

**Distr**.

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**COMMON MARKET FOR EASTERN AND**

**SOUTHERN AFRICA**

**TERMS OF REFERENCE FOR THE PROCUREMENT OF AN ELECTRONIC DOCUMENT MANAGEMENT SYSTEM**

# Background

The Common Market for Eastern and Southern Africa (COMESA) is a regional grouping of 21 African States which have agreed to promote regional integration through trade development and transport facilitation. COMESA's objectives include sustainable economic development through economic and social progress in all Member States through increased co-operation and integration in all fields of development particularly in Trade, Customs and Monetary Affairs, Transport, Communication and Information Technology, Industry and Agriculture, Energy, Environment and Natural Resources including Gender and Social Development. The Secretariat is based in Lusaka, Zambia.

Currently, information management is manual with offices filling with files, extra storage spaces that are quickly running out, and low accountability on records management. Manual management of records has been time consuming as the retrieval mechanisms are tedious, document loss has been witnessed occasioning repeat processes, inefficiency, and delayed decisions. Duplication of information has become common as divisions are not able to establish whether the same information exists in other divisions, and this has added to the costs of managing information.

There are no established archiving procedures, and it has become difficult to move information through the records management cycle. Furthermore, security of these records in paper formats stored in rooms that are not purpose-built, coupled with lack of security for personal data through unauthorized access, poses threat to the information. Information back-up is not guaranteed as there are no offsite storage facilities and information could be lost in the event of a disaster. It has become increasingly difficult to establish workflows and this has created inefficiencies as documents are moved physically from office to office for signatures and approval.

Therefore, the COMESA Secretariat is planning to acquire an Electronic Document Management System to digitize the management of documents. Furthermore, the system shall assist the Secretariat to strengthen its processes with a view to ensuring that it is efficient and effective in its operations

It is expected that An Electronic Document Management System at COMESA will resolved the following:

* **Processes:** Manual processes should be automated to achieve effectiveness and efficiency
* **Accessibility:** Staff should be able to access authorized documents anytime and from anywhere.
* **Integration:** The application should be able to fully integrate with current and future relevant application systems.
* **Data Integrity and Security:** Data Integrity and Security should be enhanced through proper access controls and other electronic means. The manual system does not adequately protect information assets.
* **Scalability:** All applications/systems at COMESA should be able to accommodate new features/modules to meet the changing organization needs

# Objectives of the System

The main objectives of the project are to:

* Develop and implement efficient processes for document storage and retrieval, reducing time and enhancing organizational agility.
* Identify and simplify administrative processes to streamline operations and reduce complexity
* Implement a user-friendly self-service portal to facilitate remote work, ensuring anytime, anywhere system accessibility. Stakeholders should be able to access documents and information effortlessly.
* Implement measures to improve collaboration and version control among different stakeholders and software applications.
* Enhance security protocols to ensure the confidential protection and control of documents consistently.

# Scope of Work

The scope of work of the project is as follows:

* **Design, Development, and Implementation of an EDMS:** The vendor is expected to design, develop, and implement a comprehensive EDMS that meets the requirements of COMESA.
* **Integration:** The EDMS should be configured and fully integrated with systems like the Sun Accounting System, Monitoring & Evaluation System, E-Procurement system, Human Resource Management System, Document Management System and any future application systems developed by COMESA.
* **Migration of Data:** The vendor should provide an effective and efficient data migration approach of all existing data to the configured environment. The successful vendor will be expected to provide full support to the COMESA during the data migration phases, including the identification and resolution of data quality issues.
* **Training & Knowledge Transfer:** The vendor shall provide a detailed training and change management plan to ensure proper knowledge transfer to the business users as well as the IT Administrators. The vendor shall provide specific training programme for:
	+ Business users to continue operational responsibility for the delivered solution.
	+ IT staff to enable first line support to users and for the proper administration of the delivered solution.
	+ Business users and IT staff create and eventually customize reports/dashboards using the proposed reporting tools.
	+ Business users and IT staff perform basic administration tasks like create users, assign roles to users and de-activate users
	+ Business users adopt to operational changes that may arise due to the implementation of the new system for seamless uptake
* **Documentation:** The successful vendor will be required to provide a comprehensive set of documentations regarding the EDMS including system manual, installation manual and user manual.
* **Post implementation support:** The vendor should provide a minimum of two (2) months on-site post implementation support after successful Go-Live of the system.
* **Warranty:** The warranty period should be for a period of 12 months, effective immediately after the expiry of the on-site post implementation support period. The warranty shall cover all configurations and functions as stated in the scope of the work for corrective maintenance.
* **Support and Maintenance after warranty period:** Vendors shall submit their support and maintenance costs related to support over the next two (2) years after the warranty period, based on an agreed Service Level Agreement (SLA) (8x5). The support shall cover among other troubleshooting/bug fixing, patch management, fine tuning and health checks. Vendor should also provide the response time to blocking/non-blocking issues as well as their rates on an hourly basis for any intervention that is not covered under SLA. COMESA reserves the right to proceed with award and renewal of the Maintenance agreement.

