical lead and Project Manager that will be leading the project. - The experience of the technical lead and Project Manager in implementation and support of any Internal Audit solution (software) and the proposed solution. - The service/product provider must provide a comprehensive CV of the team leader, project manager, including personnel who will be providing training and support on the quoted solution.	Project Leader/Technical Lead competency: ≥10 years for implementation of any internal audit software with minimum of 3 years for implementation of the quoted (proposed) solution: (10 points) 5-9 years for implementation of any internal audit software with minimum of 2 years for implementation of the quoted solution: (05 points) ≤4 years for implementation of internal audit software with minimum of 1 year for implementation of the proposed solution: (01 point)	10
Proposed plan, Organogram and Operational plan. - The service/product provider's proposed solution must meet the user requirements stipulated in this RFQ document (Section 3). - The service/product provider must provide the detailed project plan clarifying the implementation approach and specify the Work breakdown structure, Milestones, Duration, Resource allocation to tasks and Project phases	Technical Aspect Understanding of TORs: 25 Detailed and comprehensive proposal of the audit solution indicating how the proposed solution will meet/satisfy each user requirement. >90-100% (25 points) 81-90% (20 points) 70-80% (10 points) - Below 70% (01 point) Proposal project plan: 15	45

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FUNCTIONALITY CRITERIA	RATINGS	WEIGHT
	- Detailed and practical project plan including the breakdown of the work, the duration of the milestones and resources allocated (15 points) - Detailed and practical project plan with limited documentation of the breakdown of work, milestones and resources allocated (5 points) - Illustrate understanding of governance, risk management and internal control/internal audit processes: 05	
Audit Solution/Software length of service An indication of how long the quoted internal audit software has been in use/existence in South Africa and/or Eswatini	Quoted internal audit software specifically: 0 – 4 years: 05 5 – 10 years: 10 - Greater than 10 years: 25	15
References/Testimonials	Provide a maximum of 3 contactable references and brief testimonials bearing a date of not more than 12 months (preferably from public sector) (5 points for each reference)	15
Total		100

1.3 Pricing

Product/Service(s)	Cost per user	Total for three (03) users	Total Cost (VAT Excl.)
Proposed internal audit solution (software) subscription package			
Other Service/Resource: e.g. configuration, training, etc. (N/A if none)			
Disbursements			
Sub-Total (VAT Excl.)			
VAT			
Total Fees (VAT Incl.)			

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Prices quoted should be VAT exclusive, in either SA Rand or Eswatini Lilangeni. Costs for preparing the quotation and for any negotiations are not reimbursable. If the service provider is awarded, only the quoted price will be applicable.

A quote that will reflect annual subscriptions and other costs (per annum) over a maximum of three financial years (i.e. Year 1: April 2027-March 2028, Year 2: April 2028-March 2029, and Year 3: April 2029-March 2030) will serve as an added advantage.

Any requests for more information or clarifications should be made in writing as follows:

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SECTION 2: SUPPLEMENTARY INFORMATION

2.1 General:

2.1.1 Timelines

Submission/Closing date: 03rd November 2026

Commencement Date: 01 April 2027

2.2 Services (Solution/Software) Proposal:

2.2.1 Description of Proposed Service(s)

This section provides for the clear and concise description of the product/services proposed. This scope of product/services and timeframes are to be defined in complete detail.

2.2.2 Service Provider Experience in the Industry

Service Provider(s) are to provide concise information on relevant audit software provision experience.

2.2.3 Implementation, manpower and work program schedule

- The service providers should specify their work approach, referring specifically to components of the product/services requested. This should include amongst other essential things:
- Tasks and subtasks by components should be specified.
- Involvement of key personnel should clearly be indicated and required resources.
- The effective training of the internal audit function team of three (03) officials (users) is part of their deliverables. Face to face initial training of the internal audit team is a requirement.
- Except for the initial training of users, it is envisaged that the service provider(s) shall be engaged through online platforms as far as possible. Physical meetings must be agreed upon by both parties and communicated in advance.

2.3 Financial Proposal (Pricing)

An agreement will be entered into on the basis of service provider/consultant(s) and reimbursable costs as indicated in the pricing schedule of Section 1, paragraph 1.3.

