



# **National Empowerment Fund**

**RFP No: NEF 02/2022/23**

**Development of a File Plan and Provision of a  
Records Management System**

**CLOSING DATE: 10 June 2022**

**TIME: 14H00**

**1. Proprietary Information:**

The National Empowerment Fund (NEF) considers this Tender and all related information, either written or verbal, which is provided to the respondent, to be proprietary to NEF. It shall be kept confidential by the respondent and its officers, employees, agents and representatives. The respondent shall not disclose, publish, or advertise this specification or related information in part or as a whole to any third party without the prior written consent of NEF.

**2. Enquiries**

All communication and attempts to solicit information of any kind relative to this Tender should be channelled to the officials named below:

**Contact persons (all questions should be in writing)**

**Commercial**

Kedibone Mboweni

Supply Chain Management

Tel: +27 11 305 8000

Email: [mbowenik@nefcorp.co.za](mailto:mbowenik@nefcorp.co.za)

**Technical**

Zandile Mhlongo

Secretariat Manager

011 305 8000

[mhlongoz@nefcorp.co.za](mailto:mhlongoz@nefcorp.co.za)

**3. Medium of Communication**

All the documentation submitted in response to this tender must be in English.

**4. Verification of Documents**

Tenderers should check the numbers of pages to satisfy themselves that none are missing or duplicated. No liability will be accepted by the NEF in regard to anything arising from the fact that pages are missing or duplicated.

**5. Validity Period**

Responses to this tender received from tenderers will be valid for a period of **150** days counted from the closing date of the tender.

## CONDITIONS AND UNDERTAKINGS BY TENDERER IN RESPECT OF THIS TENDER

### 6. Submission of Tenders

- 6.1. **TENDER RFP NEF 02/2022/23, Development of a File Plan and Provision of a Records Management System** must be emailed to [tenders@nefcorp.co.za](mailto:tenders@nefcorp.co.za) by no later than **14h00** on **10 June 2022**. A **virtual non-compulsory** briefing session will be held on **24 May 2022** at **11:00 AM**. To join the briefing session, names and email addresses must be submitted to [tenders@nefcorp.co.za](mailto:tenders@nefcorp.co.za) before **23 May 2022**
- 6.2. All enquiries regarding this RFP should also be directed to the following email addresses, [tenders@nefcorp.co.za](mailto:tenders@nefcorp.co.za); [mhlongoz@nefcorp.co.za](mailto:mhlongoz@nefcorp.co.za); [mbowenik@nefcorp.co.za](mailto:mbowenik@nefcorp.co.za) and [tofilex@nefcorp.co.za](mailto:tofilex@nefcorp.co.za).
- 6.3. No tender received by telegram, telex, facsimile or similar medium will be considered.
- 6.4. Where a tender document is not received at the time of the tender closing, such a tender document will be regarded as a late tender. Late tenders will not be considered.
- 6.5. The tenderer is responsible for all the costs that shall be incurred in relation to the preparation and submission of the tender document.
- 6.6. A list of all references (minimum 3) with contact details must be included in the tender document.
- 6.7. Copies of qualifications, identity documents (IDs) and the curricula vitae (CVs) of persons who will be involved in the execution of this tender should the tenderer be successful must be attached to the proposal.
- 6.8. The following information also needs to be provided with the tender document:
- Names and details of senior management
  - Employment equity details of employees at an operational level

- Percentage of ownership by number of:
  - Black ownership
  - Black women ownership
  - White women ownership
- Percentage of ownership by profit share of:
  - Black ownership
  - Black women ownership
  - White women ownership

6.9. An original valid Tax Clearance certificate must be included in the tender document. Failure to submit a certificate would render your tender invalid.

6.10. Copy/ies of any affiliations that you may have must be attached to the response to this tender.

6.11. Kindly note that the NEF is entitled to amend any tender conditions, validity period, specifications, or extend the closing date of tenders before the closing date. All tenderers, to whom the tender documents have been issued, will be advised in writing of such amendments within reasonable time after they are made.

6.12. The NEF reserves the right not to accept the lowest tender or any tender in part or in whole.

6.13. The NEF reserves the right to award this tender to a black empowered firm.

6.14. The NEF also reserves the right to award this tender to any party whom it decides as a whole or in part without furnishing reasons. The NEF reserves the right to withdraw this tender at any stage with or without giving reasons.