# Functional Requirements

The EDMS solution must include, but is not limited to, the following features:

* **Document Storage and Organization**
* Centralized document repository with hierarchical folder structure.
* Ability to tag documents with metadata for easier categorization and searching.
* Support for various document formats, including text, images, PDFs, spreadsheets, presentations, etc
* **Version Control and Audit Trail**
* Automatic versioning of documents with clear version history.
* Ability to view and restore previous versions of documents.
* Detailed audit trail for tracking changes, modifications, and user activities.
* **Access Control and Security based on best practices and industry standards**
* Role-based access control with customizable permission levels.
* Encryption of documents both at rest and during transmission.
* Integration with existing authentication systems (LDAP, Active Directory, etc.).
* Two-factor authentication (2FA) support.
* **Search and Retrieval**
* Full-text search functionality across document content and metadata.
* Advanced search filters to refine search results.
* Quick access to recently viewed or edited documents.
* **Mobile and Remote Access:**
* Responsive web interface for access from various devices.
* Mobile apps for iOS and Android with offline access.
* **Cloud-based hosting and data backup**

The system shall be hosted on the COMESA servers and shall be able to operate in a cloud based environment.

* **Scanning**

A scanning feature is desirable, and the system solution should be compatible with a wide variety of scanners.

* **Collaborative and Workflow**

The EDMS shall provide facilities to automate workflow processes and actions that documents go through from creation to storage, review & collaboration, approval, publishing and archiving to streamline processes. The EDMS should automatically generate mails to convey the assigner and assignee of an assignment operation.

* **Artificial Intelligence**

The EDMS can include Artificial Intelligence (AI) features to greatly enhance the capabilities of the system by automating tasks, improving search and retrieval, enhancing collaboration, and providing insights.

* **Integration and API**
* API access for integration with other systems and custom applications like Sun accounting system, Planning and Budgeting System, Monitoring and Evaluation System, E-Signature solution, E-Procurement and HR System.
* Compatibility with common file formats and third-party applications
* **Analytics and Reports**

The EDMS shall provide built-in analytics and reporting features with data extraction in various formats such as MS Word, PDF or MS Excel and includes drilling capabilities. It should include interactive dashboards and highly formatted reporting.

The objective of the report module is to facilitate decision-making by the Executive Management.

# Non-functional Requirements

The non-functional requirements for the EDMS are as follows:

* **User interface**

The user interface is key to application usability. The System should include content presentation, application navigation, and user assistance.

* **Role-based User Groups**

The system must provide users with screens focusing on their roles (minimizing clutter).

* **Dynamic content presentation**

Users should be provided with in data presentation. The system should allow users to select appropriate settings and property values on display options that fits their preferences, e.g., choice of whether data appears in a grid, a chart, or a grid/chart combination.

* **User assistance**

The system should provide online help that includes comprehensive instructions on using each feature. The users should be provided with default mechanisms for accessing help pages e.g., by clicking the question mark icon across all the screens or a distinct menu Help > Help... menu option in the menu bar. A link to a comprehensive help resource should be provided in various formats e.g., Wiki, PDF etc.

* **User navigation**

The system should provide a simple traceable navigation of the entire system with options clearly showing the users where they are and how they can navigate away from the current screens and consequences of doing so.

