

HEAD OFFICE

ETDP SETA House
2 - 6 New Street
Gandhi Square
South Marshalltown
Johannesburg CBD
Private Bag X105
Melville, 2109
Tel: (011) 372 3300

EASTERN CAPE

Waverley Office Park
3 - 33 Phillip Frame Road
Chiselhurst
East London, 5200
Tel: (043) 726 8314
Fax: (043) 726 8302

FREE STATE

Sanlam Building
163 Nelson Mandela Dr
Bloemfontein, 9300
Tel: (051) 430 5072
Fax: (051) 430 5080

GAUTENG

Braampark Office Park
33 Hoofd Street
Forum 4, 2nd Floor
Braamfontein
Johannesburg, 2091
Tel: (011) 403 1301/2/3/6
Fax: (086) 614 8781

KWAZULU-NATAL

Durban Bay House
333 Anton Lembede Street
12th Floor, Suite 1203
Durban, 4001
Tel: (031) 304 5930
Fax: (031) 301 9313

LIMPOPO

Kwane Chambers
29 Hans van Rensburg Str
Office No: 01
Polokwane, 0700
Tel: (015) 295 9303
Fax: (015) 295 9301

MPUMALANGA

Streak Office Park
6 Streak Street
Block B, 1st Floor
Nelspruit, 1201
Tel: (087) 700 8113
Fax: (013) 752 2917

NORTHERN CAPE

Bobby's Walk Building
6A Long Street
Kimberley, 8300
Tel: (053) 832 0051/ 2
Fax: (053) 832 0047

NORTH WEST

Sparkling Office Park
78 Retief Cnr Peter
Mokaba Street
Potchefstroom, 2531
Tel: (018) 294 5280
Fax: (018) 294 5719

WESTERN CAPE

Sunbel Building
2 Old Paarl Road
Office 205, 2nd Floor
Belville, 7530
Tel: (021) 946 4022
Fax: (021) 946 4043



Education, Training and Development Practices Sector Education and Training Authority

SCMU NO: 05 - 2020/21

REQUEST FOR BIDS

TERMS OF REFERENCE FOR THE IMPLEMENTATION, SUPPORT AND MAINTENANCE OF A WORKFLOW AND ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) FOR THE ETDP SETA

1. INTRODUCTION

The Education Training and Development Practices Sector Education and Training Authority (ETDP SETA) is a public entity established in terms of Section 9(1) of the Skills Development Act, No 97 of 1998 to advance skills levels in accordance with the National Skills Development Strategy III. The Mandate of the ETDP SETA is to promote and facilitate the development and improvement of the skills profile of the sector's workforce in order to benefit employers and employees in the ETD sector.

2. PURPOSE

2.1. PURPOSE OF THE PROJECT

The ETDP SETA is looking for a competent and suitably experienced service provider to implement its Digital Transformation Strategy through the implementation, support and maintenance of a workflow and electronic document management system (EDMS) by automating and digitizing its document workflow and electronic document management value chain which includes; amongst others; submissions, claims and filing and archive of its documents as per the Archive Strategy and File Plan.

3. PROJECT SCOPE AND REQUIREMENTS

3.1. Overview

The ETDP SETA is in the process of digitising its business processes to improve organisational efficacy (efficiency and effectiveness) and productivity; and reduce duplication in business processes / activities. The successful bidder will be required to implement, support and maintain a robust system which will automate end-to-end processes for workflow and electronic document management from initiation approvals, filing as

the ETDP SETA file plan, and archiving as per the ETDP SETA backup / archive strategy in compliance with the National Archives Act (Act No. 43 of 1996), as amended.

The ETDP SETA staff complement is ±150 with the Head Office situated in Johannesburg and provincial offices in major cities across the country. The organisation's business model requires processing or large volumes of paper. The organisation has a desire to digitally transform its business processes, including digitisation of the value chain involving workflow, document management, filing and archiving. The high level structure of the organisation is as follows:

Business Unit	Process Indicators
Office of the CEO	Manual
Performance monitoring and evaluation	Manual
Operations	Learner management systems with manual processes
- ETQA	
- Constituency Support	
- Project Management	
Governance, Risk and Compliance	Risk Management system
Finance	Financial system with manual processes
Supply Chain Management	Manual processes
Corporate Services	Payroll and stipends processing system, and ESS with manual processes on others sub units
- Human Resource Management	
- Facilities	
- Legal Services	
Research and Skills Planning	Automated WSP submission and ATR with manual mandatory grant payment processes
ICT Services	Service Desk
Marketing and Communication	Internal and external communication, stakeholder relations, website and Intranet management.

