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**TERMS OF REFERENCE**

**BID NO: PROJ/IT/2021/22/02**

**APPOINTMENT OF A SERVICE PROVIDER FOR PROVISION OF ELECTRONIC DOCUMENT  
AND RECORDS MANAGEMENT SOLUTION (EDRMS) INCLUDING THREE (3) YEARS OF  
MAINTENANCE AND SUPPORT SERVICES**

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## 1. BACKGROUND

- 1.1 The Insurance Sector Education and Training Authority (INSETA) is a public entity listed in schedule 3A of the PFMA and was established in March 2000. The INSETA must perform, in accordance with any prescribed requirements of the Skills Development Act (SDA), the Skills Development Levies Act (SDLA), the Public Finance Management Act (PFMA), the Constitution and any other relevant legislation.

## 2. PURPOSE

INSETA is sourcing an Electronic Document and Records Management Solution from a suitable service provider (EDRMS). The proposed solution must include the following:

- 2.1 Development and drafting of a document management framework and a file plan (Policy and Standard Operating Procedure documents) for INSETA.
- 2.2 Implementation and training of records and file plan management
- 2.3 Electronic Document and Records Management System including a three (3) year maintenance and support services (including skills transfer).
- 2.4 Compliance with National Archives Act, POPIA, INSETA policies and procedures and other relevant legislation.

## 3. SITUATION ANALYSIS

INSETA has resolved to automate the administration of document and records management. The current INSETA business operational environment consists of:

### 3.1 Core Business Divisions

- 3.2.1. Learning Programmes (Youth Workers and Special Projects)
- 3.2.2. Education Training Quality Assurance (ETQA)
- 3.2.3. Project Management Office
- 3.2.4. Skills Division
- 3.2.5. COO's Office

### 3.2 Support Services Divisions

- 3.2.1. Finance and CFO'S office
- 3.2.2. Facilities Management
- 3.2.3. Supply Chain Management (SCM)
- 3.2.4. Governance and CEO's Office
- 3.2.5. Human Resource Management
- 3.2.6. Marketing and Public Relations
- 3.2.7. Information Technology

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### 3.3 IT File and storage Infrastructure

The INSETA currently utilizes Shared Drives to store documents electronically with the following specifications:

- 3.3.1. Windows Server 2019
- 3.3.2. RAM – 32GB
- 3.3.3. Storage - 2TB
- 3.3.4. Access is provided based on segregation of duties in line with job roles.

**3.4** INSETA divisions are currently utilizing a decentralized manual filing system with each division packaging and filing their records independently, in an unstandardized manner.

**3.5** INSETA lacks integration with its internal decentralized filing system and its external archiving solution.

## 4. SCOPE OF WORK

The bidder's proposal must include (but not limited to) the following requirements:

**4.1 Bidder must develop, draft, and submit a document management framework and a file plan (Policy and Standard Operating Procedure documents) for INSETA that includes the following (as part of bidder's proposal):**

- 4.1.1. Document management life cycle (end-to-end) including archiving
- 4.1.2. Document management practices in line with relevant legislations
- 4.1.3. Naming conventions and folder structures (Records classification /file plan).
- 4.1.4. Process flow file plan: that is applicable to each division, applicable to records classification/ category, applicable to an authority type, applicable version controls (both hard copy and electronic records that are identical).
- 4.1.5. Information classification scheme (in line with the Minimum Information Security Standard)
- 4.1.6. Digital preservation (digital and hard copy preservation of documents)
- 4.1.7. Archiving and disposal of information (retention period applicable to each division and POPIA)
- 4.1.8. Education and training
- 4.1.9. Interaction with other legislation and policies



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## **4.2 Implementation of records and file plan management**

- 4.2.1. Bidder to recommend, identify and capacitate records managers and registry administration staff within each division.
- 4.2.2. Bidder to implement standardization of processes in line with the proposed SOP

