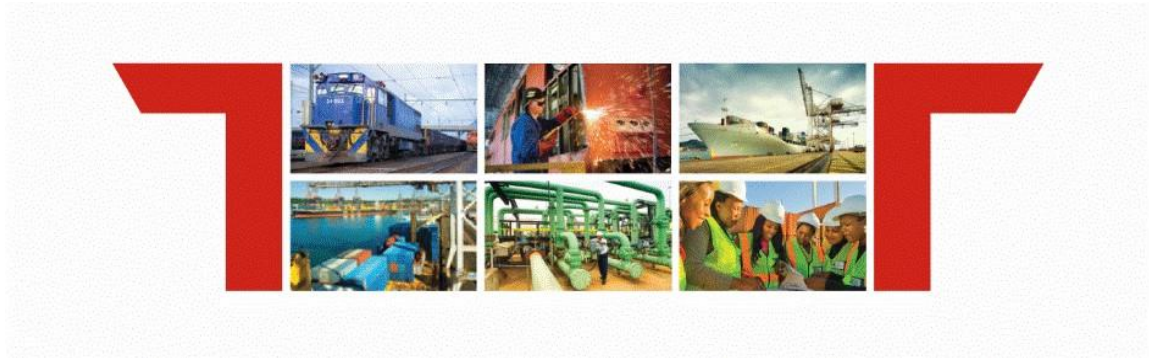


## **TRANSNET FREIGHT RAIL**



## **ANNEXURE A – SCOPE OF WORK**

**PROJECT  
TITLE:**

**Records Management and Support Services**

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## 1. CURRENT RECORDS MANAGEMENT

Various geographically dispersed Transnet Freight Rail departments make use of outsourced records storage facilities and services. Current Transnet centres using these services include Bloemfontein, Cape Town, City Deep, Durban, East London, Elandsfontein, Empangeni, Ermelo, Esselenpark, Germiston, Isando, Johannesburg, Kimberley, Komatipoort, Krugersdorp, Ladysmith, Nelspruit, Polokwane, Port Elizabeth, Pretoria, Richards Bay, Saldanha, Vryheid, Wentworth, Witbank and others.

Main categories of records stored with an outsourced service provider include Injury-on-Duty (IOD) files, medical records, financial-, commercial- and supply chain records, insurance records, incidents and accidents records, human capital records, etc.

On-site records management services are being provided to Transnet Medical Clinics and Transnet Academy Campuses.

All current services are provided nationally on an “as-and-when needed” basis.

## 2. PURPOSE / OBJECTIVE

Transnet Freight Rail is again seeking the services of a professional outsourced records management support service provider which is registered with an internationally recognised trade association for information management companies, such as PRISM. The selected vendor must provide all support services related to records management on an as-and-when-needed basis. Services include but are not limited to:

- the provision of secure offsite records storage facilities located throughout South Africa,
- records registration based on Transnet specifications,
- department and user registration based on Transnet specifications,
- call-centre support,
- own transport fleet,
- packing and storing of records,
- data capture and scanning,
- secure records retrieval,
- secure records delivery (physical and electronic) and collection,
- full audit trails for all transactions,
- secure disposal services,
- practical, on-site training based on Transnet specifications,
- management reporting,
- incident reporting and maintaining communications,
- project management services,
- dedicated strategic customer services manager overseeing all Transnet centres,
- an agreed exit strategy, and
- any other related services as part of an integrated records management support service package.

Transnet Freight Rail will include records management services provided by the vendor as one of the components of the bigger Transnet records management program. Vendor services will include different

combinations of on-site and off-site storage services, and will thus be utilised in a manner that complements existing and future records management activities that will:

- Enable the correct information to be found easily and comprehensively in a secure and controlled manner.
- Enable Transnet to perform its records management functions successfully and efficiently and in accountable manner.
- Support the business, legal, compliance and accountability requirements of Transnet;
- Ensure consistent delivery of services;
- Support administrative decision making;
- Provide business continuity in the event of a disaster;
- Establish internal controls to minimise the risk of loss;
- Protect the interests of Transnet and the rights of employees, clients, present and future stakeholders, while ensuring compliance to the Promotion of Access to Information Act, the Protection of Personal Information Act, and other relevant acts.

### **3. SCOPE OF WORK**

#### **3.1. INTRODUCTION**

Transnet SOC Ltd. is a world class transport company that specialises in the transportation of freight by rail, seaports and -terminals, inland container terminals, and pipelines. Transnet has approximately 55 000 employees, who are located throughout the country.

Transnet has positioned itself to become a profitable and sustainable transport business, assisting in driving the competitiveness of the South African economy.

The Transnet Departments covered by this tender are Transnet Freight Rail, Transnet Integrated Supply Chain Management, Transnet Foundation and Transnet Academy.

Transnet is required to implement cost-efficient and effective records management services in a centralised manner that would ensure records related to business processes are administered as accurately and efficiently as possible, and in a standardised manner across geographical areas, in a manner that supports and improve Transnet business processes.

