



# **Central Bank of Lesotho**

## **Request for Proposal**

# **Training on Documents and Records Management**

**Request for Proposal No: *CBL/fnc/TC/8/C/TC/????***

**Issue date:**

*Friday, 18<sup>th</sup> June 2010*

**Submission Location:**

*Tender Box Reception area  
Central Bank of Lesotho  
Cnr. Moshoeshoe & Airport Roads  
Maseru, Lesotho*

**Contact person:**

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# **1 Executive Summary**

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The Central Bank of Lesotho has adopted an electronic platform for managing electronic and manual documents and records in the form of the Hummingbird Suite of Applications. However, the Bank has met several challenges following the implementation of this platform mainly due to inadequate background in the best practices for managing documents and records in an enterprise of its nature. In view of this limitation, the Bank intends to equip its key personnel on best practices in managing documents and records and use this background for improving its policies and procedures for the management of documents and records. To this effect, the Bank invites proposals from suitably qualified training specialist in the area of documents and records management to train its key personnel on best practices for the management of documents and records.

The full requirements of this exercise are detailed throughout the sections of this RFP. Section 2 provides administrative information for prospective proponents while section 3 addresses the work to be done and the approach. In order to ensure completeness and consistency of responses, proponents are to prepare their proposal in accordance with the format provided in section 2.3 (Proposal preparation).

## **2 Administrative Requirements Section**

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The following terms will apply to this Request for Proposal (RFP) and to any subsequent Contract. Submission of a proposal in response to this RFP indicates acceptance of all the following terms.

### **2.1 Request for Proposal Information**

#### **2.1.1 Terminology for this RFP**

Throughout this RFP, the terminology is used as follows:

- a) **“Bank”** means the Central Bank of Lesotho;
- b) **“Contract”** means the written agreement resulting from this RFP executed by the Bank and the Contractor;
- c) **“Contractor”** means the successful Proponent to this RFP who enters into a written Contract with the Bank;
- d) **“Must”, or “Mandatory”** means a requirement that failure to meet shall result in disqualification;
- e) **“Proponent”** means an individual or body corporate that submits, or intends to submit, a proposal in response to this RFP;
- f) **“Should” or “Desirable”** means a requirement having a significant degree of importance to the objectives of the RFP.
- g) **“Tender Committee”** means the Central Bank of Lesotho Tender Committee established by the Governor to issue, receive, assess tenders and recommend selection of successful proponents for the procurement of goods and services.

### **2.1.2 Delivery of Proposal**

An original and one copy suitable for redistribution should be deposited in the Tender Box at the Reception area of the Bank.

**Facsimile or E-mail** copies are **not acceptable**. All envelopes should be sealed, showing no identification of proponent and clearly marked:

### **Tender for supply of Training on Documents and Records Management**

**Ref: CBL/fnc/TC/8/C/TC/ ????**

### **2.1.3 Project Time-Frames**

Closing Date and Time: All proposals must be delivered by: **no later than 1430hrs**  
**on Friday, 2<sup>nd</sup> July 2010**

### **2.1.4 Contact Persons**

Technical enquiries relating to the business requirement should be directed, in writing, to;

Name: Mr. Refiloe Motjoloane  
Title: Senior Business Engineer  
Tel: (266) 22232136  
Fax: (266) 22310051/22310679  
E-mail: rmotjoloane@centralbank.org.ls

Administrative inquiries arising from this RFP should be directed, in writing, to;

Name: Mr. Motlatsi Tabane  
Title: Secretary, Tender Committee  
Tel: (266) 22232088  
Fax: (266) 22310051/22310679  
E-mail: mtabane@centralbank.org.ls

### **2.1.5 Reference Material**

Any required reference material will be provided upon request, if available.

## **2.2 Request for Proposal Process**

### **2.2.1 Clarification**

Any queries relating to this RFP must be addressed in writing to the relevant person designated in 2.1.4 above. Responses will be sent to the enquirer.

### **2.2.2 Eligibility**

Proposals will not be evaluated if the Proponent's current or past corporate or other interests may, in the Bank's opinion, give rise to a conflict of interest in connection with this project. Only proposals that comply with all the requirements of this RFP will be considered.

### **2.2.3 Evaluation and Selection**

Only proposals delivered and received properly as specified in 2.1.2 above will be checked first against the Mandatory criteria. Any of them ***not*** meeting all the Mandatory criteria will be rejected without further consideration.

Those that ***meet*** the Mandatory criteria will then be assessed and scored against the desirable criteria. The Bank is not bound to accept the lowest or any bid.