6.15. The tenderer hereby offers to render all or any of the services described in this tender document to the NEF on the terms and conditions and in accordance with the specifications stipulated in this tender document. This tender document and the tenderer's response thereto shall form part of any service level agreement that may be concluded between the NEF and the tenderer. In the event of conflict between such documents, the service level agreement shall take precedence over all other documents.

- 6.16. Tenders submitted by juristic persons or partnerships must be signed by a person or persons duly authorized thereto by a resolution of a board of such juristic person, a copy of which resolution, duly certified be submitted with the tender.
- 6.17. The tenderer shall prepare for a possible presentation should NEF require such and the tenderer shall be notified thereof no later than 4 (four) days before the actual presentation date.
- 6.18. The tenderer hereby agrees that the offer herein shall remain binding upon him/her and will be open for acceptance by the NEF during the validity period indicated herein.
- 6.19. The tenderer furthermore confirms that he/she has satisfied himself/herself as to the correctness and validity of his/her tender response, that the price(s) and rate(s) quoted cover all the work/item(s) specified in the tender response documents and that the price(s) and rate(s) cover all his/her obligations under a resulting contract and that he/she accepts that any mistakes regarding price(s) and calculations will be at his/her risk.
- 6.20. The tenderer hereby accepts full responsibility for the proper execution and fulfillment of all obligations and conditions devolving on him/her under this tender as the principal(s) liable for the due fulfillment of this tender and any contract that might be concluded pursuant hereto.
- 6.21. The NEF will treat your personal information as confidential and take all necessary steps to protect your information as required by the Protection of Personal Information Act of 2013. The NEF will only process your information (which involves but is not limited to collecting, collating, organising, disseminating and destroying) in the following circumstances:
- where you have granted the necessary consent;
  - where we are required to do so by law;
  - where processing is necessary to protect our legitimate interests;
  - where it is necessary for the conclusion or performance of a contract to which you are party; or
  - where it is in the public interest to do so.

By signing this tender document (RFP), the bidder hereby consents to the use of their personal information which forms part of the tender process and as may be discovered by the NEF and confirm that the information is supplied voluntarily without undue influence from any party. Tenderers acknowledge that they are aware of their right to access the information at a reasonable time for purposes of rectification or object to the processing of the information.

- 6.22. **Bidders are required to register on the National Treasury Database as per National Treasury Circular No 3 of 2015/2016 – Central Supplier Database (CSD).**

## CONDITIONS AND UNDERTAKINGS BY BIDDERS IN RESPECT OF THIS TENDER

Name of your Company (in block letters)	
Signature(s) of the Bidders	
Name of person signing (in block letters)	
Capacity	
Are you duly authorized to sign this tender?	
Company Registration Number	
VAT Registration Number	
Postal address (in block letters)	
Physical address (in block letters)	
<i>Domicillium citandi et executandi</i> in RSA	(full) street address) (in block letters)
Contact Person	
Telephone Number	
Fax Number	
Cell Number	
E-mail	

**\*Failure to comply with any of the terms and conditions as set out above will invalidate the tender.**

## 7. EVALUATION CRITERIA

Tenders shall be evaluated in terms of the following parameters and shall be scored on the weightings stated below. **Phase 1: Technical:** Bidders will need to score a minimum of **42 points in technical** in order to qualify for further evaluation

<b>Technical</b>	<b>70 Points</b>
<p>Experience in development and implementation of file plan in line with National Archives requirements. This needs to be aligned with the scope of work competency and expertise requirements listed below (Provide CV's and profiles)</p> <ul style="list-style-type: none"> <li>• Exceeds requirements - <b>5 points</b></li> <li>• Meets all requirements - <b>3 points</b></li> <li>• Meets some requirements – <b>2 points</b></li> <li>• Does not meet requirements - <b>0 points</b></li> </ul>	<b>25</b>
<ul style="list-style-type: none"> <li>• System Integration: Translating the proposed method for the approved file plan on the SharePoint environment</li> </ul>	<b>15</b>
<ul style="list-style-type: none"> <li>• Implementation: Methodology of scanning, filing and uploading of the documents and electronic records</li> </ul>	<b>10</b>
<ul style="list-style-type: none"> <li>• Similar Assignments: Provide four similar assignments within the past five (5) years. The examples must include details of previous assignments, the scope for a medium to large enterprise, the period when the work was performed and provide a minimum of four (04) references.</li> <li>• More than 4 assignments in the past 5 years = <b>5 points</b></li> <li>• 4 assignments in the past 5 years = <b>4 points</b></li> <li>• 1 to 3 assignments in past 5 years = <b>2 points</b></li> <li>• No assignments in past 5 years with = <b>0 points</b></li> </ul>	<b>20</b>