However, Transnet does not have adequate physical, technical and people resources to manage, store and control high volumes of physical records throughout their lifecycle of capture, storage, retrieval, delivery, scanning, data capture and disposal. The specification is therefore documented in order to source a vendor from the market to support the daily operational and improvement requirements of compliant, secure and professional records management processes.

Transnet will at all times retain ownership of its records and related information such as metadata held within the vendor databases.

#### **3.2. SCOPE**

The tender requirements include any records management support services that will enable Transnet to implement compliant and best practice physical records management practices and processes. The vendor

is required to be able to address all service requirements, on a national and an "as-and-when-needed" basis.

As noted under Section 2, current Transnet Freight Rail geographical locations utilising outsourced records storage and support services include Bloemfontein, Cape Town, City Deep, Durban, East London, Elandsfontein, Empangeni, Ermelo, Esselenpark, Germiston, Isando, Johannesburg, Kimberley, Komatipoort, Krugersdorp, Ladysmith, Nelspruit, Polokwane, Port Elizabeth, Pretoria, Richards Bay, Saldanha, Vryheid, Wentworth, Witbank and other centres.

All requests emanating from Transnet/TFR centres will be managed and pre-approved centrally from TFR Head Office.

The tender scope includes all the above and any additional South African geographical locations or centres that may require records services in future, as well as two Transnet departments, i.e. Transnet Group iSCM and Transnet Foundation.

Transnet currently has approximately 27 000 boxes in storage, but future records volumes and service requirements are not known, as these will be formally identified on an individual project basis as the need arises, and as part of the bigger Transnet records management program. Transnet currently has approximately 200+ records champions nationally who may make use of records management and -storage support services.

### 3.3. Scope inclusions

**Vendor Services and Resources must provide for the following requirements:**

#### **1. *Secure off site records storage facilities***

##### 1.1. Geographic location of warehouse facilities

Transnet SOC has offices and operations in most major towns and all SA provinces. The requirement is for records storage facilities, warehouses and services to be close to Transnet centres; this will enable Transnet to save on costs, to improve customer relations and to speed up delivery of services. The vendor must have adequate storage infrastructure in order to provide storage space for high volumes of records at very short notice.

- 1.1.1. Operational activities will be executed nationally on a central level, but will be centrally controlled TFR Head Offices in Johannesburg.

The vendor must supply a list of all warehouse locations with addresses, including the number of warehouses at a single vendor region, as well as the total number of warehouses available nationally.

##### 1.2. Company profile

The vendor must provide Transnet with a company profile that includes at least the following information:

- Number of years' experience in the industry
- At least 5 references from customers
- High level overview of the company and its services
- High level overview of social responsibility activities.

##### 1.3. Warehouse and facilities features

Facilities and records storage warehouses must ensure safe and secure preservation of paper records, must be dust free, not prone to humidity, insect and rodent controls must be in place, sun and electric lighting must be limited. All facilities must provide for secure storage and processing environments.

- 1.3.1. All listed warehouse facilities must be owned by the vendor; warehouses listed in the tender response may not be sub-contracted from a third party.
- 1.3.2. Facilities and warehouses must have 24-hour security monitoring and access controls in place.
- 1.3.3. Require all staff and visitors to carry identification indicating their right to be on-site.
- 1.3.4. Biometric access controls
- 1.3.5. Electronic Security procedures must be in place
- 1.3.6. Security inspections must be done at all facilities, on regularly scheduled intervals, and controls must be in place to ensure rounds are done and reported on.
- 1.3.7. Facilities must be fenced in by a secure perimeter, including robust fencing
- 1.3.8. Fire or smoke detection systems must be installed
- 1.3.9. CCTV surveillance systems must be installed
- 1.3.10. Alarms, linked to security provider or police

- 1.3.11. Have auxiliary power backup to ensure uninterrupted service provision
- 1.3.12. Warehouse lighting must be controlled and be limited
- 1.3.13. Shelves must be lifted at least 150mm from the floor and the ceiling to ensure free flow of air
- 1.3.14. The inside of the facility must be constructed of materials that are non-combustible and that limits dust
- 1.3.15. Power supply sockets must be limited and placed strategically
- 1.3.16. Water pipes must be limited and placed strategically to ensure the least risk to records
- 1.3.17. Water pipes must be inspected regularly to pro-actively identify leaks
- 1.3.18. Facilities must be purpose built and used only for the provision of professional records storage and related services.
- 1.3.19. Radio Frequency Identification (RFID) asset tracking must be used in warehouse facilities.

*[HOW THIS WILL BE AVALUATED -The vendor must provide a description of all security and other controls at all warehouses and facilities to demonstrate compliance to requirements listed under item 1]*

NOTE: Transnet reserves the right to inspect any vendor premises at short notice.

## **2. Records categories, records capture and storage procedures**

### **2.1. Records categories, metadata and retention periods**

The service provider must strictly adhere to records categories and types as specified by Transnet. The vendor must facilitate standardisation, and advice Transnet of any potential shortfalls of metadata and overlaps between records categories.