* **Hardware Requirements**

The vendor shall provide the hardware sizing for the proper running of the application.

* **Hardware interface requirements**

All server-side components must execute on server-class computers. All client-side components must execute on workstation-class and personal-class computers.

* **Communication interface requirements**
* **Web browser:** The system must provide an option to be accessed via the internet using the latest browsers e.g., Chrome, Edge, Mozilla, Safari with backward compatibility support to two versions.

Note: in a scenario where the system uses third party plugins to run, this must be stated in advance for information security tests and clearance.

* **Communication standards and Network server communications protocols:** All communications between the server components and user interactions must be encrypted to safeguard user and data privacy. Only secure protocols shall be permitted e.g., HTTPS, FTPS with appropriate authentication and authorization mechanisms.
* **Data transfer rates:** The system must provide appropriate data transfer rates that shall be agreed upon meeting performance requirements.
* **E-mail:** the system must provide communication mechanisms with various stakeholders or user groups within the system. This can be achieved via forms that create support tickets or defined emails on the COMESA (comesa.int) domain.
* **Communication security or encryption**

End to end encryption must be provided in all the interactions in the system e.g., chat facilities, web browsers, mobile apps etc.

* **Performance**

The system should be responsive and perform efficiently, even with many users and data. It should have acceptable response times for tasks such as document retrieval, report generation, and system updates. The vendor will perform a stress test once the system is commissioned.

* **Availability**

The system should be designed to minimize downtime through robust error handling, fault tolerance, and backup and recovery mechanisms. It should also have appropriate monitoring and alerting capabilities to identify and address potential issues proactively.

* **Recoverability**

The system should be designed to recover quickly from a crash or a failure in the system and return to full operations.

* **Security**

The system shall provide security measures based on best practices and international standards. Some security features may include encryption of data on database and web services, implementation using HTTPS, only authorized users are able to access the system via an authentication mechanism and Role based access.

* **Interoperability**

All system components must follow a common and standard set of exchange formats to exchange data.

* **Scalability**

The design should be scalable to provide for future business needs.

* **Seamless Integration**

The system should also be able to integrate with other systems such as Sun Financial system, M& E system, Human Resource Management System, E-Procurement system, Planning & Budgeting system, etc. It should provide standardized interfaces (APIs) or support industry-standard integration protocols to facilitate data exchange and interoperability.

* **Compliance**

The system should adhere to relevant legal and regulatory requirements, such as data protection and privacy regulations (e.g., GDPR) and employment law. It should support features and controls to ensure compliance, such as data retention policies, audit trails, and consent management. It is recommend that the design of the Document Management System comply with the principles laid down in the ISO international standard IEC 82045-1.

* **Mobile Compatibility**

The system should be accessible and functional on mobile devices, allowing users to perform essential tasks on smartphones or tablets. The user interface should be responsive and optimized for mobile screens, enabling employees and managers to access information on the go.

* **Technology**

The system shall be developed/customize on the latest version of technology stack. The vendor shall provide the system architecture, infrastructure and license requirements for the proposed solution.

# Project Team

A project committee will be setup to provide governance, oversight, and strategic guidance for the project. The committee serves as a central decision-making body, ensuring that the project aligns with the overall goals and objectives of the organization. The project committee will comprise of the following members:

* Director – Human Resource and Administration
* Director - Information Communications Technology (ICT)
* Director - Budget and Finance
* Chief- Conference Services
* Head- Information and Research Centre
* Project Manager
* Finance Officer
* Organisational Development Expert
* Functional Leads (EDMS)
* EDMS Implementation Consultants
* End-users representatives from various departments

# Timeline

The EDMS implementation project is anticipated to span for 10 months after the vendor selection and contract negotiation, which will cover a period of 3 months. The actual Project implementation timelines are as follows:

|  |  |  |
| --- | --- | --- |
| **SN** | **Activity** | **Timeline** |
| 1 | Planning and requirements gathering | 01/06/2024 to 15/07/2024 |
| 2 | System customization and configuration | 16/07/2024 to 31/10/2024 |
| 3 | Data migration and testing | 01/11/2024 to 13/12/2024 |
| 4 | Training and user acceptance testing | 13/01/2025 to 28/02/2025 |
| 5 | Rollout and post-implementation support | 01/03/2025 to 30/04/2025 |

# Implementation Plan

The vendor shall provide a project Grant charts detailing the project schedule, phase, task and subtask duration, proposed phasing for roll-out of proposed system and highlight key milestone dates that illustrates the duration of tasks listed in the scope of work and identifies results and deliverable milestone. The proposed Grant chart should be based upon the proposed project approach and timeline.

