



Trinidad and Tobago Securities and Exchange Commission

PROCUREMENT NOTICE

INVITATION TO PRE-QUALIFY FOR THE DESIGN, SUPPLY, INSTALLATION AND MAINTENANCE OF AN ELECTRONIC RECORDS MANAGEMENT SYSTEM (ERMS)

Procurement Plan Reference #: CSD-ASPPA-2026-002

The Trinidad and Tobago Securities & Exchange Commission (TTSEC) invites eligible suppliers to register and apply for pre-qualification and submit evidence of their qualifications and experience for the provision of the above services in the following lines of business:

UNSPSC Code	Line of Business	Pre-Qualification Value Category
81112205	Database Management System Software Maintenance	Level 2 (\$100,000.00 - \$2,000,000.00)
43232202	Document Management Software	
43232304	Database Management System Software	

A. INSTRUCTIONS TO PRE-QUALIFY:

1. To register and be considered for pre-qualification, suppliers must visit the Procurement Depository at <https://oprtd.org/procurement-depository/> and register under the specified line(s) of business and value category.
2. After successfully registering, interested suppliers must notify TTSEC and submit proof of the Request for Pre-qualification by email to ttsec@ttsec.org.tt.
3. Suppliers who are already pre-qualified must ensure that all documents on the OPR Procurement Depository are current and up to date and notify TTSEC once this has been completed.
4. Suppliers must also complete the **Vendor Pre-screening Questionnaire (Appendix A)** and submit it, together with all required documents, in English to ttsec@ttsec.org.tt

B. BASIS OF ASSESSMENT

Pre-qualification will be assessed on a pass/fail basis.

Applicants will be evaluated against minimum requirements relating to:

- Legal and Statutory compliance
- Financial Capacity
- Relevant Technical Capability and Experience
- Capacity to Perform the Required Services

C. SUBMISSION AND EVALUATION REQUIREMENTS:

The minimum level of document required to facilitate the pre-qualification process along with the evaluation criteria is detailed in the table below:

Prioritization:

- **M-Mandatory**, the requirement is mandatory and non-negotiable, and **MUST** be submitted.

Table 1: Minimum Level of Required Documents by Supplier Category Level 2.

No.	Requirement	Evidence	Level 2 > \$100K-2M
<i>Legal and Statutory Compliance</i>			
1	Legal Capacity to enter into the Contract	1.1 Certificate of Incorporation	M
		1.2 Certificate of Registration	M
2	Not insolvent, in receivership, bankrupt or being wound up, affairs not being administered by a court or a judicial officer, business activities not suspended and not the subject of legal proceedings for any of the foregoing	2.1 Declaration	M
3	Have not been convicted within the past 10 years of corruption or fraud related offences locally or internationally (i) as individuals; or (ii) as directors or officers of a company	3.1 Declaration	M
<i>Financial Capacity</i>			
4	Have fulfilled their obligations to pay all required taxes and contributions in Trinidad and Tobago	4.1 Tax Clearance	M
		4.2 VAT Clearance or letter of exemption	M
	Note: This pre-qualification criterion applies only to vendors registered in Trinidad and Tobago.	4.3 NIB Compliance or a letter of exemption	M

5	Have the necessary financial resources to perform the procurement contract	5.1 Audited Financial Statements for the past three (3) years.	M
Relevant Technical Capability and Experience			
6	Have the necessary professional and technical qualifications and competence, reliability, experience and personnel to perform the procurement contract	6.1 Company Profile	M
		6.2 Portfolio of Projects Demonstrating Experience- at least three (3) projects of similar nature within the last three (3) years.	M
		6.3 Client References- at least three (3).	M
		6.4 CVs and qualification certificates	M
Capacity to Perform the required Services			
7	TTSEC Pre-qualification Questionnaire	8.1 Completed Pre-qualification Questionnaire	M

D. ELIGIBILITY FOR SUBSEQUENT PROCUREMENT:

Only suppliers successfully pre-qualified by the stated cut-off date will be invited to participate in the subsequent Request for Proposal (RFP) for this procurement.

E. CLARIFICATION DEADLINE:

A prospective applicant requiring clarification of the pre-qualification requirement shall contact the TTSEC via email to ttsec@ttsec.org.tt **no later than September 4th, 2026, at 4:00pm.**

The TTSEC will respond in writing to the request for clarification and shall forward copies of its response to all applicants who are participants of the pre-qualification exercise (*Section 6 (3) of Public Procurement and Disposal of Public Property (Pre-Qualification and Pre-selection) Regulations, 2021*) The TTSEC shall provide a description of the inquiry without identifying its source.

