

EXPRESSION OF INTEREST

Date : September 09, 2020

Pakistan Telecommunication Company Limited (PTCL) is desirous to develop a comprehensive Corporate Compliance Universe (Compliance obligation master list, compliance risk register and compliance matrix) to maintain a register of all laws, rules and regulations that applies to PTCL.

1. Sealed proposals are invited from reputable consultants or their authorized firms/dealers for development of a comprehensive Corporate Compliance Universe in accordance with PTCL requirements as per given SOW.
2. Hard and Soft copies of proposals shall be submitted in the office of undersigned on or before 12:00 Hours on or before **September 30, 2020**.
3. PTCL reserves the right to reject proposal(s) and to annul the process at any time, without thereby incurring any liability to the affected bidder or any obligations to inform the affected bidder of the grounds for PTCL action.
4. All correspondence on the subject may be addressed to the undersigned and Bids shall be submitted on the address given below:

GM/ SM Procurement (Business Support)

Room# 18, 4th Floor, Old Building

PTCL H/Qs, G-8/4, Islamabad

Email: shahzad.ali@ptcl.net.pk

Tel: +92-2283123

Statement of Work
CORPORATE COMPLIANCE UNIVERSE

Pakistan Telecommunication Company Limited (PTCL) is desirous to develop a comprehensive Corporate Compliance Universe (Compliance obligation master list, compliance risk register and compliance matrix) to maintain a register of all laws, rules and regulations that applies to PTCL (hereinafter referred as "Compliance Universe"). In this regard, PTCL is looking for consultancy services of consultants with international repute to develop the Compliance Universes for PTCL with the following deliverables:

- 1) Review of the compliance universe and identification of applicable compliance requirements from all relevant authorities, including but not limited to, federal and provincial laws, regulations, policies, rules, codes, standards and procedures that apply, directly or indirectly on operations and functioning of PTCL, posing explicit or implicit risk to PTCL.
- 2) Establishment of a master list containing applicable requirements, including but not limited to, international laws, regulations, policies, rules, codes, standards and procedures that apply on PTCL.
- 3) The Compliance Universe must also include PTCL Internal Control Policies and Guidelines that are implemented in PTCL.
- 4) Assessment of existing processes, roles and controls to identify gaps and areas for improvement.
- 5) Develop a compliance risk register, including processes, controls etc., depending on the compliance requirements as identified in the master list.
- 6) Map the compliance master list to the compliance risk register to have a risk and control matrix across all PTCL departments.

- 7) Develop or define a compliance self-certifications and/or control monitoring/reporting framework.
- 8) Design compliance dashboards across all PTCL departments to support the ongoing reporting process.
- 9) Based on the above, the Compliance Universe must include the following fields;
 - Regulator/Statutory Body
 - Name of source document
 - Article/ Section No.
 - Article/ Section Description
 - Required Evidences
 - Testing Methodology
 - Compliance Owner in PTCL
 - Conformity Statement
 - Status (Ok/Not Ok)
 - Risk Category
 - Risk Description
 - Potential Root Causes/Drivers
 - Penalty Type and estimated value
 - Impact on the company
 - Likelihood
 - Inherent Risk Rating
 - Key Control Description
 - Control Type (Preventive, Corrective, Recovery, etc.)

- Relevance
 - Timeliness
 - Control Strength
 - Control Design Rating
 - Control Design Rating Level
 - Residual Risk Rating
 - Risk Treatment
 - Frequency of self-assessments
- 10) Determine the control criteria
 - 11) Determine the risk criteria
 - 12) Dashboards and risk heat maps

The Compliance Universe should be scalable and flexible to include new laws, regulations, policies, rules, codes, standards and procedures comprising of fields as specified here above in clause 3.

TECHNICAL PROPOSAL:

The technical considerations include, without limitation, the following:

1) Consultant Eligibility, Experience and References:

- a. Company Profile.
- b. Authorization and certification of your firm to provide consultancy for these kind of services including company incorporation/registration documents.
- c. Experience of your firm in relation to the scope of work.
- d. Reference in similar engagements, this should include a list of organizations served by you for similar kind of services.

- e. Understanding of PTCL business and legal and regulatory regimes in which PTCL operates in.
- f. Business partnerships and alliances.
- g. Experience of working in similar market conditions

2) Proposed Team Experience

- a. Relevant technical skills.
- b. Knowledge of similar solutions.
- c. Has worked on similar engagements.
- d. Engaged in Group Environment.
- e. Participation of senior dedicated personnel to the engagement.
- f. CVs of the team and their contact details.
- g. Availability of team to respond on questions during the engagement.
- h. Details of the project owner.

3) Deliverables

- a. Meet all requirements.
- b. Details of deliverables.
- c. Same deliverables addressed in similar projects.

4) Consultancy Methodology and Timeframe:

- Provide transparent methodology.
- Use of relevant tools to save time.
- Total time required to complete the Compliance Universe.

- Detailed timeline in the form of Project Implementation Plan to complete the engagement including, but not limited to, the following:
 - Timeline for the initial draft.
 - Review meeting to discuss the draft universe.
 - Timeline to make the required changes.
 - Final Compliance Universe Metrix.
- Assurance to complete the engagement on a timely basis as agreed in writing.

OPTIONAL REQUIREMENTS (A Separate Proposal of these may be submitted along with the main solution):

Once the Corporate Compliance Universe is prepared and delivered, it will be regularly reviewed, updated and aligned with the latest changes and developments in laws, regulations, policies, rules and procedures. Therefore, PTCL needs to establish an automated or manual system/tool to manage such changes in the Compliance Universe. Your proposal should include, but not limited to, the following;

Option A: Automated System:

- Establish an automated and real-time system to cater for the above mentioned changes including a detailed plan for its implementation.
- The Contractor shall be responsible for the installation, testing commissioning and integration works of the system and shall ensure good quality and high professional standards.
- The system shall be designed and realized to provide high security, reliability, scalability, fault tolerance and easy maintainability.
- The system shall support the backup of data to the satisfaction of PTCL.

- All basic, optional and enhanced features available in the software of the system shall be part of the offered system.
- The Contractor undertakes to provide technical support services throughout the implementation period and during the warranty period of the system.

Option B: Manual System (Worksheets):

- Frequency of updates in the Compliance Universe.
- Required number of dedicated resources to perform the required updates.