



REQUEST FOR PROPOSAL

FOR

**SUPPLY, INSTALLATION, CONFIGURATION, CUSTOMIZATION, TESTING,
COMMISSIONING AND MAINTENANCE OF A RISK BASED SUPERVISION
SYSTEM , ELECTRONIC DOCUMENT MANAGEMENT SYSTEM AND RELATED
HARDWARE INFRASTRUCTURE**

TENDER NO. SASRA/OT/29/2018-2019

MAY 2019

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SECTION I- INVITATION TO TENDER

TENDER NO: SASRA/OT/29/2018-2019

SUPPLY, INSTALLATION, CONFIGURATION, CUSTOMIZATION, TESTING, COMMISSIONING AND MAINTENANCE OF A RISK BASED SUPERVISION SYSTEM , ELECTRONIC DOCUMENT MANAGEMENT SYSTEM AND RELATED HARDWARE INFRASTRUCTURE

- 1.1 **Sacco Societies Regulatory Authority (SASRA)** invites sealed bids from eligible candidates for supply, installation, configuration, customization, testing, commissioning and maintenance of a Risk Based Supervision System, Electronic Document Management System and related hardware infrastructure.
- 1.2 Interested eligible candidates may obtain further information from **SASRA Procurement Office**, Tel: 254-20-2935101/2935112/2935165/ Email: procurement@sasra.go.ke, **19th Floor, UAP Old Mutual Tower, Upperhill Road, Upperhill Nairobi** during normal working hours.
- 1.3 Detailed information can be obtained by downloading the tender document containing all requirements from SASRA website , www.sasra.go.ke or Public Procurement Information Portal: www.tenders.go.ke
- 1.4 Tenders must be accompanied by a **bid security** from a **Reputable Commercial Bank only of KES 1,000,000 as described in Clause 2.14.1 of tender document.**
- 1.5 Completed tender documents are to be enclosed in plain sealed envelopes marked with **tender reference number** and be deposited in the Tender Box at 19th floor, UAP Old Mutual Tower, Upper Hill Road, Upperhill, Nairobi. So as to be received on or before **Tuesday, 28th May 2019 at 10am**
- 1.6 Prices quoted should be net inclusive of all taxes and delivery must be in Kenya Shillings or any other freely convertible currency and shall remain valid for **(120 days)** days from the closing date of the tender.
- 1.7 All pages of the bid document shall be paginated and initialized by the person holding the power of attorney.
- 1.8 A **pre-bid conference** shall be held on **14th May 2019 from 10:30am** at the board room on **18th Floor UAP/Old Mutual Tower, Upper Hill, Upper Hill Road** . The participants shall be given a tour of the current Data Centre during the pre-bid conference.
- 1.9 All clarification and/or amendments will be published on SASRA website (www.sasra.go.ke) and interested tenderers are required to check for any addendums or amendments in the course of the of the bidding period prior to the closing date.
- 1.10 Tenders will be opened immediately thereafter in the presence of the Candidates or their representatives who choose to attend at **board room on 19th Floor.**

The Chief Executive Officer
Sacco Societies Regulatory Authority
19th Floor: UAP/Old Mutual Tower, Upper Hill, Upper Hill Road
P.O. 25089 - 00100
Nairobi, Kenya

SECTION II-INSTRUCTIONS TO TENDERERS

2.1 Eligible Tenderers

- 2.1.1 This Invitation for Tenders is open to all tenderers eligible as described in the Invitation to Tender. Successful tenderers shall complete the supply of goods by the intended completion date specified in the Schedule of Requirements Section VI.
- 2.1.2 The procuring entity's employees, committee members, board members and their relative (spouse and children) are not eligible to participate in the tender.
- 2.1.3 Tenderers shall provide the qualification information statement that the tenderer (including all members of a joint venture and subcontractors) is not associated, or have been associated in the past, directly or indirectly, with a firm or any of its affiliates which have been engaged by the Procuring entity to provide consulting services for the preparation of the design, specifications, and other documents to be used for the procurement of the goods under this Invitation for tenders.
- 2.1.4 Tenderers shall not be under a declaration of ineligibility for corrupt and fraudulent practices.

2.2 Eligible Goods

- 2.2.1 All goods to be supplied under the contract shall have their origin in eligible source countries.
- 2.2.2 For purposes of this clause, "origin" means the place where the goods are mined, grown, or produced. Goods are produced when, through manufacturing, processing, or substantial and major assembly of components, a commercially-recognized product results that is substantially different in basic characteristics or in purpose or utility from its components
- 2.2.3 The origin of goods is distinct from the nationality of the tenderer.

2.3 Cost of Tendering

- 2.3.1 The Tenderer shall bear all costs associated with the preparation and submission of its tender, and the procuring entity, will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the tendering process.
- 2.3.2 The price to be charged for the tender document shall not exceed Kshs. 1,000/=
- 2.3.3 All firms found capable of performing the contract satisfactorily in accordance with the set prequalification criteria shall be prequalified.

2.4. The Tender Document

- 2.4.1 The tender document comprises the documents listed below and addenda issued in accordance with clause 2.6 of these instructions to Tenderers
 - (i) Invitation to Tender
 - (ii) Instructions to tenderers
 - (iii) Appendix to Instructions to Tenderers
 - (iv) Evaluation Criteria
 - (v) General Conditions of Contract
 - (vi) Special Conditions of Contract
 - (vii) Schedule of requirements

- (viii) Technical Specifications
- (ix) Tender Form and Price Schedules
- (x) Tender Security Form
- (xi) Contract Form
- (xii) Performance Security Form
- (xiii) Bank Guarantee for Advance Payment Form
- (xiv) Manufacturer Authorization Form
- (xv) Confidential Business Questionnaire

2.4.2 The Tenderer is expected to examine all instructions, forms, terms, and specifications in the tender documents. Failure to furnish all information required by the tender documents or to submit a tender not substantially responsive to the tender documents in every respect will be at the tenderers risk and may result in the rejection of its tender.

2.5 Clarification of Documents

2.5.1 A prospective tenderer requiring any clarification of the tender document may notify the Procuring entity in writing or by post at the entity's address indicated in the Invitation to Tender. The Procuring entity will respond in writing to any request for clarification of the tender documents, which it receives not later than seven (7) days prior to the deadline for the submission of tenders, prescribed by the procuring entity. Written copies of the Procuring entities response (including an explanation of the query but without identifying the source of inquiry) will be sent to all prospective tenderers that have received the tender document.

2.5.2 The procuring entity shall reply to any clarifications sought by the tenderer within 2 days of receiving the request to enable the tenderer to make timely submission of its tender.

2.6 Amendment of Documents

2.6.1 At any time prior to the deadline for submission of tenders, the Procuring entity, for any reason, whether at its own initiative or in response to a clarification requested by a prospective tenderer, may modify the tender documents by amendment.

2.6.2 All prospective candidates that have received the tender documents will be notified of the amendment in writing or by post and will be binding on them.

2.6.3 In order to allow prospective tenderers reasonable time in which to take the amendment into account in preparing their tenders, the Procuring entity, at its discretion, may extend the deadline for the submission of tenders.

2.7 Language of Tender

2.7.1 The tender prepared by the tenderer, as well as all correspondence and documents relating to the tender exchange by the tenderer and the Procuring entity, shall be written in English language, provided that any printed literature furnished by the tenderer may be written in another

language provided they are accompanied by an accurate English translation of the relevant passages in which case, for purposes of interpretation of the tender, the English translation shall govern.

2.8 Documents Comprising of Tender

2.8.1 The bid submitted by the bidders shall comprise the following format and content as a minimum: -

(i) Technical Proposal

Documents establishing bidder's qualifications are expounded in the **Section VI: Terms of Reference 5.4**

"Documents Establishing Bidder's Qualifications"

- a) Company profile
- b) Certified Audited Accounts
- c) Firms Experience & References
- d) Functional proposals
- e) Service Proposals
 - i. Description of Products, training & Service Features, including warranties
 - ii. Outline of Delivery, installation, customization, testing, training, commissioning and maintenance plan

(ii) Financial Proposal

A summary of financial proposal

2.9 Tender Forms

2.9.1 The tenderer shall complete the Tender Form and the appropriate Price Schedule furnished in the tender documents, indicating the goods to be supplied, a brief description of the goods, their country of origin, quantity, and prices.

2.10 Tender Prices

2.10.1 The tenderer shall indicate on the appropriate Price Schedule the unit prices and total tender price of the goods it proposes to supply under the contract

2.10.2 Prices indicated on the Price Schedule shall include all costs including taxes, insurances and delivery to the premises of the entity.

2.10.3 Prices quoted by the tenderer shall be fixed during the Tender's performance of the contract and not subject to variation on any account. A tender submitted with an adjustable price quotation will be treated as non-responsive and will be rejected, pursuant to paragraph 2.22

2.10.4 The validity period of the tender shall be **120 days** from the date of opening of the tender.

2.11 Tender Currencies

2.11.1 Prices shall be quoted in **Kenya Shillings** unless otherwise specified in the **Appendix to ITT**.

2.12 Tenderers Eligibility and Qualifications

2.12.1 Pursuant to paragraph 2.1 the tenderer shall furnish, as part of its tender, documents establishing the tenderers eligibility to tender and its qualifications to perform the contract if its tender is accepted.

2.12.2 The documentary evidence of the tenderers eligibility to tender shall establish to the Procuring entity's satisfaction that the tenderer, at the time of submission of its tender, is from an eligible source country as defined under paragraph 2.1

2.12.3 The documentary evidence of the tenderers qualifications to perform the contract if its tender is accepted shall be established to the Procuring entity's satisfaction;

- (a) that, in the case of a tenderer offering to supply goods under the contract which the tenderer did not manufacture or otherwise produce, the tenderer has been duly authorized by the goods' Manufacturer or producer to supply the goods;
- (b) that the tenderer has the financial, technical, and production capability necessary to perform the contract; and
- (c) that, in the case of a tenderer not doing business within Kenya, the tenderer is or will be (if awarded the contract) represented by an Agent in Kenya equipped, and able to carry out the Tenderer's maintenance, repair, and spare parts-stocking obligations prescribed in the Conditions of Contract and/or Technical Specifications.

2.13 Goods Eligibility and Conformity to Tender Documents

2.13.1 Pursuant to paragraph 2.2 of this section, the tenderer shall furnish, as part of its tender documents establishing the eligibility and conformity to the tender documents of all goods which the tenderer proposes to supply under the contract.

2.13.2 The documentary evidence of the eligibility of the goods shall consist of a statement in the Price Schedule of the country of origin of the goods and services offered which shall be confirmed by a certificate of origin issued at the time of shipment.

2.13.3 The documentary evidence of conformity of the goods to the tender documents may be in the form of literature, drawings, and data, and shall consist of:

- (a) a detailed description of the essential technical and performance characteristic of the goods;
- (b) a list giving full particulars, including available source and current prices of spare parts, special tools, etc., necessary for the proper and continuing functioning of the goods for **a period of three (3) years**, following commencement of the use of the goods by the Procuring entity; and
- (c) a clause-by-clause commentary on the Procuring Entity's Technical Specifications demonstrating substantial responsiveness of the goods and service to those specifications, or a statement of deviations and exceptions to the provisions of the Technical Specifications.

2.13.4 For purposes of the documentary evidence to be furnished pursuant to paragraph 2.13.3 above, the tenderer shall note that standards for workmanship, material, and

equipment, as well as references to brand names or catalogue numbers designated by the Procurement entity in its Technical Specifications, are intended to be descriptive only and not restrictive. The tenderer may substitute alternative standards, brand names, and/or catalogue numbers in its tender, provided that it demonstrates to the Procurement entity's satisfaction that the substitutions ensure substantial equivalence to those designated in the Technical Specifications.

2.14 Tender Security

- 2141 The tender security shall be in the amount of **Ksh. 1,000,000**. The tender security is required to protect the Procuring entity against the risk of Tenderer's conduct which would warrant the security's forfeiture, pursuant to paragraph 2.14.7
- 2142 The tender security shall be denominated in Kenya Shillings or in another freely convertible currency and shall be in the form of a **bank guarantee issued by a reputable commercial bank located in Kenya in the form provided** in the tender documents or another form acceptable to the Procuring entity and valid for thirty (30) days beyond the validity of the tender.
- 2143 Any tender not secured in accordance with paragraph 2.14.1 and 2.14.3 will be rejected by the Procuring entity as non-responsive, pursuant to paragraph 2.22
- 2144 Unsuccessful Tenderer's tender security will be discharged or returned as promptly as possible **but not later than thirty (30) days** after the expiration of the period of tender validity prescribed by the Procuring entity.
- 2145 The successful Tenderer's tender security will be discharged upon the tenderer signing the contract, pursuant to paragraph 2.27 and furnishing the performance security, pursuant to paragraph 2.28
- 2146 The tender security may be forfeited:
- (a) if a tenderer withdraws its tender during the period of tender validity specified by the procuring entity on the Tender Form;
 - (b) in the case of a successful tenderer, if the tenderer fails:
 - (i) to sign the contract in accordance with paragraph 2.27
 - (ii) to furnish performance security in accordance with paragraph 2.28

2.15 Validity of Tenders

- 2151 Tenders shall remain valid for 120 days or as specified in the Invitation to tender after the date of tender opening prescribed by the Procuring entity, pursuant to paragraph 2.18. A tender valid for a shorter period shall be rejected by the Procuring entity as non-responsive.
- 2152 In exceptional circumstances, the Procuring entity may solicit the Tenderer's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing. The tender security provided under paragraph 2.14 shall also be suitably extended. A tenderer may refuse the request without forfeiting its tender security. A tenderer granting the request will not be required nor permitted to modify its tender.

2.16 Format and Signing of Tender

- 2161 The **tenderer** shall prepare **five(5)** copies of the tender, clearly marking each "ORIGINAL TENDER" and "COPY OF TENDER," as appropriate. In the event of any discrepancy between them, the original shall govern.
- 2162 The original and all copies of the tender shall be typed or written in indelible ink and

shall be signed by the tenderer or a person or persons duly authorized to bind the tenderer to the contract. The latter authorization shall be indicated by written power-of-attorney accompanying the tender. All pages of the tender, except for unamend printed literature, shall be initialed by the person or persons signing the tender.

2163 The tender shall have no interlineations, erasures, or overwriting except as necessary to correct errors made by the tenderer, in which case such corrections shall be initialed by the person or persons signing the tender.

2.17 Sealing and Marking of Tenders

2171 The Tenderer shall seal the **TECHNICAL AND FINANCIAL PROPOSAL** in separate envelopes, duly marked as "ORIGINAL" and "COPY of TECHNICAL OR FINANCIAL PROPOSAL." The envelopes shall then be sealed in an outer envelope.

The inner and outer envelopes shall

- (a) be addressed to the Procuring entity at the address given in the Invitation to Tender
- (b) bear, tender number and name in the Invitation for Tenders and the words, "DO NOT OPEN BEFORE," **Tuesday, 28th May 2019 10am.**

2172 The inner envelopes shall also indicate the name and address of the tenderer to enable the tender to be returned unopened in case it is declared "late".

2173 If the outer envelope is not sealed and marked as required by paragraph 2.17.2, the Procuring entity will assume no responsibility for the tender's misplacement or premature opening.

2.18 Deadline for Submission of Tenders

2.18.1 Tenders must be received by the Procuring entity at the address specified under paragraph 2.17.2 no later than **Tuesday, 28th May 2019 at 10am.** The Procuring entity may, at its discretion, extend this deadline for the submission of tenders by amending the tender documents in accordance with paragraph 2.6, in which case all rights and obligations of the Procuring entity and candidates previously subject to the deadline will therefore be subject to the deadline as extended

2.19 Modification and Withdrawal of Tenders

2.19.1 The tenderer may modify or withdraw its tender after the tender's submission, provided that written notice of the modification, including substitution or withdrawal of the tenders, is received by the Procuring Entity prior to the deadline prescribed for submission oftenders.

The Tenderer's modification or withdrawal notice shall be prepared, sealed, marked, and dispatched in accordance with the provisions of paragraph 2.17. A withdrawal notice may also be sent by cable, telex but followed by a signed confirmation copy, postmarked not later than the deadline for submission of tenders.

2.19.2 No tender may be modified after the deadline for submission oftenders.

2.19.3 No tender may be withdrawn in the interval between the deadline for submission of tenders and the expiration of the period of tender validity specified by the tenderer on the Tender Form. Withdrawal of a tender during this interval may result in the Tenderer's forfeiture of its tender security, pursuant to paragraph 2.14.7

2.19.4 The procuring entity may at any time terminate procurement proceedings before

- contract award and shall not be liable to any person for the termination.
- 2.19.5 The procuring entity shall give prompt notice of the termination to the tenderers and on request give its reasons for termination within 14 days of receiving the request from any tenderer.

2.20 Opening of Tenders

- 2.20.1 The completed Technical and Financial proposals must be delivered at the submission address on or before the time and date stated. Any proposal received after the closing time for submission of proposal shall be returned unopened.
- 2.20.2 The Procuring entity will open all TECHNICAL tenders in the presence of tenderers' representatives who choose to attend, at **Tuesday 28th May 2019 at 10 am** and in the location specified in the Invitation to Tender. The tenderers' representatives who are present shall sign a register evidencing their attendance.
- 2.20.3 After the deadline for submission of proposals, the Technical proposal shall be opened immediately by the Tender Opening Committee. The Financial Proposal shall remain sealed until completion of evaluation of the Technical Proposals.
- 2.20.4 The tenderers' names, tender modifications or withdrawals, or absence of requisite tender security and such other details as the Procuring entity, at its discretion, may consider appropriate, will be announced at the opening.
- 2.20.5 The Procuring entity will prepare minutes of the tender opening.
- 2.20.6 Evaluators of Technical Proposals shall have no access to the financial proposals until the technical evaluation is concluded.

2.21 Clarification of Tenders

- 2.21.1 To assist in the examination, evaluation and comparison of tenders the Procuring entity may, at its discretion, ask the tenderer for a clarification of its tender. The request for clarification and the response shall be in writing, and no change in the prices or substance of the tender shall be sought, offered, or permitted.
- 2.21.2 Any effort by the tenderer to influence the Procuring entity in the Procuring entity's tender evaluation, tender comparison or contract award decisions may result in the rejection of the tenderers' tender

2.22 Preliminary Examination

- 2.22.1 The Procuring entity will examine the tenders to determine whether they are complete, whether any computational errors have been made, whether required sureties have been furnished, whether the documents have been properly signed, and whether the tenders are generally in order.

