AERC REQUEST FOR PROPOSAL (RFP):
SUPPLY AND IMPLEMENTATION OF A DOCUMENT MANAGEMENT SYSTEM (DMS)

1. ABOUT AERC

African Economic Research Consortium (AERC) is a premier capacity building institution devoted to the advancement of research and training to inform economic policies in sub-Saharan Africa. AERC was formed to address a glaring gap in economic policy analysis and research, coupled with a need to strengthen postgraduate training in economics, in sub-Saharan Africa. The mission of AERC is to strengthen local capacity for conducting independent rigorous inquiry into the problems facing the management of economies in Sub-Saharan Africa and her key objectives are to:

- Enhance the capacity of locally based researchers to conduct policy-relevant economic inquiry;
- Promote the retention of such capacity in Africa; and
- Encourage its application in the policy context.

AERC is a remarkable African success story. Its accomplishments and value proposition are detailed in the AERC strategic plan 2015-2020. The strategy is intended to move AERC to the next level of excellence by consolidating what has been achieved and embarking on new opportunities and initiatives while building increased visibility for the organization on the continent and globally.

2. OVERVIEW

AERC seeks the services of a qualified vendor to supply a Document Management System and carry out the implementation of the DMS and services described herein. The selected vendor must demonstrate in their proposal that they fully meet the various requirements stipulated in this document.

We are seeking global, regional (Africa) and local (East Africa) vendors to respond to this RFP to ensure we have an excellent cross-selection of qualified vendors with the technical understanding to implement the System effectively.

The implementation includes integration with the in-place Microsoft Dynamics Navision ERP and digitization of approximately 500,000 existing document pages amongst other deliverables outlined in this document.
The following benefits are expected from this project towards the overall objectives of increasing productivity, reducing cost and managing risks associated with document management:

1. Eliminate paper flow and storage
2. Ease of access to documents and information
3. Optimize document flow throughout the automated ERP workflows and manual/semi-automated administrative processes
4. Preserve document confidentiality and integrity
5. Minimize instances of lost or misplaced documents
6. Eliminate duplication in filing documents
7. Maintain consistency in filing documents
8. Save on storage space

3. SCOPE OF WORK

The following outlines the statement of work and expected deliverables from this project:

Provide the DMS application software that meets the technical/solutions requirements detailed in section 6 of this document. The deliverables include the Commercial Off-the-Shelf (COTS)/out-of-the box DMS system and all the respective quantity of software licenses.

Provide Implementation, Change Management, Project Management and Technical Support Services to guarantee success of the project, and ongoing support to AERC’s ICT staff to ensure operationality of the solution over the long-term. The deliverables include a fully working DMS solution and digitized documents. The system should meet all the identified specific business requirements and use cases and all documentation including but not limited to use case specifications, technical design specifications, user manuals, installation manuals, operational manuals etc.

Provide training services to AERC ICT staff as primary users (Tier 1) and co-train end users (Tier 2) alongside AERC’s ICT staff to facilitate adoption and maximum utility of the benefits afforded by the DMS system. The deliverables include trained business and technical personnel, training presentation materials in digital and hard copy forms submitted to AERC.

The system shall be expected to implement the workflows under the following functions and as baselined in the requirements specifications that will be developed as part of the project:

a) Communications
b) Finance
c) Procurement
d) Human Resources
e) Training
f) Research
g) Policy/Publications
These requirements have been extrapolated from analysis of current process needs and future anticipated growth of AERC. The following DMS modules are mandatory:

a) Scanning Module  
b) User Interface Module  
c) Administration Module  
d) Business process/Workflow Module  
e) Archival Module  
f) Forms Module  
g) Security Module  
h) Integration Module  
i) Reports Module  
j) Barcode recognition Module  
k) Automatic Email Archive Module  
l) Electronically Certified Documents Module

Implementation, Change Management and Project Management Scope

The vendor shall undertake among others, the following services:

i. Provide professional advice on the best practices related to implementation of DMS projects within comparable Non-Profit organizations. This includes but not limited to content taxonomy and classification schemes, indexing, disposition and archival policies, standard form templates, standard business processes etc.

