

ONSITE DOCUMENT STORAGE REDUCTION SERVICES FOR CAPE TOWN AND JOHANNESBURG PROCESSING CENTRES

BUSINESS REQUIREMENTS SPECIFICATION

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Business Requirements Specification

This document sets out the business requirements that SARS has for services to reduce the offsite storage of documents in Cape Town and Johannesburg

1 BACKGROUND

SARS requires onsite managed services to administer and manage the receiving, inspection, scanning and destruction of documents stored at the SARS Offsite Storage service providers in Cape Town and Johannesburg.

The requirement is part of a project that takes advantage of changes in legislation, SARS systems as well as changes in SARS ways of work to achieve the drive towards a paperless environment.

2 BEST EFFORT EXPECTED MONTHLY PRODUCTION VOLUMES¹

Area	Service Provider Delivery Schedule	Oct-22	Nov-22	Dec-22	Jan-23	Feb-23	Mar-23	Apr-23	May-23	Jun-23	Jul-23	Aug-23	Sep-23	Oct-23	TOTAL
Cape Town	Cpt Service Provider: No of deliveries per month (±393 boxes per delivery)	20	20	20	12	13	15	25	25	25	25	25	20	5	250
Cape Town	Average number of boxes received per month	7860	7860	7860	4716	5109	5895	9825	9825	9825	9825	9825	7860	1965	98 250
Johannesburg	Jhb Service Provider 1: No of deliveries per month (±100 boxes per delivery)	20	20	15	5	5	10	10	10	5					100
Johannesburg	Average number of boxes received per month	2000	2000	1500	500	500	1000	1000	1000	500					10 000
Johannesburg	Jhb Service Provider 2: No of deliveries per month (±393 boxes per delivery)		10	10	5	5	5	15	15	15	15	15	15	15	140
Johannesburg	Average number of boxes received per month		3930	3930	1965	1965	1965	5895	5895	5895	5895	5895	5895	5895	55 020

TABLE 1: EXPECTED MONTHLY PRODUCTION VOLUMES - FROM A SCANNING PERSPECTIVE SARS EXPECT (BASED ON COMPLETED STATISTICAL ANALYSIS, THAT ONLY 30% OF THE BOXES WILL BE SCANNED HOWEVER ALL 100% OF THE BOXES WILL BE SHREDDED (70% ANTICIPATED TO BE SHREDDED IMMEDIATELY AFTER INSPECTION (I.E. NO REQUIREMENT TO RETAIN THESE DOCUMENTS) AND THE OTHER 30% WILL ONLY BE SHREDDED AFTER IT HAVE BEEN SCANNED BECAUSE IT MUST BE RETAINED (WHICH WILL BE IN A DIGITAL FORMAT))

¹¹ Please note that this plan represents best effort from SARS as an indication of the potential production volumes that needs to be processed within the specified period however actual volumes can be slightly less or slightly more. Final actual volumes to be confirmed during Service Provider take-on.

3 COMPONENTS OF SCOPE

3.1 Current landscape

SARS currently store the following number of boxes at the respective off-site storage service providers:

Cape Town

±98 000 boxes stored at one service provider in Cape Town

Johannesburg

± 65 000 boxes stored at two service providers in Johannesburg (± 55 000 at one and ± 10 000 at the second)

In the context of this BRS, a 'box' refers to a container that typically contains approximately 50 folders or an estimated 2000 A4 type papers with data on both sides.

SARS would prefer on-site shredding services for Johannesburg with shredding facilities deployed within the outside parking area at the planned Johannesburg location – The Service Provider will have to specify electrical power and electrical connection requirements post award so that SARS can provide appropriately. (Potential health and safety concerns will not allow shredding within the building)

For Cape Town the bidder must propose an off-site shredding Service.

A bidders can opt to submit a proposal to provide the required services at both processing centres or to provide the services at only one of the processing centres. In the event that a bidder opts to provide a proposal to provide the services at both processing centre, the pricing must be provided separately to allow SARS to evaluate the proposal for the respective sites separately.

SARS will provide a proposed Process Diagram; however, the appointed Service Provider can recommend changes / amendments / enhancements / additions during service take-on.

