



Request for Proposals
for
Records and Information Management Consulting Services

OPS 1/2014

Issue Date: March 18, 2014

Response Date: April 30, 2014

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1.0 Introduction

The Utilities Regulation and Competition Authority (URCA) issues this Request for Proposals (RFP) for Records and Information Management Consulting Services. It outlines the requirements, and invites interested parties with the requisite experience and resources to submit proposals for providing records and information management consulting services to URCA. URCA wishes to contract with a records and information management expert who will work with URCA's management and staff over a period of time to determine how URCA should best manage its records and information systems for the present and the future. Desired results will include a high-level records and information management roadmap that assists URCA in making future decisions about methodologies and functional requirements for its records management. This may or may not include the supply, installation, configuration and training of staff in the use of records and information management software or imaging systems, depending on the proposed solutions.

1.1 Background Information

URCA:

- is a statutory body created by legislation as the independent regulator of designated sectors of the economy and currently licenses and regulates entities in the Electronic Communications Sector in The Bahamas.
- has a Board comprising five persons, three non-executive members (one of whom is URCA's Chairperson) and two executive members, the Chief Executive Officer and the Director of Policy and Regulation.
- has 21 employees with expertise in various disciplines including Economics, Engineering, Accounting and Law, all of whom work mainly from URCA's office at the UBS Annex Building, 31B East Bay Street, Nassau.

Currently, URCA manages its licensee and regulatory information using a mixture of traditional paper filing systems which, naturally, includes many deficiencies in the cost and time spent managing paperwork, and the DocuWare product suite of document management software to electronically store, manage and share documents.

Moving our licensee and regulatory records management to a full-time electronic format will allow URCA to maintain this information in a more efficient, clean and secure system that will have direct productivity and fiscal benefits for URCA's staff, management and stakeholders.

2. Scope of work

URCA is seeking comprehensive content, clearly organized proposals, and solution-oriented procedures. The goal is to ensure a secure, smoothly operating, efficient process, and an effective records and information management system.

Potential records management solutions will need to be able to accommodate URCA Staff of 50 possible users. Additionally, URCA has approximately 200 Individual and class licensees of various descriptions at any given time. In any given year, upwards of 500 individuals and, corporations might correspond with us and/or utilize our services. To this end, URCA anticipates an unlimited amount of individual “records” that can be maintained in its records and information management system.

Tasks:

- Inventory, and assess the organization and management of paper and electronic records;
- Create a comprehensive records management process mapping suitable to URCA’s present and future needs;
- Develop recommendations, and advise on future actions and means of implementation to improve records and information management relative to best practices and legislative requirements, including estimated costs associated with each recommendation;
- Create a comprehensive Records Management Policy consistent with relevant legislation, and risk mitigation practices;
- Create a detailed Records Retention Policy, in tandem with applicable Bahamian laws;
- Advise on staff training related to records and information management program.

URCA’s Records and Information Management Project Consultancy Requirements:

| | Project Requirement | Included in Proposal | Not Included in Proposal | Consultant’s Comments |
|----|--|-----------------------------|---------------------------------|------------------------------|
| 1. | Consultant must evaluate URCA’s current records management practices. | | | |
| 2. | This project will include studying URCA’s management of both electronic and paper records. The electronic records will be in a variety of formats and types. | | | |
| 3. | The Consultant will provide suggested guidelines that departments will use in records management. | | | |
| 4. | The Consultant will assist URCA in | | | |