ii. Undertake analysis, design, specification, coding and testing of required system interfaces and software components required to address AERC specific requirements related to filling system architecture, document management, digital asset management, collaboration, enterprise search, business process/workflow management, enterprise wide business process integration, reporting, analytics, and visual data modeling.

iii. Provide specifications for development, staging, testing and production system software, database system, system hardware and communication infrastructure required for the successful delivery of the DMS project and for the subsequent optimal operation of the DMS system.

iv. In collaboration with AERC’s ICT staff, configure the DMS development environment: infrastructure components and application software components. This includes ensuring the right configurations of the operating system, database system, peripheral devices (scanners, printers), etc.

v. In collaboration with AERC’s ICT staff, configure the DMS test environment: infrastructure components and application software components. This includes ensuring
the right configurations of the operating system, database system, peripheral devices (scanners, printers), etc.

vi. In collaboration with AERC’s ICT staff, configure the product environment: infrastructure components and application software components. This includes ensuring the right configurations of the operating system, database system, peripheral devices (scanners, printers), etc.

vii. In collaboration with AERC’s ICT staff, lead the data migration of existing digitized documents from legacy systems into the target DMS system.

viii. Provide post implementation technical support services to Tier 1 trained staff only (ICT team).

Scope of Training Services

The training program and training materials provided by the vendor must ensure that Tier 1 staff (ICT team) demonstrate ability to manage, operate and troubleshoot the infrastructure, application, and functional components of the solution.

The scope and schedule of trainings will be provided by AERC’s ICT team.

Assumptions Pertaining to Project Scope

- It is anticipated that operational requirements will change over time and as such the solution should be fully scalable and agile to support evolving user needs.

- For proposing purposes, assume 32 users are non-technical content contributors, 5 power/super users and 3 technical/administrative users.

- The physical documents to be digitized are approximately 500,000 pages in number.

- Document production volume in AERC is approximately 100,000 pages per year.

- Anticipate that the solution will be integrated with other systems i.e. MS Dynamics Navision ERP, Research Management System (built on Dot Net framework and SQL) and future systems including CRM and M&E systems (not yet identified).

4. Duration

The duration of the project is 4 months from the date of contract execution.
5. PROPOSAL CONTENTS (TECHNICAL CONTENTS ONLY)

a. Proposed Application Software and Computing Environment

The vendor must present, in detail, features and capabilities of the proposed application software. This part of the response is a free narrative section. The discussion should provide comprehensive information about the actual solution and services being proposed to address this tender. It is acceptable to refer to the detailed information and supporting tables, charts, and graphs provided in other sections of the response.

In addition, the following information must be included in narrative form:

i. **Hardware Environment:** Describe the hardware environment required to utilize the proposed software. In the event there is more than one (1) suitable hardware platform, list the best options indicating the relative strengths and drawbacks (if any) of each.

ii. **Network Environment:** Describe the network environment required to utilize the proposed software. If there are more than one (1) suitable network configuration, list options indicating the relative strengths and drawbacks (if any) of each.

iii. **Operating System(s):** Identify the operating system(s) required by the proposed applications software and database management system in the hardware environment recommended above. In the event there is more than one (1) suitable operating system, list all options indicating the relative strengths and drawbacks (if any) of each.

iv. **Database Platform(s):** The preferred database platform is SQL Language. The vendor should identify the ideal database platform for the proposed software. In the event there is more than one (1) suitable database platform, list all options indicating the relative strengths and drawbacks (if any) of each.

v. **Desktop/laptop Requirements:** Identify the desktop computer hardware and software requirements to the DMS solution. Include typical requirements for a power user, occasional casual, report viewer, system administrator and work requestor.

b. System Security Architecture

The vendor must include a detailed description of the proposed solution’s security features. A description of how to secure transactions in a distributed network, over LAN and public Internet connections must also be included.