## **2.3 Proposal Preparation**

### **2.3.1 Proposal Format**

Evaluation of proposals is made easier when proponents respond in a similar manner. The following format and sequence should be followed in order to provide consistency in proponent response and ensure each proposal receives full consideration:

- a) One page letter of introduction identifying the proponent and signed by the person or persons authorised to sign on behalf of, and bind the proponent to, statements made in the proposal.
- b) Title Page, showing RFP number, proponent's name and address, proponent's telephone number, and a contact person.
- c) Table of contents including page numbers.
- d) A short summary of one or two pages stating the key features of the proposal.
- e) The body of the proposal to include the following elements:

## APPROACH

- Should indicate in detail how the training will be conducted including how long the entire training will run, how participants will be allocated into groups and the number and duration of training sessions per each group.

### DELIVERABLES

- Must clearly state the deliverables produced e.g. training guides, certificates of attendance/achievement, etc. For each deliverable, the proponent must indicate the format of the deliverable (i.e. paper and/or electronic format) and the number of copies to be provided.

### THE TRAINING OFFERING

- Should provide in detail the topics to be provided by the proponent as well as what each of the topics entails;
- Should provide in detail and as clear as possible the descriptions of the topics, the expected participation, the topic objectives and expected outputs for each of the topics to be covered by the proponent;
- Should not just conform to the requirements outline in section 3.1.5 but should show exactly what the proponent proposes to cover in relation to what has been requested;

### PROPONENT SUITABILITY AND EXPERIENCE

- Should provide a brief summary of suitability of the proponent and its proposed resource persons which outlines specifically the vendor and the training personnel's track record and experience relevant to this training;
- Should identify the training sites that the company has provided similar training. A list of previous training sites' contact details should also be availed so that they can be contacted during the evaluation of proposals for this RFP;
- Should be accompanied by a completed resource matrix whose sample is shown in Appendix B of this document and the relevant references of the company and of the resource persons.

### PROJECT COSTS

- MUST include all costs associated to the training including the professional fees for the training or the costs of the training however they are derived, the travel costs and any other related costs.

## PAYMENT SCHEDULE

- Should provide a schedule indicating the stage(s) at which payments will be made.
- The payments on the schedule MUST be linked to the conclusion of the deliverables of the training.

f) Any additional information, brochures, etc. should take the form of appendices.

### **2.3.2 Costs of Responding**

Proponents are solely responsible for their own costs in preparing the proposal and for subsequent negotiations with the Bank, if any. If the Bank elects to reject a proposal, the Bank will not be liable to any Proponent for any claims in preparing the proposal whatsoever.

### **2.3.3 Proposal Validity & Firm Pricing**

Proposals should be valid for at least 60 days after the closing date and prices are to be fixed for the entire contract period.

### **2.3.4 Currency and Taxes**

Prices quoted are to be:

- a) in Maloti (1 LSL = 1 ZAR);
- b) inclusive of 14% Value Added Tax
- c) in accordance to applicable Lesotho laws

### **2.3.5 Compliance to Tax Obligations**

Certified copies of Lesotho Revenue Authority (LRA) Tax Clearance certificates or other relevant authority certificates must be submitted together with the bid.

## **2.4 Additional Information**

### **2.4.1 Modification of Terms**

The Bank reserves the right to modify the terms of this RFP at any time in its sole discretion. This includes the right to cancel this RFP at any time prior to entering into a Contract with the successful Proponent.

#### **2.4.2 Ownership of Proposals**

All proposals, including supporting documents, submitted to the Bank become the property of the Bank.

#### **2.4.3 Confidentiality of Information**

All proposals submitted by proponents shall be held in strict confidence and will not be revealed to any other party.

All Information pertaining to the Bank obtained by the Proponent as a result of participation in this project is confidential and must not be disclosed without written authorisation from the Bank.

#### **2.4.4 Project Budget**

The Bank has only limited funds for carrying out the project; hence price will be among the key deciding factors for consideration in the evaluation of proposals.

#### **2.4.5 Technical Facilities**

The Bank will provide working space and access to its network environment. However the Bank may not provide other technical facilities, hence proponents should provide own requisite facilities.

#### **2.4.6 Project Management**

The Bank expects proven industry project management techniques to be used in conducting the project. It is the proponent's responsibility to assume the responsibility for the smooth execution of the training. The Bank will only assist where necessary.

#### **2.4.7 Assumptions**

It is assumed that

- Both paper and electronic copies of the deliverables will be submitted to the Bank and retained by the same as required.
- The training will be conducted at the Central Bank of Lesotho.