## **4.3 Electronic Document and Records Management System including a three (3) year maintenance and support services (including skills transfer)**

- 4.3.1. A system that provides the ability to capture, describe and categorize, store and retrieve, share and reuse electronic documents regardless of specific format. The Solution must allow the storage of email messages

## **4.4 The Electronic Document and Records Management System must preserve security through the following primary functions at a minimum:**

- 4.4.1 Security and protection (system and information)
- 4.4.2 Backup and system recovery

## **4.5 Security and access control. This function controls which users have access to which information. Any system that you use must be able to protect not-public records as defined by INSETA.**

- 4.5.1 The solution must manage security groups based on end user roles, access rights and audit trails within the organization.
- 4.5.2 The solution must identify the access and rights of end users within the EDRMS.
- 4.5.3 The solution must control what actions can be performed on which records – such as read, edit, update, metadata, perform administrative actions, etc.
- 4.5.4 The solution must be able to provide restrictions on the ability to modify stored, declared records and their associated metadata.
- 4.5.5 The solution must support the implementation of appropriate controls based on the security classification content (high, medium, low, and unclassified information).

## **4.6 The solution keeps an audit trail of all activities to be able to report on these activities as needed:**

- 4.6.1 The solution must maintain an audit trail of all activities by the end user for each document:
- 4.6.2 The solution must have a reporting capability for authorized end users, to provide management and statistical reports on system activity; and
- 4.6.3 The solution must be compatible with INSETA file classification structure.

## **4.7 Authenticity and integrity of records to enable the permanent preservation of records through the following primary functions at a minimum:**

- 4.7.1 To automate and manage a functional subject file plan according to which records are filed
- 4.7.2 Maintaining the relationships between records, file series and the file plan.



- 4.7.3 Managing the integrity and reliability of the records.
- 4.7.4 Managing records in all formats in an integrated manner

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**4.8 Conversion of all manual documents and records to the newly installed Electronic Document and Records Management System.**

**4.9 The solution allows document versioning (Version Control).**

- 4.9.1 The solution must allow multiple versions of documents.
- 4.9.2 The solution must support the concept of 'check-in and check-out' for documents.
- 4.9.3 The solution must allow configurable automatic check out of a document, whenever the document is opened.
- 4.9.4 The solution must allow configurable automatic check-in of adocument whenever the document is closed; and
- 4.9.5 The solution must allow to list the difference on the version ofdocument if any records are modified.
- 4.9.6 The solution must allow collaboration

**4.10 The Solution must provide for disposable of records and the management thereof**

- 4.10.1 Identifying records that are due for disposal and managing the disposal process
- 4.10.2 Disposal should be in compliance with National Archives Act, POPIA, INSETA policies and procedures and other relevant legislation.
- 4.10.3 Automation of retention periods

**4.11 The solution fully integrates with other desktop applications to allow importing documents to EDMRS (Without exiting the application)**

- 4.11.1 The solution must integrate with MS Office and 365 including word,excel, outlook, PowerPoint, publisher, one-note).
- 4.11.2 The solution must integrate with Adobe Acrobat Reader andProfessional; and
- 4.11.3 The solution should integrate screen capture using Microsoft snipping tool or Print Screen.
- 4.11.4 The solution should allow electronic signature for approvals

**4.12 Bidder must provide Support Services and Training**

- 4.12.1 During the three-year maintenance and support, the bidder must provide skills transfer to the INSETA
- 4.12.2 Provide an in-house training for staff on file plan management and super users.
- 4.12.3 Provide technical training; in the form of first line support and administrator.

