Terms of reference (ToR) for the procurement of services below the EU threshold

Development of a Comprehensive Digitization and Change Management Strategy with Pilot Implementation for the Project Portfolio Office (PPO) at SIU	**Project number/ cost centre:** **20.2106.1-001.00**

0. List of abbreviations

AG	Commissioning party
AN	Contractor
AVB	General Terms and Conditions of Contract for supplying services and work
FK	Expert
FKT	Expert days
KZFK	Short-term expert
ToRs	Terms of reference

1. Context

The Transparency, Integrity, and Accountability Programme (TIP) in South Africa supports state and non-state actors in contributing to the implementation of the National Anti-Corruption Strategy (NACS) through a whole-of-government and societal approach. TIP focuses on capacity development for anti-corruption actors across the state, civil society, and the business sector, with three primary outputs: fostering active citizen participation in transparency, integrity, and accountability initiatives; strengthening the institutional capacity of the National Anti-Corruption Advisory Council (NACAC) to coordinate NACS implementation; and promoting multi-stakeholder partnerships to enhance transparency and accountability.

In alignment with the NACS, Agenda 2030, Germany's governance approaches, and the African Union's Agenda 2063, TIP incorporates a human rights-based orientation, emphasizing gender equality and supporting Sustainable Development Goals 16.5 and 16.6. The programme is implemented by GIZ on behalf of the German Federal Ministry for Economic Cooperation and Development (BMZ) and co-financed by the Swiss State Secretariat for Economic Affairs (SECO).

As part of its collaboration with the Special Investigating Unit (SIU), TIP aims to improve document management processes within SIU's Project Portfolio Office (PPO) by developing and implementing a comprehensive digitization strategy. This strategy will convert physical documents into OCR-ready and machine-readable formats, ensuring greater accessibility, data security, reduced physical storage, and support for data-driven decision-making. The PPO, which handles critical legal and investigative documents, will also benefit from a change management strategy and a pilot project to pioneer this digital transformation, streamlining operations and supporting SIU's broader Digital Transformation Programme.

2. Tasks to be performed by the contractor

The contractor is responsible for providing the following services:

1. Development of a Digitization Strategy:

Document Analysis:

- Conduct a comprehensive assessment of document types, volumes, and conditions within the PPO Division. (**see Annexes 1 for current state**)
- Classify documents based on importance, usage frequency, and sensitivity.

Technology Assessment:

- Identify and recommend suitable high-speed scanners, and OCR software. Noting that the recommendations are aligned to SIU's current hardware architecture and technology stack. (**see Annexes 2 for Current SIU Scanning Machine Setup**)
- Develop integration and access control plans for incorporating digitized documents into existing SIU systems such as SharePoint.

Process Design:

- Develop Standard Operating Procedures (SOPs) for document preparation, scanning, OCR processing, quality assurance, and data security.

- Establish mechanisms to handle parallel processes.
- Establish compliance protocols aligning with relevant data protection regulations (e.g., POPIA and/or SIU internal regulations)
- Develop recommendations for a naming convention and possible e-signature implementation benefit.

Legal and Compliance Review:

- Ensure the digitization process adheres to data privacy, protection laws, and regulations such as POPIA.
- Develop protocols for data retention, disposal, and third-party vendor management.

2. **Pilot Project Implementation (A non-disclosure agreement will be signed):**

Document Preparation:

- Organize, repair, and prepare selected documents for digitization.

Digitization and OCR Processing:

- Scan prepared documents and convert them into searchable and editable digital formats.
- Ensure a minimum OCR accuracy rate of 90%.

Quality Assurance:

- Conduct thorough reviews and corrections to maintain high data accuracy and integrity.

Integration and Storage:

- Securely store digitized documents and integrate them into existing SIU document management systems.

User Training and Support:

- Develop and deliver training programs for PPO staff on accessing and utilizing digitized documents.
- Provide ongoing technical support and address user feedback.

Evaluation and Reporting:

- Assess pilot project outcomes against predefined KPIs, KPI's will be defined in the inception meeting with the contractor and steering committee.
- Prepare detailed reports with recommendations for full-scale implementation across SIU.
- Implement feedback loops for continuous improvement of the digitization process.

3. **Change Management Strategy**

Stakeholder Engagement:

- Identify key stakeholders within the PPO and broader SIU to ensure their involvement and buy-in throughout the project.
- Conduct regular meetings and communication sessions to update stakeholders on project progress and address any concerns.

Change Impact Assessment:

- Assess the impact of the digitization project on existing workflows, roles, and responsibilities within the PPO.
- Develop mitigation strategies to address potential resistance or challenges.