Arithmetical errors will be rectified on the following basis. If there is a discrepancy between the unit price and the total price that is obtained by multiplying the unit price and quantify, the unit price shall prevail, and the total price shall be corrected. If the candidate does not accept the correction of the errors, its tender will be rejected, and its tender security forfeited. If there is a discrepancy between words and figures the amount in words will prevail.

- 2.22.2 The Procuring entity may waive any minor informality or non-conformity or irregularity in a tender which does not constitute a material deviation, provided such waiver does not prejudice or effect the relative ranking of any tenderer.

Prior to the detailed evaluation, pursuant to paragraph 2.23 the Procuring entity will determine the substantial responsiveness of each tender to the tender documents. For purposes of these paragraphs, a substantially responsive tender is one, which conforms to

all the terms and conditions of the tender documents without material deviations. The Procuring entity's determination of a tender's responsiveness is to be based on the contents of the tender itself without recourse to extrinsic evidence. If a tender is not substantially responsive, it will be rejected by the Procuring entity and may not subsequently be made responsive by the tenderer by correction of the non-conformity

2.23 Conversion to Single Currency

2.23.1 Where other currencies are used, the procuring entity will convert these currencies to Kenya Shillings using the selling exchange rate on the date of tender closing provided by the Central Bank of Kenya

2.24 Evaluation and Comparison of Tenders

2.24.1 The Procuring entity will evaluate and compare the tenders which have been determined to be substantially responsive, pursuant to paragraph 2.22

2.24.2 The tender evaluation committee shall evaluate the tender within 30 days of the validity period from the date of opening the tender.

2.24.3 A tenderer who gives false information in the tender document about its qualification or who refuses to enter into a contract after notification of contract award shall be considered for debarment from participating in future public procurement.

2.24.4 Subject to paragraph 2.22 the Procuring entity will award the contract to the most technically and economically advantageous offer.

2.25 Preference

2.25.1 Preference where allowed in the evaluation of tenders shall not exceed 15%

2.26 Contacting the Procuring entity

2.26.1 Subject to paragraph 2.21 no tenderer shall contact the Procuring entity on any matter related to its tender, from the time of the tender opening to the time the contract is awarded.

Any effort by a tenderer to influence the Procuring entity in its decisions on tender, evaluation, tender comparison, or contract award may result in the rejection of the Tenderer's tender.

2.27 Award of Contract

2.27.1 Post-qualification. Sacco Societies Regulatory Authority (SASRA) will determine to its satisfaction whether the tenderer that is selected as having submitted the highest combined score is qualified to perform the contract satisfactorily.

2.27.2 The determination will take into account the tenderer financial and technical capabilities. It will be based upon an examination of the documentary evidence of the tenderers qualifications submitted by the tenderer, as well as such other information as Sacco Societies Regulatory Authority (SASRA) deems necessary and appropriate.

2.27.3 An affirmative determination will be a prerequisite for award of the contract to the tenderer. A negative determination will result in rejection of the Tenderer's tender, in which event Sacco Societies Regulatory Authority (SASRA) will proceed to the next highest combined scorer to make a similar determination of that Tenderer's capabilities to perform satisfactorily.

SASRA's Right to Vary quantities

2.27.4 Sacco Societies Regulatory Authority (SASRA) reserves the right at the time of contract award to increase or decrease the quantity of services originally specified in the Schedule of requirements without any change in unit price or other terms and conditions.

SASRA's Right to Accept or Reject Any or All Tenders

2.27.5 Sacco Societies Regulatory Authority (SASRA) reserves the right to accept or reject any tender, and to annul the tendering process and reject all tenders at any time prior to contract award, without thereby incurring any liability to the affected tenderer or tenderers or any obligation to inform the affected tenderer or tenderers of the grounds for SASRA's action.

2.28 Notification of Award

2.28.1 Prior to the expiration of the period of tender validity, Sacco Societies Regulatory Authority (SASRA) will notify the successful tenderer in writing that its tender has been accepted.

2.28.2 The notification of award will constitute the formation of the Contract.

2.29 Signing of Contract

2.29.1 At the same time as Sacco Societies Regulatory Authority (SASRA) notifies the successful tenderer that its tender has been accepted, Sacco Societies Regulatory Authority (SASRA) will send the tenderer the Contract Form provided in the tender documents, incorporating all agreements between the parties. Within thirty (30) days of receipt of the Contract Form, the successful tenderer shall sign and date the contract and return it to SASRA.

2.30 Confidentiality

2.30.1 Information relating to evaluation of proposal and recommendations concerning awards shall not be disclosed to the tenderers who submitted the proposals or to other persons not officially concerned with the process, until the winning firm has been notified that it has been awarded the contract.

2.31 Corrupt or Fraudulent Practices

2.31.1 The procuring entity requires that tenderers observe the highest standard of ethics during the procurement process and execution of contracts. A tenderer shall sign a declaration that he has not and will not be involved in corrupt or fraudulent practices.

2.31.2 SASRA will reject a proposal for award if it determines that the tenderer recommended for award has engaged in corrupt or fraudulent practices in competing for the contract in question.

2.31.3 Further a tenderer who is found to have indulged in corrupt or fraudulent practices risks being debarred from participating in public Procurement in Kenya.

SECTION III – APPENDIX TO INSTRUCTIONS TO TENDERS

The Appendix to Instructions to Tenderers is intended to provide specific information in relation to the corresponding clause in the Instructions to Tenderers.

A. General	
ITT 2.1	The Procuring Entity is: Sacco Societies Regulatory Authority (SASRA)
ITT 2.1	Eligibility is restricted to incorporated companies
ITT 2.1	The name of the BID is: SUPPLY, INSTALLATION, CONFIGURATION, CUSTOMIZATION, TESTING, COMMISSIONING AND MAINTENANCE OF A RISK BASED SUPERVISION SYSTEM , ELECTRONIC DOCUMENT MANAGEMENT SYSTEM AND RELATED HARDWARE INFRASTRUCTURE The identification number of the BID is: SASRA/OT/29/2018-2019
ITT 2.1.3	In the case of a JV, all parties to the JV shall be individually and jointly liable.
ITT 2.12	Restrictions to eligibility criteria are as follows: N/A
B. Contents of Bidding Document	
ITT 2.21	For <u>clarification of bids purposes</u> only, the Procuring Entity’s address is: The Chief Executive Officer Sacco Societies Regulatory Authority 19 th Floor: UAP/Old Mutual Tower, Upper Hill, Upper Hill Road P.O. 25089 – 00100 Nairobi, Kenya
ITT 2.16.2	In addition to the one(1) original bid , the number of bid documents is: <u>Five (one original and four copies)</u>
ITT 2.16.2	The written authorization to sign on behalf of the Bidder will be a power of attorney.
C. Evaluation and Comparison of Bids	
ITT 2.23.1	The currency that shall be used for bid evaluation and comparison purposes to convert all bid prices expressed in various currencies into a single currency is: Kenya Shillings The source of exchange rate shall be: <u>Central Bank of Kenya</u> The date for the exchange rate shall be: Previous working day from <u>Date of Opening</u>
ITT 2.24	The evaluation criteria shall be as per Section IV – Evaluation Criteria

SECTION IV – EVALUATION CRITERIA

This section contains all the factors, methods and criteria that the Procuring Entity shall use to evaluate a bid and determine whether a bidder has the required qualification. No other factor, method or criteria shall be used.

Tenders received will be evaluated in three stages as detailed below:

1. **Stage 1:** Compliance with Preliminary Requirements
2. **Stage 2:** The Technical Evaluation (Capacity to Deliver the Service) and Technical Specifications Evaluation (Conformity of Technical requirements in conformity to section , Software Demonstration and Site Visits
3. **Stage 3:** The Financial Evaluation (quoted prices)

Stage 1: Preliminary Requirements

Firms that do not meet any of the following mandatory requirements shall be rejected at this stage.

No.	Requirements	Pass/Fail
	(All copies attached must be certified by a Commissioner of Oaths as true copies of the original)	
1.	Duly filled, signed and stamped Form of Tender	
2.	Duly filled, signed and stamped Technical Submission Form	
3.	Certified copy of Certificate of Incorporation	
4.	Copy of the company's valid Certificate of Tax Compliance issued by the relevant Tax Authority	
5.	Copy of Certified Valid Business Permit	
6.	Copies of audited financial statements for the company for the last three accounting years(2015-2016, 2016-2017, 2017-2018).	
7.	The bid security should remain valid for thirty (30) days beyond the tender validity period.	
8.	Detailed project plan indicating allocation of technical staff and time for the deployment of the solution.	
9.	Valid Manufacturer Authorization certificate from the product Developer/Solutions copyright holder and Hardware Original Equipment Manufacturer(OEM)	

10.	Power of Attorney authorizing the signatory of the Bid to commit the Bidders(Joint Venture)	
11.	Dully-filled up Confidential Business Questionnaire, stamped and signed form of tender in format provided and signed by the authorized person.	
12.	Bank reference letter indicating credit limits or funds available for project funding which MUST BE at least 80% of the bid price.	
13.	A certified list of current directors, not older than 6 months from the date on the tender advertisement	
14.	A copy of a registered Joint Venture agreement shall be entered into by all partners providing the Turnkey solution	
15.	Duly filled, signed and stamped an Filled Confidential Business Questionnaire Form of all JV partners	
16.	Proposed Service Level Agreement(SLA) for Software and proposed hardware infrastructure	
17.	Hardware vendor must be registered by ICTA and MUST procure from the local OEM channel.	
18.	Statement of Work(SoW) from Hardware OEM MUST be included.	

Bid evaluation shall be on the basis of pass/fail system and any bid failing in any of the general pre-qualification (mandatory requirements) will not proceed to the Technical Evaluation stage.

Stage 2: The Technical Evaluation (Capacity to Deliver the Service) and Technical Specifications Evaluation (Conformity of Technical requirements in conformity to section, Software Demonstration and Site Visits

In addition to meeting the technical specifications in section VI the following detailed aspects of the technical requirements and competency of the firm will be evaluated as per the following criteria.

a) Software

No.	Evaluation Attribute	Weighting Score	Score
I	<p>Technical Specifications (Functional Proposal). The solution will be evaluated on meeting the detailed technical requirements.</p> <p>Marking: Mandatory FS=2, PS=1, CR=1/2, NS=0</p> <p>Marking: Optional FS=1, PS=1/2, CR=1/2, NS=0</p> <p>(FS-fully Supported, PS=partially supported, CR-Customization Required, NS =Not supported)</p>	<p>Minimum score = 30 marks.</p> <p>Consideration based on clarity</p>	40
	<p>Any bids that do not meet the minimum 30 marks out of a maximum of 40 marks will not proceed further to the Technical Evaluation (Capacity to Deliver the Service) step</p>		
II	<p>Technical Evaluation(Capacity to Deliver the Service)</p> <p>General Experience:</p>		
	<p>The bidders should have been carrying out I.T. related services and should furnish company profile indicating the number of years in operation in the industry, product range and specialization.</p>	<p>2 mark for each year</p> <p>of experience up to a maximum of 3 years</p>	6
	<p>Previous handling of at least 3 Risk Based Supervision(Business Process Management/Business Intelligence/Data Warehousing), EDMS projects in the Financial Sector globally similar in scope and complexity in the last 5 years Provide relevant Documentary proof ONLY LPO/Contract will be considered. If a bidder does not demonstrate experience in any of the areas outlined their bid will be disqualified.</p>	<p>3 marks each up to a maximum of 3 projects</p>	9
	<p>Previous handling of at least 3 Microsoft Dynamics ERP projects in scope and complexity in the last 5 years Provide relevant Documentary proof. ONLY LPO/Contract will be considered.</p> <p><i>*SASRA reserves the right to seek additional</i></p>	<p>3 marks each up to a maximum of 3 projects</p>	9

	<i>supporting documents for the above projects</i>		
	Copies of financial statements for the company for the last three accounting years.	2 marks for each year	6
Key Staff Qualification and Experience			
	Project Management/Team Leader 2 must have valid project management certification either PMP or PRINCEII	Project/Manager/Team Leader CV without project management certification will lead to disqualification	4
	Module Leads for the RBSS		2
	Functional Consultants for the RBSS		2
	Implementers (4 No.) for the RBSS	(1/2 marks each)	2
	Detailed Approach Methodology & Work plan		5

Bidders must attain the mark of 70 out of 85 points for I and II to proceed to the next section of software demonstration/Site Visit.

iii	Software Demonstration Product Demonstration will be followed by site visit to the clients indicated in the reference. Compliant bidders may be requested to make a presentation of their proposal for clarification and existence of selected features to be determined by SASRA.	Demonstration of selected features and functionality during product demo.	15
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Bidders must attain the pass mark of 80 out of 100 to proceed to the Financial evaluation.

The SASRA may disqualify bids based on the outcome of the Site Visits in the event that bidder is found not to have delivered according to requirements and on time.

b) Hardware and Related Infrastructure

The bidders proposed solution must meet all technical specification before proceeding to company evaluation

This is divided into 2 sections covering:

- Compute (including SAN switches)
- Storage Solution
- Backup appliance with backup software from same vendor

NOTE:

- All items must come with 3 years support (Mandatory)
- Bidders must provide a Manufacturers Authorization Form (Mandatory)
- All items must come from a single Original Equipment Manufacturer to support integration and single vendor support (Mandatory)
- Bidders must provide an annual maintenance contract (Bidders to share their various SLAs options)
- Bidders must include references and data sheets in their responses

No.	Evaluation Attribute		Weighting Score	Score
1.	Experience of the Firm	Bidders must provide names of at least three (3) sites where similar items have been successfully installed. years Provide relevant documentary proof. ONLY LPO/Contract will be considered.	5 Marks for Each site	15
2.	Human Resource capacity	Bidders must submit a list of proposed three (3) technical staff that are OEM certified in the proposed solution and experience to configure the hardware infrastructure (Attach copies of CVs and relevant certifications)		
			10 marks for each certification(hardware, storage backup solution)	30
			5 marks for each technical staff setting up a similar solution at a client site (Maximum score per technical staff)	45
3	Warranty	Experience providing three year warranty onsite, parts and labour for at least two sites (Provide relevant Documentary proof. ONLY LPO/Contract will be considered)	5 marks per site	10

Bidder **MUST score 80 Marks** to be considered for Financials (Mandatory)

The technical scores for both software and hardware will be combined using the following formula to derive a combined technical score.

$$CS = \frac{ST+HT}{MST+MHT} \times 80$$

1

Where:

CS	Combined Technical Score
ST	Software Technical Score
HT	Hardware Technical Score
MST	Maximum Software Technical Score
MHT	Maximum Hardware Technical Score

Stage 3: The Financial Evaluation (20%)

- a) Bidders whose technical proposals will have met technical evaluation criterion described above **SHALL qualify for financial evaluation**. The other financial proposals shall be returned unopened. Any effort by a bidder to influence the evaluation or contract award decisions shall result in the rejection of the bidder's proposal.
- b) The Financial Proposals shall be opened publicly in the presence of only the Technically Responsive bidder's representatives who choose to attend. The name of the bidding firm, the technical Scores and the proposed prices shall be read aloud and recorded when the Financial Proposals are opened. The SASRA shall prepare minutes of the public opening.
- c) The evaluation committee shall confirm that the Financial Proposal has a Financial Proposal Submission Form that is duly filled, signed and stamped. **A bidder that has qualified for financial evaluation with a Financial Proposal that does not have a dully filled, signed and stamped Financial Proposal Submission Form SHALL be disqualified.**
- d) The evaluation committee will determine whether the financial proposals are complete i.e. whether the bidder has priced all the items of the corresponding Technical Proposal and correct any computational errors. The cost of any unpriced items shall be assumed to be included in other costs in the proposal. In all cases, the total price of the Financial Proposal as submitted shall prevail.
- e) The financial proposal will be awarded 20 points. The lowest price will automatically be awarded 20 points. All other proposals will be awarded proportionate points as per the following formula:

$$FS = \frac{\textit{LowestCost}}{\textit{Proposal Cost}} \times 20$$

Where:

FS = Financial Score of the proposal under consideration
Proposal Cost = Price of the Proposal under consideration
Lowest Cost = Lowest Financial proposal among the qualifying proposals
20 = Maximum Score for the technical proposal

f) Overall Ranking

The overall ranking will be computed as follows:

Points scored on technical score) + (Points scored on financial proposal)

The bidder with the highest overall score(combined technical and financial score) from the above formula shall be considered the winner.

SECTION V: GENERAL CONDITIONS OF CONTRACT

3.1 Definitions

In this contract the following terms shall be interpreted as indicated:

- a) "The contract" means the agreement entered into between Sacco Societies Regulatory Authority (SASRA) and the tenderer as recorded in the Contract Form signed by the parties, including all attachments and appendices thereto and all documents incorporated by reference therein.
- b) "The Contract Price" means the price payable to the tenderer under the Contract for the full and proper performance of its contractual obligations.
- c) "The services" means services to be provided by the vendor including materials and incidentals which the tenderer is required to provide to Sacco Societies Regulatory Authority (SASRA) under the Contract.
- d) "The Procuring entity" means the organization sourcing for the services under this Contract.
- e) "The vendor" means the individual or firm providing the services under this Contract.
- f) "GCC" means general conditions of contract contained in this section
- g) "SCC" means the special conditions of contract
- h) "Day" means calendar day

3.2 Application

These General Conditions shall apply to the extent that they are not superseded by provisions of other part of contract.

3.3 Standards

The services provided under this Contract shall conform to the 7 standards mentioned in the Schedule of requirements. Patent Right'

The tenderer shall indemnify Sacco Societies Regulatory Authority (SASRA) against all third-party claims of infringement of patent, trademark, or industrial design rights arising from use of the services under the contract or any part thereof.

3.4 Performance Security

- 3.4.1 Within fourteen (14) days of receipt of the notification of Contract award, the successful tenderer shall furnish to Sacco Societies Regulatory Authority (SASRA) the performance security where applicable in the amount specified in Special Conditions of Contract.
- 3.4.2 The proceeds of the performance security shall be payable to Sacco Societies Regulatory Authority (SASRA) as compensation for any loss resulting from the Tenderer's failure to complete its obligations under the Contract.
- 3.4.3 The performance security shall be denominated in the currency of the Contract or in a freely convertible currency acceptable to Sacco Societies Regulatory Authority (SASRA) and shall be in the form of:

- a) Cash.
- b) A bank guarantee.
- c) Such insurance guarantee approved by the SASRA.
- d) Letter of credit.