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| | developing standards/policies/procedures for receiving paper and electronic records. | | | |
| 5. | The Consultant will help URCA/ departments within URCA develop guidelines for efficient and effective records storage and retrieval. | | | |
| 6. | The Consultant will assist URCA in making any necessary changes in its current Records and Information management Policy and Electronic Messaging Policy. | | | |
| 7. | The Consultant will assist URCA in determining how to manage records and information management custodian questions and issues. This will include helping determine who is the most appropriate custodian of records and information management within URCA. | | | |
| 8. | The Consultant will work with URCA in developing a records and information management standard procedure. | | | |
| 9. | The Consultant will help develop methods to be used by all departments within URCA to search URCA records. This method should allow identification of records by: description, format, department, responsible/relevant party, location and retention information. | | | |
| 10. | The Consultant will help develop a method to be used by all departments within URCA for tracking various types of applications, competition and consumer complaints, public records requests and other regulatory activities. This method should allow identification by: applicant/requestor, date of application/request, responding department, responder and date of response. | | | |
| 11. | The Consultant will assist with developing a training programme for records and information management | | | |

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| | including URCA’s records and information management policies and procedures. | | | |
| 12. | The Consultant will advise URCA on methodologies that enhance records retention, retrieval and destruction of records managed by each department within URCA. | | | |
| 13. | Within six (6) months of contract signing, the Consultant will provide a records and information management roadmap that will help guide URCA’s records and information management planning for the future. This roadmap will include how to best store and manage each record series and include recommendations on ways to streamline storage, management and retrieval of records for the future. | | | |

3. Proponent’s Qualifications

The respondent should have experience in the following areas:

- Proven experience and expertise in the assessment of corporate records and information management, including public and private sector experience;
- Strong working knowledge of all records media, including paper and electronic; databases and archival materials;
- Excellent project management, relationship development and maintenance skills;
- Flexibility, creativity, collaboration and professionalism when carrying out tasks;
- Familiarity with applicable laws of The Bahamas, and risk mitigation practices for records and information;
- Professional certification in records management and administration; and
- Membership with the Association of Records Managers and Administrators.

The specifications listed below are considered minimum unless otherwise stated.

Records and Information Management Consulting Experience:

| Item No. | Description of Records and Information Management Consulting Experience |
|-----------------|--|
| 1. | Describe your records and information management consulting experience. List all major projects completed within the last five years. Include descriptions of each major project with relevant deliverables. |
| 2. | List national, international, professional, and industry certifications or qualifications in records and information management. |
| 3. | Describe how you would go about documenting and evaluating an agency's current records and information management practices. |
| 4. | What process changes have you recommended in the past and why? |
| 5. | Describe your past experience with all types of documents including various electronic formats as well as paper records. |
| 6. | Give samples of records and information management guidelines or roadmaps that you have developed for other clients or agencies in the past. |
| 7. | Describe your experience in advising on records and information management within the context of evidentiary records retention and management. |

Sub-Contracting:

- (a) Using a sub-contractor (who must be clearly identified in the Proposal) is acceptable. This includes a joint submission by two Consultants having no formal corporate links. However, in this case, one of the Consultants must be prepared to take overall responsibility for successful performance of the Contract and this must be clearly defined in the Proposal.
- (b) Sub-contracting to any firm or individual whose current or past corporate or other interests may, in URCA's opinion, give rise to a conflict of interest in connection with this project will not be permitted. This includes, but is not limited to, any firm or individual involved in the preparation of this Request for Proposal.
- (c) Where applicable, the names of approved sub-contractors listed in the Proposal will be included in the Contract. No additional subcontractors will be added, nor other changes made, to this list in the Contract without the written consent of URCA.

4. Administration

4.1 Contract

Once URCA identifies a requirement for outside expertise, terms of reference for the assignment will be developed including anticipated time requirements, expected travel costs and assignment deadlines. Qualified consultants will then be contacted for

availability. A contract provided by URCA must then be executed by the Consultant before the assignment can begin.

Negotiations with the preferred Consultant do not imply or commit URCA to proceeding to a signed contract. URCA reserves the right to stop negotiations at any time. Negotiations may then start with the next preferred Consultant.

URCA is seeking an initial contract for [*two (2) years.