- 2.1.1. Transnet will specify the required records categories applicable to its business processes;
- 2.1.2. Transnet will specify the required metadata / indexing criteria for every records category prior to capture and uptake in a warehouse
- 2.1.3. All records categories and metadata must be approved by Transnet or TFR before any storage can commence
- 2.1.4. All records categories and related metadata must be standardised
- 2.1.5. Transnet will specify applicable and compliant records retention periods based on records categories and the Transnet Records Retention Schedule.

### **2.2. Standardised processes and forms**

- 2.2.1. All interaction processes (and forms) between Transnet and the vendor must be standardised on a national basis.
- 2.2.2. The vendor must be willing to consider changing its forms and processes to ensure improved service delivery.

### 2.3. Records - New service request procedures

Transnet Freight Rail Head Office will notify the vendor of any new job or service requirements.

- 2.3.1. The vendor is not allowed to commence with any new job/ service request received directly from any Transnet user without approval from Transnet head office;
- 2.3.2. Transnet Freight Rail Head Office must provide written approval for any new costs that may be incurred.
- 2.3.3. Transnet Freight Rail Head Office will provide the names and details of Transnet records champions that are to be registered users of the service, per department per geographic location. Records champions will be added and updated on a national and ongoing basis.
- 2.3.4. The vendor must provide a complete, written description/ confirmation of the job specification and its related cost assessment to Transnet Freight Rail Head Office for approval before any work may commence.

*[HOW THIS WILL BE EVALUATED - The vendor must provide a short description of how requirements under section 2.1 -2.3 will be achieved and provide a list of all forms that must be completed in order to register a new job and describe when and for what purposes each form is used.]*

### 2.4. Records capture - Packing and sorting services

- 2.4.1. The vendor must have the necessary people and other resources available to assist any local and central Transnet Freight Rail office with preparing, sorting, and packing of records into boxes for transfer to off-site storage.

### 2.5. Records storage methods

- 2.5.1. Service providers must follow a random storage pattern for boxes. This will mitigate risk of loss in case of an incident in the warehouse.
- 2.5.2. Customer names must not be visible on the box, but must be indicated by barcode only
- 2.5.3. Warehouse facilities must be equipped to store physical records in different formats, i.e. paper records of all sizes, X-Rays, maps, audio and video tapes, computer media, etc. based on each format's unique storage requirements.
- 2.5.4. The vendor must provide different storage options/ services for seldom-used records, versus records that may be retrieved on a more regular basis.

*[HOW THIS WILL BE EVALUATED - The vendor must provide a brief description of records storage methods to demonstrate compliance to the requirements in section 2.4 – 2.5]*

## **3. Secure records access and retrieval (systems and procedures)**

Not all Transnet employees are allowed access to all Transnet records. Transnet Freight Rail Head Office will provide the names and details of Transnet records champions per records category, department, and physical location. Records champions will have different security profiles and will have different types of access to vendor services, depending on their role in Transnet.



### 3.1. Vendor administrative support systems - security controls and procedures

Vendor back-office systems must include both physical- and electronic system security controls and procedures that will ensure a secure and permissions-controlled environment for the access and retrieval of physical records. The service provider systems must ensure that:

- 3.1.1. Records champions are uniquely identified/ registered based on usernames and / or security codes before interacting with any records in the warehouse facilities.
- 3.1.2. Records champions are linked to a specific record category, per department, per geographic location, so as to restrict only transactions against departments and records categories for which they are registered.

### 3.2. Records retrieval capabilities – call centres, index lists and electronic systems-based access

- 3.2.1. The vendor must provide different channels of access and retrieval, including searchable records index lists and web-based database access.
- 3.2.2. Searchable index lists/ reports must be e-mailed to both the Transnet Head Office and the local Transnet records management champion within one week of the data capture having been completed.
- 3.2.3. Call centre staff must be able to assist records champions with the approved process to retrieve, return and track records.

### 3.3. Audit trails and reports

- 3.3.1. The vendor must ensure availability of audit trails of all interactions that any registered Transnet champion or employee(s) had with Transnet records in the vendor warehouse or database.
- 3.3.2. Audit trails for any type of transaction must be created on user, department, location, and file/ box level, whichever is applicable.
- 3.3.3. The vendor must maintain audit trails of records not returned to the warehouse.

*[HOW THIS WILL BE EVALUATED - Vendors must provide a description of how back-office systems and procedures achieve a secure environment for the access and retrieval of physical records.]*

## **4. Records delivery**

Loss or damage is possible with any transport/ delivery of records. The vendor must be equipped to securely transport and deliver records, boxes and stationery using a variety of delivery modes.

### 4.1. Records delivery procedures

- 4.1.1. The vendor must provide clear procedures that must be followed when delivering records.
- 4.1.2. The vendor must allow for delivery procedures to be adapted to provide for Transnet requirements, while still ensuring secure, traceable records delivery.
- 4.1.3. Procedures must clearly state responsibilities for records during the delivery process.
- 4.1.4. Procedures must include incident reporting.