3.4.4 The performance security will be discharged by Sacco Societies Regulatory Authority (SASRA) and returned to the candidate not later than thirty (30) days following the date of completion of the tenderer's performance of obligations under the contract, including any warranty obligations under the contract.

3.5 *Inspections and Tests*

- 3.5.1 Sacco Societies Regulatory Authority (SASRA) or its representative shall have the right to inspect and/or to test the services to confirm their conformity to the Contract specifications. Sacco Societies Regulatory Authority (SASRA) shall notify the tenderer in writing, in a timely manner, of the identity of any representatives retained for these purposes.
- 3.5.2 The inspections and tests may be conducted on the premises of the tenderer or its sub-vendor(s). If conducted on the premises of the tenderer or its sub-vendor(s), all reasonable facilities and assistance, including access to drawings and production data, shall be furnished to the inspectors at no charge to the Procuring entity.
- 3.5.3 Should any inspected or tested services fail to conform to the Section VIII - Technical Specifications, Sacco Societies Regulatory Authority (SASRA) may reject the services, and the tenderer shall either replace the rejected services or make alterations necessary to meet specification requirements free of cost to the Procuring entity.
- 3.5.4 Nothing in paragraph 3.6 shall in any way release the tenderer from any warranty or other obligations under this Contract.

3.6 *Payment*

The method and conditions of payment to be made to the tenderer under this Contract shall be specified in SCC.

3.7 *Prices*

3.7.1 Prices charged by the vendor for services performed under the Contract shall not, with the exception of any Price adjustments authorized in SCC, vary from the prices by the tenderer in its tender or in the procuring entity's request for tender validity extension as the case may be. No variation in or modification to the terms of the contract shall be made except by written amendment signed by the parties.

3.8 *Assignment*

The tenderer shall not assign, in whole or in part, its obligations to perform under this contract, except with the SASRA's prior written consent.

3.9 *Termination for Default*

Sacco Societies Regulatory Authority (SASRA) may, without prejudice to any other remedy for breach of Contract, by written notice of default sent to the tenderer, terminate this Contract in whole or in part: -

- a) If the tenderer fails to provide any or all of the services within the period(s) specified in the Contract, or within any extension thereof granted by the Procuring entity.
- b) If the tenderer fails to perform any other obligation(s) under the Contract.
- c) If the tenderer, in the judgment of Sacco Societies Regulatory Authority (SASRA) has engaged in corrupt or fraudulent practices in competing for or in executing the Contract.

- d) In the event Sacco Societies Regulatory Authority (SASRA) terminates the Contract in whole or in part, it may procure, upon such terms and in such manner as it deems appropriate, services similar to those undelivered, and the tenderer shall be liable to Sacco Societies Regulatory Authority (SASRA) for any excess costs for such similar services.

3.10 Termination of insolvency

Sacco Societies Regulatory Authority (SASRA) may at any time terminate the contract by giving written notice to the vendor if the vendor becomes bankrupt or otherwise insolvent. In this event, termination will be without compensation to the vendor, provided that such termination will not produce or affect any right of action or remedy, which has accrued or will accrue thereafter to the procuring entity.

3.11 Termination for convenience

Sacco Societies Regulatory Authority (SASRA) by written notice sent to the vendor may terminate the contract in whole or in part, at any time for its convenience. The notice of termination shall specify that the termination is for Sacco Societies Regulatory Authority (SASRA) convenience, the extent to which performance of the vendor of the contract is terminated and the date on which such termination becomes effective. For the remaining part of the contract after termination Sacco Societies Regulatory Authority (SASRA) may elect to cancel the services and pay to the vendor on agreed amount for partially completed services.

3.12 Resolution of disputes

3.12.1 The Sacco Societies Regulatory Authority (SASRA) and the vendor shall make every effort to resolve amicably by direct informal negotiations any disagreement or dispute arising between them under or in connection with the contract.

3.12.2 If after thirty (30) days from the commencement of such informal negotiations both parties have been unable to resolve amicably a contract dispute either party may require that the dispute be referred for resolution to the formal mechanisms specified in the SCC.

3.13 Governing Language

The contract shall be written in the English language. All correspondence and other documents pertaining to the contract, which are exchanged by the parties, shall be written in the same language.

3.14 Force Majeure

The vendor shall not be liable for forfeiture of its performance security, or termination for default if and to the extent that its delay in performance or other failure to perform its obligations under the Contract is the result of an event of Force Majeure.

3.15 Applicable Law

The contract shall be interpreted in accordance with the laws of Kenya unless otherwise specified in the SCC

3.16 Notices

3.16.1 Any notices given by one party to the other pursuant to this contract shall be sent to the other party by post or by fax or E-mail and confirmed in writing to the other party's address specified in the SCC

3.16.2 A notice shall be effective when delivered or on the notices effective date, whichever is later.

SECTION VI: SPECIAL CONDITIONS OF CONTRACT

The following Special Conditions of Contract (SCC) shall supplement and / or amend the General Conditions of Contract (GCC). Whenever there is a conflict, the provisions herein shall prevail over those in the GCC.

REFERENCE OF GCC	SPECIAL CONDITIONS OF CONTRACT
3.4	The amount of the Performance Security shall be: ten per cent (10%) <u>of the total value of the contract</u>
3.4.3	The Performance security shall be in form of a bank guarantee ONLY from a reputable commercial bank located in Kenya.
3.12.1	<p>The method and conditions of payment to be made to the Supplier under this Contract shall be as follows:</p> <ul style="list-style-type: none"> a. Advance Payment: Zero (0) percent of the Contract. b. Supply, installation, configuration, customization, testing and commissioning of RBSS integrated to EDMS completion and acceptance: (40) percent of the Contract Price shall be paid on confirmation of the Goods and completion of the works as per GCC Clause 3.5 . c. Supply, configuration, testing and commissioning of related hardware infrastructure completion and acceptance: (40) percent of the Contract Price shall be paid on receipt of the Goods and completion of the works as per GCC Clause 3.5 . d. Integration of RBSS to ERP completion and acceptance: (15) percent of the Contract Price shall be paid on receipt of the Goods and completion of the works as per GCC Clause 3.5 . e. Six months after final signoff of the project : (5) percent of the Contract Price shall be paid on receipt of the Goods and completion of the works as per GCC Clause 3.5 .
3.12.2	Any dispute, controversy or claim arising out of or relating to this contract, including its conclusion, interpretation, performance, breach, termination or invalidity, shall be finally settled by mandatory arbitration under the rules of the Chartered Institute of Arbitrators, Kenya by a sole arbitrator appointed in accordance with the said rules. The place of arbitration shall be Nairobi, Kenya. The language of the arbitration shall be English.
3.15	The governing law shall be the law of: Kenya.

SECTION VII: TERMS OF REFERENCE

5.1 Background

SUPPLY, INSTALLATION, CONFIGURATION, CUSTOMIZATION, TESTING, COMMISSIONING AND MAINTENANCE OF A RISK BASED SUPERVISION SYSTEM , ELECTRONIC DOCUMENT MANAGEMENT SYSTEM AND RELATED HARDWARE INFRASTRUCTURE

The Sacco Societies Regulatory Authority, SASRA, was established under the Sacco Societies Act 2008, with the mandate of licensing Sacco societies to carry out deposit taking business and to regulate and supervise such Saccos. The establishment of SASRA falls within the Government of Kenya's reform process in the financial sector which has the dual objectives of protecting the interests of Sacco members and ensuring that there is confidence in the public towards the Sacco sector and spurring Kenya's economic growth through the mobilization of domestic savings.

While Kenya has several thousand Sacco Societies, the Sacco Societies Act categorises them into two, deposit taking Saccos and non-deposit taking Saccos. Non-deposit taking Saccos are the traditional Saccos whose business is limited to mobilization of non-withdrawable deposits (also referred to as share deposits in common parlance) for purposes of lending to members. The deposits are non-withdrawable in that they are used as collaterals for loans by members, and can only be refunded upon the member's withdrawal.

On the other hand, deposit-taking Saccos besides the traditional business of share deposits, also receive withdrawable or demand deposits. A member can access the demand deposits anytime and anywhere through such service delivery channels as physical branches, automated teller machines and mobile phones.

As at 1st January 2018, SASRA had licensed one hundred and seventy five (175) Saccos to carry out Deposit taking business. Table 1 is a brief summary showing the assets and deposits of the licensed Saccos.

Category	No.	2018 Asset (KSh.M)	2018 Deposits (KSh.M)	No.	2017 Assets (KSh.M)	2017 Deposits (KSh.M)
Large	26	321,571	222,900	20	236,956	169,480
Medium	56	137,714	94,486	58	133,965	95,920
Small	94	34,532	23,111	98	36,054	23,837
Total	175	493,817	342,296	176	406,975	289,237

Source: SASRA Database

The large Saccos dominate the Deposit taking Sacco business as they account for 65 percent of the total assets for the 175 DTs in 2018. A notable development amongst the DTs especially the large ones is the opening of common bonds and aggressive investments in branches, technology delivery channels, new products including business loans. In addition, there is already a strong indication of diversification to such businesses including banking, asset management, insurance intermediation and mortgage through partnership or subsidiaries. This comes with elevated risks in many respects given the traditional management structures and business practices with potentially adverse impact

on stability of the Sacco subsector. This is understandably a response to member demands and competitive pressure from banks and other non-traditional providers of financial services. This demands flexible and forward-looking regulatory approach to foster sustainable development and innovation amongst the DTSSs.

5.2 Risk Based Supervision (RBS)

In the year 2012, the Sacco Societies Regulatory Authority with the financial and technical support of the Financial and Legal Sector Technical Assistance Project (FLSTAP), a Government of Kenya/World Bank programme developed and implemented a framework for risk-based approach to supervision of the deposit taking Sacco societies.

The Authority recognised that a holistic application of compliance based approach may not be sustainable for such a huge number of Sacco societies given the current and projected resource level. Thus effective use of limited resources implied that even as the Authority applies the compliance based approach to supervision, a risk based approach to supervision be developed and implemented in this early stage.

The main objectives of the RBS framework were to outline SASRA's supervisory process and in particular to:

- i. Develop an evaluation tool and guidelines for offsite supervision to help SASRA monitor the condition of a SACCO and its compliance with the Act and Regulations or supervisory directives during the period between onsite examinations.
- ii. Develop an RBS evaluation tool and rating parameters in line with the requirements of risk based methodology i.e. a tool that provides sufficient linkage between risk parameters and mitigants (risk profiling).
- iii. Define the process of conducting onsite inspections, including planning, onsite analysis and reporting.
- iv. Develop a training manual for use by SASRA to orient/train new staff and serve as a reference for existing experienced staff when encountering new or more complex areas or activities.
- v. Develop the capacity of SASRA technical staff in RBS techniques

SASRA has been implementing the Risk Based Supervision model using the CAMEL-rating framework which identifies risks associated with the deposit-taking business early, and forestalls the same through appropriate supervisory interventions.

SASRA continues to implement a risk-based supervisory approach based on a policy of "continuous supervision", through on-site examinations, off-site reviews, prudential meetings, co-operation with external auditors and sharing information with relevant stakeholders (financial regulators, Commissioner for Cooperative Development and SASRA Governments).

c) The Operating Environment

Since establishment, the implementation of risk based supervision activities have been based on manual process relying mostly on spreadsheets save for the receipt of monthly returns which is done through an in house developed web based application which receives monthly returns from the

Sacco society upon their log ins though, the analysis of this returns are done on a spread sheet. Activities such as licensing, corporate approvals, offsite analysis, task scheduling are done on spreadsheets based on the designed template

With the receipt of several volumes of information to process, a number of deadlines to follow up, the Authority faces a challenge in meeting its maximum operational efficiency in its core mandate due to its manual operations. Currently the department has 30 staff all conducting the major tasks of licensing, corporate approvals, offsite and onsite analysis from 175 licensed deposit Taking Sacco, translating to a work load of 8-9 Saccos per person. Besides, there is a dedicated unit for data analysis and interpretation.

Considering the workload based on the number of staff and the licensed deposit taking Saccos, it is imperative that a system is required to improve on the efficiency of delivery. In addition the workload is expected to increase with the planned regulation by SASRA of an estimated 200 Non DTS.

5.3 Project Objectives

The objective of this assignment is to improve on the efficiency of the supervision department by automating all the processes through implementation of a Risk Based Supervision System (RBSS) and EDMS. The supplier is also expected to upgrade hardware in the current data centre, integrate to an ERP.

5.4 Project Deliverables

The project key tasks will entail:

- 5.4.1 Delivery, installation, configuration, customization, testing and commissioning of RBSS software according to the requirements including all necessary licenses including but not limited to the required RDBMS.**
- 5.4.2 Delivery, installation, configuration, customization, testing and commissioning of EDMS software according to the requirements including all necessary licenses including but not limited to the required RDBMS.**
- 5.4.3 Integration of RBSS, EDMS to ERP (Microsoft Navision/Dynamics)**
- 5.4.4 Delivery, configuration, testing and commission of hardware according to the requirements at primary site and replicated to DR Site including OS and related software licenses that is compatible with the RBSS and EDMS proposed**
- 5.4.5 Upgrade of connectivity to 10Mbps between SASRA Primary site and DRC site with the current provider.**
- 5.4.6 Upgrade of the cooling system at SASRA primary datacenter at UAP Old Mutual Building 18th Floor.**

5.4.7 Professional Services

Provisions of professional services are as follows:

- i) Training of technical and end users
- ii) System documentation and Testing
- iii) Knowledge transfer to SASRA staff
- iv) On-going support and maintenance of the RBSS solution for a minimum period of 1 year

5.5 Technical Proposal Response Format

To facilitate the analysis of responses to this tender, the Bidder is required to prepare their proposals in accordance with the instructions outlined in this section. Bidders must respond in full to all bid document sections and follow the format provided (section numbering, etc.) in their response. Failure to follow these instructions may result in disqualification. For each question asked in the bid document, the proposer shall provide in their response, the question asked and their answer using the section numbering of the bid document. Proposals shall be prepared to satisfy the requirements of the bid document. **EMPHASIS SHOULD BE CONCENTRATED ON ACCURACY, COMPLETENESS, AND CLARITY OF CONTENT.** All parts, pages, figures, and tables should be numbered and labelled clearly. The proposal should be organized as follows:

5.5.1 Executive Summary

This part of the response to the tender should be limited to a brief narrative & not to exceed three (3) pages describing the proposed solution. The summary should contain as little technical jargon as possible and should be oriented toward non- technical personnel. The executive summary should not include cost quotations.

5.5.2 Firms Experience

Bidders must provide the firms experience in providing services of a similar nature for at least 3 Risk Based Supervision(Business Process Management/Business Intelligence/Data Warehousing) projects in the Financial Sector and 3 Microsoft Dynamics ERP projects of similar size , organisation and details of work under way or contracted. Attach the names, addresses and contact details of these organizations.

5.5.3 Proposed Implementation Plan

The Bidder is to provide an implementation plan in narrative format supported by an activity- level project plan that details how the proposed solution is to be implemented. This implementation plan should include the following elements:

5.5.3.1 General Implementation Approach

Provide a general overview of the implementation approach you plan to use for the implementation of the different functional areas.

5.5.3.2 Proposed Turnkey Solution –RBSS, EDMS and Hardware

Bidders is required to provide to describe the proposed solution based in detail(not more than 5 pages) . The solutions should include the proposed RBSS components, EDMS and hardware as per specification and the related RDBMS and other licenses required to make it a holistic solution.

5.5.3.3 Implementation and Training

Upon successful implementation, the SASRA shall require the solution provider to provide

training as specified below;

- i) **End User Training:** All (100) end-user and technical training will be performed on-site through implementation and be performed by the Bidder. End user implementation training will be provided by the Bidder and include joint participation by the relevant SASRA process owner team lead supporting the process area in the new software system. Technical Implementation training will include training for SASRA's IT staff on the technologies required to support the new modules.
- ii) **Train the Trainer:** The Vendor will incorporate a "train the trainer" approach where only key SASRA team leaders will be trained through implementation on the solution and then they will train the remainder of the SASRA staff in their respective areas.
- iii) **Training Technical** of SASRA technical staff(hardware and software- application and RDBMS) to provide 1st level of support.

Technical implementation training will include training of 4 staff from ICT and 12 RBSS departments to support the system. The Bidder should provide an overall description of **both** training methods, including the general time frames in which both types of training will be conducted. The Bidder must list the nature, level, and amount of training to be provided for both options in each of the following areas:

- a) Technical training (e.g., programming, operations, etc.)
- b) User training

5.6 System Documentation, manuals and Testing

The successful bidder shall submit a software requirement specification document that shall contain the functionalities of the RBSS before commencing development.

The successful bidder shall be required to provide user manuals (technical and End user) to the SASRA as part of the initial training and on-going operational support. The Bidder should also describe their recommended approach to the following types of testing that are anticipated to be performed on the project and the type of assistance they anticipate providing to the SASRA related to such testing:

- i) System testing
- ii) Integration testing (in relation to the RBSS and EDMS modules)
- iii) Stress/performance testing
- iv) User acceptance testing (UAT)

5.7 Knowledge Transfer

The Bidder should describe their process for ensuring that a transfer of knowledge occurs back to the SASRA staff such that staff is capable of supporting and maintaining the application in the most proficient manner once the implementation engagement is complete.

5.8 On-going Support Services

In this section, the bidder is required to specify the nature and conditions of any post-implementation support options including:

- i) Post-go live support that is included in the proposal response
- ii) Onsite support (e.g. system tuning, application configuration, interface issues, report

- development, network optimization, user training and tips to optimize the user experience)
- iii) Telephone support, Help
- iv) Desk services (If there is a service level agreement for your help desk, please provide a copy with your response to the tender)
- v) Toll-free support line
- vi) Online knowledge base (i.e. – how it accesses, who updates it, etc.)

5.9 Software Key Personnel, Experience and Qualifications

The bidder shall be required propose suitable personnel plan capable of delivering the project within a period of one (1) year.

5.9.1 Core Development Team

The plan should include the activities and personnel timelines during the period. Bidder will be expected to propose personnel planned for use in the project with expertise in the following areas;

- I. RBSS and EDMS Core Setup and Installation
- II. RBSS and EDMS customization and testing
- III. RBSS and EDMS maintenance

For each of the above area the proposed persons shall be required, at minimum, to have a degree in Computer Science or equivalent. For each of the persons proposed provide references of an institution where they have deployed a solution of similar scope. The reference contacts (email and Phone no should be provided).