Service providers should note that there is an estimated thirty (30) days payment processing period for all invoices submitted.

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SECTION 3: SCOPE OF WORK & RFQ REQUIREMENTS

3.1 Background Information

The primary objective of the Komati Basin Water Authority (KOBWA) Internal Audit function is to assist the organization in accomplishing its strategic objectives by bringing a systematic and disciplined approach to evaluating and improving the effectiveness of risk management, control, and governance processes. While the Internal Audit team currently utilizes a digital platform for its operations, its capability remains constrained by manual, sample-based testing methods. To satisfy evolving legislative standards and stakeholder requirements, KOBWA needs to upgrade its processes and scale its coverage across full transaction populations.

To achieve this, KOBWA seeks to procure an Internal Audit Management Software System with an AI/Intelligence Layer. The intended solution will establish a modern, innovative, and mobile digital workspace covering the end-to-end audit lifecycle—including planning, scheduling, execution, reporting, follow-up tracking, quality assurance, and administrative management. The software must be field-proven with a solid operational history, requiring no foundational research or development, while enabling KOBWA's three (3) risk and internal audit professionals to securely access the system from anywhere on mobile devices.

By embedding an advanced AI and intelligence layer into its workspace, KOBWA aims to move beyond traditional sampling and enable automated, full-population data testing, continuous controls monitoring, and automated document analysis. Additionally, because the unit reports administratively to the Chief Executive Officer, functionally to the Board of Directors, and delivers oversight to various governing bodies, the solution must provide seamless, secure engagement channels for these stakeholders to communicate, review reports, and exchange audit-related information directly within the platform.

The successful service provider will be responsible for the supply, implementation and support of the internal audit software that best meets the requirements as set forth in this Request For Quote (RFQ).

3.2 Scope of Work

The scope of work has been detailed below but is not limited to:

No	Deliverable	Description
a.	Training and training material/ skills transfer	Service provider to provide all training material and comprehensive training for users, admin and

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No	Deliverable	Description
		support. Skills transfer will be required to all core project/audit team members. The proposal should provide a plan that addresses the training needs of: ▪ System Administrator(s)/ICTO (1) ▪ Champions (2) ▪ Users, including the champions (3) Service provider to indicate how skills transfer will be carried out.
b.	Hosting	The solution can be hosted on premise or on cloud. If the solution is hosted on cloud, the data centre will be required to be within South African boundaries.
c.	Project Management	The service provider must provide a comprehensive approach to the project, indicating the phases, duration and project timeframes.
d.	Analysis	Service provider will be required to do a comprehensive analysis on the following: • Identification of additional requirements (Functional Specification Document to include additional requirements) • Any other analysis tasks relevant for the successful delivery of this project.
e.	Technical Specification Document	Service provider will be required to produce a Technical Specification Document
f.	System, development/ Configuration/Implementation and Support	Service provider will be responsible for the development/configuration/implementation and support of the system/software.

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No	Deliverable	Description
g.	Testing	Service provider to carry out full testing suite including unit testing, integration testing, and stress testing and any other relevant testing.
h.	Minimum Service Level Agreement (SLA) requirements	The service provider to provide support to KOBWA users of the software for the duration of the contract.
i.	Integration	Integration with other systems. More details can be found in the detailed requirements list.
j.	Upgrading/ updates to system	Please indicate how upgrades / updates to the system is done. Is there any standard scheduled downtime for maintenance, how often etc.
k.	3 rd party involvement	Service provider will be responsible for all deliverables due from any third party used for the delivery of this project.

3.3 Contract Duration

The appointed service providers will be required to start at the beginning of the Authority's 2027/28 financial year, after signing the contract. The contract may be extended to the end of March 2030, hence the requirement for a quote that will reflect annual subscriptions (costs) over a three (03) financial year period (April to March each year).

3.4 Requirements Codes and Descriptions

Response Code	Description
FP	Fully provided (Out of the Box)
MR	Modification required (Configuration/change using built in toolset)
DR	Development required (Code change)
N/A	Not available

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3.5 Functional Requirements

The bidder must complete the table below functional requirements below in line with their proposed solution.

The bidder must provide detailed and comprehensive responses, in the spaces provided in the Tables below, on how their proposed solution meet/satisfy each stated user requirement including screenshots and additional information.