The vendor must also explain in detail, the security model of the application, and describe generally the tasks required to configure and maintain application security. Explain as well if and how system security validation can be integrated with MS Active Directory.
c. **Third-Party Products/Optional Software.**

The vendor must explicitly list and describe the name of any third-party products that are part of the proposed solution to AERC. For each third-party product there must be comments about whether the vendor’s contract will encompass the third-party product and/or whether AERC will have to contract on its own for the product.

d. **Solution Implementation, Change Management and Project Management Strategies**

The implementation plan and associated cost proposal should reflect a best-practice based scenario per the proposer’s experience and industry knowledge. The proposer’s implementation plan should include the following recommended approach:

i. Solution map

ii. A visual representation of the components and high-level IT landscape of the proposed DMS solution. Indicate partner product integration touch points, future software modules and anticipated integration with current and future AERC systems (current systems include Microsoft Dynamics Navision ERP, Research Management System (Dot Net and SQL based), Microsoft Windows Active Directory).

iii. Project management methodology: Among other details, include your approach to managing project scope, change requirements and change orders.

iv. Change management methodology.

v. Risk Management Approach: Describe your methodology of handling risks and issues.

vi. Proposed data migration methods and tools.


viii. Testing Strategy: Provide details on your process for conducting unit functional, system and integration, stress and load tests and Acceptance testing.

ix. Project plan and time line.

x. Proposed project staffing, including descriptions of roles and expertise; please detail by project phase.
e. Development and Staging Environment Hardware & Software

The responses in this section should include detailed specifications and a rationale for the software, services and equipment for the development, staging and production environments. Tenderers should include complete hardware, software and services required to set up a development and staging environment for the proposed solution onsite at AERC’s office. Please note that AERC will make available the requisite hardware and hence no need to provide prices of hardware equipment.

f. Training Plan

This section should outline the vendor’s recommendations and plans for enabling AERC’s ICT team and service providers supporting integrated system to become self-sufficient in supporting, maintaining, managing and utilizing the proposed solution within the 4-month contract period.

AERC's ICT must be able to manage, operate and troubleshoot the infrastructure components of the solution, they must also become proficient in developing and deploying the required interfaces in their respective environments. The vendor must provide a detailed plan for train-the-trainer training, project team training, end user training and technology personnel.

AERC's ICT team, in consultation with the chosen vendor, will identify the proposed optimal training methods and schedule based on documented skill levels of end-user employees.

This information should include:

i. Name of third-party training resources. Vendor should identify third party partners that provide training on the use of their application.

ii. Education on the use of application and interface development tools and services included in the proposed solution.

iii. Change management processes, procedures and tools needed to host, maintain and support the solution.

g. Maintenance and Post Implementation Support Program.

The tenderer should specify their plans to carry out post-implementation and support as a Service Level Agreement (SLA) post 4-month contract, for a period of 12 months, renewable annually, including:

i. Post-implementation support onsite;

ii. Digital support (online help desk platforms, toll-free support hotline, hours of operation, availability of 12 x 7 hotline, etc.);
iii. Special plans defining “levels” of customer support (e.g., gold, silver, etc.);
iv. Availability and locality of online groups or discussion groups;
v. Your escalation policy and procedures for system problems, issues, and “bugs”;
vi. Your upgrade process, path, and recent upgrade release timeframes;
vii. Your ability to assist AERC in recreating an operational system after any event that renders the system completely unable to operate, and
viii. AERC will be implementing an off-site backup copy of the data and operational system file.

6. TECHNICAL SPECIFICATIONS

GENERAL

These specifications describe the basic requirements for the DMS. Tenderers are requested to submit with their offers the detailed specifications, drawings and catalogues.

Tenderers must indicate on the schedule of requirements below whether the proposed solution will comply with each specific requirement.

A tick ✓ indicates compliance and X non-compliance with a requirement.

All the service elements to be supplied shall not be less than those required in these specifications. Deviations from the basic requirements, if any, shall be explained in detail in writing with the offer, with supporting data such as calculation sheets. The procuring entity reserves the right to reject the products, if such deviations shall be found critical to the use and operation of the products.