Training and Capacity Building:

- Design and deliver change management training to help PPO staff adapt to new digital workflows.
- Provide continuous support and resources to ensure a smooth transition to the new system.

Communication Plan:

- Develop a comprehensive communication plan to inform and educate all affected parties about the benefits, timelines, and changes associated with the project.
- Utilize multiple channels to ensure clear and consistent messaging throughout the project lifecycle.

- The contractor is responsible for selecting, preparing, training and steering the international and national, short and long-term experts assigned to perform the advisory tasks.
- The contractor provides equipment and supplies (consumables) and assumes the associated operating and administrative costs.
- The contractor manages costs and expenditures, accounting processes and invoicing in line with the requirements of GIZ.
- The contractor reports regularly to GIZ in accordance with the current AVB of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

In addition to the reports required by GIZ in accordance with the AVB, the contractor submits the following reports:

- Inception report
- Contributions to reports to GIZ's commissioning party
- Brief quarterly or half-yearly reports on the implementation status of the project Certain milestones, as laid out in the table below, are to be achieved during the contract term:

Milestones/process steps/partial services	Deadline/place/person responsible
Development of Digitization Strategy	30 November 2024
Pilot Project Implementation	29 March 2025
Change Management Strategy	27 May 2025

| Quality Assurance and Integration | 26 August 2025 |
| Training and Final Report | 29 August 2025 |

Period of assignment: from until.

3. Concept

In the tender, the tenderer is required to show *how* the objectives defined in Chapter 2 (Tasks to be performed) are to be achieved, if applicable under consideration of further method-related requirements (technical-methodological concept). In addition, the tenderer must describe the project management system for service provision.

Note: The numbers in parentheses correspond to the lines of the technical assessment grid.

Technical-methodological concept

Strategy (1.1): The tenderer is required to consider the tasks to be performed with reference to the objectives of the services put out to tender (see Chapter 1 Context) (1.1.1). Following this, the tenderer presents and justifies the explicit strategy with which it intends to provide the services for which it is responsible (see Chapter 2 Tasks to be performed) (1.1.2).

The tenderer is required to present the actors relevant for the services for which it is responsible and describe the **cooperation (1.2)** with them.

The tenderer is required to present and explain its approach to **steering** the measures with the project partners (1.3.1) and its contribution to the **results-based monitoring system** (1.3.2).

The tenderer is required to describe the key **processes** for the services for which it is responsible and create an **operational plan** or schedule (1.4.1) that describes how the services according to Chapter 2 (Tasks to be performed by the contractor) are to be provided. In particular, the tenderer is required to describe the necessary work steps and, if applicable, take account of the milestones and **contributions** of other actors (partner contributions) in accordance with Chapter 2 (Tasks to be performed) (1.4.2).

The tenderer is required to describe its contribution to knowledge management for the partner (1.5.1) and GIZ and to promote scaling-up effects (1.5.2) under **learning and innovation**.

Project management of the contractor (1.6)

1.6.1 The tenderer is required to explain its approach for coordination with the GIZ project. In particular, the project management requirements specified in Chapter 2 (Tasks to be performed by the contractor) must be explained in detail.

1.6.2 The tenderer is required to draw up a **personnel assignment plan** with explanatory notes that lists all the experts proposed in the tender; the plan includes information on assignment dates (duration and expert days) and locations of the individual members of the team complete with the allocation of work steps as set out in the schedule.

1.6.3 The tenderer is required to describe its backstopping concept. The following services are part of the standard backstopping package, which (like ancillary personnel costs) must be factored into the fee schedules of the staff listed in the tender in accordance with Section 3.3.1 of the GIZ AVB:

- Service-delivery control
- Managing adaptations to changing conditions
- Ensuring the flow of information between the tenderer and GIZ
- Assuming personnel responsibility for the contractor's experts
- Process-oriented steering for implementation of the commission
- Securing the administrative conclusion of the project

Further requirements (1.7)

4. Personnel concept

The tenderer is required to provide personnel who are suited to filling the positions described, on the basis of their CVs (see Chapter 7), the range of tasks involved and the required qualifications.

The below specified qualifications represent the requirements to reach the maximum number of points in the technical assessment.