5.9.2 Project Manager/Team Leader

Implementing team proposed shall have a team leader whose main duty will be to ensure that implementation of the system adheres to planned schedules and budgets; The lead implementer shall have the following qualifications and experience;

- i) Bachelor's Degree in Computer Science or related field
- ii) Project management certification from a reputable certifying body
- iii) Over five (5) year experience in implementing the proposed RBSS and EDMS solution.
- iv) Proposed Project Manager must have a valid PMP or **Prince II** Certification

5.9.3 Developers

a) Systems Developer

Core Duty: Customization of the system to be aligned to SASRA's procedures and Work Flows for the three areas highlighted in the scope. The System Developer shall have the following qualifications and experience;

- i) Bachelor's Degree in Computer Science or related field
- ii) Experience of a minimum of 3 years and 3 related projects in related software Systems Development

b) Implementers

Core Duty: Requirement gathering, In-charge of all Training, Data Migration and

Deployment. The Implementers must have a good understanding of Procurement, Finance and Project Management processes.

The Implementers shall have the following qualifications and experience;

- i) Bachelor's Degree in Computer Science or related field
- ii) Experience of a minimum of 3 similar projects and 3 years in relevant software Implementation

c) **Hardware,**

OEM Certified Engineers for the proposed hardware. The technical staff shall have the following qualifications and experience;

- i) Bachelor's Degree in Computer Science or related field
- ii) Experience of a minimum of 3 similar projects and 3 years in related Hardware

5.10 License and Maintenance Agreements

A standard license and maintenance agreement must be provided in this part of the Bidder's response for all components of the recommended solution. Software licenses shall be perpetual and concurrent. The system shall provide for unlimited number of users and allow a total of **100 concurrent users for RBSS and EDMS** at any given moment in time. The bidder is required to give some notes on increasing the number of licenses as and when needed.

SECTION VIII: TECHNICAL SPECIFICATIONS

6.1 Project Overview

The SASRA now seeks a partner to supply, install, configure, test, commission , train and maintain an RBSS Integrated to an EDMS and ERP as well as to upgrade related hardware infrastructure at the current datacenter to be able to host the software environment. The scope of this procurement does not include procurement of an ERP, however the winning bidder will be required to integrate the RBSS to the ERP(Microsoft Navision/Dynamics)

SASRA seeks provision of a **Turnkey Solution** hence bidders are encouraged to form a consortium to deliver the envisaged solution. All partners of the consortium providing different aspects of the solution shall be held individually and joint liable to the delivery of the holistic solution.

6.2 Acronyms Used in These Technical Requirements

Table of organizational and technical acronyms used in the Requirements.

Term	Explanation
Ethernet	IEEE 802.3 Standard LAN protocol
EDMS	Electronic Document Management System
GB	Gigabyte
GUI	Graphical User Interface
HDD	Hard Disk Drive
Hz	Hertz (cycles per second)
IEEE	Institute of Electrical and Electronics Engineers
KB	Kilobyte
KES	Kenya Shillings
LAN	Local area network
MB	Megabyte
NIC	Network interface card
NOS	Network operating system
PC	Personal Computer
PDF	Portable Document Format
RAID	Redundant array of inexpensive disks
RAM	Random access memory
RBSS	Risk Based Supervision System
RISC	Reduced instruction-set computer
SAN	Storage Area Network
SATA	Serial Advanced Technology Attachment
SCSI	Small Computer System Interface
SNMP	Simple Network Management Protocol
SSD	Solid State Device
TB	Terabytes
TCP/IP	Transmission Control Protocol / Internet Protocol

USB	Universal Serial Board
V	Volt
VLAN	Virtual Local Area Network
VPN	Virtual Private Network
WAN	Wide Area Network

6.3 Requirements

The Requirements take into consideration the Risk Bases Supervision System(RBSS) needs and hardware required to host the envisage solution at the primary site and secondary site.

6.3.1 RBSS Requirements

The requirements have been categorized as follows:

FUNCTIONAL	
No.	System Requirements Specification Functional Area
1.	Technical
2.	Business Process Management
3.	Business Intelligence
4.	Performance Management
5.	Data Warehousing
6.	Extracting, Transforming and Loading(ETL)
7.	Licensing and Renewal
8.	Corporate Approvals
9.	Returns submission
10.	Returns Analysis and Inspection
11.	Complaints Handling
12.	Enforcement
13.	Registry

The requirements are structured within each category area as follows:

No.	This is a unique running number for each requirement for ease of reference in responses and clarifications sought by bidders as well as further downstream evaluation
Category	This is a general sub grouping of related requirements for ease of traceability e.g.
Subcategory	This is a general sub grouping of related requirements for ease of traceability e.g. within Technical Requirements you could have Security as a subset
Description	This is a succinct explanation with as much precision as possible of the requirement to enable adequate response by the bidder
Importance	<p>The importance assigned to the requirement.</p> <p>M-> MUST HAVE -> Describes a requirement that must be satisfied in the final solution for the solution to be considered acceptable.</p> <p>S-> SHOULD HAVE -> Represents a high-priority item that should be included in the solution if it is possible. This is a critical requirement but one that can be satisfied in other ways that are acceptable to the SASRA.</p> <p>C-> COULD HAVE -> Describes a requirement which is considered desirable but not critical. Availability of such would be added advantage to the bidder</p>
Vendor Compliance	<p>The bidder will populate this column. The options are as follows.</p> <p>FS - (Fully Supported) the solution fully supports the requirement without any modifications.</p> <p>PS - (Partially Supported) the solution supports the requirement with use of another system. A description of the third party system requirement needs to be provided under the vendor response.</p> <p>CS - (Customization Required) the solution supports the requirement with an enhancement or workflow workaround. A description of the enhancement/workflow needs to be provided under the vendor response.</p> <p>NS - (Not Supported) the solution is not capable of supporting the requirement and cannot be modified to accommodate the requirement.</p>
Vendor Response	This column is reserved for vendors to respond and describe in detail how their proposed solution meets the requirement. One- or two-word responses (e.g. –Yes, –No, –Will comply, etc.) will be considered insufficient to confirm responsiveness to respective requirement.