The workflow and EDMS cuts across the entire value chain. The function of information and records management, which will overlook the system and its processes, resides in the ICT function. The system will be used by all the above business units for automation of the workflows and document management in their processes.



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3.2. Legacy Systems

The business model of the ETDP system was designed to be paper intensive with high paper processing. There is no integration at most posts with multiple copies of the same records required to be made to preserve the original.

Documents are currently processed physically in manual format. Such documents are then physically moved from one person to another in different business units of within the same unit.

Documents are then handed over to the Records and Information Officer at the end of the value chain. The following processes are then followed:

- The physical documents are indexed using the FileRite system and the physical records are archived.
- A project to digitise the documents using an MFiles has already started.

3.3. Technical Requirements

The system should meet the below minimum requirements:

a) User authentication

The system must integrate with the Active Directory (AD) for authentication of users and also allow for additions of third party authentication authorised as part of the workflow but not on the AD.

b) Built-in security

The system must have built-in Segregation of Duties (SoDs) with security of who can read, write, execute, and restrictions clearly defined. The system should cater for documents classification.

c) System performance

The system must have a form builder embedded for creation of user customised forms. The system must automate the entire value chain of document management and processing, including; submissions, invoices, claims, contracts management, SLAs, MoA, and MoUs; without limitation. The system must automatically combine documents on the same workflow into a single PDF document and create Table of Contents for such combined documents in the sequence provided.

d) Dashboards

Users should land on the personalised Dashboards upon logging on to the system. The dashboards should be categorised in terms of buckets for each specific process / workflow / status. The buckets should also align to different stages of the workflow.

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e) Reviews, Approvals, Rejection Processes

The system must allow for electronic and digital, and advanced electronic signatures as per the Electronic Signature Guidelines of 2019 as published by the Department of Public Service and Administration (DPSA). The system must provide for encryption of all signatures uploaded. The system must enable users to upload their signatures onto the system. The system must attach a date and time stamp with every signature.

The system must cater for signatories in a processes manner and also allow for group signatories. All rejections should make provision for mandatory reason for rejection. The system must also allow the administrator to give access to specific process and / or documents. The system must allow for withdrawal or recall of the process already in the pipeline.

The system should be customised to include the Delegation of Authority embedded in it.

f) Notifications

The system must be integrated with an e-mailing system for notifications. All users involved in the process should receive notification of new items in their inbox and / or any movement of their processes in the pipeline. Reminders, escalations and reassignment / nominations are mandatory.

g) Collaboration and Integration

The system should allow documents to be retrieved and worked on by an authorised user. Should allow for real-time collaboration allowing multiple users to view and modify documents at the same time, whereas in other instances lock the document for modification by other users, while maintaining document history.

The system must integrate with other systems of the ETDP SETA (current or future ERP) learning management systems, etc., for easy retrieval of documents, making changes and saving the change document back to the EDMS repository, without leaving the application; through an application programming interface.

h) Metadata and Versioning (Audit Trail)

The system must store metadata for each document. The metadata must be stored automatically without user intervention. The metadata should also be used to search for the document within the system. The system must maintain different versions of documents with options to refer to the previous version of the document. This versioning is required every time a change is made to a document.

The system must maintain an automatic audit trail of events by users and administrators.

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Migration of current physical records and / or ingestion of current digital records

The organisation is in the process of digitising current physical records into the MFiles system. The bidder will be required to ensure that the current physical records are ingested from the current MFiles system and / or digitised where physical records still exist necessary. All digitised records already on the MFiles system must be migrated to the new system.

i) Filing and Archiving

The bidder should create a file plan into the EDMS. The system should allow users to upload documents and / or scan directly into the file plan as per the necessary permissions.

Filing of the documents must automatically follow the File Plan with clear retention periods, allow for backup processes, and destruction processes. In other instances, users should also be allowed to select the file location.

j) Hosting

The system must be compatible with both hosted and on premise hosting facilities.

For on premise solution, the standard SQL database, with encryption, should be used. Data should be extractable and migrated to different database / system.

