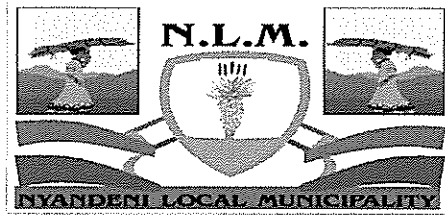


NYANDENI LOCAL MUNICIPALITY

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"Deciding with the people, not for the people"

TERMS OF REFERENCE

NLM 06/2019 - TERMS OF REFERENCE FOR CONSULTANTS TO PERFORM ICT AUDIT

The Internal Audit Unit is busy implementing internal audit plan that was approved by the audit committee for the third quarter of 2018/2019. Due to shortage of staff within the Internal Audit unit, the unit request your office to officially approve the consultant to perform an ICT audit for the municipality. This will assist in fast tracking on achievement of audit plan of the municipality and identification of risks within the municipality

1. Purpose of the audit:

Internal audit unit will review the controls within the ICT general control environment (ITGCs) and evaluate both the adequacy and effectiveness of such controls in the municipality. The audit purpose is to assist on regular operations and minimizing risk when it comes to ICT and technology-related hardware, security and equipment within the municipality.

2. Objectives

The overall objective of this consultancy is to assess overall usage and implementation of ICT general controls within the municipality, check controls of the ICT processes, and create a summary analysis.

3. Role of Service Provider

Municipality seeks to appoint a Service provider with a proven record of accomplishment in the field of Information Communication and Technology (ICT) Auditing to perform Test Controls relating to ICT general control environment (ITGCs) of the municipality. The service provider will work with the internal audit Unit team of Nyandeni Local Municipality.

4. Scope of Work

The scope of this audit assignment will cover the period from 01st July 2018 up to date, the Consultant will perform the following tasks:

1. Assess the adequacy and effectiveness of internal controls implemented within the Municipality on ICT operations, including policies and guidelines for ensuring compliance
2. Information Communication Technology Governance
3. General Access control
4. Security Controls – General office infrastructure
5. Disaster Recovery Planning
6. IT Asset Management

7. Network security
8. Assessment of key risks and controls
9. Review documentation in place
10. Observation of processes
11. General Controls
 - Application access – Segregation of duties etc.
 - Maintenance access
 - Physical security – Permissions, logging, exception reporting & alerts.
 - Controls – Fire protection, monitoring etc.
 - Fault resolution mechanisms.
 - Folder sharing and Back-up controls – Safeguard critical information
 - User account management
 - Program change management

5. Assignment timeframe

This audit assignment is expected to be carried out for a period of 20 days subject to availability of all required information, documentation and availability and access to relevant staff.

6. Institutional Arrangements

The Consultant will report directly to the internal audit. The municipality will provide relevant documents and information for the application as necessary for the assignment.

7. Proposed Tasks

- a. Inception meeting with the Nyandeni Local Municipality team and consultant will be set.
- b. Present a formative assessment report of the situation.
- c. Assess the status of ICT infrastructure in support of the municipal functions and operations including, general ICT controls, general ICT security, back-up systems and information security
- d. Produce a final ICT audit report with recommendations

8. Deliverables

1. Carry out ICT audit through participation in meetings, communication, review and analysis of emails, notes, memos, reports and any other relevant information;
2. Produce draft audit reports; provide analysis and comments to the management for immediate follow up actions;
3. Share the updated draft reports with the management of the municipality
4. Carry out ICT audit and risk assessment
5. Submit report detailing findings and recommendations

9. Accreditation

Registered with IIA (SA) or relevant professional registering bodies attach proof

10. Auditor selection

1. The service provider must have a vast experience in IT audit services
2. Must have knowledge and experience on COBIT 5 and ISACA framework.
3. Must have experience and knowledge of the municipality's environment in order to identify ICT risks, weaknesses and provide appropriate remedial actions.
4. The Auditor must have experience in the areas covered under TOR.
5. The Auditor should have IT audit / governance frameworks and processes conforming to industry leading practices

The Auditor must not have any conflict of interest in conducting fair, objective and independence.