SCHEDULE OF REQUIREMENTS AND DELIVERABLES

<table>
<thead>
<tr>
<th>a) VENDOR GENERAL INFORMATION</th>
<th>Proposed Software Product History:</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) The proposed solution should have been implemented in three comparable non-profit organizations in the last three years.</td>
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<tr>
<td>b) The proposed solution should have been implemented in two Private Institutions in the last three years.</td>
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<tr>
<td>c) Vendor should have at least 7 years’ experience implementing DMS solutions of similar scope.</td>
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<tr>
<td>d) The vendor should provide case study examples of their work with international organizations.</td>
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</table>
## b) Product Requirements

- The DMS & Workflow suite should use the same business logic, user interface, content repository, security and administration modules.
- The system should have the ability to easily configure, deploy and modify sophisticated DMS solutions without being locked into a rigidly coded application.
- The system should have a wizard-based functions to customize applications for different organization needs.
- The application should be generated without writing any code.
- The system should allow defining of input forms or ability to modify the system input screens.
- The system should allow defining of retrieval screens or ability to modify the system retrieval screens.
- The system should provide ability to view the - Application navigation panel, Search results, Document (image, word, etc.), and Metadata at the same time within the opening portal page.
- The system should have proven ability to store and manage more than a billion documents.
- The system should have proven ability to support more than 1500 users working simultaneously.
- The internal IT staff should have the ability to maintain, modify and expand the application without the assistance of the vendor and without writing any code.

## c) Technical

- The system should support Microsoft SQL, MYSQL, platforms or any latest data management platform.
- The system should support both Internet/Intranet environments. The system should support Multiple storage controller.
- The system should have the ability to be managed and maintained on a hosted site. The system should support hybrid private clouds solution.
- The system should support Microsoft IE, Edge, Safari Firefox Mozilla and Google Chrome browsers.
- The system should be able to support storing of documents on distributed DAS/ NAS / SAN/ devices.
- The system should provide a TCP/IP based access to the documents repository and encryption capabilities for the documents.
- The system should be a modular solution.
- The system should have the ability to authenticate using Active Directory.
- The architecture should be scalable.
- The system should provide a customizable reporting tool.
- The system should be extensible using APIs.
- The system should provide a web-based viewer to minimize the amount of data sent over the network by displaying the first page of the file and small thumbnail images of other pages in the file.
- The solution should allow the system administrators to set the date and time for automated uptake queue or routine to be performed.
- The solutions should have the ability to automatically categorize content based on metadata from the document.

d) Scanning/Imaging:
- Scan directly into the DMS using TWAIN source using the web interface. Scan multi-pages of B&W, Gray-scale or True color.
- Capability to capture and add e-mail (including attachments) to the library directly from the user's desktop.
- Have unrestricted ability to classify documents with metadata to make them easier to search and retrieve in the future.
- Allow additional fields to be added to the metadata at any point without writing any code.
- Support automatically sent scanned documents to workflow.
- Be customized to work with other applications (if the applications use the same framework architecture as the proposed system)
- Support massive batch scanning of documents and automatic distribution for indexing.
- Allow for the saving of scanning parameters and settings e.g. pages date, author etc.
- Supports use from distributed network scanners.
- Support remote scanning of documents. Support automated importing capability.
- Support archiving of images and electronic documents.
- Provide an integrated image viewing and processing tools such as ZOOM, Negative, Flip, Mirror, Contrast and Brightness, Resize and Rotate etc.
- Be able to support automatic compression to save storage space.
- Support OCR from the scanned images.
- Support Bar-Code recognition from the scanned images.
- Support medium-speed scanners for low and medium volume imaging.

**e) Archives**

The solution should support:

- PDF-A
- Physical paper, file management and preservation.
- Microfilm
- WORM Optical Disc
- WORM tape
- Voice
- International, regional and local standards for archiving
- Archived content to be retrieved
- Record retention and destruction policies to be applied to archived content
- Automatic imaging of single-sided, two-sided, and multiple page documents
- Scanning by single sheet feeding and by automatic document feeder
- Allow documents to be scanned at a range of resolutions
- Duplex (one page, double sided) scanning
- Multiple page documents
- Allow users to set up document batch classes and identify specific types of documents and forms