## **3 Business Requirements Section**

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### **3.1 Requirements and Project Scope**

#### **3.1.1 Background**

The Central Bank of Lesotho has implemented the Hummingbird Suite of Applications as its electronic platform for managing documents and records within the enterprise. However, the Bank has met several challenges following the implementation of this platform mainly due to inadequate background in the best practices for managing documents and records in an enterprise of its nature. In view of this limitation, the Bank intends to equip its key personnel on best practices in managing documents and records and use this background for improving its policies and procedures for the management of documents and records as well as in driving the Bank initiative for effective documents and records management within the organisation. The Bank therefore invites proposals from suitably qualified training specialist in the area of documents and records management to train its key personnel on best practices for the management of documents and records.

#### **3.1.2 Objectives**

The main objectives of this training are to:

- a) To equip the relevant documents and records management personnel in the bank with the requisite background for effective documents and records management within the bank.
- b) To facilitate improvement in the policies, procedures and general practices for managing documents and records within the organisation.
- c) To increase the efficiency of the organisation's information through effective management of documents and records.
- d) To increase the efficiency of the organisation through efficient information and knowledge management.

#### **3.1.3 Project Scope**

In order for the Bank to gain the maximum benefit from the exercise, the proponent will be expected to: -

- a) To provide experts in the documents and records management domain to offer training to approximately 45 participants within the Bank on key documents and records management topics that can equip the participants with the requisite skills to set up and manage their own documents and records management environment.
- b) To provide relevant training materials on the training provided.
- c) To provide certificates of attendance/achievement to participants who attended the training.

#### **3.1.4 Deliverables**

The following deliverables will be expected from this exercise:

- a) Trained personnel in the requisite skills and background to setup and manage their own documents and records management environment
- b) Training materials for the topics covered in the training
- c) Certificates of attendance/achievement to participants who attended the training.

### **3.1.5 Training Requirements**

The intended training provider should provide training in the following aspects in documents and records management.

#### **3.1.5.1 The Rational and Requirements for Documents and Records Management**

The topic should cover such aspects relating to the need for documents and records management in organisations, legal and other requirements that determine the proper documents and records management as well as issues regarding the use of electronic signatures in documents and records to protect the integrity of the documents. It should equip participant with the necessary background to understand the various forms or requirements needed to setup and manage a good documents and records management environment and on the necessary background to understand the legislation and standards having an impact on documents and records management.

#### **3.1.5.2 Creating and Achieving Compliance to Policies and Procedures**

The topic should address aspects such as developing a policy and procedures framework for effective document and records management and the assessment of current practices against policies and procedures and against the national and international standards for electronic and manual records keeping. It should equip participants with the necessary background to setup the policy and procedural framework for effective documents and records management.

#### **3.1.5.3 Setting up a Documents and Records Management Classification System**

This topic should cover such aspects relating to how to compile an enterprise filing system. It should equip participants with the necessary background to setup and manage a filing system for their organisation.

#### **3.1.5.4 Managing a Documents and Records Management Lifecycle**

This topic should address aspects relating to the lifecycle of a document or a record in an organisation. It should also address aspects such as managing an appraisal, retention and disposal system for documents and records as well as aspects relating to the management of confidential and vital documents and records. It should equip the participants with the necessary background to understand and manage documents and records throughout their lifecycle within the organisation to design and manage and appraisal, retention and disposal system for their organisation.

#### 3.1.5.5 Managing a Storage, archival and disposal system

This topic should address aspects relating to how to setup and manage storage, archival and disposal system for documents and records. It should equip participants with the necessary background to design and manage a storage, archival and disposal system for documents and records for their organisation.

#### 3.1.5.6 Implementing a Documents and Records Management System

This topic should aspect relating to how to setup and manage a storage and archival system for documents and records in an organisation. It should equip participants with the necessary background to design and manage a storage and archival system for their organisation.

## **3.2 Evaluation Criteria**

The following criteria will form the basis upon which the evaluation of the proposals will be made and scores assigned. Proposals not meeting Mandatory requirements will receive no further consideration during the evaluation process.

### **3.2.1 Mandatory Criteria**

- A bound original and one copy (suitable for photocopying) of the proposed must be received on time and be deposited in the tender box.
- Proponents **MUST** submit all-inclusive fixed price proposal quote with breakdown into fees and disbursements.