#### 4.2. Physical delivery - vehicles

The vendor must own a fleet of delivery vehicles at all warehouse facilities

- 4.2.1. Vehicles must be clearly branded
- 4.2.2. Vehicles must be designed for safe records transport
- 4.2.3. Vehicles must be regularly maintained
- 4.2.4. Vehicles or drivers must be equipped with communication devices (cell phones, twoway radios, Tracking or other devices)
- 4.2.5. Vehicles must be equipped with a fire extinguisher.
- 4.2.6. Vendors must provide information and statistics on delivery fleet

#### 4.3. Electronic delivery methods – email or Electronic Data Transfer (EDT)

- 4.3.1. Electronic delivery must be possible using encrypted e-mail or Electronic Data transfer (EDT).
- 4.3.2. Vendors must confirm their capability for EDT.

#### 4.4. Cost effective delivery

- 4.4.1. The vendor must at all times take into account the cost of a delivery method and must propose alternative delivery methods to the employee requesting the record, which may be more cost efficient for the specific requirement.
- 4.4.2. Management reports must be provided on methods of delivery on a regular basis.

#### 4.5. Audit trails and reports

- 4.5.1. The vendor must ensure availability of audit trails for all activities forming part of every individual records delivery and collection process.
- 4.5.2. Audit trails must include at least the delivery/ collection date and time, user details, department, location, file/ box details, and whatever else is applicable to the specific delivery or collection.

*[HOW THIS WILL BE EVALUATED - Vendors must provide a description of how back-office systems and procedures achieve a secure environment for the delivery and collection physical records and any other media such as CD's, DVD's etc.]*

### **5. Records management stationery**

The service provider must provide a comprehensive and quality range of records storage stationery products to store and protect physical records securely/safely. Stationery includes but is not limited to:

- Industry standard, sturdy, fire resistant boxes and lids
- Different types and sizes of boxes must be available to choose from
- Barcoded labels
- Carton tubes
- Box input sheets
- Registration forms
- Job specification forms

- Access and retrieval forms
- Box dividers
- Cable ties to securely lock the contents of the box
- Any other stationery that will support professional records storage and retrieval abilities.

*[HOW THIS WILL BE EVALUATED – The vendor must provide a description of all available stationery products]*

## **6. Image processing (scanning and data capture)**

Transnet physical records' quality, formats and sizes vary from small, custom-sized transaction slips to large-sized engineering drawings with different levels of readability; therefore, the vendor must ensure that the latest imaging technology is available to cater for all Transnet's imaging and data capture requirements in an efficient manner.

6.1. Records formats – records must be scanned to the format specified by Transnet.

- 6.1.1. PDF is the standard, but it is not the only format.
- 6.1.2. Conversion to microfilm must be possible.
- 6.1.3. Conversion of records stored as micro images to digital format must be possible.
- 6.1.4. Conversion of hard copy documents to microfilm or microfiche must be possible.

6.2. Efficient imaging solutions

The vendor must on a proactive basis provide professional advice on what the best, most efficient imaging solution will be for a specific job or requirement. Transnet will then determine the solution to be used.

- 6.2.1. The vendor must do an on-site assessment of requirements and advice on possible solutions.

6.3. Imaging/ scanning resources

The vendor must have adequate numbers of people resources and the latest technology resources, to be able to provide very high volume, ad-hoc and quality imaging services at short notice, anywhere in South Africa. Imaging services include, but are not limited to:

- 6.3.1. Continuous, bulk scanning projects
- 6.3.2. Once-off scanning projects
- 6.3.3. On-site bulk scanning
- 6.3.4. Off-site bulk scanning
- 6.3.5. Image-on-demand services that will allow Transnet to scan only a single record out of a batch of records stored either on-site or off-site.
- 6.3.6. Image hosting services – where images are stored off-site with the vendor, while the images remain the property of Transnet.
- 6.3.7. The vendor must provide document preparation services where requested (for example removal of staples, un-folding of records, etc.) before commencement of scanning activities.

#### 6.4. Imaging procedures

- 6.4.1. The vendor must ensure their Image Processing Centres work according to established procedures to ensure an efficient flow of work and produce good quality images.
- 6.4.2. Image Processing Centres must work according to established procedures that include incident reporting and feedback mechanisms.

*[HOW THIS WILL BE EVALUATED - The vendor must provide the required detail regarding their people, processes/ procedures and technology resources per central facility as required under section 6]*

### **7. Records retention, disposal, and destruction (shredding and recycling)**

Due to increased fraudulent activities and identity theft, it is no longer an option to discard original documents without rendering it illegible. The vendor must provide Transnet with a wide variety of disposal and destruction service options (with associated costs per service) to choose from, which can be used in any combination, nationally at all Transnet offices, centres, and depots, and also on a once-off, case-by-case basis.

#### 7.1. Records retention

Transnet will specify records retention periods based on legal, regulatory, business, and international and national standards requirements per records category.