For a hosted solution in the cloud, the data must be stored in a format able for extraction and migration to another system in the event the ETDP SETA opt not to continue with the contract. The data remains the property of the ETDP SETA. The data must be stored and processed in a manner compliant with the Protection of Personal Information (PoPI) Act No. 4 of 2013, as amended.

k) Training

- User training must be provided in upon implementation.
- Handholding / on the job training must be provided
- Train the trainer processes must be provided
- Admin training must be provided.
- User manuals must be provided both outside and within the system for ease of reference by the users

l) Support and Maintenance

- Full support and maintenance of the system will be required for the duration of the contract.

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4. DELIVERABLES

4.1. Project Execution Plan

A detail project execution plan outlining the implementation processes, approach, resources tools and allocation, timelines (realistic with key milestones) and deliverables, handholding, and support and maintenance, *inter alia*, must be submitted with the bid.

4.2. Milestone Base Payment Schedule

The Milestone-Based Payment Schedule should follow the structure depicted on the Costing Model below, breaking down payment schedules at each and every phase of the project.

4.3. Electronic Document Management System (EDMS)

Fully automated Electronic Document Management System embedded with the workflow management module. The EDMS must comply with the ETDP SETA confidentiality policies and principles and relevant legislative prescripts governing data management and processes.

4.4. Built-in Workflow Management Module

The electronic document management systems must have a built-in workflow module. The system must digitise all workflow processes end-to-end; i.e. all claims and invoices should follow the approval processes within the system and automatically be routed to finance (upon approval) for payment. The entire process pack, including payment data to be filed and archived. The Administrator must create rules for the flow of the process. The system must allow for dynamic rules and advanced workflow processes.

5. DURATION OF THE AGREEMENT

It is expected that the duration of the agreement will be for a period of 5 years (60 months); including project initiation, Implementation, and support and maintenance. The Project Execution Plan deliverable as per Paragraph 4 above, must provide a detailed execution plan for the duration of the agreement.

6. COSTING MODEL (PRICING SCHEDULE)

The Bidder must provide a signed costing proposal on the company letterhead. The bidder's proposal costing should follow the below template which is provided as a guideline. All pricing shall be in South African Rand (ZAR). All project milestones with costing should be listed on the pricing schedule.

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e.g.

Item no.	Description	Costing (Excl. VAT)
	Year 1	
	- License / subscription (EDMS & Workflow)	
	- Installation / setup costs	
	- Professional Services (<i>Please give detail, e.g. maintenance and support, training, etc.</i>)	
	- Ingestion of current digital records and / or migration of current physical documents. Cost of ingesting current digital records from the MFiles system and of scanning any physical records must be indicated upfront to the file plan. Indicate costing per data range.	
	Year 2	
	- License / subscription (EDMS & Workflow)	
	- Installation / setup costs	
	- Professional Services (<i>Please give detail, e.g. maintenance and support, training, etc.</i>)	
	Year 3	
	- License / subscription (EDMS & Workflow)	
	- Installation / setup costs	
	- Professional Services (<i>Please give detail, e.g. maintenance and support, training, etc.</i>)	
	Year 4	
	- License / subscription (EDMS & Workflow)	
	- Installation / setup costs	
	- Professional Services (<i>Please give detail, e.g. maintenance and support, training, etc.</i>)	
	Year 5	
	- License / subscription (EDMS & Workflow)	
	- Installation / setup costs	
	- Professional Services (<i>Please give detail, e.g. maintenance and support, training, etc.</i>)	
	Total Cost (Excl. VAT)	
	VAT	
	Total Cost (Incl. VAT)	

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7. EVALUATION CRITERIA

THE ETDP SETA applies the provisions of the PREFERENTIAL PROCUREMENT POLICY FRAMEWORK ACT, ACT NO 5 OF 2000 and Preferential Procurement Regulations, 2017. The evaluation will be guided by ETDP SETA procurement policy.

Folder A must have documents for Stage 1 and Stage 2,

7.1. STAGE 1 (Folder A)

Bidders will be evaluated on the submission of the requested mandatory documents.