If more space is required to provide detailed and comprehensive responses, the responses MUST be provided outside the Tables, however the bidder must ensure that such information is clearly cross-referenced to the relevant requirement for ease of evaluation.

a. The following requirements have been identified:

Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
FR1	Strategic & Annual internal planning audit	The solution/tool must make creation and display of the Internal Audit Universe planning, dashboards, 3 year rolling audit plan and resource planning easier and more efficient. The solution must enable users to input the annual internal audit plan.		
FR2	Schedule audit plans	The solution must enable users to define/ schedule audits based on scope of work, approach/ methodology/ resources, and time. Must assign audit team members (resources) to relevant sections of the project: ○ Process / system descriptions ○ Audit objectives ○ Control adequacy testing ○ Control effectiveness testing ○ Must be able to allow capturing of additional risks. ○ Must be able to capture additional controls.		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		Must be able to generate risk and control matrix.		
FR3	Full-Population Analytics	AI-driven data engines capable of ingesting and evaluating 100% of transaction populations (e.g. procurement records, payroll) to replace sample-based testing		
FR4	Automated Anomaly & Outlier Detection	Machine learning algorithms to automatically identify duplicate payments, unusual manual journal entries, split purchases and high-risk transactions.		
FR5	Explainable AI (XAI) & Lineage	Every AI-flagged exception or risk score must present clear logic and retain direct lineage back to raw source files for audit evidence		
FR6	Document Intelligence	Automated parsing of unstructured documents (contracts, invoices, policy manuals) to verify compliance against defined business rules.		
FR7	Continuous Controls Monitoring	Automated alerts for control failures, policy breaches, or sudden shifts in transaction risk patterns		
FR8	Workflow management: send automated email alerts and escalation	The solution should allow for tasks and queries to be created and shared (internally or externally) and the recipient should be able to make comments / feedback and send back to the sender. (Responses should be linked to the task where it was created) - e.g. sign-off of engagement letter,		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		deliverables list, Risk and Control Matrix sign off.		
		Alerts should be sent to allocated reviewer on completion & sign-off of tasks by the preparer.		
		The solution should be able to send reminders on due tasks		
		The solution should cater for escalation on overdue tasks		
FR9	Workflow management: receive feedback	Solution should be able to receive data and information from external parties linked to a specific project/file (e.g. related supporting documents)		
FR10	Manage Tasks	The solution should allow for work allocation (including task completion date) and status tracking (e.g. started, in progress, completed and overdue) at a granular level to the assigned internal audit team members		
		Status tracking should also include alerts and dashboard for assigned individual and engagement lead/ manager		
FR11	Manage Timesheets	The solution should enable tracking of time spent, timesheets to be linked to allocated work (project). The solution should enable internal audit management to monitor timesheets.		
		The solution should be able to auto-generate project timesheet		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		and individual team member's timesheets based on time spent on the project		
FR12	Provide audit library (warehouse) document management	The solution should provide Internal Audit with all necessary documentation such as:		
		Standard audit procedures/ programs universal across (it can link to a database that provides this ability which automatically update with the latest libraries)		
		Solution should have the ability to house a library that is specific to our environment, e.g. KOBWA specific internal audit procedures, etc.		
FR13	Risk Library	The solution should provide a library of all risks raised within different audit projects. These should be aligned to projects. Risks to be accessible throughout the application and able to be re-used. Must enable auditors to select the relevant risks and controls to audit from the risk management module.		
FR14	Controls Library	The solution should provide a library of all Controls raised within different audit projects. Enable Controls to be linked/referenced to any audit. Controls to be accessible throughout the application and able to be re-used.		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
FR15	Audit Procedures Library	The solution should provide a library of all audit procedures raised within different audit projects. Enable audit procedures to be linked/referenced to any audit. Audit Procedures to be accessible throughout the application and able to be re-used.		
FR16	Root Causes Analysis Library	The solution should provide a library of all Audit Issues raised within different audit projects. Enable Audit Issues to be linked/referenced to any audit. Audit Issues to be accessible throughout the application and able to be re-used.		
FR17	Audit Issues Library/Findings log	The solution should provide a library of all Audit Issues raised within different audit projects. Enable Audit Issues to be linked/referenced to any audit. Audit Issues to be accessible throughout the application and able to be re-used.		
FR18	Provide system templates for Internal Audit	The solution should provide standardised templates. The templates must be accessible to all authorised system users. These templates include, but not limited to: Opening meeting agenda, Engagement letters, Deliverables list, Query sheet, Process narratives, Risk and control matrix, Working papers, Reports (Draft and Final), Checklist, End of audit reviews (performance assessments), Clients satisfaction survey (at		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		least a trigger to generate the survey for sending out to client if this can't be done directly on the system), progress monitoring, etc. The solution must have the ability to populate the templates onto the audit file.		
FR19	Define sampling methods	The solution must allow users to incorporate the defined sampling methods as per methodology and be linked to Computer-Assisted Audit Techniques (CAAT) results/user requirements e.g., selection of high/low premium transaction.		