- 7.1.1. The Vendor must ensure compliance with Transnet retention policies by actively managing retention periods based on the retention schedule for records categories and alerting Transnet to pending disposal actions against records categories.
- 7.1.2. Transnet must provide the vendor with written approval before any records can be destroyed. The vendor may under no circumstance destroy any records without approval from Transnet Head Office.

#### 7.2. Records disposal and shredding

Service options must include at least all service options below, and any combination of such services:

- 7.2.1. On-site bins – where a lockable bin is placed on-site, and emptied based on a regular agreed schedule
- 7.2.2. Ad-hoc, on-demand bins – where departments have irregular needs for secure records disposal, placement of an on-demand bin must be provided.
- 7.2.3. On-site bulk shredding – where the vendor provides mobile shredding trucks at Transnet premises where Transnet employees can witness the shredding process.
- 7.2.4. Off-site bulk shredding – where documents are collected from Transnet premises and moved by truck to the shredding facility. This service may be required for Transnet offices with difficult to access premises.
- 7.2.5. All office paper collected from Transnet premises must be recycled.
- 7.2.6. The vendor must constantly explore option to minimise the costs associated with paper disposal activities.

- 7.2.7. Disposal Services that can be delivered free of charge, or where Transnet can receive an income from recycling the scrap paper must be described.

### 7.3. Collection, Destruction-, Recycling- and Environmental Impact Reports

- 7.3.1. Collection and destruction certificates must be provided in all instances
- 7.3.2. The vendor must provide Transnet with reports showing the volumes of paper that was recycled,
- 7.3.3. The vendor must translate these volumes into reports that shows the environmental benefits that were achieved for the volume amounts.

*[HOW THIS WILL BE EVALUATED - The vendor must provide a short description of how records retention and disposal is controlled. Vendors must also provide a description of their records disposal and shredding services as requested under section 7]*

## **8. Electronic records management systems**

The vendor must provide Transnet with access to a sophisticated, easy-to-use electronic support systems that will be capable and flexible to support the physical records management requirements of a company the size of Transnet.

### 8.1. Electronic systems to access records stored in vendor warehouse facilities

- 8.1.1. The vendor must provide Transnet with electronic access to the Transnet database of records stored in the vendor warehouses on a national basis.
- 8.1.2. The vendor must provide a high-level description of system functionalities available to registered records champions.
- 8.1.3. Electronic system functionalities must provide for at least the following:
  - Search
  - Exporting of reports
  - Submitting of retrieval/collection requests
  - Ordering of stationery,
  - Direct data capturing,
  - etc.

### 8.2. Web-based software to manage on-site file access and tracking

The vendor must provide Transnet with a platform/software to manage and control capture, access and tracking of records stored on Transnet premises. This service option is required where Transnet manages very high volumes of active records, which are used on a monthly and even weekly basis, such as medical records.

- 8.2.1. The software provided must be flexible enough to be customised to provide for current and future Transnet requirements for different records categories.
- 8.2.2. The software may include hand-held scanners or similar devices to enable Transnet computers to interact with the vendor-provided web-based system.
- 8.2.3. The software must include standard user authentication features and full audit trails.

- 8.2.4. Registered Transnet employees must be able to use the software for data capture and records retrieval purposes.
- 8.2.5. When a file is removed from on-site, active storage to the warehouse facility, the record metadata must remain linked to the record and show the record as having been transferred to the warehouse location.
- 8.2.6. The vendor remains responsible to fix all system issues at no additional cost to Transnet.
- 8.2.7. The vendor is responsible to train the relevant Transnet employees on-site on the system and must provide on-going user support.

*[HOW THIS WILL BE EVALUATED - The vendor must provide a summary description of system functionality and practical, on-site training services as described under section 8]*

### **9. Vendor monitoring, reporting, incident reports and audit trails**

Transnet will monitor usage of vendor records services on an on-going basis.

Transnet further expects from the vendor to provide regular reports and proactive feedback about their practical, on-site experiences with Transnet staff and their physical records management activities that may impact negatively on both Transnet and the vendor's ability to provide quality services.

#### **9.1. Vendor monitoring and reporting**

The vendor must provide Transnet with regular reports that will enable Transnet to analyse patterns of usage, and to identify centres of good and of bad practice, as well as the potential need for change to better meet business requirements. Transnet may at any time request a unique report to be generated to support records management decision making.

Required reports include but are not limited to:

- 9.1.1. Registered users reports
- 9.1.2. Registered department reports based on geographic location
- 9.1.3. Records types listed per department reports
- 9.1.4. Box count reports
- 9.1.5. Transactional reports
- 9.1.6. Cost analysis reports
- 9.1.7. Reports based on records retention statuses
- 9.1.8. Environmental impact reports
- 9.1.9. Any other reports as required.

#### **9.2. Incident reports**

The vendor must have procedures in place that will ensure incidents, issues and concerns are proactively communicated to Transnet Head Office, either for awareness or resolution.

#### **9.3. Audit trails**

- 9.3.1. Audit trails must be made available that will enable both Transnet and the vendor to determine the cause of an error or breakdown in a service instance. This will assist both parties in future prevention of similar incidents.