URCA may award a contract based upon the Proposals received, without discussion of such Proposals with Consultants. Therefore, each Proposal should be submitted in the most favourable terms the Consultant can make to URCA. URCA reserves the right to request additional information or an oral presentation in support of the written Proposal. Submission of a Proposal does not automatically qualify a Consultant for an oral presentation. URCA reserves the right to negotiate the terms and conditions of a contract with all preferred Consultants.

4.2 Conflict of Interest

Consultants are required to declare any relationship with URCA, its Board or staff members or any other relationship or project with any entity licensed by URCA or otherwise primarily or substantially engaged in the Electronic Communications Sector which may be considered a conflict of interest. A conflict of interest will be evaluated on its merits by URCA and will not necessarily result in the exclusion of a Proposal.

URCA reserves the right to disqualify any Consultant or Consulting Firm that in URCA's sole opinion has an actual or potential conflict of interest or an unfair advantage, whether existing now or is likely to arise in the future. Alternatively, URCA may permit the consultant or consulting firm to continue and impose such terms and conditions as URCA, in its sole discretion, may require.

Consultants and consulting firms are required to disclose to URCA any potential or perceived conflict of interest issues prior to the RFP closing date and time.

4.3 Business Hours

Consultants or consulting firms and their personnel are expected to work with URCA's normal business hours, which are:

- Monday to Friday, excluding public holidays
- 9:00 a.m. to 5:00 p.m. Eastern time

During the project, URCA will identify any need to work outside the above business hours or in a different location.

5.0 Responding to this RFP

5.1 Asking Questions

Consultants or consulting firms are responsible for obtaining any needed clarification of the RFP requirements, while the RFP is open. Questions should be directed in writing to the Chief Executive Officer at KSmith@urcabahamas.bs. E-mail is the preferred method of contact. Verbal questions and responses that are not later confirmed in writing with the RFP Contact will not be considered an official response.

5.2 Format of Response

The proposal document from Consultants or consulting firms should be comprised of the sections below, presented in the order listed:

- **Title page** – This should clearly identify the consultant’s or consulting firm’s name, postal address, telephone number, and e-mail address; as well as the area(s) of expertise offered.
- **Table of Contents**
- **Body of Proposal** – This should include the proponent’s description of expertise; years of expertise; a resume for each specialist proposed; daily and hourly rates for professional services; any other costs that the consultant or consulting firm would expect to incur if hired.

Each proposal document should include at least two project references where the proposed individual(s) served in a similar role, including:

- Name of client organization;
- Name, title, telephone number, and email of a client contact;
- Brief description of the scope, complexity, dates and duration of the project; and
- Role the proposed individual played in the referenced project.

5.3 How to Submit the Proposals

Consultants or consulting firms may deliver their responses to this RFP, on or before April 30, 2014 to the Chief Executive Officer of URCA either:

- By hand, to URCA’s office at UBS annex Building, 31B East Bay Street, Nassau, Bahamas; or
- By mail, to P.O. Box N-4860, Nassau, Bahamas; or

- By fax, to (242)-393-0153; or
- By e-mail, to info@urcabahamas.bs

Electronic submission of proposals is encouraged. However, if a print version is submitted, to help ensure consistency in proponent responses and ease the evaluation process, the proposal should be prepared and packaged, as outlined in the sections that follow. Please print double-sided whenever possible.

6. Proposal Evaluation

The Evaluation Team will consist of representatives of URCA. It is understood and accepted by the proponent that all decisions about the degree to which a proposal meets the requirements of this RFP are the judgment of URCA's Evaluation Team.

To assist in the evaluation of the responses, the Evaluation Team may, but is not required to:

- ✓ Conduct any background investigations that it considers necessary in the course of the evaluation process, and consider any relevant information resulting in the evaluation of responses.
- ✓ Will only seek clarification from a proponent if the requested information is ambiguous or missing, and if such clarification does not offer the proponent the opportunity to improve the competitive position of its response. Wherever possible, requests made by the Evaluation Team will be sent from the e-mail addresses of URCA's RFP Contacts.