# Project Approach, Methodology & Governance

The vendor is expected to describe how the firm intends to manage all aspects of the work to be performed, including schedules for completion of tasks/subtasks, procedures for scheduling and cost control.

### 9.1 Testing and UAT

The vendor should commit to submit Unit Test Plans, System Test Plans, Integration Test Plans, Load and Stress Test Plan. The Test Results should be submitted to COMESA as evidence of full-fledged testing carried out prior to UAT.

The vendor should submit UAT test scripts to ensure that the UAT scenarios cater for all the requirements expressed by the users. A comprehensive user manual should be made available before the training.

The UAT exercise should consist of different rounds of testing as follows:

1. Round 1 should consist of executing all the test scenarios business flow wise and identify list of issues if any by the user,
2. Vendor should commit to ensure that issues identified in Round 1 are fully addressed to the satisfaction of the users prior to starting the next round (Round 2),
3. Vendor should also commit to producing evidence that that non-regression testing has been performed prior to starting next round, and
4. Subsequent rounds are conducted until no further issues are identified.

### 9.2 Quality Assurance Plan

The vendor shall provide a proper Quality Assurance plan to ensure the success of project. The vendor should ensure that all work products are evaluated and that evidence is provided to the fact that:

1. It conforms to specified requirements, and
2. It has been produced according to the project standards and processes.

# Change Management

Change management strategies will be employed to ensure smooth transition and adoption of the new Planning & Budgeting system. As the implementation and adoption of business process changes will be vital to the success of the project, the consultant should be able to explain and communicate business process changes and their associated requirements to individuals throughout the COMESA including to executive managers, division heads, subject matter experts, and end-users. The consultant shall provide guidance and mentor the project core team to successfully implement the overall business transformation and system changes for the COMESA. The change management plan will include amongst others:

* Communication plan (regular updates, town hall meetings, FAQ),
* Change impact assessment and Resistance management,
* Training and Development plan for staffs affected by the change,
* Feedback mechanisms, and
* Contingency plan.

# Project Deliverables

The following mandatory deliverables should be provided:

|  |  |  |
| --- | --- | --- |
| **SN** | **Deliverable** | **Details** |
| 1. | Project Management Plan and Project Documents | The project management plan shall cover the following aspects:1. Project approach and organization
2. Requirement Management
3. Scope Management
4. Schedule Management
5. Deliverable Plan
6. Configuration management
7. Quality Management
8. Risk Management
9. Change management, communication, and training plan
10. Go-Live Plan
11. Warranty service plan

The vendor shall update the project plan at the end of each project phases. Furthermore, the vendor is expected to provide regular weekly progress reports or as specified by COMESA project steering committee.  |
| 2. | Solution Blueprint | The solution blueprint shall cover all the functional, technical, migration and security requirements as well as the system architecture of the proposed solution. |
| 3. | Training | Training for business users as well as Administration training for IT department and IT Auditor. A comprehensive user manuals and Administrator manual for each module configured shall be delivered. |
| 4. | User Acceptance Test Document | Vendor should submit the UAT test scripts and ensure that all the UAT scenarios are catered for the requirements expressed by the users. The UAT exercise should consist of different rounds of testing. The vendor should ensure that a full-fledged testing has been carried out prior to UAT. |
| 5. | A fully operational and bug free efficient system as per requirement | The vendor shall provide a fully operational and bug free system prior to Go-Live. The following will have to be addressed to the satisfaction of the users prior to Go-Live of the system:1. All requirements of the users (including IT Security requirements) have been catered for in the Application Software.
2. All identified scenarios are fully and comprehensively tested during each round of UAT.
3. All bugs identified during UAT have been dealt with.
4. Trainings on System Administration and Application Software have been delivered.
5. All documentations are provided
 |
| 6. | Commissioning report  | The commissioning report shall include among others:1. The level of customization for the EDMS
2. System setup document
3. Security Policies