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
1.	Technical					
1.1.		Application/Syst em				
1.1.1.			Have 3- tier architecture – Client, Application Server/Web Server and a database server.	M		
1.1.2.			The vendor must demonstrate or prove the system’s ability to operate properly with large user data and transaction volumes. Users of the systems will be both internal(SASRA) and external DTS and Non DTS Saccos	M		
1.1.3.			Please indicate the system's high watermark for the number of concurrent users, data and transaction volumes.	M		
1.1.4.			Web enabled portal (through a variety of web browsers) for submission of returns by SACCOs. Use of various connectivity options 3G, GPRS, fibre broadband, accessible via desktop, mobile, tablet.	M		
1.1.5.			System is fully scalable (e.g. in terms of size, transaction volume, number of	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			concurrent users).			
1.1.6.			System is modular.	M		
1.1.7.			System supports tight integration with an Electronic Document Management System.	M		
1.1.8.			System allows ease of adding tables/fields for specific needs at RDBMS level.	M		
1.1.9.			System is available online 24 hours a day, 7 days a week with 99.9% uptime.	M		
1.1.10.			System supports integration to ERP and the Email server.	M		
1.2.		System capacity		M		
1.2.1.			Indicate your plan for licensing and concurrent users supporting internal SASRA staff and compliance officers.	M		
1.2.2.			End-users will involve both internal SASRA staff and Sacco compliance officer (which may grow with time). Describe how the software is licensed and manages concurrent users.			
1.3.		Remote access		M		
1.3.1.		Remote access	Allow authorized users to	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			access the system remotely – system administrators.			
1.4.		Client interface		M		
1.4.1.			Ability to support access from various web browsers such as Internet Explorer and Firefox.	M		
1.4.2.			Thin client interface via browser front end	M		
1.4.3.			Allow users to customize their own menus.	M		
1.4.4.			Provide online help.	M		
1.5.		Data export and import				
1.5.1.			Be ODBC compliant and support database replication for business continuity and disaster recovery	M		
1.5.2.			Update of database tables on a real time basis based on RDBMS as well as regular updating of the DR site.	M		
1.6.		Security				
1.6.1.			Use of alphanumeric password of maximum 8 characters, with predefined change of passwords frequency and no-reuse of passwords. Lockout of users after three failed login attempts	M		
1.6.2.			Integration to Active Directory to import users and	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			for user authentication			
1.6.3.			Definition of users based on their roles and definition of at least 2 levels of approvals for data entry	M		
1.6.4.			Definition of read, write, change or delete access rights and privileges	M		
1.6.5.			Middleware integration to ERP for exchange of information, accounting for fines, fees and levies as well as cash receipts	M		
1.6.6.			User access authorizations control; Group security profiles; access level (module, program, field, options, functions); User Authentication capabilities such as two factor authentication.	M		
1.6.7.			Handle security on integration with Saccos for data extraction- data in transit, digital signatures, encryption			
1.6.8.			System shall support provide support for HTTPS's/SSL for secured data transfer	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
1.6.9.			Provide detailed security measures to be taken on the interfaces between SASRA and the SACCOs..	M		
1.6.10.		User Management				
1.6.10.1.			Prevention of Duplication of User IDs	M		
1.6.10.2.			Automatic or procedural password expiration mechanism for all user accounts excluding the administrator accounts. System will not allow users to repeat previous number of passwords(parameter to define previous number of passwords).	M		
1.6.10.3.			Maximum expiration period shall be a parameter that will be set by the administrator	M		
1.6.10.4.			Repeated number of failed attempts to login shall be tracked and reported (e.g. audit log file).	M		
1.6.10.5.			Support secure login id and passwords for each user and passwords which shall be stored in encrypted format in database	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
1.7.		Audit trails				
1.7.1.			Monitoring, tracking, evaluating and reporting on users and groups and the log on their activities in the system	M		
1.7.2.			Built-in detailed audit trails track changes that is stored in a RDBMS that is separated from main system RDBMS.	M		
1.7.3.			Audit security is maintained via user rights that dictate who can alter historical instrument and transaction activity.	M		
1.7.4.			Produce visual displays of audit trail electronic record data.	M		
1.7.5.			Record changes to user access levels and privileges.	M		
1.7.6.			Record any events that create, modify or delete electronic records.	M		
1.7.7.	./		All audit trail entries must be computer generated with the Date, local time (hr,min,sec), operator name/id, terminal #, action (e.g. create,modify,delete) and reason for the action.	M		
1.7.8.			Keep all entries for original, modified and deleted records.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
1.8.		Parameters				
1.8.1.			Define all levies, penalties and other fees payable and all reasons for paying any levies, penalties and fees and integration to ERP for financial information exchange as per the regulations.	M		
1.9.		Communication				
1.9.1.			Integration to corporate email to enable communication with SACCO and the public	M		
1.9.2.			Enable initiation, viewing and participating in processes via a laptop or tablet.	M		
1.9.3.			Support different presentation of fields and rules for mobile and non-mobile process access	M		
1.10.		Workflows				
1.10.1.			Provide an integrated workflow management capability, including generation and routing of internal forms, reports, and other financial documents for on-line approval or subsequent processing	M		
1.11.			Reporting	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
1.11.1.			Provide robust reporting capabilities, which allow data access for reporting purposes without impacting day-to-day operations of the system.	M		
1.11.2.			Provide support for user modification of standard reports.	M		
1.11.3.			Provide support for ad hoc report creation and reporting.	M		
1.11.4.			Is the tool used to develop reports a proprietary tool?	M		
1.11.5.			Provide for authenticity and non-repudiation of the reports			
1.11.6.			Publish a report directly from the application environment in multiple formats (Excel, pdf, Word document)	M		
1.11.7.			Publish report output directly to document management system, e-mail, printer	M		
1.11.8.			The system should provide for authenticity and non-repudiation of the reports			
1.12.			Support			
1.12.1.			The vendor is able to provide 7x24 support within the one year warranty period	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
1.12.2.			Provide annual support for the software.	M		
1.12.3.			Provide helpdesk facility for logging support issues.	M		
1.12.4.			Vendor must maintain and offer adequate and current user, technical and training documentation for all systems modules and functions.	M		
1.13.			Upgrades	M		
1.13.1.			Provide scripts for automated upgrades between major releases. The system should be able to have regular updates.	M		
1.13.2.			Support fee should include free access to the newer version of your software	M		
1.13.3.			What percentage of your customer base is on the latest release of your software? The latest stable version is required. Indicate this clearly.	M		
2.	Business Process Management					
2.1.			Availability of frameworks include process maps and predefined templates that you can use to accelerate	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			your implementation of task management activities			
2.2.			Enable chief managers, managers and supervisors to monitor and reallocate work to individuals based on current workload	M		
2.3.			Enable flexibility to incorporate multiple types of processes (straight-through, ad-hoc, case-based) for all participants in the process	M		
2.4.			Enable creation of hierarchy with processes and sub-processes	M		
2.5.			Provision of a process execution engine	M		
2.6.			Functionality to enable external programs to be delegated to perform a task of a process	M		
2.7.			Functionality to enable users initiate and/or interact with work or tasks from a Microsoft Outlook or Office application environment instead of your application	M		
2.8.			Enable process delegation either manually or automatically	M		
2.9.			Enable notification of user assigned tasks or activities	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
2.10.			Enable dynamic changing of process instances	M		
2.11.			Enable versioning of process engine	M		
2.12.			Enable workload-balancing of tasks assigned to different users either automatically or manually	M		
2.13.			Enable synchronization of two or more processes into a single process	M		
2.14.			Ability to assemble "cases" or electronic folders and manage related tasks and goals without specific process steps	M		
2.15.			Enable structured and unstructured process management	M		
2.16.			Ability to set KPIs and define work priorities and balance work between users	M		
2.17.			Availability of analytics and monitoring capabilities that provide insight to management, status and forecasting to line supervisors, and a baseline for analysts to model the impact of process improvements	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
2.18.			Data visualization capabilities of your system and the types of reporting, graphs, and functionality provided	M		
2.19.			Functionality for managers, supervisors to view process data and modify that data	M		
2.20.			Functionality to allow a drill down facility from higher level view of business processes to low level details including tasks and employees	M		
2.21.			Integration with reporting and visualization tools	M		
3.	Business Intelligence					
3.1.			Clearly indicate the BI tool you propose to support the BI requirements	M		
3.2.			BI tool based on open standards that are interoperable and extensible through modern standard interfaces and protocols, including SOAP, XML and SQL.	M		
3.3.			Enable access to a mix of various data sources such as data warehouses, OLAP cubes, legacy and modern data source	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
3.4.			Providing functionality for open access to all data sources with an user friendly modeling environment for building access to data sources	M		
3.5.			Available of single query service that issues both SQL and MDX queries and returns consistent and predictable results to all BI requests	M		
3.6.			Support for the following data sources: data warehouses, OLAP, cubes, legacy systems	M		
3.7.			Availability of a direct access interface using a single query services	M		
3.8.			Availability of an interface to combine data from multiple sources whether current or historic into a single user friendly query on the fly without building a data mart or data warehouse	M		
3.9.			Availability of an ETL tool in the BI environment to build dimensional data marts or data warehouses	M		
3.10.			Availability of a ETL tool in the BI environment that automates the management of slowly	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			changing dimensions, late arriving facts, surrogate key management, balancing, flattening and recursive hierarchy support			
3.11.			Enable enhanced performance for complex heterogeneous data with optimized query generation with pattern intelligence, in-memory calculations and aggregate operations, security-aware cache facilities with 'in-memory' optimizations for hierarchies, members, facts, calculations and prompts.	M		
3.12.			Functionality to build OLAP cubes that can be accessed by the single query service	M		
3.13.			Functionality to cache data in virtual views to both speed response times for the user and offload hits on the operational sources	M		
3.14.			Capability to add new data sources quickly and easily, with data from the new source which are made immediately available to the query services	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
3.15.			Functionality to enable real time monitoring	M		
3.16.			Functionality for what-if scenario analysis which allows users to model and compare scenarios as well as validate planning assumptions	M		
3.17.			Functionality for a modeler that ensures users gain consistent access to their data by packaging relevant information for different user group for all BI capabilities.	M		
3.18.			Availability of a metadata modeler	M		
3.19.			Availability of a graphical utility that manages the modeling process	M		
3.20.			Functionality within the graphical modeler to provide tips to users based on proven practices	M		
3.21.			Provision for cross-functional business views that span heterogeneous data sources	M		
3.22.			Enable generation of business model that can be packaged and published as targeted views that is accessible consistently by reports, ad hoc queries, analysis requests	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			from the web, mobile devices or desktops by any user group or department.			
3.23.			Availability of modeling environment that enables models to be segmented during development and then combined together to create the enterprise model.	M		
3.24.			Availability of a user friendly interface for defining, governing and sharing dimensions, hierarchies and attributes in BI and Performance Management environments	M		
3.25.			Functionality to view lineage information of a data item by tracing the item metadata through reports or data sources.	M		
3.26.			Availability of consolidated system management features such as task-based system monitoring and proactive administration	M		
3.27.			Functionality to re-route services during peak time using the built-in load balancing	M		
3.28.			Functionality to scale up or scale out services to provide	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			predictable linear response to workloads			
3.29.			Functionality that enables task-oriented system monitoring by providing a consolidated view of all system activity, from scheduled and interactive report to servers and dispatchers with the ability to suspend activities	M		
3.30.			Enable setting up of metrics that can be monitored automatically by setting thresholds that trigger personal alerts enabling detection of issues early	M		
3.31.			Availability of a tool used to validating report content between two versions during upgrade of the BI environment	M		
3.32.			Ability to leverages existing enterprise security providers by linking to one or more security systems simultaneously	M		
3.33.			Support for LDAP and Microsoft Active Directory	M		
3.34.			Support for single sign-on	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
3.35.			Availability of a self service query analyzer the visualizes how query were generated and visually displays results flow, making it easier to maintain and troubleshoot.	M		
3.36.			BI tool based on a services oriented architecture	M		
3.37.			Support deployment to a single server, multi-server, cluster or grid	M		
3.38.			Ability to scale up or out to fit your optimal deployment approach	M		
3.39.			Support the location of BI peer-to-peer services anywhere on the network	M		
3.40.			Support deployment to Unix, Linux , Windows or a combination of these environments	M		
3.41.			Availability of an open API ensures full access to functionality by other applications or devices	M		
3.42.			Enable building services for different use such as one service for query and one service for presentation	M		
3.43.			Enable users to merge organisation reporting data with information in	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			spreadsheets, third party or departmental applications.			
3.44.			Functionality to explore large complex data sets using drag-and-drop techniques	M		
3.45.			Functionality to view and analyze graphic representations of data relationships and change displays easily to gain greater insight into trends, causes and effects.	M		
3.46.			Functionality to analyze and report on trends in organizational performance	M		
3.47.			Capability to merge MS Excel capabilities with BI data to avoid multiple versions of the truth, data entry errors and security issues	M		
3.48.			Integration to statistical tools such as SPSS	M		
3.49.			Functionality to build what if scenario projections	M		
3.50.			Enable generation of patterns and trends in structured numerical data to model outcomes	M		
3.51.			Functionality to distribute the results of predictive analysis to broad user communities	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
3.52.			Functionality to rapidly analyze and model planning requirements for entire organization and use them to anticipate the correct course of action for better outcomes	M		
3.53.			Functionality to develop scenarios on-the-fly and share them with others for greater collaboration	M		
3.54.			Enable real-time view of up-to-the-second relevant information for ad-hoc analysis and problem identification	M		
3.55.			Functionality to set up alerts and send to users	M		
3.56.			Functionality to collaborate with other users to develop timely updates of constantly changing information.	M		
3.57.			Enable users to create personalized hierarchies and dimensions.	M		
3.58.			Functionality to drill down, sort, link and chart data	M		
3.59.			Integrates analysis with office and productivity applications	M		
3.60.			Enable users to interact with reports while not connected to BI infrastructure	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
3.61.			Enable access of BI environment from mobile devices	M		
3.62.			Functionality to publish and share files to secure BI portal	M		
3.63.			Availability of wizard-driven statistical analysis in reports	M		
3.64.			Functionality to support organisation workflow by assigning owners and approval processes for specific actions	M		
3.65.			Functionality to create reports containing any number of report objects such as charts, cross tabs and lists, as well as non-BI components such as images, logos and live embedded applications that can be linked to the information	M		
3.66.			Enable users to modify and arrange reports by adding colors and text , add comments and personalize widgets	M		
3.67.			Enable users to create and save notes on reports that other users can then reference, making it much easier for users to share information and capture	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			valuable insights			
3.68.			Enable importing and refreshing BI content in MS Office and other office automation tools	M		
4.	Performance Management					
4.1.			Enable generation of dashboards and scorecards to monitor performance based on real time data	M		
4.2.			Enable users to setup operational KPIs and measures to support your organization's operational KPI monitoring agenda	M		
4.3.			Enable real-time monitoring of time sensitive KPIs and measures, analysis and exception management through proactive alerting	M		
4.4.			Functionality for drill down to enable users can quickly determine the underlying issues	M		
4.5.			Enable users to setup watch points, collaborate and alert all parties to sudden issues to address, and manage exceptions based on business rules	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
4.6.			Provision of a workbench that provides a central place for administrators to set up data sources and analytic models to present current information, historical data, or aggregated views.	M		
4.7.			Functionality to enable user, group and role based access to monitoring objects such as events, cubes, views, dimensions, rules, alerts or dashboards	M		
4.8.			Functionality to create metrics, process diagrams and scorecards	M		
4.9.			Availability of intuitive wizards guide you through the metrics and scorecard design process	M		
4.10.			Functionality to enable users to group metrics and scorecards: by status, owner, sector and indicator.	M		
4.11.			Enable automatic notification when the status of a key metric changes	M		
4.12.			Enable linking performance metrics to owners	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
4.13.			Functionality to embed initiative tracking and collaboration capabilities to help improve performance by managing the actions undertaken when a metric turns red or trends downward	M		
4.14.			Functionality to access current actual data to assess fiscal performance, and proceed from what-is to evaluate the what-if scenarios critical to forecasting future performance	M		
4.15.			Enable users to devise, compare and assess alternative data scenarios, conditions, cases, and assumptions	M		
4.16.			Functionality to evaluate models and test assumptions	M		
4.17.			Enable comparison of planned activities with current and historical actuals and with external benchmarks to quickly establish activities viability and consistency	M		
4.18.			Availability of enhanced features such as hierarchy	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			support, sorting and hiding, freeze panes, user tab management, calendar selector, zoom, and word wrap to manage the planning process			
4.19.			Enable users to save their plans to return to later or submit it for review	M		
4.20.			Enable collaboration based on hierarchy or workflow status, enabling quick easy communication	M		
4.21.			Enable monitoring of the planning process	M		
4.22.			Functionality to aggregate updates to plans and results and lets you see the impact of new forecasts and plan contributions	M		
4.23.			Functionality for pre-defined selection options ensure that users see only those templates or portions of templates based on user profiles	M		
5.	Data Warehouse					
5.1.			Enforcement of data type consistency across all datasets.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
5.2.			Functionality to publish a compendium describing all data located in the DW.	M		
5.3.			Allowing real time queries to locate data and data sets within the DW.	M		
5.4.			Allowing discrete permissions related to data sets that include no access, read only, update, insert, and delete.	M		
5.5.			Storing confidential data fields in an encrypted format.	M		
5.6.			Ability to handle concurrent users making requests to the DW	M		
5.7.			Response time for a straight table query of less than 1.5 seconds.	M		
5.8.			Establishment of unlimited number of Data Marts; data to be divided based on source of origin.	M		
5.9.			Development of a set of elemental data types to be used as building blocks for all other data sets and data type definitions.	M		
5.10.			Replicate current data mapping and transformation functionality into the development/tool language	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			of the DW.			
5.11.			Establishment of a data generation schedule and frequency for all data sets.	M		
5.12.			Provision of multiple Business Intelligence capabilities including interface with MS Excel	M		
5.13.			Provision of multiple Business Intelligence capabilities including OLAP Tools	M		
5.14.			Compatible with leading statistical, econometric and forecasting software packages.	M		
5.15.			Support querying of data across multiple user selected dimensions	M		
5.16.			Support definition of metadata structures that define the general structures of the data held within the DW.	M		
5.17.			DW must be based on an Enterprise RDBMS (Relational Database Management Systems).	M		
5.18.			RDBMS must be user friendly with a Graphical User Interface (GUI).	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
5.19.			The RDBMS must be capable of handling large volumes of diverse information without affecting its performance, reliability and security.	M		
5.20.			RDBMS must support all advanced database models like object-oriented database in addition to relevant database models like relational, object-relational	M		
5.21.			RDBMS must support Structured Query Language (SQL) both for data management and system management purposes.	M		
5.22.			RDBMS must support physical independence, logical independence and distribution independence of data.	M		
5.23.			The system must provide a dynamic online catalogue available to the RDBMS that represents the database description at the logical level in the same manner as ordinary data.	M		
5.24.			RDBMS must be capable of operating efficiently in a client server environment providing optimal	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			performance, flexibility, scalability and interoperability.			
5.25.			RDBMS must be capable of flexible data retrieval according to user needs that facilitates visual presentation.	M		
5.26.			RDBMS must be capable of on-line analytical processing (OLAP) service and management of associated Data Warehouse.	M		
5.27.			RDBMS must have its own application development tools and must seamlessly support other application development tools like Visual Basic, Java, etc.	M		
5.28.			The RDBMS must use industry standard language for operating RDBMSs, access to data, user interfaces and network protocols.	M		
5.29.			The RDBMS must provide simultaneous access support in a multi-user database environment with the capability of executing various applications using the same data.	M		
5.30.			The RDBMS must provide data integrity and protection	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			against unauthorized access and fraudulent attempts.			
5.31.			The RDBMS must provide roll-back and restore facilities to protect the database from RDBMS and disk malfunction.	M		
5.32.			The RDBMS must provide data archiving capabilities.	M		
5.33.			The RDBMS must comply with ISO standards.	M		
5.34.			The RDBMS development and maintenance services must be ISO certified.	M		
5.35.			RDBMS support dynamic in-memory columnar processing with dynamic movement of unused data to storage	M		
5.36.			RDBMS with actionable compression to preserve order so that the data can be used without decompression	M		
5.37.			Enable data skipping to bypass unnecessary processing of irrelevant data	M		
5.38.			RDBMS with combination of in-memory, columnar and compression technologies	M		
5.39.			RDBMS functionality that ensures that transactional workloads including online transactions, queries and other tasks continue	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			uninterrupted in the case of planned or unforeseen downtime			
5.40.			RDBMS supports in-memory hybrid column-organized table technology that offers a significant speed advantage for analytical queries that must scan through large sets of data.	M		
5.41.			Functionality with RDBMS to reduce storage needs and increase performance using multiple techniques, including table and index compression with page-level compression	M		
5.42.			Functionality within RDBMS to load data continuously from multiple sources throughout the organization to support faster decision making.	M		
5.43.			Enable massive parallel processing by transparently splitting the database across multiple partitions and using the power of multiple servers to satisfy requests for large amounts of information	M		
5.44.			Enable fine-grain resource allocation, monitoring and	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			management of workloads based on service classes, workload characteristics, elapsed time, time of day and more			
5.45.			Enable replication of large volumes of data at very low levels of latency.	M		
5.46.			Enable automated storage tiering and the ability to transfer data in real time between different types of drives	M		
5.47.			Enable improve the performance of complex queries with the pre-computed results of the whole or parts of queries in Materialized query tables (MQTs)	M		
5.48.			Support for dynamic extension of the data being stored in the DW	M		
5.49.			Data set attributes include data fields defined from the metadata definitions for various data types.	M		
5.50.			Every data set must have versioning control. Full audit controls should track who changed data and when.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
5.51.			Sensitive and confidential data fields must be stored in an encrypted form on the database. The confidentiality / sensitivity of a given data field should be clearly defined in the metadata definitions.	M		
5.52.			The data warehouse must have a catalog of all data sets stored within the DW.	M		
6.	EXTRACT, TRANSFORMATION AND LOADING(ETL)					
6.1.			Functionality to allow authorized end users to define and modify their ETL processes that take source data sets for subsequent distribution.	M		
6.2.			Functionality to support versioning between the current ETL and a revised proposed future ETL, which can be run to create a prospective data set for comparison with the existing data set.	M		
6.3.			Inclusion of an embedded ETL development language/environment. All data transformations must be stored within the Data Warehouse environment via	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			its ETL development environment			
6.4.			Enable connectivity to databases and enterprise applications spread across distributed systems	M		
6.5.			Enable use of a common metadata repository for seamless integration with data profiling and data quality capabilities	M		
6.6.			Provision of an easy-to-use, top-down, work-as-you-think GUI design interface	M		
6.7.			Provision of a comprehensive library of transformation components for easily defining common integration processes	M		
6.8.			Availability of tool sets to administer, deploy and update the data flows throughout the data integration life cycle	M		
6.9.			Support a Service Oriented Architecture (SOA) approach, facilitating reuse of complex integration data flows	M		
6.10.			Enable dynamic parallel processing infrastructure that enables users to design once and deploy as needed at run	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			time without changing any integration jobs			
6.11.			Functionality for real-time data feeds to optimize extract, transform, load (ETL) processes	M		
6.12.			Support different sources, targets and applications such as text files, XML data structures, enterprise systems, databases, web services, analytic tools	M		
6.13.			Support connectivity to a virtually unlimited array of heterogeneous data sources, targets and applications, within a single job	M		
6.14.			Availability of a designer to enable combination of data quality and data transformation capabilities to help ensure that the right data is brought together at the right time	M		
6.15.			Provision of a unified metadata repository	M		
6.16.			Availability of a robust graphical palette to assist developers diagram data flow through their environments with simple, GUI-driven, drag-and-drop design	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			components			
6.17.			Availability of prebuilt components and transformations tools	M		
6.18.			Debugging capabilities and an open application programming interface (API) for leveraging external code	M		
6.19.			Enable jobs and metadata created in one container to be shared and reused by other jobs	M		
6.20.			Functionality for quick find and advanced find capabilities make it easy to locate objects for reuse across different projects	M		
6.21.			Enable splitting the largest integration jobs into subsets (partition parallelism) and flowing these subsets concurrently	M		
6.22.			Functionality to clean data	M		
6.23.			Functionality to performing character-level analysis to uncover anomalous and buried data prior to transforming it for database loading or transaction processing	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
6.24.			Availability of powerful matching capabilities to detect duplication and relationships in the data, despite anomalous, inconsistent or missing data values	M		
6.25.			Easy-to-use, integrated and intuitive point-and-click user interface for specifying automated data quality processes: data investigation, standardization, matching and survivorship	M		
6.26.			Availability of enhanced match designer tool that enables easier setup and greater flexibility	M		
6.27.			Enable standardization and match reporting to gain greater insight into your data quality process and improve the quality of deployments	M		
6.28.			Support of SOA for creation of data quality services for real-time deployment	M		
6.29.			Enable accurate matching based on probabilistic matching technology and a full spectrum of fuzzy matching capabilities that are easy to set up and maintain	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
6.30.			Enable scientific justification of matching, plus easy auditing and validation	M		
6.31.			Full integration capabilities including shared metadata, data monitoring, profiling and transformation	M		
7.	Licensing and Renewal					
7.1.		General				
7.1.1.			Enable online submission of applications via a portal for approval by SASRA. The system will have both new licensing application and license renewal applications	M		
7.1.2.			The online platform should enable input of application details such as name of SACCO, address, directors, shareholding details and other fields in the format required by the regulations.	M		
7.1.3.			The system should generate a response to the applicant indicating that SASRA has received the application	M		
7.1.4.			Where the license application of a SACCO has not been approved, the system should generate a letter to that effect	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			providing reasons for rejection			
7.1.5.			The system should generate references for all correspondences between SASRA and SACCOs	M		
7.1.6.			Capability to hold license application, audited accounts, memorandum and articles of association in electronic form. The license issued should also be held in pdf format.	M		
7.1.7.			The system should allow attachment of evidence of payment of the registration fees.	M		
7.1.8.			Enable scheduling of inspection visits to applicants to confirm details in application and linking relevant documents to scheduled visits	M		
7.1.9.			Ability to generate the licenses from the system with SASRA logo and electronic signatures where applicable and possible	M		
7.1.10.			A snapshot of the license approval process with expected date of completion subject to availability of all required documents and	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			information			
7.1.11.			Online and email reminders to SACCOs on dates of submissions of license applications	M		
7.1.12.			Facility for applicants to attached relevant documents to their application	M		
7.1.13.			Ability to support review of the license application before submission	M		
7.1.14.			Ability to support amendment of submitted application providing an audit trail of previous submissions	M		
7.1.15.			Ability to submit an application for license renewals	M		
7.1.16.			The system should provide notifications and reminders of the renewal deadlines	M		
7.1.17.			The system should hold all SACCO's details on a portal to enable ease of license renewal application	M		
7.1.18.			The system should allow provision of conditional licenses based on the set criteria and business rules	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
7.2.		Reporting		M		
7.2.1.			List of SACCOs approved or denied	M		
7.2.2.			Report on SACCOs that are at different stages of the registration process	M		
7.2.3.			Report on SACCOs whose application for registration was not approved showing the reason why it was not approved	M		
7.2.4.			A report defined by a user on the number of SACCO license applications received and the progress of granting the licenses.	M		
7.2.5.			Maintain a register of all SACCOs with details such as dates of license approvals. Directors who satisfy the fit and proper criteria. The system should also maintain individual Sacco profiles.	M		
7.2.6.			Support business intelligence/online analytical processing (BI/OLAP) for event analysis with different levels of access to reports.	M		
8.	Corporate Approvals					

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
8.1.		General				
8.1.1.			The system should allow SACCOs to send approval applications via the portal	M		
8.1.2.			Capability to support online submission of the requests for product, branch, satellites, audited accounts and other such approval request e.g agency business	M		
8.1.3.			The system should allow upload of relevant documents for the approval application	M		
8.1.4.			The system should be able to assess the completeness of the application against the checklist and should not allow submission if all the requirements have not been met.	M		
8.1.5.			Feedback on status of application should be provided through the portal	M		
8.1.6.			The system should track all approval applications and notify on due dates during the process.	M		
8.2.		Reporting				
8.2.1.			List of all approvals pending per SACCO, per due dates	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
9.	Returns submission					
9.1.		General				
9.1.1.			Enable uploading returns periodically(monthly, quarterly, yearly)	M		
9.1.2.			Enable pushing of returns data to SASRA via web service	M		
9.1.3.			The portal should allow SACCOs to review the reports before submission	M		
9.1.4.			The system should be capable of receiving online returns from the Sacco, analyzing the same and generating a compliance report.	M		
9.1.5.			The system should not allow for the uploading of inaccurate data from the SACCO. The system should carry out validation of the data before accepting the returns. Validation is per the business rules.	M		
9.1.6.			Once submitted, the system should allow SACCOs to amend reports, while maintaining previous submissions.	M		
9.1.7.			The system should provide feedback to the SACCO once	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			they have uploaded their reports.			
9.1.8.			Upon approval, the system should provide a rating report as per the defined parameters.	M		
9.1.9.			The system should have the ability to capture the following details from the review of SACCOs:	M		
			1. Update the names and addresses of the directors	M		
			2. Should capture the assets/liabilities amounts of the SACCO as outlined in the risk based supervision framework	M		
			3. Ability to upload scanned financial statements that have been signed by the auditor and link them to the SACCO record for reference	M		
9.1.10.			The system should provide alerts to SASRA if the information in the report changes	M		
9.1.11.			Data captured by SACCOs through the online portal will be verified and approved	M		
9.1.12.			Enable capturing of penalties based on violations of rules such as late submissions	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE	VENDOR COMPLIANCE	VENDOR RESPONSE
				Key 1 = C 2 = S 3 = M	Key 0= NS 1 = PS 2 = CS 3 = FS	
9.1.13.			The system should enable tracking of non-compliance cases	M		
9.1.14.			The system should enable tracking of exceptional cases	M		
10.	Returns Analysis and inspection					
10.1.		General				
10.1.1.			The system should provide initial assessment/analysis ratings on the SACCO's returns submissions.	M		
10.1.2.			Allow SASRA financial analysts to develop analysis tools and reports in form of graphs, comparisons of prior and current years.	M		
10.1.3.			System should generate a comparative CAELS report, both trend and sectoral, complete with the level of compliance/ risk profile.	M		
10.1.4.			System should allow analysis of each SACCO by the compliance officers. It should also allow comments by the compliance officers as part of the analysis.	M		
10.2.		Risk Assessment				

