



INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

Date: 08 June 2022

Country: Botswana

Title of the Consultancy: International Consultant (lead) for consultancy services to support modernisation of information management of the Ministry of Local Government and Rural Development

Description of the Assignment: MODERNISATION OF INFORMATION MANAGEMENT OF THE MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT

Project Name: Botswana Covid19 Rapid Response

Period of assignment/services : 7months

Submission Requirements: Proposal clearly marked “**LEAD CONSULTANT: CONSULTANCY SERVICES TO SUPPORT MODERNISATION OF INFORMATION MANAGEMENT OF THE MLGRD**” should be submitted to the email address below:

procurement.bw@undp.org

not later than **17th June 2022, 12Noon Botswana Time**

NOTE: Individual consultants and consultancy firms/companies may apply for this assignment. *Consultancy firms/companies interested in applying for this assignment are free to do so provided they submit a CV of only one qualified consultant and present its bid in a manner that would allow for evaluation of the bid in accordance with the evaluation criteria specified in these solicitation documents. That is, the experience required is that of the individual whose CV would have been submitted by the company rather than that of the company. Further, if the submitted bid wins, the ensuing contract will be between the UNDP and the company/firm, not the individual.*

Any request for clarification must be sent in writing, or by standard electronic communication to the e-mail address: enquiries.bw@undp.org and UNDP will respond in writing or by

standard electronic mail and will send written copies of the response, including an explanation of the query without identifying the source of inquiry, to all consultants.

1. BACKGROUND

1.1 MLGRD's Mandate

(MLGRD exists to deliver on a National Mandate to:

- Develop and monitor applicable policies and legislations aimed at transforming and strengthening Local Government and traditional institutions (Dikgosi le Makgotla a Setswana) to fulfil their statutory obligations.
- Develop, promote, and monitor mechanisms, systems, and structures to enable integrated service delivery at Local Government level.
- Provide requisite professional support and advice to Local Authorities.

It drives its mandate through MLGRD Departments, 16 Local Authorities, and 19 Tribal Administration offices which are geographically spread across Botswana. These institutions facilitate development programmes at local level and foster local democracy and governance while also promoting social welfare and economic empowerment of disadvantaged groups.

The legal framework guiding MLGRD operations are as espoused in the Local Government Act of 2012, which sets out the responsibilities of District Councils as follows:

- Provide democratic and accountable local governance to local communities
- Ensure the provision of services to communities in a sustainable manner
- Promote social and economic development
- Promote a safe and healthy environment; and
- Encourage the involvement of communities and community organizations in matters of local governance, i.e. Village Development Committees, Village Extension Teams, Full Councils and Committees

MLGRD is also guided by Customary Court Act of 2013 and the Bogosi Act of 2008, to discharge its Tribal Administration mandate, which aims at promoting social Cohesion.

MLGRD's over-arching concern is to be a competitive, customer-focused center of excellence in social service delivery, social protection, development coordination, community mobilization, local governance, and capacity building.

1.2 MLGRD's Strategy and Transformation Plan 2021-25

MLGRD has developed a five (5) year Strategy and Transformation Plan (2021-2025) with support from UNDP. The Plan describes how MLGRD will implement its strategy through six interrelated strategic objectives that constitute 6 pillars of transformation:

1. To reorganise MLGRD to improve its organisational performance

2. To implement phase 1 of the Decentralisation process
3. To develop and implement a MLGRD Digital Transformation Strategy and Plan
4. To play a catalytic role in building resilient and sustainable local economies
5. To provide effective and efficient local services and infrastructure, and
6. To provide inclusive and shock responsive social protection services

By bringing these six objectives together in one holistic Strategy and Transformation Plan MLGRD aims to generate synergy between these objectives and unite departments and Local Governments to work together to realise its vision and create Sustainable Livelihoods and Effective Local Governance.

1.3 Management of Information at MLGRD

Information management plays a vital role in efficiency and effectiveness of any business operation, its continuous improvement, and innovation. Effective information management is also one of the key enablers for successful digital transformation and can, therefore, contribute to all six pillars of MLGRD transformation.

Management of information at MLGRD is currently limited only to physical records, completely neglecting other types of information, particularly digital content. Practically all records are in physical paper format, registered in physical record registers and then assigned and delivered to the respective responsible officers for processing or sent to external recipients. Records are neither copied for back-up purposes nor scanned and stored in a digital repository to facilitate access. Records storage locations are not sufficient neither for the purposes of long-term preservation nor for the existing volume of physical records.