## 5. DELIVERABLES

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- 5.1. Supply, deliver, install and setup the server for Electronic Document and Records Management System.
- 5.2. Supply, installation, test, and configure Electronic Document and Records Management Systems.
- 5.3. Commissioning and Integration of Electronic Document and Records Management System to the Financial Management System, Domain Controller, email Exchange Server, and any other system that INSETA may deem necessary at the time of commission time thereafter within.
- 5.4. Convert all manual documents and records to the newly installed Electronic Document and Records Management System.
- 5.5. **Provision of additional licenses each year as and when required (at no additional cost)**
- 5.6. Provision of EDRMS software annual maintenance fee for three (3) year after completion of the project
- 5.7. **Make provision for future developments, maintenance and support, update and upgrade, test and restore for three (3) years by including the following:**
  - 5.7.1 Hourly rate for system developments (e.g., workflows, File plan amendments)
  - 5.7.2 Hourly rate for backup storage and quarterly backup testing and restore
  - 5.7.3 Hourly rates for first-line support
  - 5.7.4 Travelling rates, i.e., if outside INSETA Jurisdiction (**South African Revenue Services Rates**)
- 5.8 The system must allow for scalability and skills transfer during the period of the contract.
- 5.9 To provide backup as secondary storage.
- 5.10 Setup the installed server to integrate with other INSETA systems and configure the server for backup and replication.

## 6. PROJECT TIMEFRAME

- 6.1 The supply, delivery and installation must be completed within **365 days (1 year)** upon appointment. *(With earlier completion encouraged, without compromising the quality of the project implementation)*
- 6.2 The signing of three (3) years 'maintenance and support Service Level Agreement

## 7. CONTRACTUAL OBLIGATION

- 7.1 All prices indicated in the pricing schedule must remain fixed (total cost) for the remainder of the project, and bidder to clearly indicate project implementation costs, applicable licensing costs, as well as the three (3) maintenance and support costs.

- 7.2 The service provider's quotation must also provide sufficient detail in terms of various cost items such as total "man" hours and daily rates for the project team.
- 7.3 In the case of the service provider using sub-contractors, the former will be responsible for ensuring delivery of services from any such sub-contractors and for making any payments to such sub-contractors.
- 7.4 **Bidder will be subjected to quarterly review in terms of measuring satisfactory performance in line with the Service Level Agreement (SLA) obligations.**
- 7.5 The successful bidder will be required to have adequate professional indemnity as well as liability insurance in place **(upon parties contracting).**

## 8. ABSENCE OF OBLIGATION & CONFIDENTIALITY

- 8.1 No legal or other obligation shall arise between the service provider and INSETA unless/until both parties have signed a formal contract or Service Level Agreement in place.
- 8.2 The Contract site is at **INSETA office building (as and when required).**

## 9. PREQUALIFICATION CRITERIA (Phase 1)

- 9.1 Bidder must provide proof (BBBEE Certificate accredited by SANAS or Department of Trade Industry (DTI) Sworn Affidavit) **and must be an EME, QSE, GENERIC only (level 1 or level 2 BBBEE contributor)** status will be considered.

***Note: All bidders who do not comply with the items listed above will be disqualified.***

## 10. MANDATORY CRITERIA

- 10.1 The bidder must provide proof of Original Software Developer (where applicable). or
- 10.2 The bidder(s) must submit proof of authority from the OSD (Original Software Developer) to distribute and/or resell within South Africa (the proof of authority must be a letter from the OSD). or
- 10.3 The bidder(s) must provide proof of evidence (the evidence must be a letter from the distributor giving reseller right to the reseller) from an authorised distributor to resell within South Africa.
- 10.4 The bidder(s) must provide proof of accreditation or certification for maintenance and support on software, as an OSD distributor or reseller

## 11. EVALUATION CRITERIA

- 11.1 Responses will be evaluated using a predetermined set of evaluation criteria. The evaluation criteria is designed to reflect the INSETA's requirements in terms of identifying a suitable service provider and ensure the selection process is transparent and affords all the bidders a fair opportunity for evaluation and selection.