- 9.3.2. Audit trails for any type of transaction must be created based on any criteria that will provide a complete view of an incident or transaction.

*[HOW THIS WILL BE EVALUATED - The vendor must list all standard reports available to Transnet that will enable Transnet to monitor the vendor's services as described under section 9]*

## **10. Project management services**

Transnet may from time-to-time initiate high volume records management projects with unique requirements dictated by the requirements of the relevant business process. These projects are often executed at the same time in different geographic centres and needs to be controlled from a central point in order to ensure standardisation and quality assurance.

### **10.1. Qualified project manager**

The vendor must provide Transnet with the services of a qualified project manager to manage these projects on an as and when needed basis.

- 10.1.1. The project manager is responsible to create a project plan where required, that will support the monitoring of activities and reporting on progress against the plan.
- 10.1.2. Charges for Project Management Services must be included in the fees and carries no additional charges.

*[HOW THIS WILL BE EVALUATED - The vendor must describe the free project management services that will be available to Transnet as described under section 10.]*

## **11. Customer services management**

The vendor must provide Transnet with excellent and professional customer services led by an experienced Strategic Customer Services Manager that understands Transnet's organisational structure and records management requirements on a national basis. The Strategic Customer Services Manager must ensure vendor services delivered on a national basis are of a high quality, meet specified requirements, and are standardised.

### **11.1. Strategic Customer Services Manager**

- 11.1.1. The Strategic Customer Services Manager will be responsible to ensure the delivery of quality services, will assist in resolving any queries on a daily and a national basis as may be required, and will also oversee all projects in progress.

The customer services manager must ensure:

- 11.1.2. That all vendor customer managers understand the complex Transnet organisational structure as it relates to providing records management support services.
- 11.1.3. The creation of custom service solutions to support Transnet records management needs.

### **11.2. Central Customer Services Managers**

- 11.2.1. The vendor must assign dedicated Customer Services Managers to all Transnet centres.

Local customer services managers will work closely with the vendor's Strategic Customer Services Managers to ensure standardised services on a national basis. They will always adhere to Transnet physical records management procedure requirements on a detail level.

11.2.2. Local Customer Services Managers must do site assessments on request, to assess the effectiveness and efficiency of the site's physical records management activities and the potential need for off-site storage. Such feedback will be provided to Transnet Head Office who will initiate improvement initiatives if needed.

11.2.3. Vendor customer managers must provide practical, on-site training to Transnet employees that relates to Transnet and vendor interface processes, i.e., how to pack and label boxes, how to send records to the vendor for storage or scanning, how to retrieve records, and other related basic processes.

### 11.3. Interface procedures - Governance

11.3.1. The vendor must provide Transnet with basic user guidelines for all Transnet/ Vendor interface processes.

### 11.4. Service key performance indicators (KPI's)

11.4.1. The vendor must provide Transnet with standard KPI's for all applicable services.

11.4.2. Service KPI's must include at least the following:

- Next Day Retrieval – at least within 24 hours
- Express retrieval – at least within 6 business hours
- Accuracy of data capture and index reports – at least 98 %
- Time required to provide searchable lists of records captured – at least within two days of data capture.
- New stationery deliveries turn-around time (boxes, labels, etc.) – at least within two days of the request being logged.
- Transnet requires from the vendor to include service KPI's for emergency requests. (These requests will be the exception and will be coordinated by Transnet Freight Rail Head Office.)

*[HOW THIS WILL BE EVALUATED - The vendor must provide Transnet with a description of the strategic and basic customer services options available free-of-charge to Transnet, and how the outcomes specified under section 11 will be achieved.]*

## **12. Invoicing responsibilities and procedures**

Numerous transactions will occur daily between Transnet and the vendor on a national basis, which all need to be captured and accurately reflected on vendor invoices. Invoices must reflect standardised descriptions and charge codes for all work done. The necessary vendor procedures, roles and responsibilities must be in place to ensure Transnet receives a professional service.

Invoices must be submitted timeously.



#### 12.1. Vendor credit controllers

- 12.1.1. The vendor must provide Transnet with competent and dedicated credit controllers on a national basis that understand interface procedures between Transnet and the vendor.
- 12.1.2. Credit controllers must be able to ensure vendor invoices are issued to Transnet accurately and timeously.

#### 12.2. Submitting of invoices

- 12.2.1. The vendor must generate invoices per region, per Transnet centre, per department, and timely submit all invoices to the relevant office at Transnet Freight Rail Head Office for processing.

#### 12.3. Linking of invoices to cost assessments

- 12.3.1. Invoices must include all relevant data to uniquely link the invoice to the initial cost assessment per centre and department.

#### 12.4. Financial manager

- 12.4.1. The vendor must dedicate a financial manager to oversee the timeous issuing of accurate invoices on a national basis.
- 12.4.2. The financial manager must be directly accessible by Transnet Head Office staff for resolving issues with invoices that may be incorrect.