**f) Upload**

- The system should support scheduling of import jobs from local or server folders to enable automatic import on a regular basis
- The system should have the ability to capture transactional documents generated by other systems
### g) Annotation

- The system should allow comments to be posted on documents. The system should allow comments to be kept in the database
- The system should provide the ability to markup documents with colored marks, text annotations, sticky notes, etc.
- The system should allow comment information to be kept with date, time, user, text

### h) Documents

- Support DOCX, XLSX, TIF, PPTX, PDF, MSG formats
- Allow files to be viewed using a built-in viewer (E.G viewing Word files without having MS-Word installed in the station)
- Support Documents kept in their native format without being changed. Allow the system to manage document versions
- Support check-in/ check-out capabilities
- Allow documents to be viewed while checked-out. Support hierarchical filing
- Allow documents to be saved directly from the native application (e.g. MS Word) into the DMS system
- Support the ability to launch documents externally from the DMS using native applications
- Support import of documents with index information
- Support ability to edit and save documents directly from the DMS viewer without changing the original
- Manage system fields for each document including: creation/update date, user creating/updating, document type, version number, etc. regardless of additional metadata defined
- Allow documents to be linked to other documents within the DMS

### i) Email Management

- Provide an automated process for the capturing of all inbound and outbound e-mails. Allow saving of e-mails with or without attachments, both incoming and outgoing. Allow saving of e-mails with attachments, as a single multipage TIF or PDF
- Allow linking the mail message and its attachments to an existing document in DMS. Enable view of email messages stored in the DMS with an indication of its attachment
- Enable view of email messages attachments from within the DMS
### Business Process Automation/Workflow

The solution should:

- Have native workflow capabilities for handling documents-based tasks.
- Support ad-hoc and rules-based workflow.
- Offer a graphical user interface for developing workflow.
- Support modifying of an active workflow design while keeping the old version.
- Allow system workflow to provide conditional flows depending on user input or system data.
- Allow the system workflow to support both private (single user) and public (multiple users) queues for tasks.
- Allow the system workflow to support manager authorization to control both private and public queues (view, transfer, close, etc.) of tasks.
- Offer approval/disapproval functionality.
- Offer escalation of workflow items? Does it offer queue transfer and balancing in case of vacations, sickness, or load.
- Offer the ability to create alarms based on time, numbers, queue, and custom properties.
- Allow workflows to be sent to external recipients.
- Support tracking of managing the amount of time users spend performing their work.
- Allow the system workflow to include a facility to distribute incoming items to group members in rotation, or on a member's completion of the current task, to balance team members' workloads.
- Reporting utility for each workflow. Reports should include work not completed, user productivity in responding to tasks. Time taken to complete a specific workflow etc.
- Include the ability to prioritize items in queues.
- Support the system workflow feature to allow users to assign "pending" status to a workflow item until a certain date or event occurs.
- Show the progress of a document through a workflow so that users can determine the status of a document in the process.
- Keep and show the history of a workflow process for each document that participate in a workflow process.
- Provide the ability for non-technical authors to create workflow design without scripting or programming.
- Allow the graphical workspace to provide drag-and-drop capabilities
- Allow mandatory or optional status to be assigned to a workflow or workflow step
- Allow for tasks to be rerouted manually
- Allow designers to configure modifications to various roles/individuals based on workflow status
- Allow multiple versions of the workflow to be running at the same time
- Have the capability to build elaborate workflows with splits, joins etc.

k) Searching & Queries:

The solution should:

- Provide for basic and advanced searching and instant retrieval
- Provide the ability to define searches for specific users. Support for Boolean operators to do document searches
- Offer the ability to perform document searches from other applications such as ERP, Office 365 or web applications
- Offer permission-based searching so as a user can see only documents they have access to
- Support "Google like" full text search
- Support searches on the metadata and the content of the file at the same time provide a configurable tool to build queries and reports
- Provide ability to create sub queries within the main search criteria Supports drill-down query capabilities (e.g. clients > orders > items)
- Provide ability to search text within file notes of documents in the database Not return results the user is not allowed to see
- Support wild card searches
- Allow searches to be saved for future reuse

l) User Interface

The solution should:

- Provide a configurable user interface, both in Windows form and web form, without the need to write any code
- Have the capability to customize data views or user interface framesets for different user groups
- Have the capability to delete/disable unwanted (not required fields). Have the ability to modify field names
- Have the capability to add new fields and names
Offer a simple drag and drop interface style for uploading documents

Allow documents to be created (and not just uploaded) directly from the system UI (E.g. operate a scanner, create word document by template).