**Phase 2: Presentation: Bidders will need to score a minimum of 18 points in order to be evaluated further**

<b>Presentation</b>	<b>30 Points</b>
<ul style="list-style-type: none"> <li>• Demonstration of Records Management Solution such as ease of use, security, configuration etc</li> </ul>	<b>20</b>
<ul style="list-style-type: none"> <li>• Proposed integration into existing NEF processes and systems</li> </ul>	<b>10</b>

The NEF may conduct site visits with only shortlisted companies.

**Phase 2: 80/20 Preference Point System**

All tenders that will achieve the minimum qualifying score for technical will be evaluated further in terms of the preference point system as follows:

<b>CRITERIA</b>	<b>POINTS</b>
Price	80
BEE	20
<b>TOTAL</b>	<b>100 points</b>

**SECTION: 2**

**TERMS OF REFERENCE /**

**SCOPE OF SERVICE**

## **8. PREAMBLE**

The National Empowerment Fund Act No.105 of 1998 established the National Empowerment Trust (NEF), for the purposes of promoting and facilitating economic equality and transformation, by providing development finance for Black Economic Empowerment (BEE) empowered South African businesses. The NEF operates under the umbrella of the Department of Trade and Industry (DTI) and is committed to the Broad-Based Black Economic Empowerment Act 55 of 2003 and the Codes of Good Practice on BEE.

### **OVERALL OBJECTIVE**

Appointments to the successful service provider will be subject to a contract period of four years (48 months). Below is the high-level project scope which includes:

- Develop the NEF File plan and facilitate its approval by the National Archivist;
- Develop and implement a records management system in line with the NEF Records Management Policies, other relevant policies and legislation;
- Classification of relevant records (content to be migrated).
- Develop Retention Schedule, in accordance with the NEF records management policy and other relevant policies and legislation;
- Provision of Project Management services;

### **Deliverables**

- Analysis of existing NEF records, both electronic and hard copies;
- Scanning of hard copies into an electronic repository;
- Ensuring adequate labelling and referencing of documents;
- Identifying documents and archiving them in line with retention requirements;
- Classifying and streamlining access control in line with NEF Records Retention and Disposal Policy;
- Records will be scanned into digital portal ran by an approved service provider appointed by the NEF;
- Assessing the current records/document management environment of the organization and develop as assessment report and roadmap towards one

comprehensive and uniformed system;

- Instructing department staff on procedures for retrieval of records from the Storage Facilities, and for accessing records held by the Archives Facility and providing advice when required;
- Reviewing Records Transfer Lists to ensure accuracy and completeness, before signing and transmitting the lists to the Storage Facilities;
- Assisting in tracking, locating, and retrieving records by maintaining a central set of Transfer Lists or data;
- Ensure that all data is adequately protected from internal and external threats
- Provide detailed Change Management Strategy in lieu of: Skills transfer and Training NEF Staff on the new system

### **Competency and expertise requirements**

- The bidder must comply to the following requirements in order to respond to this RFQ:
  - One of the bidder's managing directors must have a minimum of ten (10) years working in the documents and records management field and with experience offering Document Scanning and Migration, and File plan enhancement services;
  - The Bidder must provide Records Management practitioners with the following records management qualification/s:
    - Bachelor of Arts in Archives and Records Management or any equivalent Qualifications.
  - The Bidder must provide the following resources for the NEF Documents and Records Management:
    - Suitably qualified and experienced File Plan Specialist with a minimum of 5- years' experience.
    - Suitably qualified and experienced Project Manager a minimum of 5 years' experience.
    - Suitably qualified and experienced Change Management Specialist a minimum of 5-years' experience; and
    - Suitably qualified and experienced Records Management

Practitioner with Seven (7) years' experience in providing Documents and Records Management Scanning and Migration program, and File Plan Enhancement or similar services.