URCA reserves the right to disqualify any proposal at URCA's sole discretion.

Failure to respond to any requirements outlined in this RFP, or failure to enclose copies of the required documents, may disqualify the Proposal.

Proposals will be evaluated by the review team based on the following criteria:

A: Competence of the Consultant to perform the required service as indicated by the technical training, education, experience, thoroughness of answers, and reputation of the personnel who would be assigned to perform the work. The following factors may be included in the evaluation:

- Past experience.
- How well similar engagements have gone in the past.
- Overall knowledge of records and information management.
- The likelihood of completing the project on time based on current workload and resources.

- Willingness to agree and comply with all of URCA's Terms and Conditions based on a contract arising out of his RFP.

B: Quality and feasibility of the proposal will be evaluated on:

- Clarity, organization, adherence to the requested proposal format, demonstration of understanding of the questions and completeness.

C: Past performance as reflected by evaluations of previous clients and review of actual installations with respect to factors such as quality of work, cost control, and timeliness.

D: Ability to perform the services competently and expeditiously. The selection team may include the following factors:

- Ability to partner with other consultants that would enhance service and deliverables
- Project approach
- Proposed timeline
- Cost of services proposed

Consultants must provide as a part of their proposal, information detailing their firm's qualifications and proposed project team's qualifications, information and references on projects of similar size and scope, project approach and solution, and other information pertinent to this request and useful in evaluating the Proposal submittal.

URCA realizes that factors other than price are important. As a result, price may not be the sole factor upon which URCA's decision to award a contract is based. URCA will make the award based upon the proposal which best meets its need.

URCA reserves the right to reject any or all proposals, waive technicalities, and to be the sole judge of the suitability of the proposed services for its intended use and further specifically reserves the right to make the award in the best interests of URCA. Consultants may be asked to substantiate proposal representations made in any inquiry, as well as provide supplemental information or additional information about the scope of work outlined in their proposal.

All Proposals must be open for acceptance for no less than 120 days after the Closing Date and will be regarded by URCA as the Consultant's best and final offer. Consultants, by submitting a Proposal, agree that any cost incurred by the Consultant associated with the preparation, delivery and presentation of the Proposal including but not limited to any required presentations or demonstrations, is to be borne by the Consultant and may not be billed to URCA.

URCA will retain information within each Proposal as confidential.

Any information provided by URCA to Consultants responding to this RFP is to be used for the sole purpose of responding to this RFP.

6.1 **Mandatory Criteria**

The proposal must meet the following mandatory criteria and clearly demonstrate that these are met in a substantially unaltered form. If the proposal fails to meet these criteria, it will receive no further consideration during the evaluation process and be deemed non-compliant by URCA's Evaluation Team:

- The proposal must clearly demonstrate the proponent's experience and ability to fulfill the service requirements identified.
- All proposals must be submitted in United States dollars (US\$) or Bahamian dollars (B\$) exclusive of all taxes.

6.2 **Estimated Time-Frames**

The following timetable outlines the anticipated schedule for the Request for Proposal and Contract process. The timing and the sequence of events resulting from this Request for Proposal may vary and shall ultimately be determined by URCA.

| EVENT | ANTICIPATED DATE |
|---|-------------------------|
| Request for Proposals is issued | March 17, 2014 |
| Request for Proposals closes | April 30, 2014 |
| Evaluation of Proposals | July 25, 2014 |
| Shortlisted and unsuccessful Consultants notified by letter | August 1, 2014 |
| Shortlisted Consultants conduct demonstrations/ presentations, site visits (if required) | August 11, 2014 |
| Final selection and preferred Consultant notified | August 29, 2014 |
| Detailed discussions and contract preparation with preferred Consultant | September 26, 2014 |
| Final approval and contract signed | October 3, 2014 |
| Implementation phase begins | October 15, 2014 |