The sign-off shall be done at the end of the operational acceptance. |
| 6. | Warranty Plan | The vendor shall provide all the terms and condition of the warranty. |
| 7. | Support Agreement | The vendor shall provide all the terms and condition of the support. Furthermore, the vendor should provide a monthly progress report on maintenance & support activities and a periodic SLA performance report. |

# Training, Knowledge transfer and Support

Comprehensive training will be provided to end-users and administrators to ensure proper knowledge transfer and proficiency in using the EDMS. The training programme shall be designed for:

* Business users to continue operational responsibility for the delivered solution,
* IT staff to enable first line support to users and for the proper administration of the delivered solution,
* Business users and IT staff create and eventually customize reports/dashboards using the proposed reporting tools, and
* Business users and IT staff perform basic administration tasks like create users, assign roles to users and de-activate users.
* Business users adopt to operational changes that may arise due to the implementation of the new system for seamless uptake

A minimum of three (3) months on-site post implementation support will be provided. Additionally, the selected consultant shall provide ongoing support will be available through:

* Helpdesk support,
* Online resources (knowledge base, FAQs),and
* Periodic refresher training sessions.

# Evaluation and Monitoring

# The success of the EDMS implementation project will be evaluated based on predefined success criteria, including:

* Achievement of project milestones and deliverables within the established timeline and budget,
* User satisfaction with the system functionality and usability,
* Improvement in process efficiency and accuracy,
* Seamless integration with other systems (Sun Finance System, Planning & Budging system, E-Procurement, M&E system, HRMS), and
* Reduction in manual tasks and administrative overhead.

# The project committee through regular project status meetings and reports will monitor progress.

# Other Requirements

1. The vendor is required to sign a Non-Disclosure Agreement (NDA).
2. The system should support multilingual.
3. The EDMS shall be using the latest and most up-to-date technologies and frameworks.
4. The security features of the system shall meet industry standards and best practices.

# Payment Terms

The structure of payment shall be as follows:

### Implementation Services

|  |  |  |
| --- | --- | --- |
| S.N | Deliverable | Payment |
| 1 | Project Implementation Plan with agreed project implementation plan | 10% |
| 2 | Solution Blueprint | 30% |
| 3 | EDMS based on the Solution Blueprint | 20% |
| 4 | Go-live | 30% |
| 5 | Retention Money- 12 months after Go-Live | 10% |

### Support Services

|  |  |  |
| --- | --- | --- |
| S.N | Deliverable | Payment |
| 1 | 12 Months post go-live Warranty | 0% |
| 2 | Annual Maintenance Contract | Annually |

# Company Profile and Profile of Consultants

A company profile of the Vendor as well as a list of staff that would be involved in the project and their respective qualifications and experience should be provided.

The Consultant shall determine the number and nature of experts they will require to achieve the objectives of the assignment, in accordance with their proposed approach and methodology. Nonetheless, the Consultant’s team shall be composed of at least four (4) experts with extensive demonstrable experience/knowledge as follows:

1. **Project Manager**

|  |  |
| --- | --- |
| **Education** | **Requisite Experience** |
| Bsc in Computer Science or related disciplineMaster’s degree in Computer Science, business administration, project management or related discipline, or 5 years relevant professional experience in project management. Professional certification in project/programme management. (Desirable)  | A minimum of 5 years’ experience in managing IT projects preferably with a focus on EDMS implementations, specifically within the African region. Professional certifications in EDMS or Change Management are desirable. Strong communication, leadership, and problem-solving skills are essential for effective project execution. |

1. **Solution Architect**

|  |  |
| --- | --- |
| **Education** | **Requisite Experience** |
| Bsc in Computer Science or related discipline | A minimum of 5 years of experience in solution architecture, with a focus on EDMS implementations.Relevant certifications in solution architecture, enterprise architecture, or EDMS technologies (e.g., TOGAF, AWS Certified Solutions Architect, EDMS platform-specific certifications) is desirable.Strong communication, leadership, and problem-solving skills are essential for effective project execution. |