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
10.2.1.			Assignment of risks categories and weights. These risks are classified as per SASRA risk based supervision framework	M		
10.2.2.			Carrying out risk scoring based on defined CAEL criteria to determine risk scores of each SACCO	M		
10.2.3.			Classification of risks into categories and appropriate action linked to the actual risk categories after supervision activities (on site and or off site information analysis). Need to trigger inspection visits based on risk score and appropriate access rights and privileges.	M		
10.2.4.			Reporting on risk scores to be in form of dash boards, with summaries and capability for drill down. Use of traffic light system – green, red, amber.	M		
10.2.5.			Report by exception for SACCOs not making progress on the returns analysis reports or those whose onsite supervision is long overdue.	M		
10.2.6.			Enable development of schedules for onsite supervision and notifying the	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			SACCOs in good time.			
10.3.		Inspections				
10.3.1.			The system should provide an inbuilt workflow modeled on business processes	M		
10.3.2.			Enable creation of inspection schedules(monthly, quarterly and yearly) and approval of schedule online.	M		
10.3.3.			Track inspection based on approved schedule and enable linking of inspections to all relevant documents	M		
10.3.4.			Capture of notes of action points which are tied to deadlines and timelines from inspection visits. Access to such information by SASRA staff.	M		
10.3.5.			Review of all previous inspection actions prior to an inspection visit. Online access to such information.	M		
10.3.6.			Auto generation of reference numbers for documents, action and reports on supervision visits.	M		
10.3.7.			System should provide a window to indicate remedial action to be taken by the	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			SACCO and the timelines for the action.			
11.	Complaints Handling					
11.1.		General		M		
11.1.1.			Aggregate all complaints received, their nature, SACCO concerned and any enforcement action taken .	M		
11.1.2.			Provide an online portal for submission of complaints including anonymous submissions	M		
11.1.3.			The portal should capture details such as name of complainant, type of complaint and complaint details	M		
11.1.4.			Notification should be provided to the complainant as soon as a complaint has been submitted	M		
11.1.5.			Track response from SACCO concerned and flag if response is not received within a certain time which is pre-defined in the system.	M		
11.1.6.			System should generate reminders and notifications to follow up on the complaints matters that need	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			feedback from SACCOs			
11.1.7.			Availability of key performance indicators and alerts at both the case instance and aggregate level?	M		
11.1.8.			Does the product support aggregate-level (trend) alerts (across cases)? Are predictive analytics available, such that they might modify the way in which cases operate?	M		
11.1.9.			System should provide escalation mechanisms for the relevant unit affected by the complaint.	M		
11.2.		Reports				
11.2.1.			Enable generation of report per Commission on Administrative Justice Quarterly Complaints Reporting Template	M		
11.2.2.			Availability of standard reports based on processes that display data from simulation as graphics, gauges	M		
11.2.3.			List of all complaints by type and other criteria	M		
11.2.4.			Generate overall complaint report done monthly	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
12.	Enforcement			M		
12.1.		General				
12.1.1.			Enable tracking of enforcement brief from inspections, supervision reports or market intelligence .	M		
12.1.2.			Enable creation of a case folder based on enforcement briefs and tracking of related activities linked to case folder	M		
12.1.3.			Enable assigning of user rights to case folders	M		
12.1.4.			Enable linking of case folders with other related case folders	M		
12.1.5.			Enable assigning of status to case folder: open, active, pending, closed	M		
12.1.6.			Enable multiple enforcement officers to work on a case folder at the same time	M		
12.1.7.			Functionality for assigning tasks and modeling workflow based on business processes	M		
12.2.		Case Management				
12.2.1.			The system should provide the ability to define types of enforcement cases			

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
12.2.2.			The system should provide the ability to define types of enforcement actions and link them to the types of cases			
12.2.3.			The system should provide the ability to define types of penalties and link the to the types of enforcement actions			
12.2.4.			Functionality to link information to an enforcement case			
12.2.5.			Ability to create a enforcement case and generate a unique enforcement case number. The enforcement case should have a date, SACCO, the type of case, the type of offense and all the details of possible enforcement actions should be populated on the case			
12.2.6.			Ability to capture activities related to a enforcement case and update the case status including linking to enforcement action			
12.2.7.			The system should have the ability to display the penalties to be paid by a SACCO , link to ERP for payment of penalties and charges and update of the status of the case			

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
12.2.8.			The system should have the ability to close a case once concluded/or penalties paid			
12.3.		Task Management				
12.3.1.		Enforcement	Task management features that include deadline management, alerts, combined case view, multi-calendar support, and milestone support	M		
12.3.2.			Enable work prioritization	M		
12.3.3.			Enable SACCO self-service based on request to provide certain data	M		
12.3.4.			Enable escalation of tasks and cases based on certain configurable factors such as timelines, state of the case, and at different levels (by task, process, or case)	M		
12.3.5.			Enable to temporarily suspend a case , process or task based on user rights	M		
12.3.6.			Enable modeling of case events based on business processes graphically including external processes which may be content or document based	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
12.3.7.			Enable synchronization of tasks assigned to officer i.e on completion of a task the next task on the case folder is made available	M		
12.3.8.			Enable assigning tasks on a case folder to various officers and routing of tasks(split and joined) based on predefined business processes or ad hoc business processes	M		
12.3.9.			Enable configuration of a set of task that can be assigned to a case folder	M		
12.3.10.			Case folders should enable link of tasks, data, documents, discussion threads, audit history link to a case folder based on enforcement brief	M		
12.3.11.			Ability for the enforcement teams to Receive prompts when documents are available on the system for review	M		
13.	Registry					
13.1.		Systems Architecture				
13.1.1.			The Document management system should adopt a J2EE based approach so that the solution is portable to other	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			platforms.			
13.1.2.			The system shall support Multi-tier architecture with each tier fully independent.	M		
13.1.3.			The system shall support Scalable architecture to support clustering at each layer i.e. Web server, Application server and Database for Fault Tolerance & Load Balancing. The system would be deployed in clustered environment on 2 servers, clearly mention the add-on product cost for deploying on clustered environment.	M		
13.1.4.			The system shall support separate Document server for better management of documents	M		
13.1.5.			The system shall support distributed Document Repositories for document upload and access at local level, which can be replicated with central repository at scheduled intervals.	M		
13.1.6.			The system shall support Multiple platforms specifically (Windows, Linux	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			and Sun Solaris). Reference sites shall be available on all the platforms.			
13.1.7.			The system shall support multiple databases i.e. Oracle and SQL. Reference sites shall be available on both.	M		
13.1.8.			The system shall provide XML based API toolkit for system integration and application development.	M		
13.1.9.			The system shall provide Image processing libraries that support image enhancements, and other imaging features like compression and extraction.	M		
13.1.10.			The system shall be able to handle Terabytes of data with search time less than 4 seconds.	M		
13.1.11.			The system shall have an ability to handle millions of images. (The bidder must specify one reference site having more than 10 million images in DMS).	M		
13.1.12.			The system shall support unlimited storage capacity by automatic / manual creation of Volume disks of predefined sizes and disk labeling.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.1.13.			The system shall be Unicode compliant for supporting different languages and shall also provide localization kits for localizing the User Interface in particular language.	M		
13.1.14.			The system shall provide Modeler facility to customize the document management interface as per the specific functional requirement For example custom screen for filing the documents. The modeler interface must be the integrated part of Document management system using which administrators can define the custom User interfaces without any programming efforts and provide selected document management functionalities in the same. The Modeler interface shall provide User interface for selecting particular functionalities that needs to be provided in the Custom screens .	M		
13.2.		Document Scanning Features				

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.2.1.			The system shall provide facility of Bulk scanning of documents and shall support Client-Server architecture for Scanning solution, so that scanned documents can be temporarily archived before uploading to the central server.	M		
13.2.2.			The system shall support Quick scanning and indexing of bulk documents. The stages of scanning, quality check and Indexing shall be preferably mapped as stages in scanning solution.	M		
13.2.3.			The system shall support Automatic categorization of scanned images as different documents that include directors details, audited accounts, company official documents among others.	M		
13.2.4.			The system shall Support automatic indexing from specified zones like Application ID using OCR functionality.	M		
13.2.5.			The system shall provide Easy to use GUI for setting the scanning properties like indexing parameters,	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			document and folder nomenclature, zones for data extraction.			
13.2.6.			The system shall provide facility to upload scanned batches from different field offices with Auto folder/Subfolder creation document filing & indexing on user-defined fields on Central Document Management system.	M		
13.2.7.			The system shall provide Compression of scanned image files in TIF Format.	M		
13.2.8.			The system shall Support all the special image enhancement functionality offered by the scanner through the driver interface.	M		
13.2.9.			The system shall also provide Web based scanning facility for ad-hoc scanning, where document load is not very high.	M		
13.3.		Document Acquisition Features				
13.3.1.			The system shall support Bulk Import of image and electronic documents and automatic indexing of	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			documents on the basis of Offline data.			
13.3.2.			The system shall support Integration with Mail server for direct Uploading of Emails for corresponding users and indexing on user defined parameters.	M		
13.4.		Physical Records Management				
13.4.1.			The system shall support facility to generate paper profiles for tracking of physical documents, which are not scanned and shall provide detailed reports. These include location, row number , level number, file name, file number. The system shall further support bar coding as a further means of document archrival, retrieval and storage.	M		
13.4.2.			System should allow to search for physical files and requisition for the physical file	M		
13.4.3.			Enable registry staff to view requisition of physical files from users and to issue requisitioned files within the	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			registry			
13.4.4.			Enable movement of physical files from one user to another user or from location to location	M		
13.4.5.			Enable registry staff to receive issued physical files from users and to putaway physical file to location within the registry	M		
13.4.6.			The system must be able to register physical records by assigning them unique identifiers that will remain with the records as long as the records exist.	M		
13.4.7.			The system must be able to link contextual information (i.e. a metadata profile) to the physical records.	M		
13.4.8.			The system must assign the appropriate retention and disposition rule to the physical record	M		
13.4.9.			The system must assign a security classification code to the physical record.	M		
13.5.		Tracking				
13.5.1.			The system must track the current location and custody	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			of physical records, including checked-out records or copies of records.			
13.5.2.			The system must maintain secured audit logs on the access and use of physical records.	M		
13.5.3.			The system must establish version control and differentiate original records from drafts and copies.	M		
13.5.4.			The system must document retention information and disposition events in the physical record's metadata profile.	M		
13.5.5.			Archival of electronic documents	M		
13.5.6.			The system shall support all commonly used file formats as MSOffice, Acrobat, TIF, JPEG, GIF, BMP and scanned documents.	M		
13.5.7.			The subsystem 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	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			Information.			
13.5.8.			The shall support categorization of documents in folders-subfolders just like windows interface. Please specify any limit on number of folders and sub-folders.	M		
13.5.9.			The system shall provide facility to link cross-related documents like Application form and Field report, Grievance and reply sent.	M		
13.5.10.			The system shall provide search facility to in the same interface, so that users are able to search the documents to be linked .	M		
13.5.11.			The system shall support versioning of documents with facility to write version comments.	M		
13.5.12.			The system shall allow Locking of documents for editing and importing it back into the system through check-in/Check-out features.	M		
13.6.		Document View				
13.6.1.			The Document management system shall support Applet for viewing Image	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			documents- Please specify if third party applets are used and the licensing terms together with cost implication.			
13.6.2.			The Document management system shall support for viewing documents in native application.	M		
13.6.3.			The system shall provide facility of putting text, graphic and image annotations on document pages.	M		
13.6.4.			The Image applet shall support comprehensive annotation features like highlighting, marking text, underlining putting sticky notes on documents, and support for text and image stamps.	M		
13.6.5.			The system shall support automatic stamping of annotations with user name, date and time of putting annotations.	M		
13.6.6.			The system shall provide facility of Grouping of Annotations (with access rights) advert to a particular image/document.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.6.7.			The system shall provide facility for securing annotations for selective users.	M		
13.6.8.			The system shall provide facility for users to enter the remarks / comments / message and secure notes on the documents as per the requirements. The secured notes shall only be visible to users that have been provided the rights to view the secured notes.	M		
13.6.9.			The system shall provide facility to configure bitmap stamps at corporate level, so that it is available to all users.	M		
13.6.10.			The system shall facilitate zoom-in/zoom-out, zoom percentage and Zoom lens to zoom in on a part of image and other image operations like Invert and rotate.	M		
13.6.11.			The system shall store annotations as separate file and at no time, the original image shall be changed. The system shall provide facility of taking print outs with or without annotations.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.6.12.			The system shall support for Thumbnails on image documents.	M		
13.7.		Whitehall Filing				
13.7.1.			The Document Management system shall replicate the Present file handling in the same manner as followed i.e. Electronic files shall give the same look and feel of Physical file.	M		
13.7.2.			The system shall provide facility to view all letters/documents at the right hand side (RHS) of the folder with note-sheet on left hand side.	M		
13.7.3.			The system shall support browsing through the noting on the LHS to facilitate easy identification of any filed document.	M		
13.7.4.			The system shall provide facility to users to append their notes, which shall be automatically stamped with user name, date and time.	M		
13.7.5.			The system shall provide facility to users to link the notes to any document, file and previous notes, so that	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			corresponding objects can be directly opened from the note view.			
13.7.6.			The system shall provide security on notes so that Noting/comments once written, signed and forwarded shall not be amendable by any user including originator, however if a new note has not been written, the user shall be able to modify the latest note, which he is writing.	M		
13.7.7.			The system shall provide a facility to add new documents in the file by calling native application like Word, Excel etc. from the same interface.	M		
13.7.8.			The system shall provide facility to Users to sign the notes, using the light pen interface. The system shall open a interface to sign each noting, which shall be shown just below the note.	M		
13.8.		Indexing				
13.8.1.			The Document Management system shall provide facility to index folders and documents on user-defined	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			indexes like Application Form can be indexed upon stakeholder name, number and type.			
13.8.2.			The system shall provide facility to set particular fields as mandatory or unique.	M		
13.8.3.			The system shall facilitate manual and automatic indexing using OCR functionality or from other applications.	M		
13.8.4.			The System shall support Automatic frill text indexing for Text search.	M		
13.9.		Search and Retrieval				
13.9.1.			The Document Management system shall provide extensive search facility to retrieve documents or Folders.	M		
13.9.2.			The system shall support saving of search queries and search results.	M		
13.9.3.			The system shall support combined search on Profile, Indexed and Full Text Search.	M		
13.9.4.			The system shall support search for documents or folders on document or folder on profile information such as	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			name, created, modified or accessed times, keywords and owner.			
13.9.5.			The system shall support search for documents/Folders using user-defined indexes and document classes' i.e. on Customer name, Customer number.	M		
13.9.6.			The system shall support Full Text Search on image and electronic documents.	M		
13.9.7.			The system shall support advanced search using Boolean and logical operators like and, or, greater than etc. for example searching application form on the basis of customer type and city.	M		
13.9.8.			The system shall support facility to import from and export results in excel format.	M		
13.10.		Inbuilt Workflow Solution				
13.10.1.			The system shall support authorized users to forward the files/documents for approval in a pre-defined or flexible route. Different users in the route would be able to	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			access the work items from their Inbox, process it and forward it or revert it for further processing. The system shall support at least following features:			
13.10.2.			The system shall allow for generation and dissemination of communication through memos with facilities for attachment of documents accompanying the memos and track all comments that relate all memos and their respective attachment.	M		
13.10.3.			The system shall digitize incoming mail and then route it appropriately.	M		
13.10.4.			The system shall support Collaborative working on documents in a secure environment through Workflow instances.	M		
13.10.5.			The system shall support routing of Workflow instances to users' inboxes for their action.	M		
13.10.6.			The system shall provide clear distinction between read and unread and high priority work items.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.10.7.			The system shall provide Facility to see complete track sheet and note sheet.	M		
13.10.8.			The system shall give an option to refer items/files to other users for reference even if that user is not the part of the workflow route.	M		
13.10.9.			The system shall provide option for either the last user of the workflow to complete the workflow or every user of the workflow do the same depending upon the workflow definition.	M		
13.10.10.			The system shall support Facility to Divert work items to other users for delegating or substituting, whenever user goes on leave.	M		
13.10.11.			The system shall support Time-based and event-based reminders and automatic escalations to concerned user after a specified interval of time.	M		
13.10.12.			The system shall provide Facility to Assign tasks and set deadlines for each user in workflow.	M		
13.10.13.			The system shall provide option to for user to request	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			for change of deadlines.			
13.10.14.			The system shall support Dynamic rights allocation on objects after receiving the work item. The rights should be enabled / disabled automatically as the letter is routed in the defined path.	M		
13.10.15.			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.	M		
13.11.		Security				
13.11.1.			The Document management system shall support definition of Users, Groups and Roles relation in the system.	M		
13.11.2.			The system shall support access permissions on Folders, documents and object level.	M		
13.11.3.			The system shall support multiple levels of access	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			rights (Delete/ Edit/ View/ Print/ Copy or Download).			
13.11.4.			The system shall support system privileges like Create/Delete Users, Define indexes.	M		
13.11.5.			The system shall support secure login id and passwords for each user and passwords shall be stored in encrypted format in database.	M		
13.11.6.			The system shall support extensive password validations like passwords must be of minimum 8 characters, shall be alphanumeric, locking of user-id after three unsuccessful attempts, password expiry, password history so that passwords are not same as previous passwords.	M		
13.11.7.			The system shall support Disaster recovery by replicating the data at remote locations.	M		
13.11.8.			The system shall support provide support for HTTPS's/SSL for secured data transfer.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.11.9.			The system shall provide LDAP support for integrating with directory services and shall support single sign on.	M		
13.11.10.			The system shall support Extensive Audit-trails at document, Folder and for highest levels for each action done by particular user with user name, date and time.	M		
13.12.		Ease of administration				
13.12.1.			The system shall support web-based administration module for the complete management of system.	M		
13.12.2.			The Admin module shall support Users/Groups/Role definition and granting Access Rights to them and set password expires.	M		
13.12.3.			The Admin module shall provide easy to use interface for Index structure definition that can be used by different users.	M		
13.12.4.			The Admin module shall provide interface for purging old audit trail and do selective logging i.e. select the system or application features for, which the audit	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			trails have to be generated.			
13.12.5.			The Admin module shall provide facility to take complete and incremental backups and shall be able to integrate with third party backup solutions. Please state recommended backup and other disaster recovery procedures for the DMS as an annexure.	M		
13.12.6.			The admin interface shall provide facility and interface to define workflows with sequential and flexible routes and option to set escalation mechanism.	M		
13.13.		Image editing features				
13.13.1.			The Document management system shall support Image Editing operations such as page insertion, deletion merge/split pages.	M		
13.13.2.			The system shall provide facility for merging/splitting documents based on bar-code/page count, etc. to assemble documents from scanned batches.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.13.3.			The system shall provide Clipping management interface cutting clips from multiple source images and preparing a new document.	M		
13.14.		Document Delivery and Distribution				
13.14.1.			The system shall allow users to download documents through HTTP depending upon the access rights.	M		
13.14.2.			The system shall support for Print/Mail/Fax of documents.	M		
13.14.3.			The system shall provide facility for Auto CD viewer for remote distribution, using which, the complete set of documents can be exported on the CD with the viewer and metadata and the documents can be searched and viewed in an offline mode without connecting to the server.	M		
13.15.		Reports and audit trails Features				
13.15.1.			The Document management system shall support extensive Reports and audit trails and shall also provide	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			data points and facility to design new reports.			
13.15.2.			The system shall support Extensive Audit-trails at user, Folder and Cabinet levels.	M		
13.15.3.			The system shall provide facility to generate Audit trails on separate actions, and between specific date/times.	M		
13.15.4.			The system shall support extensive reporting facility at document, folder and user level. Please specify all inbuilt reports available in the system and also provide effort estimates for new Custom reports to be designed.	M		
13.15.5.			The system shall assign a unique record identifier to each record, both Electronic and non-electronic and should store a record with all its attachments.	M		
13.15.6.			The system shall identify the media type, record format and identify the physical location of all records, so that they can be traced easily.	M		
13.16.		Categorization of records				