- Proponents **MUST** submit with their proposals, a completed training team skills matrix showing the proficiency levels of all the proposed training resources to the training topics they will be covering.
- Proposals **MUST** be accompanied by a minimum of two **SEALED** references on the provision of similar training by different companies.

### **3.2.2 Desirable Criteria**

Proposals meeting the Mandatory criteria above will be further evaluated as follows:

#### **(a) Training Course's Suitability**

- The suitability of the training course towards meeting the Bank's requirements for the training as outlined in section 3.1.5. This must be substantiated by the course's descriptions, objectives, target participants and the expected outcomes. The proponents are **HIGHLY** encouraged to provide as much detail as possible regarding what their course entails.

#### **(b) Suitability of Proponent**

- Number of provided training sites on similar training
- Relevant experience on similar training conducted by the company. The experience shown should be substantiated by appropriate references of the company. A minimum of two references from two different companies is required for this purpose.
- Suitability and allocation of resource persons to training topics. This should be substantiated by appropriate reference of the resource persons. A minimum of two references from two different participants is required for each topic.

#### **(c) Approach**

- Suitability of proposed training approach in terms of
  - the overall duration of the training
  - the allocation of the participants into groups, and
  - the number and duration of training sessions per group

#### **(d) Provision of Course Related Deliverables**

- Provision of training materials in the form of training guides, etc.

- Provision of the relevant training certificates of attendance/achievement.

**(e) Costs**

- Total Training Costs

## Appendix A Evaluation Criteria Model

The evaluation criteria model outlined in Appendix A will be used to score proponent proposals

<b>MANDATORY CRITERIA</b>	<b>0%</b>
1. A bound original and a redistributable copy of the proposed received on time and deposited in the tender box	Yes/No
2. An all-inclusive fixed price proposal quote with breakdown into fees and disbursements submitted	Yes/No
3. The training team skills matrix showing all proposed resource person and their proficiency levels provided	Yes/No
4. Two SEALED references of the proponent received with the proposal	Yes/No
<b>Failure to achieve a “Yes” rating for all the Mandatory criteria above will disqualify the proponent’s proposal from further review.</b>	

<b>DESIRABLE CRITERIA</b>	<b>100%</b>
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<b>A) Training Course’s Suitability</b>	<b>20%</b>
5. Course’s Suitability	
<b>B) Proponent’s Suitability</b>	<b>40%</b>
6. Number of training sites on similar training	10%
7. Relevant experience on similar training conducted by the company	10%
8. Suitability and allocation of resource persons to training topics	10%
<b>C) Approach</b>	<b>12%</b>
9. Suitability of the training duration	4%
10. Suitability of the allocation of participants into groups	4%
11. Suitability of the number and duration of training sessions per group	4%
<b>D) Provision of Course Related Deliverables</b>	<b>8%</b>
12. Provision of training materials	4%
13. Provision of relevant training certificates	4%
<b>E) Pricing</b>	<b>20%</b>
14. Total Training Costs	20%

## Appendix B Training Team Skills Matrix

**The following is the Project Team Skills Matrix. It must be completed and returned with your proposal.**

*Failure to meet this mandatory qualification will result in immediate disqualification.*

- Proponents may list additional or specific skills which they feel will contribute to the strength of their proposed training team.

(\*1) **Proficiency Levels** - Assign a level followed by the number of months cumulative experience (nn) e.g. **P 18 months**

<b>E</b>	<i>Exposure</i>	Has exposure to/educate in this area but has not provided any training in this area of specialisation before
<b>W</b>	<i>Working</i>	Has limited working experience providing training in this area of expertise. Has provided only a few (5 or less) training sessions of a similar nature.
<b>P</b>	<i>Proficient</i>	Has proven hands-on experience providing training in this area of specialization having provided the training of a similar nature between 5 and 10 training sessions before
<b>X</b>	<i>Expert</i>	Has tremendous hands-on experience providing training in this area of specialisation having provided the training of a similar nature in no less than 10 sessions before

Team Member:	<Name >	<Name >
Training topics to be presented by member	<Title >	<Title >
Area of Expertise	Level of Proficiency (months) (*1)	Level of Proficiency (months) (*1)
Rational for proper Documents and Records Management in Organisation		
Legislative and other Requirements for proper Documents and Records Management		
Formulating Documents and Records Management Policies and Procedures		
Managing Compliance to Documents and Records Management Policies and Procedures		
Setting Up Documents and Records Classification System		
Managing Documents and Records Management Lifecycles in Organisations		
Managing Storage, Archival and Disposals of Electronic and Manual Documents and Records		
Implementing Documents and Records Management System in Organisations		