As a consequence records often get misplaced or lost, which causes not only delays in taking actions but also risks of wrong decisions and actions due to inaccurate, incomplete, or missing information, as well as risks of unauthorised disclosure, alteration and loss of information, loss of institutional memory and evidence, not to mention other inefficiencies related to the time needed to find information, create documents, collaborate within teams and stakeholders and work together on policy making, design and implementation of programmes and projects and delivery of services.

Execution of processes and delivery of services is therefore interrupted, delayed, inconsistent, non-transparent, resource demanding, and open to human error, also because of numerous manual and duplicate steps as well as silos solutions that do not allow for effective collaboration of involved parties.

The COVID-19 pandemic has also affected how the whole world has been functioning, thus evoking change in the usual (traditional) way of service delivery to a more digitalized way.

In light of all of these, MLGRD has decided to invest in an effective and consistent information management regime covering the full range of information types and formats along the entire information life cycle, that would effectively pave the way towards digital transformation,

efficient and effective internal business, communication with public, and delivery of quality services.

1.4 Purpose of the Assignment

The aim of this assignment is to conduct an Information Audit in MLGRD Headquarters (Corporate Services), including its 6 departments, 16 Local Authorities, and 21 Tribal Administration offices.

Based on the findings, the consultants will draw recommendations, formulate requirements for document, records, case and other content management and workflow automation solutions, develop a Roadmap for modernisation of information management in MLGRD, review and develop related policies and procedures, conceptualise and pilot simple but robust solutions to support efficient and effective sharing of information, teamwork, and collaboration, and develop a capacity building programme to boost digital and information management skills in MLGRD.

2. SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK

2.1 SCOPE OF WORK

The lead consultant will work closely with the support consultant (who will be contracted separately). to carry out the following activities:

1. Conduct **Information Audit in MLGRD** including its departments, 16 Local Authorities, and 21 Tribal Administration offices, including:
 - Identification of information resources, information types, formats, and other characteristics of information collected and created by MLGRD
 - Determination of information flows and their association with business processes
 - Analysis of current information management practices, including how information is collected, created, stored, used, secured, distributed, managed, and disposed of, covering, but not limited to: document and records management, case management, email management, intranet and internet web content management, social media management, and taking into consideration related data privacy and information security requirements and standards
 - Analysis of associated structures, rules and procedures, roles and responsibilities, tools, systems, and approaches
 - Determination of gaps and bottlenecks, and identification of information management needs and requirements
 - Formulation of recommendations for effective information management

- Conceptualisation of systems architecture for managing information, and formulation of business and functional requirements for document, records and other content management and workflow automation solutions
2. Develop a **Roadmap for modernization of information management regime in MLGRD**, including, but not limited to:
 - Determination of activities in alignment with MLGRD's strategic objectives and other transformational initiatives
 - Determination of priority areas for implementation of pilots for document management, records management, workflow automation, and service delivery solutions
 - Determination of timeframes
 - Formulation of roles and responsibilities
 - Development of a Communication Plan
 3. **Review MLGRD's draft Records Management Policy** and its modernisation and expansion to Information Management Policy and Procedures, including but not limited to:
 - Consideration of all types of information regardless of format document/records/case/email/intranet website content/internet website content/social media content and other types of content
 - Consideration of data privacy and information security requirements
 - Review and standardisation of MLGRD's File Classification Scheme and Records Retention Schedule
 - Determination of vital records and related actions to ensure business continuity in case of disaster
 - Development of MLGRD Information Access Policy for all types of information
 - Determination of controlled vocabularies and acceptable file formats
 4. Develop a **plan for enhancement of MLGRD physical records storage facilities**
 5. **Pilot simple and robust solutions for managing documents, records, and other content**, that can serve as quick wins and preparation for smooth transition and implementation of more sophisticated software applications, including but not limited to:
 - Conceptualisation of solutions, e.g. content repositories based on shared folders and/or SharePoint libraries and the corresponding Excel and/or Access based catalogues
 - Development of related rules and procedures
 - Development of implementation plan
 - Delivery of related training
 - Assisting in implementation to ensure smooth transition and sustainable operation
 - Evaluation of results and outcomes
 6. **Building capacity** in different digital and information management areas:
 - Identification of skill gaps
 - Development of a capacity building programme

- Proposing preferably cost-free/low-cost training courses in digital and information management
- Liaising with vendors for delivery of demos on their document and records management, content management, workflow automation and other information management solutions

2.2 KEY DELIVERABLES

Key deliverables expected from the assignment are listed below. Agile approach should be applied in the development of deliverables, where each iteration is reviewed by relevant MLGRD and UNDP CO representatives.