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.16.1.			The system shall provide the capability for only authorized individuals to create; edit, and delete file plan components and their identifiers. Each component identifier shall be linked to its associated component and to its higher-level component identifier(s).	M		
13.16.2.			The proposed solution shall provide the capability to reorganize the file plan and automatically propagate the changes resulting from the reorganization to the affected records and record folders.	M		
13.17.		Scheduling of records				
13.17.1.			The proposed system shall provide the capability for only authorized individuals to view, create, edit, and delete disposition schedule components of record categories. The complete schedules would be given as per the organizational policies.	M		
13.17.2.			The system shall provide the capability for defining multiple phases (e.g. transfer	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			to inactive on-site storage, transfer to off-site storage) within a disposition schedule.			
13.17.3.			The system shall provide the capability to automatically calculate the complete life cycle, including intermediate phases, of record folders and records not in folders.	M		
13.18.		Retention-Screening Records				
13.18.1.			The proposed system shall provide a provision for sorting, viewing, saving, and printing list(s) of record folders and/or records (regardless of media) based on any combination of the following: a) disposition action date b) Disposition action c) Location d) Transfer of accession location e) Vital Records Review and update f) Record Category identifier g) Folder unique identifier.	M		
13.18.2.			The proposed system shall provide Facility for sorting, viewing, saving, and printing life-cycle information, eligibility dates, and events of user-selected record folders	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			and records.			
13.19.		Cutting off record folders				
13.19.1.			The system shall be capable of implementing cutoff instructions for scheduled and unscheduled record folders. The system should identify record folders eligible for cutoff, and present them only to the authorized individual for cutoff approval.	M		
13.19.2.			Only authorized individuals shall be able to add records or make other alterations to record folders that have been cut off.	M		
13.19.3.			The system shall also generate detailed audit trails on actions taken by different users, stamped with user name, date and time.	M		
13.19.4.			The system shall provide an option for user to either Reject or Accept the Transfer request with facility to write comments against individual request item. The status of action taken by the user should be immediately available to the Requestor.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.19.5.			The system shall support reminders and acknowledgements on individual request.	M		
13.19.6.			The system shall support extensive search facility to track status of files. This will include support for field type that include but are not limited to Boolean, decimal, integer, text and date.	M		
13.20.		Destroying records		M		
13.20.1.			The system shall identify and present the record folders and records, including record metadata, that are eligible for destruction, as a result of reaching that phase in their life cycle.	M		
13.20.2.			The system shall present the destruction list to authorized user in specific queue, where he can take an action either to destroy or not.	M		
13.20.3.			The system shall provide different options for destruction i.e. Shred, Burn etc, as per the rules set for particular type of records.	M		
13.20.4.			The system shall ask for second confirmation for the	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
			delete command, before the destruction operation is executed.			
13.20.5.			The system shall delete electronic records approved for destruction in a manner such that the records cannot be physically reconstructed.	M		
13.20.6.			The system shall Restrict the records destruction commands to authorized individuals.	M		
13.20.7.			The system shall maintain the audit log for all the destruction activities with user name, date and time of action	M		
13.20.8.			Report on actions on the selected file plan component	M		
13.20.9.			Report on the Records in the selected file plan component	M		
13.20.10.			Report on activities of the selected user.	M		
13.20.11.			Report on the Request/Return activities pertaining to requested records.	M		
13.20.12.			Report on overdue items corresponding to requested records	M		
13.20.13.			Report on Records borrowed.	M		

NO	CATEGORY	SUB- CATEGORY	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	VENDOR COMPLIANCE Key 0= NS 1 = PS 2 = CS 3 = FS	VENDOR RESPONSE
13.20.14.			Reports on records, whose retention period are getting over in specified time.	M		
13.20.15.			Reports on disposition schedule.	M		
13.21.		Bureau Service				
13.21.1.			The contractor shall be expected to scan in the region of 1.5 million documents within the shortest time possible.	M		

6.3.2 Hardware Requirements

This section is divided into 2 sections covering:

- Compute (including SAN switches)
- Storage Solution
- Backup appliance with backup software from same vendor

NOTE:

- All items must come with 3 years support (Mandatory)
- Bidders must provide a Manufacturers Authorization Form (Mandatory)
- All items must come from a single Original Equipment Manufacturer to support integration and single vendor support (Mandatory)
- Bidders must provide an annual maintenance contract (Bidders to share their various SLAs options)
- Bidders must include references and data sheets in their responses

Bidders MUST meet all the hardware technical specification. Any requirement that is not met will lead to disqualification of the bid.

a) Blade Chassis (Qty1)

NO.	REQUIREMENTS	IMPORTANCE	YES/NO	VENDOR RESPONSE
		Key 1 = C 2 = S 3 = M		
1.	Blade Chassis should measure Maximum 8 RU and fit into 19 inch Standard Rack	M		
2.	The chassis should be able to support compute sleds, storage sleds and network switches within the chassis without exceeding the RU space required by the chassis	M		
3.	Should support at least six IO module bays to support redundant Network and storage fabrics	M		
4.	IO Module/ Interconnect should support at least 25Gbps downlinks to the each port in the Blade server supporting carving 8 physical network partitions per port to support both Ethernet and FC traffic over ethernet	M		
5.	Should be open networking (ONIE) compatible	M		

6.	Must be equipped with Dual Redundant Converged Network IO Module with 400GbE total ethernet uplink bandwidth and 256Gbps total FC uplink bandwidth with multi-chassis scaling capability	M		
7.	The chassis should be able to support Fiber Channel SAN switches with at least 8* 32Gb FC uplinks and also at least 32Gb downlinks to all server slots. Switch should support trunking to external SAN switches at 128Gb/s per trunk	M		
8.	The chassis should provide direct connection between blade server I/O card and ethernet network switches without use of a mid-plane, to eliminate bottlenecks in future network upgrades	M		
9.	Chassis should have dual redundant Management modules built-in	M		
10.	Should support built-in Zero Click Discovery of compute, storage and network resources within the management domain	M		
11.	Should support management using an interactive touchscreen and mobile options. The Chassis should have a built-in KVM enabled. If Chassis doesn't have built-in KVM, then KVM has to be quoted separately	M		
12.	Should support end to end firmware update and management procss with direct updates from the OEM website and validated firmware bundles	M		
13.	Should be able to manage the Chassis hardware within VMWare and Microsoft Environments without the need to switch between management consoles	M		
14.	Must be configured with 6 power supplies with 3+3 configuration and accompanying power cables	M		
15.	3 Years onsite support with Next Business Day response - Assigned Technology Service Manager - Proactive and predictive issue detection capabilities	M		

	- Automated case creation with notification			
--	---	--	--	--

b) Blade Server (QTY 3)

NO.	REQUIREMENTS	IMPORTANCE	YES/NO	VENDOR RESPONSE
		Key 1 = C 2 = S 3 = M		
1.	Blade server must have 2x Intel Xeon Gold 6130 2.1G, 16C processors	M		
2.	12x 32GB RDIMMs, scalable to at least up to 3TB, using DDR4 Load Reduced DIMM (LRDIMM) memory modules	M		
3.	Minimum 2x 480GB SSD hot plug SFF SATA drives scalable up to 6 hot plug hard drives per compute node using internal hot plug drives slots.	M		
4.	Integrated PCIe 3.0 12Gb/s SAS Raid Controller with 8GB Cache to support both internal hard drives of compute sled as well as the hard disks in a storage sled supporting RAID 0, 1, 5, 6, 10, 50, 60	M		
5.	Dual Port 25Gbps Converged Network Adapter supporting Ethernet/FCOE/FC supporting NPAR and SR-IOV	M		
6.	Should support the following Operating system versions: Citrix XenServer 7.1 CU1 Microsoft Windows Server 2016 Microsoft Windows Server 2012 R2 Red Hat Enterprise Linux 7.5 SuSE Linux Enterprise Server 12 SP3 Ubuntu 18.04 VMWare ESXi 6.5 U2 VMWare ESXi 6.7	M		
7.	3 Years onsite support with Next Business Day response - Assigned Technology Service Manager - Proactive and predictive issue detection capabilities	M		

	- Automated case creation with notification			
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c) Core/Aggregation Switches (QTY 2)

NO.	REQUIREMENTS	IMPORTANCE Key 1 = C 2 = S 3 = M	YES/NO	VENDOR RESPONSE
1.	Switch must be capable of 10/25/40/50/100 GbE and have the below inbuilt ports active: <ul style="list-style-type: none"> • 48 line-rate 25GbE SFP28 ports • 6 line-rate 100GbE QSFP28 ports • 1 RJ45 console and management port with RS232 signaling 	M		
2.	IO Panel to PSU Airflow	M		
3.	Fresh-Air Cooling up to 44C degrees inlet temperature or higher	M		
4.	Switch Fabric Capacity: 3.5Tbps minimum	M		
5.	Packet Buffer Memory: 16MB minimum	M		
6.	MAC addresses: Up to 510K ARP table: Up to 250K IPv4 routes: Up to 126K IPv6 routes: Up to 64K Multicast hosts: Up to 64K	M		
7.	Layer 2 VLANS: 4K	M		
8.	Supports the open source Open Network Install Environment (ONIE)	M		
9.	Full data center bridging (DCB) support for lossless iSCSI SANs, RoCE and converged network	M		
10.	VRF-lite capability for sharing of networking infrastructure and providing L3 traffic isolation across tenants	M		
11.	Scalable L2 and L3 Ethernet Switching with QoS, ACL and a full complement of standards based IPv4 and IPv6 features including OSPF, BGP and PBR	M		
12.	8x 10GbE SFP+ SR Transceivers per switch	M		

	10x LC-LC OM4 cables 5 Meters per switch			
13.	3 Years onsite support with Next Business Day response - Assigned Technology Service Manager - Proactive and predictive issue detection capabilities - Automated case creation with notification	M		

d) Enterprise Unified Storage Solution Requirement (QTY 1):

SASRA will wish to acquire a unified storage infrastructure to support their current requirements and future growth. The proposed solution should also come with a single manufacturer premium support

NO.	REQUIREMENTS	IMPORTANCE	YES/NO	VENDOR RESPONSE
		Key 1 = C 2 = S 3 = M		
1.	Protocols: <ul style="list-style-type: none"> • Fibre Channel • NFS • SMB 3.0 (CIFS) • CIFS Vvols	M		
2.	The system should be: <ul style="list-style-type: none"> • Truly unified system serving both SAN and NAS from the same dual controllers • Active – Active Dual Controller systems • Must provide RAID 1/5/6 and allow transparent migrations between different RAID configurations. Disks should be available while zeroing. • Support Inline Compression and deduplication for All Flash Pools • Cloud enabled with possibility to integrate with (Private, Public, Hybrid) cloud 	M		
3.	Solution should implement a no Single Point Of Failure (SPOF)	M		

	architecture. Kindly provide a detailed explanation of the architecture			
4.	<p>Must deliver at least 130 TB usable capacity with 2 tiers:</p> <ul style="list-style-type: none"> • Tier 1: All flash (SSD) tier with ability to act as an All Flash Array with inline deduplication and compression (22.80 TB Usable SSD or more) • Tier 2: Hybrid Tier with SSD, SAS (108 TB usable or more) 	M		
5.	<p>The configuration should be as below on the minimum:</p> <p>Tier 1:</p> <ul style="list-style-type: none"> • 9 * 1.6 TB SSD drives using RAID 5 (8+1) <p>Tier 2:</p> <ul style="list-style-type: none"> • 5 * 1.6 TB SSD drives using RAID 5 (4+1) • 18 * 1.8 TB SAS drives using RAID 5 (8+1) <p>The above drives will be used for data storage. Kindly show your calculation and include the necessary hot spares for availability.</p> <p>Tier 1 data should have all the capabilities of An All Flash Array</p>	M		
6.	<p>CPU:</p> <ul style="list-style-type: none"> • 2 x Intel 8-Core,2.4 GHz HASWELL processors or equivalent 	M		
7.	<p>Memory:</p> <ul style="list-style-type: none"> • 96 GB System Memory per array 	M		
8.	<p>Connectivity:</p> <ul style="list-style-type: none"> • 12 x 16Gb FC ports for front end connectivity • 8 * Ethernet 10GbE 	M		
9.	<p>The configuration should also include:</p> <ul style="list-style-type: none"> • Hot spares (show how hot spares are distributed) 	M		

	<ul style="list-style-type: none"> 4 x 4 lane 12Gb/s embedded SAS IO ports per array for back end connectivity 			
10.	Equipped with all licensed software and features available for the Storage System (File, Block, vVol, QoS, Encryption, Anti-Virus, Snaps, Local and Remote Replication, vCenter Plugins)	M		
11.	Scalability: <ul style="list-style-type: none"> Array should support minimum 5 and up to 250 drives in the future without controller replacement for primary site and 250 drives for disaster recovery site Array should be able to scale up to 24 Front End Ports per array 4 x 4 lane 12Gb/s embedded SAS IO ports per array for back end connectivity 	M		
12.	Growth paths: <ul style="list-style-type: none"> Scale front end and storage independently. Compatibility with Cloud Tiering appliance for archiving and file migration Compatibility with cloud gateway to allow tiering to the cloud in future 	M		
13.	Local protection <ul style="list-style-type: none"> Capable of Controller Based Data at Rest Encryption Local Point-In-Time Unified Snapshots 	M		
14.	Remote Protection <ul style="list-style-type: none"> Native Asynchronous Block & File Replication Native Synchronous Block Replication Replication for VMs Inbuilt Write Splitter to support Out of Band Replication (support current replication topology) 	M		
15.	Integrate with the proposed backup solution including	M		

	support from a single manufacturer			
16.	Storage System operating environment must not be residing on the Storage controllers/ Storage processors.	M		
17.	Solution must provide a SSD solution to store cache data in case of power off or power failure	M		
18.	Solution must be able to absorb spikes in both read and write workloads by providing an extended cache style solution using SSD that must also avoid re-warming the cache on failover. The extended cache provided should be a minimum of 400 GB SSD (using RAID 1)	M		
19.	Solution must provide automatic monitoring of disk drive health and initiate a proactive background drive rebuild on failing drives using permanent hot sparing	M		
20.	The storage platform should be capable of supporting 2nd Generation Enterprise Flash Drives (200 GB, 400 GB, 800 GB, 1.6 TB and 3.2 TB), 15K RPM SAS drives (600 GB), 10K RPM SAS drives (600 GB, 1.2 TB and 1.8 TB), 7.2K RPM SATA drives (2 TB, 4 TB and 6 TB) within the same system.	M		
21.	Allow one to Deploy a scalable 64-bit file system that supports space shrink, pointer based snaps, replication, quotas and in a virtualized NAS environment	M		
22.	The Unified Storage system must provide the following security features: <ul style="list-style-type: none"> • The storage operating system should not be able to run binaries, therefore reducing the attack surface for viruses and rootkits • Administrative Roles limit access by policy • CIFS- and NFS-locking policies prevent inadvertent or malicious file access in UNIX, 	M		

	<p>Windows, and mixed environments.</p> <ul style="list-style-type: none"> • Anti-virus support via tight, on-demand integration with industry-leading anti-virus solutions. • Auditing capabilities to keep track of activities that alter the NAS-environment configuration. • File Level Retention and Locking 			
23.	The system should have QoS for block to streamline and manage performance or bandwidth for applications and users	M		
24.	The system should have a self-service portal with a robust on-line set of community activities (live chat, videos, documentation, and more); direct parts ordering, system views, and a modernized dial home capability.	M		
25.	The solution should have a no-cost software-as-a-service cloud-based storage analytics platform with near real-time intelligence and proactive monitoring of performance, capacity, system, protection, and configuration data to provide a health score and recommended remediation of issues based on best practices and risk management.	M		
26.	<p>Management:</p> <ul style="list-style-type: none"> • Proactive support available through the vendor tools • Consolidated Dashboard and Alerting • Integration with VMware, Microsoft and OpenStack 	M		
27.	The proposed solution should come with HTML 5 Graphical User interface to allow management from different devices without installing any additional software	M		
28.	The system should support Automated Storage Tiering.	M		
29.	The AST solution MUST allow one to set policies to ensure the	M		

	right data is moved to the appropriate drive type			
30.	The AST solution should take advantage of Cache optimized Flash Drives to extend the existing caching capacity of the storage system and MUST move the data in chunks of 64 KB granularity	M		
31.	<p>The system must support:</p> <p>Network interfaces</p> <ul style="list-style-type: none"> • Copper 10/100/1000 Ethernet • Optical Gigabit Ethernet • Optical 10 Gigabit Ethernet • Native Fiber Channel @ 16 Gbps (not emulated) <p>Network protocols</p> <ul style="list-style-type: none"> • IPv4, IPv6 • TCP/IP, UDP/IP • CIFS (SMB1 and SMB2), NFS 2, 3, and 4 • FTP, TFTP, and SNMP • NDMP 2, 3, and 4 • NTP, Sntp • Fiber Channel <p>Feature support</p> <ul style="list-style-type: none"> • Link aggregation • FailSafe Networking • Ethernet trunking • VLAN 	M		
32.	Storage array must be capable of doing snapshots of snapshots and Writable Snapshots	M		
33.	<p>The Writable Snapshots provided by the system must support the following features:</p> <ul style="list-style-type: none"> • Allows read/write access based on a previous checkpoint <ul style="list-style-type: none"> – Does not change production file system – Does not change previous snap 	M		

	– Changed blocks written to snap save area			
34.	Solution replication should support advanced replication topologies. Should support both native replication and out of band replication	M		
35.	The solution should come with 3 year premium hardware and software support from the manufacturer	M		
36.	The manufacturer should have at least 1 support engineer in country and a local office (office visit will be done)	M		
37.	Bidders to provide an annual service level maintenance contract	M		

e) Backup Requirement

SASRA is looking at acquiring a backup appliance with backup software from a single vendor. The proposed backup should be from the same vendor as the storage and servers.