Team leader

Tasks of the team leader

- Overall responsibility for the advisory packages of the contractor (quality and deadlines)
- Coordinating and ensuring communication with GIZ, partners and others involved in the project
- Personnel management, in particular identifying the need for short-term assignments within the available budget, as well as planning and steering assignments and supporting local and international short-term experts
- Regular reporting in accordance with deadlines

Qualifications of the team leader

- Education/training (2.1.1): University degree (Master) in information technology or digital archiving
- Language (2.1.2): B2-level language proficiency in English
- General professional experience (2.1.3): 4 years of professional experience in the Information Technology sector
- Specific professional experience (2.1.4): 6 years in document digitization and OCR technology implementation
- Leadership/management experience (2.1.5): 4 years of management/leadership experience as project team leader or manager in a company
- Regional experience (2.2.6): 3 years of experience in projects in SADC (region), of which 2 years in projects in South Africa (country)

Key expert 1

Tasks of key expert 1

- Development of Digitization Strategy: Lead the development of a comprehensive digitization strategy, including document analysis, technology assessment, and process design to convert physical documents into OCR-ready, machine-readable formats.

- Stakeholder Engagement and Coordination: Facilitate collaboration between various stakeholders (ICT, legal, records management, and end-users) to ensure the alignment of the digitization process with SIU's legal and compliance requirements.
- Pilot Project Oversight: Manage the pilot project, ensuring document preparation, scanning, OCR processing, quality assurance, and the integration of digitized documents into existing systems.
- Change Management Leadership: Lead the change management strategy, assessing the impact of digitization on workflows, roles, and responsibilities within the PPO and developing strategies to mitigate resistance.
- Training and Capacity Building: Oversee the design and delivery of training programs to ensure PPO staff can effectively use and manage the new digitized document systems.

Qualifications of key expert 1

- Education/training (2.2.1): University qualification: Master in information management
- Language (2.2.2): B2 -level language proficiency in English
- General professional experience (2.2.3): 3 years in Information Technology Sector
- Specific professional experience (2.2.4): 3 years of experience in developing and implementing digitization strategies.
- Regional experience (2.2.6): 2 years of experience in projects in SADC (region), of which 2 years in projects in South Africa (country)

Soft skills of team members

In addition to their specialist qualifications, the following qualifications are required of team members:

- Team skills
- Initiative
- Communication skills
- Socio-cultural skills
- Efficient, partner- and client-focused working methods
- Interdisciplinary thinking

5. Costing requirements

Assignment of personnel and travel expenses

Per-diem and overnight accommodation allowances are reimbursed as a lump sum up to the maximum amounts permissible under tax law for each country as set out in the country table in the circular from the German Federal Ministry of Finance on travel expense remuneration (downloadable at https://www.bundesfinanzministerium.de).

Accommodation costs which exceed this up to a reasonable amount and the cost of flights and other main forms of transport can be reimbursed against evidence.

All business travel must be agreed in advance by the officer responsible for the project.

Sustainability aspects for travel

GIZ would like to reduce greenhouse gas emissions (CO_2 emissions) caused by travel. When preparing your tender, please incorporate options for reducing emissions, such as selecting

the lowest-emission booking class (economy) and using means of transport, airlines and flight routes with a higher CO_2 efficiency. For short distances, travel by train (second class) or e-mobility should be the preferred option.

If they cannot be avoided, CO_2 emissions caused by air travel should be offset. GIZ specifies a budget for this, through which the carbon offsets can be settled against evidence.

There are many different providers in the market for emissions certificates, and they have different climate impact ambitions. The Development and Climate Alliance (German only) has published a list of standards (German only). GIZ recommends using the standards specified there.

Specification of inputs

Fee days	Number of experts	Number of days per expert	Total	Comments
Preparation/debriefing	2	1	2	
Implementation	2	190	380	The Team leader will have 180 days and Expert 1 will have 200 days.
Travel expenses	Quantity	Number per expert	Total	Comments
Per-diem allowance in country of assignment				
Overnight allowance in country of assignment If an on-site assignment takes place over the weekend, overnight allowances for weekends can be reimbursed between the fee days.				
Transport	Quantity	Number per expert	Total	Comments
International flights				
Domestic flights				
CO_2 compensation for air travel				
Travel expenses (train, car)				

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Other travel expenses				
Other costs	**Number**	**Price**	**Total**	**Comments**
Flexible remuneration				
Workshops If workshops are planned, you can define a fixed budget. Please describe which costs it includes. Alternatively, tenderers can calculate workshop costs themselves.				
Subcontracts				
Procurement of materials and equipment .				
Local contributions				
Other costs				

6. Requirements on the format of the tender

The structure of the tender must correspond to the structure of the ToR. In particular, the detailed structure of the concept (Chapter 3) should be organised in accordance with the positively weighted criteria in the assessment grid (not with zero). The tender must be legible (font size 11 or larger) and clearly formulated. It must be drawn up in English (language).

The complete tender must not exceed 10 pages (excluding CVs). If one of the maximum page lengths is exceeded, the content appearing after the cut-off point will not be included in the assessment. External content (e.g. links to websites) will also not be considered.