**11.2 Functional Evaluation threshold**

11.2.1 The tender submission will be functionally evaluated out of 75 points **(phase 2)**, should the bidder/s not meet the required points, they will be disqualified and will **not qualify for evaluation of Demonstrations (Phase 3)**

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**11.3 Functional Evaluation Criteria Phase 2:**

11.3.1 The evaluation is based on functionality, which will be evaluated using the following criteria and points:



Evaluation Area	Evaluation Criteria	Maximum Points
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<p><b>Bidder's Previous Experience</b></p> <p><i>Working together for a skilled tomorrow</i></p>	<p>The bidder must provide evidence in the form of reference letters for an Electronic Document and Records Management Solution that was fully completed.</p> <p>Reference letters - dated and signed with contactable references (preferably an active email address), detailing the EDRMS solution completed for projects not older than 5 years)</p> <ul style="list-style-type: none"> <li>• 4 and above reference letters of completed projects = <b>55 points</b></li> <li>• Minimum of 3 reference letters of completed projects = <b>35 points</b></li> </ul> <p><b>Non-compliance with the minimum criteria = 0 points</b></p>	<p><b>55</b></p>
<p><b>A detailed project implementation plan (GANTT Chart):</b></p>	<p>The bidder must provide a project implementation plan which details how the service will be carried out over a <b>365 days (1 year)</b> period. The plan should include project timeframes and deliverables</p> <p>A detailed project plan (GANTT chart) that responds to the proposed solution. The GANTT Chart must include the list of activities to successfully complete the proposed implementation of the EDRMS solution</p> <ul style="list-style-type: none"> <li>• GANTT Chart = <b>5 points</b></li> <li>• The development of a Policy and Standard Operating Procedure (SOP) for EDRMS = <b>5 points</b></li> <li>• The development of a file plan = <b>5 points</b></li> <li>• The conversion of manual documents into the EDRMS = <b>5 points</b></li> <li>• File plan management training = <b>5 points</b></li> <li>• Technical training = <b>5 points</b></li> <li>• supply and delivery of the EDRMS = <b>5 points</b></li> <li>• Installation, configuration, and integration = <b>5 points</b></li> <li>• Commissioning = <b>5 points</b></li> </ul> <p><b>Non-compliance with all the above criteria = 0 points</b></p>	<p><b>45</b></p>
<p><b>TOTAL</b></p>		<p><b>100</b></p>

11.2.2 Bidders who obtain less than the minimum threshold of **70 points** will be declared non-responsive and therefore will not be eligible for **evaluation demonstrations**.

#### 11.4 Demonstration Evaluation Criteria Phase 3:



The evaluation is based on functionality, which will be evaluated using the following criteria and points:

Evaluation Area	Functional Criteria	Max. Points
Virtual Solution Demo	The bidder must demonstrate a working solution based on bidder's proposal <ul style="list-style-type: none"><li>Bidder proposed Electronic Document Management Solution that integrates with Microsoft 365 = <b>50 points</b></li></ul> <b>Non-compliance with any of the above = 0 point</b>	<b>50</b>
<b>TOTAL</b>		<b>50</b>

11.4.2 Bidders who obtain less than the threshold of **50 points** will be declared non-responsive and therefore will not be eligible for **evaluation of BBBEE & Price Preference**.

#### 11.5 Preference Evaluation: Phase 4

##### BBBEE and Price

As the tender **price is estimated to be below R50 million**, the tender responses will be evaluated on the **80/20**-point system.

#### 12. ADJUDICATION USING A POINT SYSTEM

- 12.1** The bidder obtaining the highest number of total points will be awarded the contract unless objective criteria justify the award to another bidder
- 12.2** Preference points shall be calculated after process has been brought to a comparative basis taking into account all factors of non-firm prices.
- 12.3** In the event that two or more bids have scored equal pints, the successful bid must be the one scoring the highest number of preference points for B-BBEE.
- 12.4** However, when functionality is part of the evaluation process and two or more bids have scored equal points for B-BBEE, the successful bid must be the one scoring the highest score for functionality
- 12.5** Should two or more bids be equal in all respect, the award shall be decided by the drawing of lots.