3.2 Service Provider Services²:

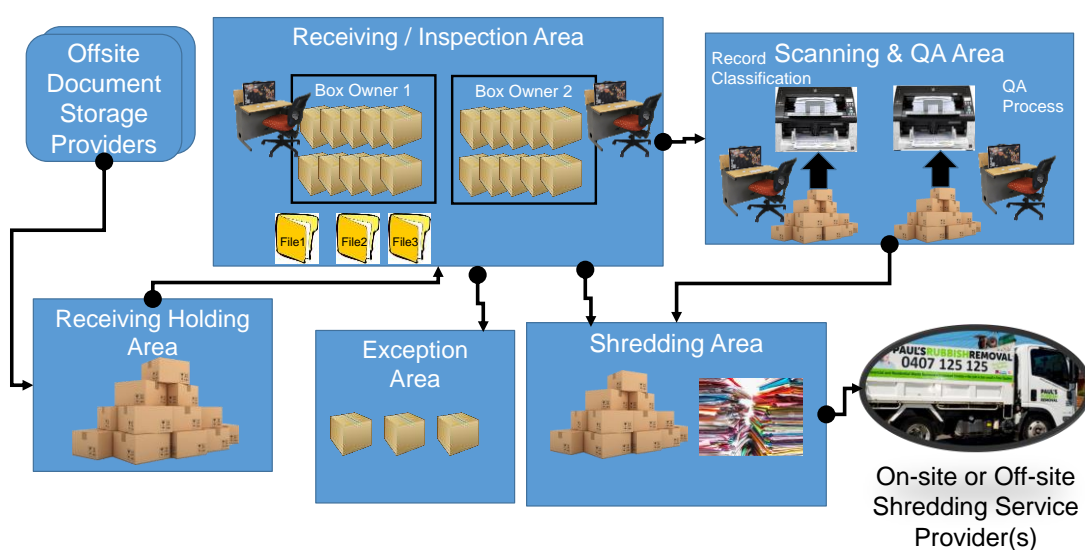
² SARS can in consultation with the Service Provider amend the process as required to allow for process efficiency enhancements and SARS daily production requirements.

The below process provides an overview of the services that will be required to be performed by the Service Provider and provide an overview of the tasks that will be performed by SARS in relation to these requirements

- **SARS** will instruct the SARS offsite storage service providers to deliver the boxes, in line with the schedule agreed with the respective box owners and ensure delivery to the respective SARS processing centres in Alberton (for Johannesburg) and Bellville (for Cape Town).
- **Service Provider** must administer, manage, record and report on all the boxes from the delivery to destruction and ensure all boxes can be tracked throughout the process and all boxes delivered can be account for at any point in time.
- **Service Provider** must receive boxes, verify correctness of delivery as well as record and action all anomalies.
- **SARS** will schedule the SARS Box Owners to inspect the boxes. The SARS Box Owner will inspect the box, complete, and sign the inspection sheet, indicating which files must be scanned before destruction and which files can be destroyed without being digitised (in accordance with the SARS records management policy, processes, and retention schedule) – the Service Provider must ensure the inspection sheet is signed and digitised against the box number.
- **Service Provider** must assist with the SARS Box owner duties, as well as the capturing the inspection outcome on the system and digitised against the box number.
- **Service Provider** must understand and facilitate the inspection process however the actual inspection will be performed by the SARS Box Owner. The facilitation includes the verification of completeness of the (manual and/or automated via the Documentum Solution) inspection sheet and ensuring that the fully completed and signed inspection sheet is digitised against the box number (with or without box content base on the inspector decision as captured on the inspection sheet)
- **SARS** will provide the required training to enable the Service Provider to provide the required guidance to the SARS Box Owners as and when required.
- **Service Provider** must move the boxes / files / documents to the inspection area in line with the SARS supplied inspection schedule and prepare the boxes for inspection
- **Service Provider** must move the files required for scanning to the scanning area
- **Service Provider** must prepare the boxes / files / documents for scanning and scan the files identified for scanning (utilising high-volume scanners provided by the Service Provider).
- **Service Provider** must facilitate the destruction request based on the relevant signed inspection sheets and facilitate the sign-off by the relevant SARS official for the destruction request by the relevant SARS Box Owner(s).

- **Service Provider** must facilitate, track and report on the SARS Records Management approval process including the management of all exceptions until final resolution.
- **Service Provider** must move boxes / files / documents eligible for shredding to the shredding area after they obtained approval for destruction from SARS Records Management.
- **Service Provider** must prepare the boxes / files / documents for shredding and shred all boxes / files / documents. Onsite shredding in Johannesburg must be at the SARS processing site in a suitable open area to be identified outside the building (parking area or similar).
- **Service Provider** must provide a destruction certificate per destruction request as proof of destruction of the documents approved for shredding, as per SARS record management policy.
- **Service Provider** must commit to same-day shredding for all boxes / files / documents approved and earmarked for shredding – the Service Provider must manage the process to obtain, upload, track and report on the required boxes / files / documents destruction certificates.
- **Service Provider** must schedule SARS resource oversight timeously in all cases of off-site shredding services.
- **Service Provider** must ensure all documents / boxes are transported safely with zero document/information loss in the event of off-site shredding services.
- **Service Provider** must remove all shredded paper (waste) as part of the services – processing of waste should be daily to prevent any associated health and safety risks.

