Date: **March 21, 2017**

Ref.: **RFP-17-057**

Subject: **ATTACHMENT A: Technical Specifications and Responsiveness Checklist**

**Note to Contractors:** The following checklist is an addendum to RFP-17-057, a solicitation for delivery, installation, configuration and implementation of an Electronic Document Management System (EDMS) in Kenya, including digitisation/scanning, indexing, workflow, hardware equipment and comprehensive user training. RFP-17-057 is available online at <http://www.ifes.org/procurement-notices>.

The checklist is provided to help the Contractor organize and consistently present its Technical Bid. For each of the following Technical Requirements, the Contractor must describe how its Technical Bid responds to the requirements.

In addition, the Contractor must provide cross references to the relevant supporting information, if any, included in the bid. The cross reference should identify the relevant document(s) and page number(s) the cross reference should be indicated in the column “Description”.

Contractors should use the following options to indicate the degree of support of compliance that their solution provides for each of the items listed in this section:

1. **FS**- (Fully Supported) the application fully supports the requirement without any modifications.
2. **PS**- (Partially Supported) the application supports the requirement with use of a workaround
3. **CR**- (Customization Required) the application will be customized to meet the requirement(s)
4. **NS**- (Not Supported) the system is not capable of supporting the requirement and cannot be modified to accommodate the requirement.

Where customizations are required, clearly and comprehensively indicate the plan, design and /or approach to be undertaken to achieve the requirements.

For each specification, Contractors are requested to provide a clear and concise explanation in the DETAILED DESCRIPTION section or provide a cross reference to where that explanation or supporting information can be found in other part of technical proposal.

Please fill in the compliance column as appropriate to indicate one of the responses listed above for each item and cross-reference comments with relevant diagrams, maps and/or screen shots wherever possible