#### 12.5. Monthly statement

- 12.5.1. The vendor must provide Transnet with a monthly statement in MS Excel format indicating all invoices submitted, invoices generated not submitted, and invoices previously submitted pending payment.

*[HOW THIS WILL BE EVALUATED - The vendor must provide a clear description of how the requirements listed under section 12 will be achieved.]*

### **13. Vendor people resources and skills**

The vendor must have adequate numbers of skilled staff employed on both a permanent and temporary basis to support Transnet on a national, continuous and an "as-and-when-needed" basis. The vendor must provide continuous training to ensure all staff are skilled to perform in their functions. Vendor employees that come into contact with Transnet records must sign confidentiality agreements.

#### 13.1. Number of permanent staff

- 13.1.1. The vendor must indicate the number of permanent staff available to provide Transnet with a continuous service on a national, as-and-when-needed basis.
- 13.1.2. The total number of permanent staff must be further broken down per vendor region.

### 13.2. Number of temporary staff

- 13.2.1. The vendor must indicate the number of temporary staff available for ad-hoc, high volumes of scanning, data capture and storage services at short notice.
- 13.2.2. The total number of temporary staff must be broken down per vendor region.

### 13.3. Employment contracts and terms

- 13.3.1. The vendor must do thorough background checks on all potential staff before appointment.
- 13.3.2. Employment contracts must include data privacy, information security and confidentiality responsibilities of staff.

### 13.4. Staff training

- 13.4.1. Vendor staff training must include all relevant processes and procedures, including requirements of the Protection of Personal Information Act.

*[HOW THIS WILL BE EVALUATED - The vendor must indicate the number of staff as indicated under section 13 and provide a high-level overview of staff training procedures.]*

## **14. Corporate Governance: Risk Management, Business Continuity, Disaster Recovery and Quality**

### 14.1. Governance: Vendor procedures and/ or management documentation

The vendor must submit to Transnet a list of governance documentation (plans, policies, procedures, processes) currently in place that will demonstrate to Transnet readiness and compliance with requirements for the management of

- Operational management and control,
- Risks management,
- business continuity and disaster recovery,
- occupational health and safety,
- financial control,
- information technology security and governance,
- regulatory compliance,
- procurement/ subcontractors and
- quality assurance.

### 14.2. Transnet auditors

The vendor must be willing to allow Transnet auditors access to any warehouse or related facility to conduct audits on the vendor's processes.

### 14.3. Vendor external auditors

The vendor must provide Transnet Freight Rail with the names of external auditors.

*[HOW THIS WILL BE EVALUATED – The vendor must describe how governance is addressed as required under section 14]*

## ***15. Continuous Improvement***

The vendor must provide Transnet with a professional records management support service that includes the capability of identifying improved and more cost-efficient records management support services.

### **15.1. Service improvements**

Transnet requires from the vendor to jointly and continually explore options to improve existing procedures and the quality of services supplied by the vendor.

### **15.2. Cost efficiencies and costs reductions**

The vendor must submit a commitment of willingness to continuously explore options to reduce costs.

### **15.3. Vendor services available not listed elsewhere**

The vendor must provide a list of service items offered by them, that does not appear in the tender specification, but which may in future enable Transnet to improve current records management processes or save costs.

## ***16. Training and knowledge transfer***

The vendor must have the capability to provide generic records management training on a national basis should Transnet requires such a service in future. This service may cover issues such as the development of records management strategy, file plans, policies, and procedures, etc.

Practical training will be based on a planned, structured, and active knowledge transfer approach. Initial workshops will be held at Transnet's Freight Rail Parktown offices to determine and document the standard operating procedures to be followed for all interface processes. All future practical training based on these procedures must be free of charge.

### **16.1. Training capabilities**

The vendor must have the capability to provide records management training on a national basis should Transnet require such a service in future.

### **16.2. Vendor customer managers**

The vendor must provide generic records management training to relevant vendor customer managers to ensure all Transnet requirements are understood and adhered to. All vendor customer managers must always be aware of and understand Transnet requirements, in order for them to be able to provide Transnet employees in all centres and departments with the necessary on-going, practical training and guidance to ensure standard procedures are adhered to.

### **16.3. Credit controllers**

The vendor must ensure all credit controllers dedicated to the Transnet account understand the invoicing process specific to Transnet requirements.

### **16.4. Transnet Finance Department managers**

A separate "finance" workshop will be held at the Transnet Freight Rail Parktown offices between the vendor and the Transnet Finance Department staff to facilitate understanding and improvement of

vendor invoicing processes and Transnet requirements.

#### 16.5. Transnet records champions

The vendor will be available for on-site, practical training of Transnet records champions on an ongoing basis as part of the bigger Transnet records management program. Training provided by vendor customer managers must enable adherence to Transnet records management requirements.

#### 16.6. Transnet/ vendor interface processes awareness training material

The vendor and Transnet will cooperate to create the necessary practical awareness material to facilitate understanding of Transnet/ vendor interface procedures.

#### 16.7. Training plan and schedule

A formal training plan must be created between the vendor and Transnet for training of:

- Central customer managers
- Transnet records champions

The training plan will detail the items to be covered and dates that the training is to take place.