**13. POINTS AWARDED FOR PRICE**

The **80/20** preference point system

A maximum of **80** points is allocated for price on the following basis:

$$P_s = 80 \{1 - (P_t - P_{\min})\}$$

P min

Where:

- P<sub>s</sub> = Points scored for comparative price of bid under Consideration  
 P<sub>t</sub> = Comparative price of bid under consideration  
 P<sub>min</sub> = Comparative price of lowest acceptable bid

**14. B-BBEE PREFERENTIAL POINTS WILL BE AWARDED AS FOLLOWS:**

B-BBEE Status Level of contributor	Number of points 80/20 system
1	20
2	18
3	14
4	12
5	8
6	6
7	4
8	2
Non-compliant contributor	0

- 14.1** Bidders who qualify as EME's and QSE's in terms of the B-BBEE Act must submit a Sworn affidavit. Misrepresentation of information constitutes a criminal offence.
- 14.2** Bidders other than EME's or QSE's must submit their original and valid B-BBEE status level verification certificate or a certified copy thereof, substantiating their B-BBEE rating issued by SANAS.
- 14.3** A trust, consortium or joint venture will qualify for points for their B-BBEE status level as a legal entity, provided that the entity submits their B-BBEE status level certificate.
- 14.4** A trust, consortium or joint venture will qualify for points for their B-BBEE status level as an unincorporated entity, provided that the entity submits their consolidated B-BBEE scorecard as if they were a group structure and that such a consolidated B-BBEE scorecard is prepared for every separate bid.
- 14.5** Tertiary institutions and public entities will be required to submit their B-BBEE status level certificates in terms of the specialized scorecard contained in the B-BBEE Codes of Good

## 14.6 Consortium

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- 14.6.1. A consortium is an association of two or more individuals, companies, organisations or governments (or any combination of these entities) with the objective of participating in a common activity or pooling their resources for achieving a common goal.
- 14.6.2. A consortium requires that each participant retains its separate legal status and the consortium's control over each participant is generally limited to activities involving the joint endeavor, particularly the division of profits. A consortium is formed by contract, which designates the rights and obligations of each member.
- 14.6.3. In a consortium, only the lead bidder's credentials both in terms of financial and technical qualifications are considered. Therefore, the interpretation and application to a RFQ/Bid process is such that the lead partner is identified, and the following requirements are required as follows:
- a) Lead Partner**
- All administrative documents (consortium agreement between the lead partner and the partner)
  - Technical requirements (which will show in the proposal and other requirements why the need for the consortium, which for all intent and purpose fulfils the requirements of the bid through combination of skills)
- b) Partner**
- Proof of CSD registration.
  - Tax Pin.
  - BBBEE Sworn-Affidavit.
  - SBD 4 Declaration of interest.
  - SBD 8 Past supply chain.
- 14.6.4. It should be taken into cognizance that although the lead partner is the qualifying entity, the partner should prove that it can do business with state-owned entities, through CSD registration, proof that the taxes are compliant, its level of BBBEE status in order to align with the BBBEE status level required by the BID, declare interest and answer questions that it is not a disqualified entity with the National Treasury. The foregoing ensures compliance from an SCM process perspective that the consortium is in order.
- 14.6.5. Of importance is that in a consortium, each individual team members retain their identities.

## 14.7 A joint venture

- 14.7.1. A joint venture is a business entity created by two or more parties, generally characterized by shared ownership, returns and risks and shared governance.

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#### **14.8 Unincorporated joint venture:**

14.8.1. All SCM documents are filled in by the joint venture in the name of the joint venture, although the submission of administrative documents (partnership agreement between parties) will be completed in the name of the joint venture, and the following will be required from both parties, amongst others

- a) SBD 4.
- b) SBD 6.
- c) SBD 8.
- d) SBD 9.
- e) Tax pin
- f) CSD registration.
- g) The JV agreement will direct which bank account of the two entities will be used.
- h) Consolidated Joint BBBEE Certificate.