FR20	Engagement (Audit/project file) Customisation	The solution should enable the users to design/tailor the engagement file according to the type of engagement and applicability of audit process steps. The Solution should enable exportation of the project file organiser into MS Word and allow the system user to choose audit reports from a selection of flexible report templates.		
FR21	Risk and Control Matrix (RACM)	The solution must be able to generate risks and controls matrix based on the audit libraries.		
		The solution must be able to auto populate RACM after documentation of narratives. The solution should enable the system user to view updated risk register in Risk Management Module.		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		The solution must be able to generate risks and controls matrix tailored for client sign-off (exclusion of audit procedures). The solution should have a functionality of electronic sign-off of the RACM by the client (internally)		
FR22	Link risks, controls to work performed	The solution should cross reference risks, controls to work performed results (working paper and sub working paper) on Planning, Field Work and Completion. The solution should give users the ability to cross reference risks on the narratives to the RACM and Working paper. The findings raised on the Working papers should be cross referenced to the finding section.		
FR23	Working Papers Creation	The solution should enable users to auto-generate working papers from the templates in the audit library/ audit program on the RACM. The solution must have usability functions for audit teams, i.e. preparer/ reviewer abilities, tick-marks, hyperlinks, exporting and importing evidence, sequentially number evidence, and audit Masterfile replication for multiple team members.		
FR24	Working Papers Completion	Working Paper should provide for "Prepared/completed status" within the software by the preparer and be locked for		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		editing by anyone except the preparer and the reviewer. Solution should enable user to mark off working papers to "Reviewed" status only when it is in the "Prepared/Completed" status.		
FR25	Working Papers Review and Sign-Off	Post review and "signed off status" by the reviewer of the working paper should be locked for editing until unlocked by the Reviewer.		
FR26	Provide facility for reviewing notes	Users must be able to raise review/ coaching notes linked to any document within the project and link to the specific working papers.		
		The solution should enable the reviewer to make comments and make provision for the preparer to address the comments. The solution should enable the reviewer to close-off the review notes.		
		The solution should enable the reviewer to be able to track review notes that have been signed off and/or still outstanding.		
FR27	Findings	The solution must be able to link findings and review notes to working papers. It must also have the ability to link risks, walkthrough and working papers.		
		The solution should enable the auditor to raise findings at any		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		stage of the audit including planning.		
		Audit queries should be raised and linked to the Working paper concerned. The raised queries should be used to populate the query sheet to be send to the client. The raised query should be promoted to an audit issue if not resolved.		
		The solution should provide for the Reported and Non-Reported issues and enable user to select when generating reports. Issues not reported should include the reason for not reporting.		
		The solution must be able to incorporate management comments into the audit findings raised.		
FR28	Auto Generate audit reports	The solution should auto-populate an audit report based on the findings raised on the project file. The solution should provide configurable audit reports automatically from recorded findings and allow extraction of different internal audit reports.		
FR29	Provide summary reports	Provide overall summary of results on previous audits.		
FR30	Dashboard reporting	Provide real-time reporting on previous work, current work and planned work based on the schedule. This can also be represented in dashboard form. This should include real-time		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		status on planned audits, current audits, and upcoming reviews.		
		Dashboard on audits should also include the following: - Summary at an audit level by categories - Summary based on the consolidated audits of similar nature etc, agent company finding's themes. - Tracking of projects including: ▪ Overall status ▪ Team members ▪ Time reporting ▪ Allocated hours. The solution should allow for customisation of the dashboard based on user requirements.		
FR31a	Provide audit follow-ups based on previous audit findings	The solution should be able to send follow-up alerts (internally) on previously reported audit findings as they become due.		
		The solution should enable auditees to access and capture actions taken by themselves for findings addressed to them.		
		The solution should allow the auditor to assess if the findings are resolved, partially resolved or not resolved and should be able to link to the responses received from those responsible for the management action plan.		
		The solution should enable auditors to generate reports of open, resolved and overdue findings.		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
		Feedback on follow-up items should be automatically incorporated into the working paper where the task was created.		
FR31b	Link previous audit reviews to current reviews	The solution should also be able to roll-forward previous audit reviews and link to the current reviews including: - Auto generate previously documented planning procedures (process narratives, Risk and Control Matrix (RACM), auto populate applicable working paper templates (roll-forwarded) - The applicable findings and the management action plan to current reviews.		
FR32	Quality Control	The solution should support internal audit's compliance to the quality assurance and improvement programme not limited to the following: - The solution must be able to check if all planning documents are attached and alert user about outstanding documents when trying to sign off planning section - The solution should be able to do reconciliation between the original testing procedures on the RACM and final audit procedures on the working paper to make sure that designed audit procedures have been executed as planned. - The solution must check that all working papers are signed off and alert the user		