F. DEADLINE FOR SUBMISSION:

All documentation and Request for Pre-qualification must be submitted to the OPR's Procurement Depository and sent to the TTSEC on or before **September 11th, 2026, by 4:00PM (AST).**

Regards,
Trinidad & Tobago Securities and Exchange Commission.

Appendix A.

VENDOR PRE-QUALIFICATION QUESTIONNAIRE - THE DESIGN, SUPPLY, INSTALLATION AND MAINTENANCE OF AN ELECTRONIC RECORDS MANAGEMENT SYSTEM (ERMS)

Instructions

Suppliers desirous of providing this service to the Trinidad and Tobago Securities and Exchange Commission (TTSEC) must complete and submit this questionnaire in accordance with the process described below. All sections of the form must be completed in their entirety. In circumstances where the space provided within the Questionnaire is inadequate, the individual/business is asked to prepare clearly titled and referenced appendices.

Section 1: Individual/Business Profile		
1.1	Individual/Business Name	
1.2	Years Established	
1.3	Location/Address	
1.4	Provide a brief overview of your organization and core services.	
1.5	Describe your experience implementing ERMS solutions (include number of implementations and industries served).	
1.6	Provide details of at least three (3) ERMS implementations in similar or regulated environments	
Section 2: Standards and Compliance		
2.1	Alignment with Records Management Standards - ISO15489	Yes ☐ No ☐

Section 3: Functional Capability (High Level)			
3.1	Does your base solution include Records Classification/ File Plan functionality?	Yes ☐	No ☐
3.2	Does your base solution include Retention and Disposition Automation?	Yes ☐	No ☐
3.3	Does your base solution include advanced search and retrieval functionality?	Yes ☐	No ☐
3.4	Does your base solution include audit log functionality?	Yes ☐	No ☐
Section 4 – Technical Architecture			
4.1	Deployment Model	Cloud ☐	On-premise ☐ Hybrid ☐
Section 5- Litigation & Statutory Compliance Declarations			
5.1	Have you ever been convicted of any criminal offence in any jurisdiction?	Yes ☐	No ☐
5.2	Have any of the director(s) ever had a professional license suspended or revoked?	Yes ☐	No ☐
5.3	Has your organisation ever been the subject of any petition for bankruptcy?	Yes ☐	No ☐
5.4	Does your organisation have any judgments against it?	Yes ☐	No ☐
5.5	Does your organisation have any pending civil litigation matters?	Yes ☐	No ☐
5.6	Does your organisation have any pending criminal matters?	Yes ☐	No ☐
5.7	Has your organisation, or any organisation over which you have had control, ever been the subject of any inquiry or investigation?	Yes ☐	No ☐
5.8	Is your organisation in compliance with the Occupational Safety and Health Act, 2004 (as amended), including all applicable occupational safety and health requirements? If yes, kindly provide details of compliance and copies of the most recent supporting documents.	Yes ☐	No ☐



By nmar at 3:56:14 pm, 08/09/2026

TTSEC Responses to Vendor Queries – ERMS Pre-Qualification		
No	Query	TTSEC Response
1.	Currency of Financial Statements Is there any requirement to convert financial statements or financial figures into Trinidad and Tobago dollars being the Foreign Bidder?	No requirements to convert the Financial Statements to TTD.
2.	Certification / Notarization Do corporate documents, declarations, financial statements, CVs or client references need to be notarized, certified, apostilled or otherwise authenticated?	Not Required
3.	Three Similar Projects Please clarify whether the three required similar projects must be ERMS implementations specifically , or whether EDMS/ECM/document management/records management implementations can also qualify.	EDMS and ECM also qualifies.
4.	Project Completion Status Can ongoing projects that commenced within the last three years be included among the three qualifying projects?	Only completed projects.
5.	Client References Please confirm whether client reference letters are mandatory, or whether the required three client references can be provided through the questionnaire/project details with client contact information. The notice specifies a minimum of three client references.	Three client reference contact information is required.
6.	CVs	The employees which will be assigned