#### **14.9 Incorporated joint venture**

14.9.1. This aligned to a registered entity or company. A registered entity/ company with a consolidated BBBEE certificate and a bank account in the name of the Joint venture. The required compliance documents must be complete by the entity/ company the name of the joint venture, and the following will be required amongst others

- a) SBD 4.
- b) SBD 6.
- c) SBD 8.
- d) SBD 9.
- e) Tax pin
- f) CSD registration.
- g) The JV agreement will direct which bank account of the two entities will be used.
- h) Consolidated Joint BBBEE Certificate.

14.9.2. A person will not be awarded points for B-BBEE status level if it is indicated in the bid documents that such a bidder intends sub-contracting more than 25% of the value of the contract to any other enterprise that does not qualify for at least the points that such a bidder qualifies for, unless the intended Sub-contractor is an EME that has the capacity and the ability to execute the sub-contract.

**14.10** A person awarded a contract may not sub-contract more than 25% of the value of the contract to any other enterprise that does not have equal or higher B-BBEE status level than the person concerned, unless the contract is sub-contracted to an EME that has the capacity and the ability to execute the sub-contract.

**14.11** A person will not be awarded points for B-BBEE status level if it is indicated in the bid documents that such a bidder intends sub-contracting more than 25% of the value of the contract to any other enterprise that does not qualify for at least the points that such a bidder qualifies for, unless the intended Sub-contractor is an EME that has the capacity and the ability to execute the sub-contract.

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**14.12A** A person awarded a contract may not sub-contract more than 25% of the value of the contract to any other enterprise that does not have equal or higher B-BBEE status level than the person concerned, unless the contract is sub-contracted to an EME that has the capacity and the ability to execute the sub-contract.

## **15. COMMUNICATION**

Respondents are warned that a response will be disqualified should any attempt be made by a bidder either directly or indirectly to canvass any officer(s) or employees of INSETA in respect of BID process, between the closing date and the date of the award of the business.

All enquiries relating to this BID should be emailed **three (3) days before the closing date.**

## **16. CONDITIONS TO BE OBSERVED WHEN BIDDING**

The organization does not bind itself to accept the lowest or any BID, nor shall it be responsible for or pay any expenses or losses which may be incurred by the bidder in the preparation and delivery of his BID submission. The organization also reserves the right to withdraw or cancel the BID at any stage.

No BID shall be deemed to have been accepted unless and until a formal contract / letter of award is prepared and executed.

The competitive shall remain open for acceptance by the Organization for a period of **120 days** from the closing date of the BID Enquiry.

**INSETA reserves the right to:**

- 16.1** Not evaluate and award a bid that do not comply strictly with this BID document.
- 16.2** Make a selection solely on the information received in the Bid Document and Enter into negotiations with any one or more of preferred bidder(s) based on the criteria specified in the terms of reference.
- 16.3** Contact any bidder during the evaluation process, in order to clarify any information, without informing any other bidders. During the evaluation process, no change in the content of the BID shall be sought, offered, or permitted.
- 16.4** Cancel this BID at any time as prescribed in the PPPFA regulation.
- 16.5** Should bidder(s) be selected for further negotiations, they will be chosen on the basis of the of cost effectiveness and the principal of value for money not necessarily on the basis of the lowest costs.



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**17. Cost of Bidding**

The bidder shall bear all costs and expenses associated with preparation and submission of its BID submission and the INSETA shall under no circumstances be responsible or liable for any such costs, regardless of, without limitation, the conduct or outcome of the bidding, evaluation, and selection process.

**18. Note to Bidders:**

Due diligence to be conducted by INSETA prior to the award of the contract.

**END OF TERMS OF REFERENCE DOCUMENT**