Processing diagram



3.3 Service Provider Provisions

3.3.1 Staff

The Service Provider must provide staff to perform the following activities as well as any other activities described in section 3.2:

- Inform SARS timeously to arrange the delivery of the boxes and availability of the SARS Box Owners to prevent any processing delays as a result of the unavailability of boxes or SARS Box Owners to perform the inspection.
- Assist the SARS Box Owners with the box inspection process,
- Scan box content required to be scanned as per SARS Records Management policies (including the preparation of the documents for scanning),
- Review and approve scan quality (scanning QA process),
- Create SARS Records Management destruction requests, obtain required signoffs and obtain destruction approval,
- Shred box content (offsite and/or onsite) and provide SARS with a destruction certificate per destruction request, and
- Move boxes / files / documents as and when required.

3.3.2 Equipment

The Service Provider must provide the following equipment:

- High-volume scanners capable of colour full duplex scanning – SARS make use of the Documentum Solution with Intelligent Capture and the scanners proposed must have drivers that will support the Documentum / Intelligent Capture solution
- High-volume shredders (noise and dust levels to be contained within OHS regulatory requirements without SARS building construction alteration requirements),
- Cordless hand-held barcode scanners,
- Barcode printer including bar code sticky label printing paper,
- Guillotines
- High volume / industrial type staple removers and rubber thimbles to enable effective scanner prepping process
- Pallets
- Equipment required for physical box handling (including all types of trolleys required to process inventory efficiently (e.g., box trolleys / pallet trolleys / etc.))
- All other equipment required to process boxes / documents excluding equipment that SARS indicated SARS will provide.
- Coffee, tea and other refreshments for the Service Providers staff

3.4 SARS Provisions

3.4.1 Staff

SARS will provide the following resources to perform the SARS functions in line with the process defined in section 3.2:

- SARS resource knowledgeable of SARS processes within the specific processing area. The resource will be available to support the contracted service provider. The resource will also schedule box owners for box inspections based on service providers planned schedule,
- Documentum / Intelligent Capture solution application support as and when required,
- SARS will provide the software solution to scan these files which will be based on the SARS Documentum software solution,
- Resource to train the appointed service provider staff on project inception to enable the Service Provider to assist with the requirements of the SARS Box Owner (additional training after inception will have to be agreed with SARS)
- Project team to support the service provider in resolving issues experienced during delivery.

3.4.2 Other resources

The following resources will be provided by SARS:

- Processing site / facilities in Bellville for Cape Town and in Alberton for Johannesburg including bathroom facilities and electrical and water requirements,
- SARS will provide access to electrical services in the Johannesburg planned shredding service area within the outside parking area – adequate parking space will be provided for the shredding services (at a minimum 250 m² however this can be adjusted as per the service providers requirements),
- Documentum / Intelligent Capture solution including the required software support,
- Digital document storage,
- Desktop computers to drive the high-volume scanners,
- Network connectivity between desktops and Documentum / Intelligent Capture solution
- Training on the Documentum / Intelligent Capture solution,
- Templates and training on the required SARS processes (incl. SARS Records Management processes) and prerequisites,

- Desks and chairs,
- A4 paper for printing,

4 OTHER SERVICE PROVIDER RESPONSIBILITIES

The following responsibilities are also included within the scope of the services to be provided by the Service Provider

4.1 Reporting

- Daily, weekly, and monthly processing and inventory reports for each step of the process,
- Supplier delivery reconciliation report after each delivery. Required reporting elements, but not limit to:
 - No. of boxes received for production,
 - No. of pages digitised,
 - No. of boxes destructed,
- Reporting should collaborate with billing,
- All other reporting typically to be provided with services requested. These reports (including the frequency) will be agreed upon between SARS and the Service Provider during contract initiation.
- Records Management Destruction process inventory management reporting
- Shredding destruction certificate inventory management reporting (for offsite shredding services)

4.2 Inventory Management

The Service Provider will be responsible to track and trace inventory throughout all steps/activities of the process (from receiving of inventory through to final destruction).

4.3 Working hours

- The Services will be provided between 7:00 and 16:00, Monday to Friday excluding South African Public Holidays.

- Any work that needs to be performed after hours in support of the Performance Measure must be approved by SARS prior to the commencement of the work and will be for the cost of the Service Provider.

4.4 **Single Point of Contact**

The Service Provider must provide an onsite resource which will be the Single Point of Contact (SPOC) for all requests, enquiries, and escalations.

4.5 **PPS&G Compliance**

The Service Provider must comply with all applicable SARS policies, procedures, standards, and guidelines which will be provided to the Service Provider.