- Inception Report
- Information Audit Report
- Roadmap for modernization of information management regime in MLGRD
- Information Management Policy and Procedures that includes, among others:
 - Information Access Policy, File Classification Scheme, Retention Schedule and Access Permissions,
 - Controlled vocabularies
 - A list of acceptable file formats
- Plan for enhancement of MLGRD physical records storage facilities
- Report on document management pilot solution
- Report on records management pilot solution
- Report on service delivery pilot solutions
- Digital and Information Management Capacity Building Programme
- Monthly progress reports

2.3. EXPECTED DURATION AND PLACE OF WORK

The assignment is expected to be undertaken over a period of maximum 7 months starting in July 2022, out of which 6 months in Gaborone, Botswana.. Bidders are at liberty to propose own schedule of work that would adequately result in the expected deliverables outlined in these ToR. Any extension beyond the agreed period will be a no cost extension, which will not be allowed to go beyond 9 months unless this is based on reasons beyond the control of all parties involved with this assignment.

2.4. SUPERVISION AND REPORTING

The consultant will be supervised by the UNDP representative. The work of the consultant will be reviewed and approved by the reference team from both UNDP AND MLGRD. Weekly progress meetings will be organized to report on the progress of work, discuss issues, and plan for the following period. Additional monthly progress reports will be required.

3. REQUIREMENTS FOR EXPERIENCE AND QUALIFICATIONS

3.1 KEY PERSONNEL

A team of two consultants is foreseen to work together on the assignment: **(1) a senior consultant (lead) to bring** global best practice expertise in broad areas of information management, plan and lead carrying out of the assignment, and **(2) a support consultant** to support the execution of tasks under supervision of senior consultant.

The execution of the assignment will be supported by MLGRD, and UNDP CO. UNDP CO will play an overall technical, facilitative and quality assurance role, while consultants will work closely with MLGRD records managers, IT staff and other stakeholders as required for carrying out of individual tasks. MLGRD in collaboration with the UNDP CO will arrange regular consultations and stakeholder engagements for the review of all draft documents that will be produced during this assignment. Consultants may be required to make presentations of various drafts and other key deliverables at different Technical Reference Group meetings and stakeholder engagements that will be arranged by MLGRD in collaboration with the UNDP CO.

As there will be a number of consultancies running concurrently, as part of rolling out the MLGRD's Transformational plan and implementation of the related initiatives on Decentralisation, Digital Transformation, Business Process Re-engineering, Social Protection, Communications, and other activities related to the modernization of information management in MLGRD, it will be important that consultants coordinate to ensure maximum synergies.

3.2 Required Qualifications and Experience: SENIOR CONSULTANT (LEAD)

- Master's degree or equivalent professional experience in the field of Information Management, Document and Records Management, Business Administration, Social Science, Public Sector Management, Innovation, or another relevant field
- At least 7 years of professional experience in different areas of information management on the policy, design, and implementation level, including extensive experience with information in digital format
- Demonstrated experience in working with public sector institutions on modernization of their information management policies, procedures, tools, and systems, including information audits, experience in the development of file classification schemes, retention schedules and access policies
- In-depth understanding and cutting-edge expertise of best practice and standards in information management in public sector (including document and records management, case management, email content management, and web content management) on policy, design, and implementation levels
- Understanding of data protection and information security requirements and issues
- State-of-the-art knowledge of different systems in information management, including document and records management systems, enterprise content management systems, and workflow automation systems
- Understanding of digital government transformation, business process automation and digital service delivery concepts, systems, and approaches

- Demonstrated experience in project management and agile methodologies
- Good analytical, organizational, interpersonal, and teamwork skills
- Experience across the globe/SADC region would be an added advantage
- Fluency in English (written and spoken) is required and the ability to effectively summarize and present information

4. DOCUMENTS TO BE INCLUDED WHEN SUBMITTING PROPOSALS

Interested individual consultants must submit the following documents/information to demonstrate their qualifications:

a) Technical Proposal, including:

- Motivation: explaining why they are the most suitable for the assignment
- Statement clearly addressing each of the required qualification and experience criteria including demonstration of past performance in providing similar services, indicating names of clients, nature, and scope of work
- Personal CV including experience in undertaking similar assignments and at least three (3) references and their contacts for ease of background checks
- Proposed approach/methodology on carrying out each of the tasks in the Scope of Work above. The methodology should include how the 2 consultants will work together in the assignment, that is, a delineation of tasks/responsibilities to be undertaken by the lead and support consultant; how they will report and coordinate their work; how the lead consultant will capacitate the support consultant in order to ensure sustainability of the project.
- A detailed methodology for Information Audit based on international best practices
- Proposed Structure of the Information Management Policy and Procedure document by taking into consideration the Scope of Work above
- Work plan, including tasks, timelines, roles, deliverables, dependences, and limitations for carrying out the assignment
- Proposed approach for working together with the senior/supporting expert
- Comments or suggestions on the ToR and appreciation of the assignment, if necessary.

b) Financial proposal:

- Indicate the lump-sum consultancy fee
- The lump sum should be broken down to clearly indicate travel, per diems, and actual consultancy fees (daily fee)
- An indication of whether this rate is flexible or not

The financial proposal shall specify a total lump sum amount, and payment terms around specific and measurable (qualitative and quantitative) deliverables (i.e. whether payments fall in installments or upon completion of the entire contract). Payments are based upon output, i.e. upon delivery of the services specified in the ToR. In order to assist the

requesting unit in the comparison of financial proposals, the financial proposal will include a breakdown of this lump sum amount (including travel, per diems, and number of anticipated working days).

All envisaged travel costs must be included in the financial proposal. This includes all travel to join duty station/repatriation travel but excludes field visits within Botswana. In general, UNDP should not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources.

In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and Individual Consultant, prior to travel and will be reimbursed.

Payment to the individual contractor will be made based on three instalments subject to acceptance of deliverables as per the table:

Outputs	Percentage	Timing	Condition for Payment Release
Accepted Inception Report	20	15 days from signing of contract	Within thirty (30) days from the date of meeting the following conditions: a) UNDP's written acceptance (i.e., not mere receipt) of the quality of the outputs; and b) Receipt of invoice from the Service Provider.
Completed Pilots and accepted related reports	20	TBD	
ALL deliverables accepted	60	7 months	

5. EVALUATION

The award of the contract will be made to the individual consultant whose offer has been evaluated and determined as:

a) responsive/compliant/acceptable

- Qualification (Education requirements, Language requirements)
 - Experience (minimum years of experience in the relevant area)
 - Completeness of Bid: submission of both Technical and financial proposals
- Only candidates fulfilling the above criteria will be considered for technical evaluation/

b) having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

- Technical Criteria weight: 70%
- Financial Criteria weight: 30%

Only candidates obtaining a minimum of 70 points will be considered for the Financial Evaluation.

Description of quality criteria – SENIOR CONSULTANT (LEAD)	Maximum points
1. Demonstrated experience in working with public sector institutions on modernization of their information management policies, procedures, tools, and systems, including information audits, experience in the development of file classification schemes, retention schedules and access policies	10
2. In-depth understanding and cutting-edge expertise of best practice and standards in information management in public sector (including document and records management, case management, email content management, and web content management) on policy, design, and implementation levels	10
3. Understanding of data protection and information security requirements and issues	5
4. State-of-the-art knowledge of different systems in information management, including document and records management systems, enterprise content management systems, and workflow automation systems	10
5. Understanding of digital government transformation, business process automation and digital service delivery concepts, systems, and approaches	5
6. Demonstrated experience in project management and agile methodologies	5
7. Good analytical, organizational, interpersonal, and teamwork skills	5
8. Experience across the globe/SADC region would be an added advantage	5
9. Motivation: Explaining why they are the most suitable for the assignment	5
10. Demonstration of past performance in providing similar services, indicating names of clients, nature, and scope of work	5
11. Proposed approach for working together with the supporting consultant	5
12. Proposed approach/methodology on carrying out each of the tasks in the Scope of Work	10
13. A detailed methodology for Information Audit based on international best practices	10
14. Proposed Structure of the Information Management Policy and Procedure document by taking into consideration the Scope of Work above	5
15. Work plan, including tasks, timelines, roles, deliverables, dependences, and limitations for carrying out the assignment	10
TOTAL	100