7.1.1. MANDATORY DOCUMENTS TO BE SUBMITTED IN ORDER TO BE ELIGIBLE FOR EVALUATION STAGE

1. Invitation to Bid - SBD1
2. Declaration of Interest – SBD 4
3. Declaration of Bidder's Past Supply Chain Practices – SBD 8
4. Certificate of Independent Bid Determination – SBD 9
5. Functional Compliance Form – Annexure A
6. Proof of product / system ownership or Original Equipment Manufacturer (OEM) Accreditation

NB: Failure to submit any of the above-requested mandatory documents will lead to disqualification.

7.2. STAGE 2 (Folder A)

The evaluation of this bid shall include functionality whereby the bids will be evaluated in terms of the evaluation criteria embodied in the bid documents.

- 7.2.1. The minimum qualifying score for functionality will be 80 points and bids that fail to achieve the minimum qualifying score will be disqualified.
- 7.2.2. Only bids that achieved the minimum qualifying score for functionality will be evaluated further in accordance with the 80/20 preference point systems prescribed in Preferential Procurement Regulations 5 and 6.

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The evaluation criteria for functionality will be as below:

NO	QUALIFYING CRITERIA FOR SHORT LISTING	POINTS
1.	<p>Experience & References: Company proof of conducting similar business and contactable references</p> <p>1.1. Experience: Conducting similar business (provide signed proof on referee's company letterhead indicating the type of project and when it was carried out) (20)</p> <ul style="list-style-type: none"> o 5 years and above = 20 o 3 to 4 years = 10 o 1 to 2 years = 5 <p>1.2. Contactable reference: (All references must be for companies within RSA and references should be on the referee's company letterhead) (20)</p> <ul style="list-style-type: none"> o 3 or more references = 20 o 2 references = 10 o 1 reference = 5 <p><i>N/B In the event of sub-contracting, the bidder must submit the above reference letters of the main contractor and the main contractor's certificate to the bidder indicating the bidder's involvement in the specific project(s). This must be submitted for each project.</i></p>	40
2.	<p>Composition of the Project Team</p> <p>Profile of key staff and CV's to be attached.</p> <ul style="list-style-type: none"> • Project Team Structure (5) <ul style="list-style-type: none"> o Project Team structure responsible for the project with clear roles and responsibilities for each of the team members = 5 • Relevant experience of Project Manager in managing similar projects (Resume should clearly indicate the projects, projects duration, names of clients) (15) <ul style="list-style-type: none"> o 5 years and above = 15 o 3- 4 years = 10 o 1 -2 years = 5 o Below 1 = 0 • Relevant experience of Project Technical Lead (Resume should clearly indicate the projects, projects duration, names of clients) (15) <ul style="list-style-type: none"> o 5 years and above = 15 o 3- 4 years = 10 o 1 -2 years = 5 o Below 1 = 0 	50

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	<ul style="list-style-type: none"> • Relevant experience of the Project Team (Resumes should clearly indicate the projects, projects duration, names of clients) (15) <ul style="list-style-type: none"> ○ 5 years and above = 15 ○ 3- 4 years = 10 ○ 1 -2 years = 5 ○ Below 1 = 0 <p><i>NB: Each CV will be evaluated against this criterion with aggregated score for all CVs. Any CV without the requisite information to enable this evaluation will be allocated a 0 score and will be counted when aggregating the score.</i></p>	
3.	<p>Project Plan required</p> <ul style="list-style-type: none"> ○ Detailed activity based project plan with clear milestones = 10 ○ High level project plan = 5 ○ No project plan = 0 	10
TOTAL		100

Bidders must provide documents to justify awarding the above points, and such proof should include details of contactable references to validate the information submitted. **Points will be awarded on a sliding scale only where indicated.**

Please take note of the value and scoring point system of your bid.

7.3. STAGE 3 (Folder B)

PRICING SCHEDULE DOCUMENTS

- a. Price Proposal– *Price must be final, include VAT [(if registered for VAT), signed.*
- b. Valid Tax Clearance Certificate or Unique security personal Identification number (PIN) issued by SARS
- c. Preferential Points Claim Form in terms of the Preferential Procurement Regulations, 2017 - **SBD 6.1 (If claiming preferential points)**
- d. B-BBEE certificate or sworn affidavit *(If claiming preferential points)*

80/20 preference point system shall be applicable as follows:

✓ Price	80
✓ B-BBEE status level of contributor	20

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In order to facilitate a transparent selection process that allows equal opportunity to all service providers, the ETDP SETA will adhere to its policy on the appointment of service providers.