4.6 **Service Provider Procedures, Schedules, Work practices**

All procedures, schedule, work practices used by the Service Provider must be documented and Service Provider must ensure seamless integration with all relevant SARS standard operation procedures and guides.

4.7 **Meetings**

The Service Provider must attend

- Operational meetings to ensure that all operational matters are reported, escalated, and resolved as and when they are identified
- Ad-hoc meetings as and when requested by SARS.
- Where needed, the service provider can be requested to minute these meetings.

4.8 **Engagement model and escalation procedures**

This project will be controlled as per the following table:

Role	Name	Designation
Business Owner	TBC	TBC
Project Sponsor	TBC	TBC
Records Management Adherence	TBC	TBC
Project Owner	TBC	TBC

- All issues and escalations affecting delivery must be reported to the Business Owner and Project Owner as soon as possible in writing.
- Shredding of documents must have SARS Records Management approval.
- The designated SARS manager for the specific processing area should be included in overall planning and daily production planning meetings.
- The Service Provider will have end-to-end responsibility for a processing area which includes:
 - Requesting box delivery via SARS as per agreed daily schedule and aligned to the overall project schedule,
 - Providing pallets for safe box storage/movement (box stacking height must comply to the SARS Health and Safety guide per area which is typically 4 boxes but can be lower or higher base on the area,
 - Facilitate and assist the Box Inspection process,
 - Scanning documents as required,
 - Shredding documents aligned to the Records Management approval process, and
 - Ensuring safe disposal of shredded documents as required
 - No boxes / files / documents received from the offsite service provider are allowed to be left unattended in non-secure areas
 - In Johannesburg, as a minimum the Service Provider must shred all boxes/files/documents approved for shredding on a weekly basis
 - In Cape Town, all boxes/files/documents approved for shredding must be collected daily for shredding

4.9 Training

SARS will provide training on:

- The overall envisaged process SARS designed,
- The SARS developed processing guide,
- SARS related Standard Operating Procedures where required,
- The Document Scanning Solution, and
- Training on the SARS Records Management destruction approval process.

4.10 Usage of SARS equipment

The Service Provider will comply with all SARS related policies required for the usage of SARS equipment and facilities.

4.11 Spares / stock holding

The Service Provider should allow for adequate equipment and spares for Service Provider supplied equipment to be able to process the volumes as specified in the proposed schedule.

4.12 Staff turn-over rate & continuity plan

The Service Provider should be cognisant of both SARS and Service Provider staff turn-over rate and should include contingency plans where required.

4.13 Housekeeping

- The Service Provider must always provide good housekeeping project plans and manages the orderly storage and movement of materials from point of entry to exit. It includes a material flow plan to ensure minimal handling including controlling access to documents. The plan must also make sure that work areas are not used as storage areas by having workers move boxes / files /documents to and from holding/staging areas to work areas as needed.
- The Service Provider must under all circumstances maintain a clean environment to reduce or eliminate the potential of document damage, document access or document losses.
- The Service Provider must ensure compliance to all Occupational Health and Safety regulations during the provisioning of the services.

5 PERFORMANCE MEASURES

5.1 Service Levels

The number of boxes processed per week will form the baseline of a mutually agreed Service Level agreement. Table 1 provides the baseline monthly production figures required as a minimum.

Additional Service Levels to be defined in the processing of boxes includes:

- Completion of box inspection by the box owner (manual and/or automated) as well as completed box inspection sheet – all boxes should have an inspection sheet and all box barcodes need to be scanned / entered into the Documentum scanning solution,
- Documents in the box scanned where required and full duplex mode as well a colour to ensure authentication to the original document,
- All documents shredded and shredding should include a form of vertical as well as horizontal shredding,
- Shredded paper disposed of in a safe manner

6 SECURITY

6.1 Confidentiality

- The Service Provider and all related staff will have to complete and sign the required SARS Oath of Secrecy.
- The Service Provider should include all related staff (onsite as well as offsite) in this process.

6.2 Vetting

The Service Provider must complete an annual independent security vetting of all team members to ensure all Service Provider team members can be trusted with taxpayer documentation before such individuals are deployed at SARS during the contract period – the cost associated with this requirement will be for the Service Provider.

6.3 Safeguarding of Documents

The service provider should take all reasonable steps to ensure the safety of all documents and information contained in such documents and comply with the various legislations as it pertains to records, when under its control.

7 PRICING MODEL

The Service Provider must provide a rate per box processed (including the removal of the waste where required) based on the Table 1 planned production volumes. Exceeding proposed production volumes will be allowed however failure to meet proposed production volumes will incur penalties.

8 OTHER INPUT TO BE PROVIDED BY THE BIDDER

As part of the proposal the bidder must also provide estimate times for process planning activities and assumptions made for estimates.