	Please clarify which personnel CVs and qualification certificates are required at the pre-qualification stage.	to the project.
7.	Proposed Team vs Existing Team Are the CVs required to be for the final proposed project team, or can bidders provide CVs of key personnel who would potentially be assigned during the subsequent RFP/project?	The key personnel who would potentially be assigned during the subsequent RFP/project, can be listed.
8.	Supporting Appendices Should supporting documents be embedded within the completed questionnaire or submitted as separate clearly labelled attachments?	Separate clearly labelled attachments
9.	Signature Requirements Who is required to sign the questionnaire and declarations, the company's authorized signatory, director, or another authorized representative?	Company's authorized signatory.
10.	Proof of Request for Pre-Qualification Please confirm exactly what TTSEC expects as "proof of the Request for Pre-qualification" to be emailed after successful registration with the OPR Procurement Depository.	A screenshot of the Companies registration on the OPR depository or provide the company name and registration number on the OPR depository.
11.	Email Submission Should the complete pre-qualification documentation also be emailed to TTSEC, or is the complete documentation to be uploaded only to the OPR Procurement Depository with TTSEC receiving proof of the request?	The supplier has to ensure they are registered on OPR Procurement Depository and email the pre-qualification documentation to the TTSEC.
12.	File Size / Format Please confirm the acceptable electronic file formats and any maximum file-size limits for documents submitted through the OPR Depository and/or by email.	An email, total attachments shall not exceed thirty-five (35) megabytes.
13.	Deadline / Time Zone Please confirm that the submission	September 11, 2026, is TTSEC's submission deadline to meet all the

	deadline of September 11, 2026, at 4:00 PM AST applies to both the OPR Procurement Depository submission and notification/email to TTSEC.	requirements listed on the Procurement Notice
14.	Existing Pre-Qualified Suppliers If a supplier is already registered/pre-qualified under the relevant OPR line of business, should it submit the complete documentation again or only update missing/expired documents? The notice provides specific instructions for already pre-qualified suppliers.	Only update missing/expired documents.
15.	Consortium / JV Submission If consortiums or joint ventures are permitted, should each member independently satisfy the mandatory legal and financial requirements, or can these requirements be demonstrated collectively?	Items relating to certificate of incorporation/business registration, valid tax and NIS compliance certificates, not being debarred or ineligible, and any statutory declarations must be satisfied by every member of the JV or consortium. Technical capacity requirements may be met collectively
16.	Implementation Timeline What is the anticipated implementation timeline for the ERMS, and is there an expected target date for Go-Live?	From RFP to Project completion 18 months.
17.	Maintenance and Support What is the expected duration of maintenance/support after Go-Live, and will TTSEC require 8x5, 24x7 or another support model?	Duration of the contract and the requirement is 8x5.
18.	Licensing Model Will the subsequent RFP require bidders to provide perpetual licensing, subscription/SaaS licensing, or should bidders propose their recommended licensing model?	Yes - Company to propose their model, stating how and the variety of ways they license the use of their software.
19.	Third-Party Costs Should bidders include costs for third-party software, databases, cloud	Yes all/any additional costs which supports the software must be included.

	infrastructure, OCR, e-signature, scanning, integration tools, backup/DR and other supporting components?	
20.	On-Premise Infrastructure If on-premise deployment is proposed, will TTSEC provide the required server, storage, database, network and security infrastructure, or must these be included in the supplier's scope?	Yes – Within the scope the supplier must state the hardware, software, network and security requirements / infrastructure required for optimal use of the solution
21.	Warranty / Post-Go-Live Support Will a defined warranty/hypercare period be required after Go-Live before the commencement of annual maintenance?	Yes – the supplier must clearly state the go live period and identify the support being offered for the period. The annual maintenance would be separate and distinct support with tiers, resolution times, escalations and availability defined.
22.	ISO 15489 Compliance: Section 2.1 of the Vendor Pre-Qualification Questionnaire requires bidders to indicate whether their proposed solution aligns with the Records Management Standard – ISO 15489 . Please clarify whether TTSEC requires formal certification against ISO 15489 , or whether demonstrating that the proposed ERMS solution is aligned with and supports the principles and requirements of ISO 15489 will be considered sufficient for pre-qualification. Additionally, please confirm the supporting evidence required to demonstrate such alignment.	Yes - demonstrating that the proposed ERMS solution is aligned with and supports the principles and requirements of ISO 15489 will be considered sufficient for pre-qualification.
23.	What is the next step required?	Please refer to the following link and ensure that your submission complies with all applicable requirements and guidelines for the ERMS pre-qualification process: ERMS Invitation to Pre-Qualify – Notice and Guidelines