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| **TECHNICAL SPECIFICATION** | **COMPLIANCE STATEMENT (FS; PS; CR; NS)** | **DESCRIPTION** |
| 1. **General Mandatory Requirements** |  |  |
| The software architecture should follow the thin client model. The web browser on the client side will be required to perform little if any data processing. The requirement is such that it MUST NOT be necessary to install anything on client machines |  |  |
| The system must have a capability of fully integrating with an Active Directory for the system and user access |  |  |
| The system must be capable of reinforcing access control to information based on user and group membership for authentication |  |  |
| Integration with existing legacy systems either natively or with the use of APIs (Application Programming Interface) is necessary to enable extraction of data from the legacy systems for reporting and workflow purposes. There MUST BE DEMONSTRATED CAPABILITY to integrate with ERP. |  |  |
| The proposed system should allow administrators to create users for the purpose of authorizing them access to content and allocation of Access Control List – should support a granular role based user access |  |  |
| The system must maintain an Audit Trail for all activities related to accessing and using the system |  |  |
| The Document Management System should provide for hosting of Election Statutory Results Forms, commonly used forms such as loan processing forms, internal memo forms, user requisition forms, etc. so that the users can open, fill, sign and forward them for processing without printing them, either as a standalone or as related data objects |  |  |
| The proposed Document Management System shall have the ability or Functionality that defines, manages and executes workflows, send notifications based on predefined processes and allow for approvals authorizations to be made. The system shall have the capability to escalate to the next level in the case where the approving/authorizing officer is away |  |  |
| The system shall have the ability to use listeners (input and output mechanisms) to automatically pick up documents from other systems and archive them |  |  |
| 1. **Specific Requirements** |  |  |
| The Document Management System should adopt an open ended approach so that the solution is portable to other platforms |  |  |
| The Document Management System shall support multi-tier architecture with each tier fully independent |  |  |
| The Document Management System shall support separate Document and File server for better management of documents. The System shall support several servers running application, database and file management software |  |  |
| The Document Management System shall support distributed authentic and trustworthy Document Repositories for document upload and access at local level, which can be replicated with central repository at scheduled intervals |  |  |
| The Document Management System shall support multiple platforms specifically Windows and all other operating systems platforms |  |  |
| The Document Management System shall have the capability to run in multiple databases i.e. Oracle; MS SQL; DB2.  Contractors must provide at references for sites where they are using one or more of these databases) |  |  |
| The system shall support unlimited storage capacity by automatic / manual creation of Volume disks of predefined sizes and disk labelling |  |  |
| The system shall provide a modular facility or a tool box to customize the document management user interface as per the specific functional requirements. The toolbox should provide developers and administrators of the system with the capability to define repositories, database fields, and folder and file templates, tasks, deadlines, queries and security |  |  |
| 1. **Document Conversion Features** |  |  |
| The system shall provide facility of bulk scanning, support Client-Server architecture for scanning solution so that scanned documents can be temporary archived before uploading to the central server. This should support upload of digital images, and scanned images through automatic upload or manual upload |  |  |
| The system shall support quick scanning and indexing of bulk documents, insert, replace documents on the web browser if need be |  |  |
| The system shall support automatic categorization or grouping of scanned images as different documents like application form, supporting document, field report, election statutory forms etc. |  |  |
| The System MUST have a capture mechanism that will be used to bring data into developed application through various ways, scanner, emails, SMS, social media, etc. |  |  |
| The system shall support all special image enhancement functionality offered by the scanner through the driver interface |  |  |
| 1. **Capture Mechanism & Document Acquisition** |  |  |
| The system shall support bulk import of image and electronic documents and automatic indexing of documents  The Contractor must specify performance indicator of data input for capturing, creating, and storing documents |  |  |
| The system shall support integration with mail server for direct uploading of emails for corresponding users and indexing on user defined parameters   * Save emailed documents including attachments * Save recipient email address * Save and send email address, date, time, etc. * Email status-Sent Successfully or email send failed |  |  |
| 1. **Archival Features** |  |  |
| The EDMS shall support all commonly used file formats such as MS Office suite, Acrobat/PDF, TIF, JPEG, GIF, BMP and scanned documents |  |  |
| The EDMS shall provide ease and flexibility of arranging documents in a folder by sorting and viewing the documents in the folder on number of relevant parameters of the document such as name, date, type, size, pages and useful information, etc. |  |  |
| The EDMS shall provide facility to link cross-related documents through unique repository keys, URL posting, etc. |  |  |
| The EDMS shall provide search facility on the same interface, so that users are able to search documents using specific classification criteria |  |  |
| The system shall support versioning of documents with facility to write version comments and publish |  |  |
| The system shall allow locking of documents for editing and importing it back into the system through check-in / check-out features |  |  |
| The EDMS shall have an archive function that zips information in the database and coverts into an XML for ease of portability. This zipped file should be moved from the database and stored in a magnetic storage and backup server |  |  |
| The EDMS should have an archive activity that can be incorporated in a process and used in conjunction with a query to locate objects ready to be archived |  |  |
| 1. **Image Viewer** |  |  |
| The Document Management System shall support and provide an interface for viewing image documents |  |  |
| The Document Management System shall support for viewing documents in the native applications including PDF, MS Office Suit etc. |  |  |
| The system shall provide facility of putting text, graphic and image annotations on document pages |  |  |
| The image viewer shall support annotation features like highlighting, marking text, underlining, putting sticky notes on documents, and support for text and image stamps etc. |  |  |
| The system shall support automatic stamping of annotations with user name, date and time of putting annotations. |  |  |
| The system shall provide facility for securing annotations for selective users. The secured notes shall only be visible to users that have been provided the rights to view the secured notes |  |  |
| The system shall store annotations as separate file and at no time, the original image shall be changed |  |  |
| The EDMS shall facilitate zoom-in/ zoom-out, zoom percentage and zoom lens to zoom in on the part of image and other image operations like invert, rotate, etc. |  |  |