Attendance registers must be submitted to Transnet Head Office for every individual practical training session conducted by vendor customer managers.

#### 16.8. Intellectual property rights

All intellectual property rights for the training and material are owned by Transnet and no other party post the implementation of the system.

*[HOW THIS WILL BE EVALUATED - The vendor must provide a description of all user training and knowledge transfer services and activities that are available free of charge to Transnet, that will support the execution of requirements listed under section 16]*

### **17. Exit strategy**

17.1. The vendor must provide and describe an effective and cost-efficient exit strategy and highlight all costs involved.

17.2. The vendor must describe controls that will be in place to mitigate the risks of transferring physical records and data to another service provider.

17.3. The vendor must describe the different options available to enable a smooth and efficient transfer of Transnet records and database information to the new vendor should the contract come to an end.

17.4. The exit strategy must state that Transnet owns all information stored in the vendor warehouses and databases, and that all information will be returned to Transnet when the contract ends.

*[HOW THIS WILL BE EVALUATED – The vendor must describe its proposed exit strategy and how it intends to comply with requirements under section 17]*

## **18. Pricing of services**

### 18.1. Price lists

The vendor must include a comprehensive price list and cost structures for all products and services, plus any services available but not specifically mentioned, together with possible sliding scales and free services.

### 18.2. Price escalations

Annual price escalations must be open for negotiation on an annual basis.

*[HOW THIS WILL BE EVALUATED – the vendor must provide information as required under section 18]*

## **19. Scope exclusion**

19.1. Procurement of own software for use by Transnet

19.2. Procurement of own electronic document and records management software

19.3. Procurement of own photocopying and multi-purpose scanning devices.

## **4. CURRENT ANNUAL CONSUMPTION**

Information on box count at offsite storage per region is provided as a guidance only:

Johannesburg	Cape Town	East London	Pretoria	Durban	Port Elizabeth	Nelspruit	Empangeni	Bloemfontein/ Kimberley
25 805	2 005	304	1 832	1 912	2 105	1 309	4 279	1 159

123 departments registered

## **5. CENTRES OF DEPLOYMENT / SERVICES**

Current Transnet Freight Rail geographical locations utilising outsourced records storage and support services include Bloemfontein, Cape Town, City Deep, Durban, East London, Elandsfontein, Empangeni, Ermelo, Esselenpark, Germiston, Isando, Johannesburg, Kimberley, Komatipoort, Krugersdorp, Ladysmith, Nelspruit, Polokwane, Port Elizabeth, Pretoria, Richards Bay, Saldanha, Vryheid, Wentworth, Witbank and others.

The tender scope includes all the above and any additional South African geographical locations that may require records services in future, as well as two additional Transnet departments, i.e. Transnet Group iSCM and Transnet Foundation.

## 6. FUNCTIONAL REQUIREMENTS

Once implemented, outsourced records management support services must enable Transnet to manage physical records throughout its entire life cycle from receipt of the record, through capture/ registration, collection, data capture, scanning/ imaging if needed, physical or electronic storage as needed, search, retrieval, delivery (physical and electronic), practical training, and various disposal options including shredding and recycling of waste paper.

The records life-cycle management services must be enabled by an extensive infrastructure and excellent professional management services that include amongst others

- The latest technologies
- Adequate staff numbers on a national basis
- A dedicated Strategic Customer Services Manager,
- Qualified project manager, a
- Financial Manager to coordinate and resolve invoicing issues
- The necessary governance structures, policies and procedures.

## 7. PERFORMANCE REQUIREMENTS

Performance required of the services solution	Transnet auditors will measure performance against procedures and contracted service KPI's.
Performance KPI's	<ol style="list-style-type: none"> <li>1. Effectively communicate on progress</li> <li>2. Advise TFR when necessary, on best practices processes</li> <li>3. Proactively communicate risks and issues</li> <li>4. Have monthly status meetings</li> <li>5. Provide monthly and ad-hoc reports</li> <li>6. Invoicing to be accurate and based on work done</li> <li>7. Ensures that all project objectives are met according to project plan</li> <li>8. Next day records retrieval – at least within 24 hours</li> <li>9. Express records retrieval – at least within 6 business hours</li> <li>10. Accuracy of data capture and index reports – at least 98%</li> <li>11. Time required to provide searchable lists of records captured – at least within two days of data capture</li> <li>12. New stationery deliveries turn-around time (boxes, labels, etc.) – at least within two days of the request being logged</li> <li>13. Transnet requires from the vendor to include service KPI's for emergency requests</li> </ol>

## 8. OTHER REQUIREMENTS

The vendor must be a South African owned company.

The vendor must own all the warehouses and facilities listed in the tender documents.

## 9. IMPLEMENTATION REQUIREMENTS

The selected vendor will be provided with a 3-month preparation period to prepare their resources and gear up their organisation to deploy the project at TFR. This period will also allow TFR to ensure that all requirements and resources are in place and available for the commencement of the project.