Allow external systems to access easily the system UI to perform documents retrievals or document creation.

m) Integration

The solution should:

Integrate with Microsoft Navision Dynamics ERP

Be able to integrate with 3rd party databases Research Management System (Dot Net and SQL based), Customer Relationship Management System

Be able to integrate easily using script-based integration tools

Provide online/digital services for uploading and downloading of data and documents and for workflow activities

Be able to integrate with websites (WordPress)

Have the capability to capture and index electronic documents directly from Microsoft Office applications

Have the capability to identify and enforce document state such as reviewed, approved, published, archived and retired.

Enable multiple content objects to be organized, assembled and published as a single structure (Virtual documents)

Provide the ability to link documents through the User Interface. integrate with LDAP

n) Record Management

The solution should:

Capture electronic documents and pass them onto a process where they can be declared as a record

Provide the ability to capture and declare a record within one process

Capture an electronic document and declare it as a record at a later date

Support retention capabilities based on a retention schedule support records disposal functionality within the solution integrate with a Thesaurus or Classification Scheme support multiple levels of classification

Allow the customization of record metadata

Support document destruction capabilities within the system. provide the ability to define and configure multiple record types
- Provide the ability to generate numbers and unique identification for record objects
- Provide the ability to aggregate content together and declare a record for the complete group
- Provide the capability to cater for off-site storage of physical documents Comply with local and international standards

**o) Legal Holds**

The DMS should:

- Be able to preserve data and prevent spoliation
- Support multiple searches used to place and remove holds per document Provide Support for multiple legal holds on a record without need for copies
- Provide for the ability to remove legal holds on a record per matter
- Provide support for in-place legal hold on existing content
- Provide for controlled suspension of automatic deletion routines
- Support collection of multiple searches to place records into a legally defensible, secured location for each matter

**p) Versioning**

The DMS should:

- Allow the user, when checking in a content object, to choose whether the item they are checking in is a minor revision or a major revision.
- Provide a web-based environment for managing the versioning of all content objects and content collections stored within it
- Provide the ability for the versioning pattern to be customized. Allow for events to be triggered based on version changes
- Allow for security to be applied to content based on the version of the content
- Provide the user with the ability to rollback content to previous versions and provide controls that can be applied to this action

**q) Metadata Editor and Creation**

The DMS should:

- Provide a metadata editor for taxonomy creation and management. Have standards that the metadata editor supports.
- Provide a mechanism to allow for metadata configuration management. Provide for a mechanism to manage devolved content

**r) Collaboration**

The DMS should:

- Provide users with functionality that enables collaboration over the internet.
- Enable employees to define, organize, share, and monitor their work from development to delivery
- Allow users to set notifications that enables users to stay informed when changes occur within relevant documents.
- Generate reports for notifications, informing users that events of interest have occurred. Users can specify whether they want to receive the reports by email at scheduled times or view them on-demand in their web browser.

**s) Audit Trail**

The DMS should:

- Generate and maintain an audit trail for all user activities such as modification, update and deletion
- Provide for the ability to modify a document while safeguarding the original copy
- Send alerts in cases of irregular activities, predefined by the system administrator
- Record each user's log-on and log-off times

**t) Security**

The DMS should:

- Have an independent security system from that of the network
- Apart from having its own authentication mechanism, Support LDAP Authentication
- Provide protection at - Application Level, Library Level, Document level, Fields Level and Content Level
- Have the capability to retain some documents as private
- Provide comprehensive collaboration using role-based access for viewing, accessing, or modifying documents based on permissions. Should have structured user rights to prevent users from accessing documents that they do not have authority to access.
- Provide a configurable navigational security with multiple layers of user-definable security to limit access at the system, departmental, user, function, and workflow
- Provide the ability to audit all system activity and create audit reports including a clear, auditable record of access and changes
- Include audit process for date/time/user stamp for scanned files
- Have the capability to block documents
- Have the capability to control document security based on metadata rules Work over HTTPS/SSL
- Provide a way to restrict printing or exporting
- Encrypt file content within the repository
<table>
<thead>
<tr>
<th>Requirement</th>
<th>Status</th>
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<tbody>
<tr>
<td>Have the capability to work within a firewall without any third-party applications</td>
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<tr>
<td>Have the capability to force regular passwords changes</td>
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<tr>
<td>Have the facility to restrict users to certain functions within the system</td>
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<tr>
<td>Provide a multilevel password-based security scheme</td>
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<tr>
<td>Provide passwords for each employee</td>
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<tr>
<td>Provide passwords for each department, assuming multiple departments may be defined in the system</td>
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<tr>
<td>Automatically keep a system access log</td>
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<td>Keep a log of FAILED password and other access attempts</td>
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<tr>
<td>File Access Rights</td>
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<tr>
<td>The DMS should provide a document security access scheme</td>
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<tr>
<td>The DMS should allow document access rights to be assigned in the following ways:</td>
<td></td>
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<tr>
<td>• by Group</td>
<td></td>
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<td>• by User</td>
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<td>• by Document Category</td>
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<tr>
<td>The DMS security function should provide the following GROUP restrictions:</td>
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<tr>
<td>• No Access rights</td>
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<tr>
<td>• Read Only rights</td>
<td></td>
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<tr>
<td>• Edit rights</td>
<td></td>
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<tr>
<td>• See Filename Only</td>
<td></td>
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<tr>
<td>The DMS security function should place the following restrictions on USERS:</td>
<td></td>
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<tr>
<td>• No Access rights</td>
<td></td>
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<tr>
<td>• Read Only rights</td>
<td></td>
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<tr>
<td>The DMS should provide its OWN security function</td>
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<tr>
<td>The DMS should also rely on an alternative network security system</td>
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</tbody>
</table>
- The DMS security function should provide for document encryption
- The DMS should allow for multiple user security profiles be created to control the access to all of the proposed system’s features and functions enjoyed by different groups of users
- The DMS should allow for creation of a security profile controlling the ability of multiple users to access specific features and functions of the proposed system
- The DMS should enable the creation of a security profile controlling a user’s ability to:
  - View ALL documents
  - View only specific document groups
  - View only departmental documents
- The DMS should provide the ability to view all user-defined security profile codes, and select the one desired, via a drop-down list box
- The DMS should provide the following levels of access privileges:
  - Individual level:
  - Role (position):
  - Group level:
    - The DMS should provide default user group settings to help speed up initial system implementation
    - The DMS should provide Object level security
    - The DMS should enable process participants view only what their security privileges enable them to access
    - The DMS should provide the ability to lock and hide specific data fields
    - The DMS should have the ability to utilize the Check-In/Check-Out function to monitor and verify the integrity of all security settings
    - The DMS should be able to provide support for Public Key Infrastructure (PKI)
    - The DMS should be able to support digital signatures
    - The DMS should be able to support digital certificates
    - The DMS should be able to support features or functions designed to minimize the risk of collaboration beyond the firewall
    - The DMS should be able to perform a modification of the security access to a batch of records
    - The DMS should support exposure of the administration capability through a separate secure site
- The DMS should support hierarchical, delegated user administration
- The system should allow for administrative rights to be delegated on a granular level
- The DMS should be able to support assignment of privileges to objects on a per role or per group level.

**u) Templates to Drive Reuse**

The DMS should:

- Provide User Interface (UI) support for XML file-based templates
- Provide UI support for a template library
- Facilitate easy transportation between development, staging and production environments, and the deployment should be managed centrally
- Have the capability to provide automatic deployment of all components.
- Manage deployment without bringing down the production environment.
- Support scripting to automate deployment tasks
- Support Rollback of components/code?
- Provide a security mechanism to manage deployment and segregation of duties

**v) Reporting and Analysis**

The DMS should:

- Provide reporting capabilities which exist as part of the system.
- Provide Content Analytics capabilities which exist as part of the system. Allow reports to be saved for future reuse
- Provide non-technical users with the ability to build reports.