| The system shall support for Thumbnails on image documents and have a facility for thumbnail generator |  |  |
| 1. **Retrieval of Documents** |  |  |
| The Document Management System shall provide extensive search facility to retrieve documents or folders |  |  |
| The EDMS shall support search for documents or folders on documents or folder on profile information such as name created, modified or accessed times, keywords, owner, etc. |  |  |
| The EDMS shall support advanced search using Boolean and logical operators like and, or, greater than, etc. for example searching job application form on the basis of applicant name and position applied or searching election statutory form by constituency or polling station |  |  |
| 1. **Business Process Management** |  |  |
| The workflow solution shall support authorized users to forward the files/documents for approval in a pre-defined or flexible flow |  |  |
| The workflow solution shall support collaborative working on documents in a secure environment through workflow instances |  |  |
| The system shall support routing of workflow instances to users’ inboxes for their action. These inboxes shall have the facility to categorize overdue work, pending work, All my work, work assigned to me by filtering using the user login ID |  |  |
| The EDMS shall provide clear cut reports on workflow instances for each activity that is started, status, user performance, workflow metrics, all activities history or work initiated and where it is, etc. |  |  |
| The workflow solution shall give an option to refer work items to other users for reference even if that user is not the part of the workflow route |  |  |
| The workflow solution shall support facility to divert work items to other users for delegating or substituting, whenever user goes on leave |  |  |
| The workflow solution shall support Time-based and event-based reminders and automatic escalations to concerned user after a specified interval of time |  |  |
| The workflow solution shall provide facility to assign tasks and set deadlines for each user in workflow |  |  |
| The system shall support strong searching, reporting and monitoring of work process and status to help in automating work processes and improve efficiency like search on pending work items, completed work items or No. of work items pending with specific user, etc. |  |  |
| 1. **Security (Access Control List)** |  |  |
| The Document Management System shall support definition of users, Groups and Roles relation in the system |  |  |
| The EDMS shall support access permissions on Folders, documents and object level |  |  |
| The EDMS shall support multiple levels of access control lists.  Execute, read, annotate, write, create, Delete, Manage objects, Create workflow, unlock next instance and this access controls should have expressions that can be applied as conditions using the *if condition* |  |  |
| The system shall support secure login ID and passwords for each user and passwords through the Active Directory |  |  |
| The system shall support integration with Active Directory for extensive passwords validations e.g. passwords of minimum characters, alphanumeric, locking of user id after three unsuccessful attempts, password expiry, password history so that passwords are not same as previous passwords, etc. |  |  |
| The system shall support Disaster Recovery and store data on external storage mechanisms and by replicating the data to remote locations through automatic mirrors |  |  |
| The system shall provide support for HTTPS/SSL for secured data transfer |  |  |
| The system shall support extensive Audit-trails at document, folder and for highest levels for each action done by particular user name, date and time |  |  |
| 1. **System Administration Backup and Recovery** |  |  |
| The system shall support web-based administration module for the complete management of the system |  |  |
| The Admin module shall support Users/Groups/Role definition and granting access rights to them and set password expiries |  |  |
| The Admin module shall provide facility to configure complete, automated and incremental backups and shall be able to integrate with third party backup solutions |  |  |
| The EDMS must provide automated backup and recovery procedures that allow for regular backup of all or selected classes, files, documents, metadata and administrative attributes of the EDMS repository |  |  |
| The EDMS must allow only the Administrator to restore from EDMS backups. Full integrity of the data must be maintained after the restore |  |  |
| 1. **History and Audit Trails** |  |  |
| The System shall support extensive audit trails at User, Folder and File Levels |  |  |
| The System shall provide facility to generate audit trails on separate actions, and between specific date/times |  |  |
| 1. **Scanning Software** |  |  |
| The scanning software used must support a wide range of scanner models and driver interfaces and must be compatible with ALL common operating systems |  |  |
| The software should provide full featured scanning controls including: auto de-skew (single and multipage), auto de-speckle, auto “dead” page recognition, rotate, crop, minor, repaginate, delete, insert from disk, print, zoom in/out pan, versioning and others |  |  |
| The Contractor must demonstrate capability to scan a daily output of 400,000 images per day using high volume scanners |  |  |
| The imaging devices provided by the Contractor must be able to scan documents of various sizes e.g. A5, A4, A3, etc. |  |  |
| 1. **Scanner properties** |  |  |
| Must have a data entry option with capabilities of doing indexing by use of database lookup to populate fields |  |  |
| Easy to use and customize jobs where possible by use of APIs |  |  |
| Ability to output different file formats to file, mail and print directly |  |  |
| Compatibility with all the popular operating systems |  |  |
| User friendly interface, one-touch scanning using program shortcuts. |  |  |
| Must support single-document scanning, multi-document (single-batch) scanning and multi-batch scanning |  |  |
| Easily image merges and split documents. Must have high speed multi image display, have an option of separating documents by count, or blank page. It should have a facility for barcode and zonal OCR/MICR indexing |  |  |
| 1. **Project Delivery Plan** |  |  |
| Provide clear outline of your proposed project management approach in the implementation of the project |  |  |
| Provide project timelines, roles and responsibilities, testing plan and final handing over plan of the project |  |  |
| Briefly explain critical stages of pre-scanning, processes you employed during your previous EDMS project |  |  |
| Define and explain briefly potential challenges experienced in previous EDMS project and how you navigated them |  |  |
| 1. **Warranty** |  |  |
| The Contractors must give assurance that the system components are covered and provided with warranty agreements. The warranty shall cover correction of the system processing defects attributable to the software, hardware/ software configuration and network infrastructure (where applicable) for a period of 12 months (1 Year) after commissioning of the system and going live. |  |  |
| The Contractor must have locally available qualified and experienced IT personnel who will provide support in the installation, implementation and utilization of the system. |  |  |
| 1. **Provider requirements** |  |  |
| Staff Qualifications: Must have at least 5 certified trainers for the EDMS solution |  |  |
| Show evidence of having offered similar services |  |  |
| Provide any applicable information regarding intellectual property and proprietary elements of the proposed system |  |  |
| 1. **Training** |  |  |
| System Management Training for two (3) IT staff; two (3) records staff and System operation training for twenty (25) end users |  |  |

**END OF ATTACHMENT A**