The CVs of the personnel proposed in accordance with Chapter 4 of the ToRs must be submitted using the format specified in the terms and conditions for application. The CVs shall not exceed 4 pages each. They must clearly show the position and job the proposed

person held in the reference project and for how long. The CVs can also be submitted in English (language).

Please calculate your financial tender based exactly on the parameters specified in Chapter 5 Quantitative requirements. The contractor is not contractually entitled to use up the days, trips, workshops or budgets in full. The number of days, trips and workshops and the budgets will be contractually agreed as maximum limits. The specifications for pricing are defined in the price schedule.

7. Annexes

Current State Analysis

1. Document Volume and Accessibility

- The organization handles a significant volume of documents, with varying access levels.
- Approximately **97%** of documents are physical, and **3%** are digital, creating challenges in retrieval and management.

Types of Documents	Size of Physical Documents	Size of Digital Documents	Size per measurement
Physical documents	8 Boxes of Metrofile (43cm,32.5cm,36cm)		1 Box takes appx.1500 – 2000 pages
Physical documents	10 Boxes of Metrofile (43cm,32.5cm,36cm)		1 Box takes appx.1500 – 2000 pages
Physical documents	3 Boxes of Metrofile (43cm,32.5cm,36cm)		1 Box takes appx.1500 – 2000 pages
Digital documents		7.8GB - Knowledge library and research documents	7.8GB of pdf and word documents
Digital & Physical documents	40% Physical	60% Digital	1000 – 10 000 documents

- **Storage and Formats**

   o Documents are stored across multiple platforms including personal computers, cloud storage, and on-premises systems.
   o Documents are frequently stored in formats that complicate searchability and accessibility.

2. Current SIU Scanning Machine Setup

The Fujitsu fi-4250 setup:

Scanning Capabilities:

- Supports colour, grayscale, and monochrome scanning
- Optical Resolution: Up to 600 dpi
- Maximum Scanning Speed:
- Simplex: 50 ppm (A4 portrait, 200/300 dpi)
- Duplex: 100 imp (A4 portrait, 200/300 dpi)
- Automatic Document Feeder (ADF) Capacity: 50 sheets

OCR Capabilities:

- The fi-4250 includes built-in Optical Character Recognition (OCR) capabilities, allowing it to convert scanned text into editable and searchable digital documents.
- The OCR engine supports a variety of languages, including English, French, German, Italian, and Spanish.
- The OCR accuracy is reported to be high, making the fi-4250 suitable for document management, archiving, and other workflows that require text extraction from scanned documents.

Additional Features

- Supports a variety of document sizes, from business cards to A4/Letter size
- Includes image enhancement features like deskew, auto color detection, and blank page removal
- Comes with TWAIN and ISIS drivers for easy integration with document management software
- Bundled with document capture and management software

Other Requirements

- Please submit your proposal (technical and price proposal) in separate files/folder to ZA_Quotation@giz.de no later than **13th December 2024** all documents must be in PDF.
- Submission to any other email address may invalidate your bid.
- Please do not mention any price for this measure on your cover letter/Technical proposal.
- Please submit your tax clearance certificate with the bidding documents.
- Please submit your price proposal in **ZAR.**
- Our General Terms of Conditions (attached) shall not be changed/amended should you be the winner of this tender. These General Terms and Conditions will form part of the contract should you be awarded this contract. By submitting your proposal, we will conclude that you have read and accepted these terms and conditions.

- Participating more than once in same tender is not allowed and it will lead to your proposal as well as that of the company where you appear more than once being disqualified. The responsibility rests with the companies to ensure that their partners/experts are not bidding/participating more than once in same tender.

- Bidders are not allowed to communicate directly with any other person regarding this bid other than the procurement official/s. Failure to comply with this requirement may lead to your bid being disqualified.

- Bidders must strictly avoid conflicts with other assignments or their own interests. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this EOI and tender process, if they:

  a)   are or have been associated in the past, with a firm or any of its affiliates which have been engaged by GIZ or the Interim Supply Chain Management Council to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the services in this selection process;

  b)   were involved in the preparation and/or design of the programme/project related to the services requested under this EOI and tender;

  c)   are serving or have been serving in the past three months in the structures of the Interim Supply Chain Management; or

  d)   are found to be in conflict for any other reason, as may be established by, or at the discretion of GIZ.

Scientific data

In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to GIZ, and seek GIZ's confirmation on whether or not such a conflict exists.

- Similarly, the Bidders must disclose in their proposal their knowledge of the following:

  a) if the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of GIZ staff involved in the procurement functions and/or the Interim SCM Council or any Implementing partner receiving services under this EOI or tender; and
  b) all other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices.
- **Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.**

Bids sent via Dropbox and WeTransfer will not be accepted