**w) Resources**

- Provide a project and implementation plan for deployment and implementation of the software solution within 90 days.
- The DMS should be easily customizable, and the UI be modified without writing code
- The DMS should be easily deployed and be up and running within weeks

**x) Training**

- User interfaces should be intuitive and require minimal training for the end users.
- Advanced/expert-level training for ICT team should be available during software installation as well as collaborative training for end-users.
- The training should be customized to meet the needs of AERC’s ICT team.
- Training manuals, i.e., software procedure manuals, should be provided during the training.

y) Architecture
- The system should be scalable
- The system should be capable of integrating with other existing systems

z) System Technical Support
- The DMS should ensure 24/7 software support, with a combination of onsite, phone and digital help desk protocols.
- The local support technicians should either be employees of the vendor or employees of a third-party support group. The vendor company should fully support customized software
- A Help Desk offering live digital chat support and/or telephone support should be available 24/7 for this system from launch.
- A website dedicated to ongoing support of the system should be provided by the vendor
- The vendor should have “levels” of customer support (e.g., gold, silver, etc.).
- The vendor should have escalation policy and procedures for system problems, issues, and "bugs”.
- The vendor should have an upgrade process, path, and recent upgrade release timeframes
- The vendor should have the ability to assist AERC in recreating an operational system after any event that renders the system completely unusable. AERC will be implementing an off-site backup copies of the data and operational system file.

### 7. PROPOSAL REQUIREMENTS

- The RFP documents and materials should include a company profile including bios of key staff and proposed team; areas of competencies; client list and references; technical and financial proposal.
- RFP documents and materials shall include items listed above as well as any other documents and materials that may be issued prior to the deadline for submission of proposal.
- 3 to 5 case studies of similar successful DMS implementations focusing on document management, web content management, digital asset management, workflow management, and collaboration for past implementations of similar scope.
• Your approach to client service and client management;
• Five current client references;
• Five client work examples that showcase your work in DMS for clients both regional and global.
• Sample project plan for past implementation of similar scope.
• Sample DMS software documentation (CD-ROMs would be preferred).
• Sample business process flows across the proposed DMS solution.

8. RFP Schedule

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invitation and release of RFP</td>
<td>1 November 2019</td>
</tr>
<tr>
<td>Period for Q&amp;A from vendors</td>
<td>5 to 10 November 2019</td>
</tr>
<tr>
<td>Deadline for submission of proposal</td>
<td>15 November 2019</td>
</tr>
<tr>
<td>Responses to questions from AERC</td>
<td>By 20 November 2019</td>
</tr>
<tr>
<td>Notification of shortlisted vendors and requirements for proof of concept presentation</td>
<td>4 December 2019</td>
</tr>
<tr>
<td>Presentations of proposals and proof of concept to AERC</td>
<td>Week of 15th January 2020</td>
</tr>
</tbody>
</table>

The proposal must be submitted electronically by **15 November 2019** at **17:00/5 pm EAT** in Word or PDF format to procurement@aercafrica.org

Each proposal should be structured in a clear, straightforward manner and in accordance with the outline of the respective sections herein. Service provider(s) should exercise care to present only realistic, attainable commitments in their proposal. Non-compliance to meeting any requirements must be specifically stated with reasons by the Service provider(s).

All communication between the vendor and AERC shall be through the email address listed below. When submitting questions, the identity of the service provider(s) representative must be clearly indicated. The email shall in such cases, follow the format of (1) Name of service provider and (2) Date of submission e.g. Service provider name, date. All questions must be sent to AERC before the deadline indicated in the above RFP Schedule.
Attn: Executive Director
African Economic Research Consortium
3rd Floor, Mebank Towers, Jakaya Kikwete Road
P.O Box 62882 – 00200, Nairobi, Kenya
Email: procurement@aercafrica.org