- The bidder/s must provide a list of at least 4 (four) contactable client references (excluding the NEF) of companies where similar work has been successfully delivered within the last 5 (five) years. Bidder must include reference letters from clients;
  - The NEF may use the references provided as a basis for which client sites will be visited. For shortlisted Bidder/s, the NEF may require assistance to arrange site visits. References details must include the following:
    - The name of the entity, service provided, contact person, designation of contact, contact number, and date of service rendered; and
    - Reference letter from client confirming the provision of file planning, scanning and records management system.

## **SECTION: 3**

### **PRICING**

**Pricing (Attach separate price schedule, stating all pricing information including levels of seniority, hourly rates, costs, fees, etc including and excluding vat)**

## **SECTION: 4**

### **BROAD-BASED BLACK ECONOMIC EMPOWERMENT**

## B-BBEE Supplier Assessment Form

Trading name of entity

Contact person

Physical Address

Contact telephone number

Fax number

Cell phone

Email address

Percentage black shareholding

Percentage black women shareholding

Percentage white women shareholding

Do you fall within a gazetted industry  
charter?

Are you a Qualifying Small Enterprise?

(Annual turnover between R10 million  
and R50 million)

Are you an Exempt Micro Enterprise?

(Annual turnover less than R10 million)



**If you are in possession of a B-BBEE rating or scorecard, please attach the certificate.**

I, the undersigned, certify that the information contained in this document is accurate and correct. I am fully responsible for all representations in this document and am aware of the repercussions that may arise as a result of any misrepresentation.

Name: \_\_\_\_\_ ID/Passport Number: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Position: \_\_\_\_\_

### **LIST OF TENDER RETURNABLES**

- Original valid Tax Clearance Certificate
- Declaration of Interest form
- Declaration of tenderer's past supply chain management practices
- BEE credentials / rating certificate
- Completed and signed tender document
- The following information also needs to be provided with the tender document:
  - Names and details of Senior Management.
  - Shareholders Certificate.
  - Details of employees at an Operational Level.
  - Percentage of ownership by:
    - Black Shareholders
    - Black Women
    - White Women

**Failure to submit the required documents will result in the proposal being non compliant and will be disqualified.**

## Declaration of tenderer's past supply chain management practices

- 1 This tender may be disregarded if the tenderer, or any of its directors have:
  - Abused the institutions supply chain management systems;
  - Committed fraud or any other improper conduct in relation to such a system; or
  - Failed to perform on any previous contract
  
- 2 In order to give effect to the above, the following questionnaire may be completed and submitted with the tender

Item	Question	Yes	No
4.1	Is the bidder or any of its directors listed on the National Treasury's database as companies or persons prohibited from doing business with the public sector? (Companies or persons who are listed on this database were informed in writing of this restriction by the National Treasury after the <i>audi alteram partem</i> rule was applied).		
4.1.1	If so, furnish particulars		
4.2	Is the bidder or any of its directors listed on the Register for Tender Defaulters in terms of section 29 of the Prevention and Combating of Corrupt Activities Act (No 12 of 2004)? To access this Register enter the National Treasury's website, <a href="http://www.treasury.gov.za">www.treasury.gov.za</a> . click on the icon "Register for Tender Defaulters" or submit your written request for a hard copy of the Register to facsimile number (012) 326 5445		
4.2.1	If so, furnish particulars		
4.3	Was the bidder or any of its directors convicted by a court of law (including a court outside of the Republic of South Africa) for fraud or corruption during the past five years?		
4.3.1	If so, furnish particulars		
4.4.	Was any contract between the bidder and any organ of state terminated during the past five years on account of failure to perform on or comply with the contract?		
4.4.1	If so, furnish particulars		

I, THE UNDERSIGNED (FULL NAME) .....  
CERTIFY THAT THE INFORMATION FURNISHED ON THIS DECLARATION FORM IS  
TRUE AND CORRECT.