1. **Functional Expert**

|  |  |
| --- | --- |
| **Education** | **Requisite Experience** |
| Bsc in Computer Science or related discipline | A minimum of 5 years of hands-on experience working with EDMS functionalities and implementation.Proficiency in EDMS platforms and related technologies, with specific expertise in implementation, customization, and maintenance.In-depth knowledge of EDMS platforms.Proficiency in mapping processes and aligning them with IT system capabilities to optimize workflows.Proven ability to gather and document detailed requirements from EDMS and other stakeholders for EDMS configurations and customizations.Hands-on experience in configuring and customizing EDMS to meet organizational needs.Experience in conducting comprehensive testing of EDMS solutions to ensure functionality, accuracy, and compliance. |

1. **Technical Expert**

|  |  |
| --- | --- |
| **Education** | **Requisite Experience** |
| Bsc in Computer Science or related discipline | A minimum of 5 years of hands-on experience working with EDMS technologies.Proficiency in EDMS platforms and related technologies, with specific expertise in implementation, customization, and maintenance.Hands-on experience with EDMS.Strong programming skills in languages relevant to EDMS customization (e.g., Java, Python, SQL).Proficiency in scripting languages for automation and integration purposes.Expertise in database management systems, particularly those used in EDMS (e.g., MySQL, Oracle, SQL Server) |

A Project Team Composition Template clearly indicating the manpower input months should be provided as per format in Annex 1.

In this respect, Vendors are required to submit information on reference sites and staff profiles as per format at Annex 2.

COMESA shall be notified in writing of any change or replacement of staff being assigned on the project as per their response of the bidding document. Respective qualifications and experience of any new staff joining the implementation team should be provided. COMESA reserves the right to approve any such change.

# Customer References

To be eligible for this exercise, vendors should have at least three (3) reference sites where they have successfully implemented a similar project.

# Annexes

## Annex 1: Project Team Composition Template

|  |  |  |  |
| --- | --- | --- | --- |
| **SN** | **Name of Expert** | **Designation** | **Manpower Input in Months** |
| **Remote** | **On-Site** | **Total** |
| 1 | Name  | Project Manager | 2 | 4 | 6 |
| 2 | Jane Doe | Solution Architect | 0 | 6 | 6 |
| 3 | Expert III | Designation III | 2 | 4 | 6 |
| 4 | Expert IV | Designation IV | 3 | 3 | 6 |
| 5 | Expert V | Designation V | 5 | 1 | 6 |
| 6 | Expert VI | Designation VI | 2 | 4 | 6 |
| 7 | Expert VII | Designation VII | 2 | 4 | 6 |
| 8 | Expert VIII | Designation VIII | 1 | 5 | 6 |

## Annex 2: Individual Team Profiles

|  |
| --- |
| **Curriculum Vitae: Expert 1** |
| **Role in the Project** | Role X |
| **Name of Expert** | Expert 1 |
| **Date of Birth** | Dd/mm/yyyy |
| **Nationality** | XXXX |
| **Education** |
| **No.** | **Degree** | **College** | **Year** |
| 1 | Bachelor of Science XXX  | College Name | 2002 |
| 2 | Master of Science XXX | College Name | 2010 |
| **Professional Certifications** |
| **No.** | **Certification**  | **Body and Number** | **Status** |
| 1 | Certified XXX | Body X Certificate # | Active |
| 2 | Certified XXX | Body X Certificate # | Expired |
| **Expert Profile Summary** |
| **Work Experience** |
| **No** | **Employer** | **From** | **To** | **Designation** |
| 1 | Employer X | 00/00/0000 | 00/00/0000 | Designation x |
| 2 | Employer X | 00/00/0000 | 00/00/0000 | Designation x |
| 3 | Employer X | 00/00/0000 | 00/00/0000 | Designation x |
| **Project Experience Related to Current Assignment** |
| **Project Client** | Client Name |
| **Project Summary** |
| **Responsibilities in the project** |
| **Technologies Used** | Technology 1, Technology 2, Technology N |
| **Sign** | Expert Signature | **Date** | 00/00/00 |