8. BID CONDITIONS

The ETDP SETA Supply Chain Management Policy will apply:

1. ETDP SETA does not bind itself to appoint a bidder with the highest points.
2. ETDP SETA reserve the right to cancel the bid and not award the bid to any of the bidders.
3. Bids which are late, incomplete, unsigned or submitted by facsimile will not be accepted.
4. Bidders with a turnover above R 10 million must submit a valid certified B-BBEE Verification Certificate from SANAS Accredited Verification Agency in order to be eligible for empowerment points.
5. An Exempted Micro Enterprise (EME) is only required to submit a sworn affidavit or a Certificate Issued by Companies and Intellectual Property Commission (CIPC) confirming their annual turnover of R 10 million or less and level of black ownership to claim points.
6. A Qualifying Small Enterprise (QSE), is required to submit a sworn affidavit confirming their annual total revenue of between R 10 million and R 50 million and level of black ownership or a B-BBEE level verification certificate to claim points as prescribed.
7. B-BBEE Certificates obtained from Accountants/ Auditors after 31 December 2016 will no longer be accepted.
8. Companies who bid as a joint venture must submit a consolidated B-BBEE Verification certificate prepared for this bid only, from SANAS Accredited Verification Agency in order to be eligible for empowerment points. Companies who form part of this joint venture MUST have an accreditation certificate with relevant authority as stated in Mandatory documents.
9. Failure on the part of a bidder to submit proof of B-BBEE Status level of contributor, sworn affidavit or a B-BBEE Certificate, together with the bid, will be interpreted to mean that preference points for B-BBEE status level of contribution are not claimed.
10. Bids submitted are to hold good for a period of 90 days.
11. Deregistered and blacklisted companies including directors/owners/individuals linked to the company will not be considered. Due diligence will be conducted with successful bidders to validate submitted Information.
12. All suppliers must be registered on the National Treasury Central Supplier Database. No bid will be awarded to any supplier by ETDP SETA that is not registered on the Central Supplier Database.
13. Companies that are in the process of de-registration in the CIPC will not be considered.
14. The successful service provider must sign the penalty and termination clause as part of the agreement with ETDP SETA.

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9. BID DOCUMENTS / PROPOSAL PACKS

Bid documents for participation must be downloaded from the ETDP SETA website: www.etdpseta.org.za, Main Menu > Supply Chain > Procurement > Tenders as from 12h00 on 09 November 2020.

Bidders must submit technical and financial proposals in **two separate USBs/ CDs** clearly marked "Folder A - Technical Proposal" and "Folder B - Financial Proposal".

Folder B must include the complete and signed costing model and Valid Tax Clearance Certificate or *Unique security personal identification number (PIN) issued by SARS and must be in SARS letterhead* (Mandatory) & fully completed SBD 6.1 form or B-BBE Certificate or a signed Sworn Affidavit (if claiming preferential points).

The financial proposal – Folder B, will only be opened should the technical proposal be found acceptable.

All Bids/Proposals must be SUBMITTED via an email to Tenderers@etdpseta.org.za

OR

Hand / Courier delivered to:

ETDP SETA HOUSE
2-6 NEW STREET
SOUTH MASHALTOWN
GHANDI SQUARE
JOHANNESBURG
2061

Submissions can be delivered between 08h00 and 16h30 Monday to Friday **BEFORE** the closing date and time of 11h00 on 01 December 2020.

No late submission will be accepted!

10. CLOSING DATE

All Proposals should reach the ETDP SETA Offices on or before 11h00 on 01 December 2020.

11. CONTACT PERSON

NO telephonic or any other form of communication relating to this bid will be permitted with any other ETDPSETA member of staff either by Bidders (as collective bidding team or individual of the bidding team), representative of Bidders, associates of Bidders, shareholders of Bidders, other than with the named individual stated below. ANY MEANS OF ATTEMPTING TO INFLUENCE THE ADJUDICATION PROCESS OR OUTCOMES OF THE ADJUDICATION PROCESS WILL RESULT IN IMMEDIATE DISQUALIFICATION OF THE ENTIRE BID. All enquiries regarding this bid must be in writing only and be directed to:

Supply Chain Management: Email: tenderers@etdpseta.org.za

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Note: Blacklisted companies appearing on the National Treasury database and prohibited from conducting business with public entities, will be disqualified.

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