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		about the working paper that is not signed-off. ▪ The solution must check that all sections in a report are completed. ▪ The solution should check that all audit/ project file required steps/tasks have been actioned and raise alerts for outstanding tasks. ▪ The solution should enable users to generate an engagement/ audit file report to check that all quality control procedures have been addressed on the file. ▪ The solution should cater for automatic archiving of audit/ project file within a set duration (based on the methodology) after the report issue date. ▪ The solution should send alerts and reminders to the users of the archiving date. ▪ The solution should enable archiving of the file and locked for editing once all quality control procedures are completed.		
FR33	Mobility	Users must be able to access the solution from anywhere using any appropriate mobile device such as iPad, tablet, mobile phone, etc.		
FR34	Compatibility	The solution must be compatible with emerging technologies such as Optical Character Recognition (OCR), Artificial Intelligence (AI, Robotics Process Automation (RPA). (This is for future enhancements purposes)		

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Ref	Requirement(s)	Description	Indicate requirements availability (Response Codes: FP, MR, DR, N/A)	Provide details of how your solution satisfy the user requirements
FR35	Integration into internal and external systems	The solution must be able to interface or work with the existing data analytics tools in use such as Microsoft BI, ACL, etc.		
		The solution must also be able to work with internal systems such as Risk Management Tool, and other Microsoft Office tools such as SharePoint Online for the efficient flow and documentation of audit results from data analysis and other audit procedures.		
R36	Cater for different data types	The solution and documentation of audit results from data analysis and other audit procedures. NB: Data is received in different formats (e.g., PDF, txt,. CSV), the solution should be able to read these without any limitations on size. The information should be convertible to Microsoft Excel and Word, .PDF, or any other generally used file format.		
FR37	Audit Evidence Management	The solution must allow for saving of scanned images/documents, emails and digital pictures on the system as audit evidence. Audit evidence hyperlinking to different audit working papers.		
FR38	Business Continuity	The solution must cater for full disaster recovery at no additional cost, including backup (daily) and data recovery.		

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b. Adherence to requirements:

Item	Adherence to requirements
1.	The service provider must clearly demonstrate the proposed solution and the compliance to the deliverables and scope of the RFQ as described in the detailed requirements (Section 3, Scope of work & RFP requirements). Scoring will be allocated as follows: ▪ 91 – 100% / All of requirements met and exceeded ▪ 81 – 90% / Most of requirements met ▪ 70 – 80% / Some of requirements are not met ▪ Below 70% / Most of requirements not met

3.6 MANAGEMENT AND ADMINISTRATION PROCESS

KOBWA Head of Internal Audit will be the contact person during the course of the project. The service provider(s) will engage the Head of Internal Audit directly to ensure that the desired objectives are met.