I ACCEPT THAT, IN ADDITION TO CANCELLATION OF A CONTRACT, ACTION MAY  
BE TAKEN AGAINST ME SHOULD THIS DECLARATION PROVE TO BE FALSE.

.....  
Signature

.....  
Date

.....  
Position

.....  
Name of bidder

## SBD 4

### DECLARATION OF INTEREST

1. Any legal person, including persons employed by the state<sup>1</sup>, or persons having a kinship with persons employed by the state, including a blood relationship, may make an offer or offers in terms of this invitation to bid (includes an advertised competitive bid, a limited bid, a proposal or written price quotation). In view of possible allegations of favouritism, should the resulting bid, or part thereof, be awarded to persons employed by the state, or to persons connected with or related to them, it is required that the bidder or his/her authorised representative declare his/her position in relation to the evaluating/adjudicating authority where-

- the bidder is employed by the state; and/or
- the legal person on whose behalf the bidding document is signed, has a relationship with persons/a person who are/is involved in the evaluation and or adjudication of the bid(s), or where it is known that such a relationship exists between the person or persons for or on whose behalf the declarant acts and persons who are involved with the evaluation and or adjudication of the bid.

**2. In order to give effect to the above, the following questionnaire must be completed and submitted with the bid.**

2.1 Full Name of bidder or his or her representative: .....

2.2 Identity Number:.....

2.3 Position occupied in the Company (director, trustee, shareholder<sup>2</sup>, member):  
.....

2.4 Registration number of company, enterprise, close corporation, partnership agreement or trust:  
..... 2.5

Tax Reference Number: .....

2.6 VAT Registration Number: .....

2.6.1 The names of all directors / trustees / shareholders / members, their individual identity numbers, tax reference numbers and, if applicable, employee / PERSAL numbers must be indicated in paragraph 3 below.

<sup>1</sup>"State" means –

- (a) any national or provincial department, national or provincial public entity or constitutional institution within the meaning of the Public Finance Management Act, 1999 (Act No. 1 of 1999);
- (b) any municipality or municipal entity;
- (c) provincial legislature;
- (d) national Assembly or the national Council of provinces; or
- (e) Parliament.

<sup>2</sup>"Shareholder" means a person who owns shares in the company and is actively involved in the management of the enterprise or business and exercises control over the enterprise.

**2.7** Are you or any person connected with the bidder presently employed by the state? **YES / NO**

**2.7.1** If so, furnish the following particulars:

Name of person / director / trustee / shareholder/ member: .....  
Name of state institution at which you or the person connected to the bidder is employed : .....  
Position occupied in the state institution: .....

Any other particulars:  
.....  
.....  
.....

**2.7.2** If you are presently employed by the state, did you obtain the appropriate authority to undertake remunerative work outside employment in the public sector? **YES / NO**

**2.7.2.1** If yes, did you attach proof of such authority to the bid document? **YES / NO**

(Note: Failure to submit proof of such authority, where applicable, may result in the disqualification of the bid.

**2.7.2.2** If no, furnish reasons for non-submission of such proof:

.....  
.....  
.....

**2.8** Did you or your spouse, or any of the company's directors / trustees / shareholders / members or their spouses conduct business with the state in the previous twelve months? **YES / NO**

**2.8.1** If so, furnish particulars:  
.....  
.....  
.....

**2.9** Do you, or any person connected with the bidder, have any relationship (family, friend, other) with a person employed by the state and who may be involved with the evaluation and or adjudication of this bid? **YES / NO**

**2.9.1** If so, furnish particulars.  
.....

.....  
 .....

**2.10** Are you, or any person connected with the bidder, **YES/NO**  
 aware of any relationship (family, friend, other) between any  
 other bidder and any person employed by the state  
 who may be involved with the evaluation and or adjudication of this  
 bid?

**2.10.1** If so, furnish particulars.  
 .....  
 .....  
 .....

**2.11** Do you or any of the directors / trustees / shareholders / members **YES/NO**  
 of the company have any interest in any other related companies  
 whether or not they are bidding for this contract?

**2.11.1** If so, furnish particulars:  
 .....  
 .....  
 .....

**3 Full details of directors / trustees / members / shareholders.**

Full Name	Identity Number	Personal Income Tax Reference Number	State Number	Employee / Peral Number