NO.	REQUIREMENTS	IMPORTANCE	YES/NO	VENDOR RESPONSE
1.	Complete integrated backup solution including software and dedicated backup appliance	Key 1 = C 2 = S 3 = M M		
2.	The appliance should be disk-based and provide data deduplication: <ul style="list-style-type: none"> • Inline (at ingestion time), without any buffering at the file system level or separate deduplication processing window • For any file size • Single deduplication pool for all the data stored, independent of the type of data (Exchange, Oracle, files, etc) • Variable segment size 	M		
3.	Complete integration with the storage system (from the same vendor to reduce administrative and management costs)	M		
4.	Virtual synthetic full backup support – the full backups should be reconstructed at the appliance level under the backup software’s control.	M		
5.	Multiprotocol & multi-application access: <ul style="list-style-type: none"> • Ethernet based (1GbE and 10GbE) CIFS, NFS, OST/Boost, NDMP <ul style="list-style-type: none"> ○ Link aggregation, link failover should be possible with Ethernet links ○ CIFS & NFS should be available to be used also outside the reach of the backup & archiving application for use cases such as data dumps and integration with 	M		

	<p>other data sources (eg: direct backups from Oracle RMAN)</p> <ul style="list-style-type: none"> • Fiber Channel • Virtual Tape Library access available as an option • Simultaneous usage of all the protocols at the same time should be possible 			
6.	<p>Data integrity and internal features:</p> <ul style="list-style-type: none"> • RAID 6 should be mandatory as data integrity and protection are a priority • Tolerate without data loss any unplanned event such as power loss (NVRAM technology) • Self-healing file system, active and continuous verification of stored data • Ability to take snapshots at the appliance level • Support for file system cleaning operations during the backup window • Option to trigger processing power for the cleaning process • Call home functionality directly to vendor for proactive support 	M		
7.	<p>Data security</p> <ul style="list-style-type: none"> • Support for secured multi tenancy - secure logical isolation of users, workloads, tenants of a shared infrastructure • Support for encryption of data at rest 	M		

	<ul style="list-style-type: none"> • Support for encryption for the replication stream • Role based user access 			
8.	<p>Capacity Requirements for Data Protection:</p> <ul style="list-style-type: none"> • Backup Appliance: The equipment should include an initial minimal capacity of 34 TB (after RAID6) using 4 TB drives and allow upgrades by adding additional shelves up to at least 178 TB net capacity. 	M		
9.	Must be also available as a virtual appliance (software defined appliance) form-factor for possible uses cases such as data migration, data mobility, data consolidation from branches etc.	M		
10.	Backup Software	M		
11.	<p>Centralized protection in a heterogeneous environment, with minimal impact to production systems.</p> <p>The solution should include support for at least Microsoft Hyper-V, Windows, Linux, Exchange, Oracle, Microsoft SQL, SharePoint</p>	M		
12.	Centralized management and reporting for both the software and the dedicated backup appliance/appliances.	M		
13.	Simple licensing model based on capacity of protected data (front-end capacity model) – the solution should include licenses for at least 10 TB of front-end data.	M		
14.	Protect and recover virtual environments to ensure the most value from virtualization.	M		
15.	Block based backups for Hyper-V, Exchange, Oracle, Windows and Linux environments for fast, block-level incremental backups - the solution should bypass the file-system level by using a block-level approach to reading data at backup time	M		
16.	Each backup agent should be able to send its data directly to the backup device over an IP connection or FC connection eliminating the need to pass through a media server.	M		
17.	Capability to clone data to cloud storage for long term retention, included at no additional cost.	M		

18.	Solution maturity: at least 10 years on the market	M		
19.	The proposed backup appliance and the backup software must be produced and supported by the same vendor for guaranteed integration between all the components.	M		

SCHEDULE OF WORKS

6.4 Schedule of Works

6.4.1 The consortium will be required to provide software and related hardware infrastructure for this implementation.

6.4.2 It is expected that the consortium will also perform the implementation of the OS, databases, middleware, application with necessary patches, upgrades required for smooth implementation of the RBSS. **All necessary software licenses will be part of the solution.**

FORM TECH VII (B) – IMPLEMENTATION SCHEDULE TABLE

Table 1 – Entire Procurement

Line Item No.	Subsystem / Item	Configuration Table No.	Site / Site Code	Delivery (Bidder to specify in the preliminary Project Plan)	Installation (Weeks from Effectiveness)	Acceptance (Weeks from Effectiveness)	Liquidated Damages Milestone
0	Project Plan	--		Hardware & Software	W6	W2	No
1	Project Plan	--		Project Management	W6	W2	No
2	Project Plan	--		Project Management	W24	W2	No

Notes:

Refer to the System Inventory Table(s) below for the specific items and components that constitute the Subsystems or item A

Refer to the Site Table(s) below for details regarding the site and the site code.

-- indicates not applicable. " indicates repetition of table entry above.

Table 2 - System Inventory Table

Component No.	Component	Relevant Technical Specifications No.		
1.	Software Maintenance (Post Warranty Period)				Y4
2	Hardware (Post Warranty Period)						
2.	In house Support		Y1	Y2

Table 3 Post-Warranty Service Period Quantities/Requirements

Component No.	Component	Relevant Technical Specifications No.		
1.	Software Maintenance (Post Warranty Period)				Y4
2.	Hardware Maintenance((Post Warranty Period)						
3.	In house Support		Y1	Y2

Note: - - indicates not applicable. “ Indicates repetition of table entry above.

Table of Holidays and Other Non-Working Days

Specify: the days for each month for each year that are non-working days, due to Holidays or other business reasons (other than weekends).

Month	2019	2020
1.	1	1
2.	0	0
3.	2	2
4.	0	0
5.	1	1
6.	1	1
7.	0	0
8.	0	0
9.	0	0
10.	2	2
11.	0	0
12.	3	3

REQUIRED FORMAT OF TECHNICAL BIDS

6.7 Description of the Information Technologies, Materials, Other Goods, and Services

- 6.7.1 The Bidder must provide detailed descriptions of the essential technical, performance, or other relevant characteristics of all key Information Technologies, Materials, other Goods, and Services offered in the bid (e.g., version, release, and model numbers). Without providing sufficient clear detail, Bidders run the risk of their bids being declared non-responsive.
- 6.7.2 To assist in the bid evaluation, the detailed descriptions should be organized and cross referenced in the same manner as the Bidder's item- by-item commentary on the Technical Requirements described in Section VI below. All information provided by cross reference must, at a minimum, include clear titles and page numbers.

6.8 Item-by-Item Commentary on the Technical Requirements

- 6.8.1 The Bidder must provide an item-by-item commentary on the Purchaser's Technical Requirements, demonstrating the substantial responsiveness of the overall design of the System and the individual Information Technologies, Goods, and Services offered to those Requirements, see ITT Clause 2.13.3 (c) or ITT Clause 2.13.4.
- 6.8.2 In demonstrating the responsiveness of its bid, the Bidder is strongly urged to use the Technical Responsiveness Checklist provided in Section VI of the Technical Requirements. Failure to do so, increases significantly the risk that the Bidder's Technical Bid will be declared technically non-responsive. Among other things, the checklist should contain explicit cross references to the relevant pages in the Bidder's Technical Bid.

6.9 Preliminary Project Plan

- 6.9.1 The Bidder must prepare a Preliminary Project Plan describing, among other things, the methods and human and material resources that the Bidder proposes to employ in the design, management, coordination, and execution of all its responsibilities, if awarded the Contract, as well as the estimated duration and completion date for each major activity. The Preliminary Project Plan should also state the Bidder's assessment of the major responsibilities of the Purchaser and any other involved third parties in System supply and installation, as well as the Bidder's proposed means for coordinating activities by each of the involved parties to avoid delays or interference.
- 6.9.2 In addition to the topics and points of emphasis, the Preliminary Project Plan **MUST** address an implementation approach to the project. The bidder must also outline likely project risks and mitigation measures to these risks and what steps will be taken in case

there is a failure. In addition, the bidder should indicate how progress will be tracked and reported.

- 6.9.3 The initial project plan may be submitted in a suitable format to conform to the requirements of see Instructions to Bidders (ITT) Clause 16.2(c). The preferred format however is the Microsoft Project or a close equivalent.

6.10 Confirmation of Responsibility for Integration and interoperability of Information Technologies

- 6.10.1 The Bidder must submit a written confirmation that, if awarded the Contract, it shall accept responsibility for successful integration and interoperability of all the proposed Information Technologies included in the System, as further specified in the Bidding Documents.

6.11 TECHNICAL RESPONSIVENESS CHECKLIST

- 6.11.1 Refer to Section VI which has the full Technical responsiveness checklist as part of the requirements.

ATTACHMENTS

N/A

SECTION IX: STANDARD FORMS

FORM TECH I - FORM OF TENDER

The Chief Executive Officer
Sacco Societies Regulatory Authority
19th Floor: UAP/Old Mutual Tower, Upper Hill, Upper Hill Road
P.O. 25089 – 00100
Nairobi, Kenya

Dear Sir

We, the undersigned, offer to supply, deliver, install , configure, customize, test and commission RBSS, EDMS and related Hardware infrastructure in conformity with the said tender documents for the sum of (*total tender amount in words and figures*) or such other sums as may be ascertained in accordance with the Schedule of Prices attached herewith and made part of this Tender.

We undertake, if our Tender is accepted, to deliver install and commission the equipment in accordance with the delivery schedule specified in the Schedule of Requirements.

If our Tender is accepted, we will obtain the guarantee of a bank in a sum ofequivalent to.....percent of the Contract Price for the due performance of the Contract, in the form prescribed by Sacco Societies Regulatory Authority (SASRA)(*Procuring entity*).

We agree to a bid by this Tender for a period of [*number*] days from the date fixed for tender opening of the Instructions to tenderers, and it shall remain binding upon us and may be accepted at any time before the expiration of that period.

This Tender, together with your written acceptance thereof and your notification of award, shall constitute a Contract, between us subject to signing of the Contract by the parties.

We understand that you are not bound to accept the lowest or any tender you may receive.

Dated this _____ day of _____ 20 _____

[Signature]

[In the capacity of]

Duly authorized to sign tender for an on behalf of

FORM TECH II - TECHNICAL PROPOSAL SUBMISSION FORM

[ON LETTERHEAD OF THE BIDDER] Date:

Subject: Technical Proposal Submission Form

**The Chief Executive Officer
Sacco Societies Regulatory Authority
19th Floor: UAP/Old Mutual Tower, Upper Hill, Upper Hill Road
P.O. 25089 - 00100
Nairobi, Kenya**

Dear Sir,

We, the undersigned offer to provide the supply, deliver, install, configure, customize, test and commission RBSS, EDMS and related Hardware infrastructure in accordance with your tender datedand our bid submission.

We are hereby submitting our proposal, which includes this Technical Proposal, and a Financial Proposal sealed under separate envelope.

If negotiations are held....during the period of validity of the proposal, i.e. before.....we undertake to negotiate on the basis of this proposal.

Our proposal is binding upon us and subject to the modifications resulting from the contract negotiations.

We understand you are not bound to accept any proposal you receive and confirm we have no objection to your making enquiries regarding this proposal from our referees.

We remain Yours

sincerely, [Authorized Signatory]

[Name and Title of Signatory] Name

of Firm]

FORM TECH III - CONFIDENTIAL BUSINESS QUESTIONNAIRE FORM

You are requested to give the particulars indicated in Part 1 and either Part 2(a), 2(b) or 2(c) whichever applies to your type of business.

You are advised that it is a serious offence to give false information on this form.

NB. Attach Company Registration Certificate or Certificate of Incorporation, Valid Tax Compliance certificate from relevant Tax Authority , Valid Trade Licenses, and VAT Certificate with this form.

Part 1 - General

Business Name:

[Attach Copy of Registration Certificate/Certificate Incorporation]

Location of business premises:

Tel. No:

Plot No:

Street/Road:

Postal address:

E-Mail:..... Website:

Mobile No.

Nature of Business:.....

Registration Certificate No.

Current Trade License No:.....

[Attach Copy of Valid Trade License]

V.A.T No:.....

[Attach Copy of V.A.T Certificate]

Tax Compliance Certificate No:

Expiring Date:.....

(Attach Copy of Valid Tax Compliance from K.R.A.)

Maximum value of business which you can handle at any one time:

Ksh:

Name of your bankers:

Branch:

Account No.

Swift Code:

Part 2 (a) – Sole Proprietors

Your name in full:

Age.....

Nationality.....

Country of origin.....

Citizenship details

Part 2 (b) –Partnership

Given details of partners as follows:

Name Nationality Citizenship Details Shares in % 1.

- 1.
- 2.
- 3.
- 4.
- 5.

Part 2 (c) –Registered Company

Private or

Public

State the nominal and issued capital of company-

Nominal KES Issued

KES Given details

of all directors as follows

Name	Nationality	Citizenship Details	Shares in %
------	-------------	---------------------	-------------

1.

2.

3.

4.

5.

Date

Seal/Signature

of Candidate

Note - if a Kenya Citizen, indicate under "Citizenship Details" whether by Birth, Naturalization or Registration

FORM TECH IV - BIDDER'S ORGANIZATION AND EXPERIENCE

A - Bidder's Organization

[Provide here a brief description of the background and organization of your firm/entity and each associate for this assignment.]

B - Bidder's experience

Relevant Services carried for at least five organizations and details of work under way or contracted that best illustrate qualifications

[Using the format below, provide information on each assignment for which your firm, and each associate for this assignment, was legally contracted either individually as a corporate entity or as one of the major companies within an association, for carrying out consulting services similar to the ones requested under this assignment.]

Firm's Name:

Narrative description of Project:

Completion date (month/year):	by associated Bidders:
Name of associated Bidders, if any:	Name of senior professional staff of your firm involved and functions performed (indicate most significant profiles such as Project Director/Coordinator, Team Leader):

Description of actual services provided by your staff within the assignment:

[Authorized Signatory] [Name
and Title of Signatory] [Name of
Firm]
[Date]

FORM TECH V - TEAM COMPOSITION AND TASK ASSIGNMENTS

Name

Position Task

Task

Managerial Staff

1.

2.

3.

4.

Technical Staff

1.

2.

3.

4.

5.

Support Staff

1.

2.

3.

4.

5.

6.

7.

8.

FORM TECH VI - CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL

STAFF Proposed Position:

Name of Firm *[Insert name of the firm proposing the staff]:*

Name of Staff *[Insert full name]:*

Date of Birth:

Nationality:

Education *[Indicate college/university and other specialized education of staff member, giving names of institutions, degrees obtained, and dates of obtainment]:*

Membership of Professional Associations:

Other Training: *[Indicate significant*

training undertaken after degrees and where obtained]:

Countries of Work Experience: *[List countries where staff has worked in the last ten years]*

Languages: *[For each language indicate proficiency: good, fair, or poor in speaking, reading, and writing]*

Employment Record: *[Starting with present position, list in reverse order every employment held by staff]*

member since graduation, giving for each employment (see format here below): dates of employment, name of employing organization, positions held.]:

From: [Year].....

To:[Year}.....

Employer:.....

Position Held:.....

Work Undertaken that Best Illustrates Capability to Handle the Tasks Assigned

[Among the assignments in which the staff has been involved, indicate the following Information for those assignments that best illustrate staff capability to handle the tasks listed]

Name of assignment or project:

Year:

Detailed Tasks Assigned [List all tasks to be performed under this assignment]

Location: Client:

Main Project features: Position Held:

Activities Performed:

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience. I understand that any willful misstatement described herein may lead to my disqualification or dismissal, if engaged.

[Signature of staff member or authorized representative of the staff]

[Date:]

[Full name of authorized representative:]

FORM TECH VII(A) -ACTIVITY (WORK) SCHEDULE

[1st, 2nd etc, are months from the start of assignment)

Activity	1st	2nd	3rd	4th	5th	6th	28th	8th	9th	10th	11th	12th

FORM FIN I - FINANCIAL PROPOSAL SUBMISSION FORM

[ON LETTERHEAD OF THE BIDDER]

Date:

Subject: Financial Proposal Submission Form

The Chief Executive Officer
Sacco Societies Regulatory Authority
19th Floor: UAP/Old Mutual Tower, Upper Hill, Upper Hill Road
P.O. 25089 – 00100
Nairobi, Kenya

Dear Sir/Madam,

We, the undersigned offer to provide the RBSS, EDMS and related Hardware infrastructure in accordance with your request for proposal dated and our proposal (Technical and Financial Proposals) our Attached Financial proposal is for the sum of only.

This amount is exclusive of the local taxes, which we have estimated at only.

Our financial proposal shall be binding upon us subject to the modifications resulting from contract negotiations, up to expiration of the validity period of the proposal i.e.....

We understand you are not bound to accept any proposal you receive.

We remain Yours

sincerely, [Authorized

Signatory]

[Name and Title of Signatory]

[Name of Firm]

FORM FIN II - PRICE SCHEDULE

< Bidder is required to add or amend items as may be required based on their proposed solution >

S/NO	DESCRIPTION	UNIT	QUANTITY	UNIT PRICE ALL TAXES INCLUSIVE (Ksh.)	TOTAL PRICES ALL TAXES INCLUSIVE (Ksh)
1.	RBSS				
2.	EDMS				
3.	Related Hardware Infrastructure				
4.	RDBMS for RBSS and EDMS				
5.	Software Configuration/Custom ization				
6.	Data migration				
7.	Training of Technical & end Users				
8.	RBSS and EDMS Support & Maintenance for 1 year	Years	1		
9.	Hardware and related infrastructure Support & Maintenance for 3 year	Years	3		
	TOTALS				

PERFORMANCE SECURITY

To:

The Chief Executive Officer
Sacco Societies Regulatory Authority
19th Floor: UAP/Old Mutual Tower, Upper Hill, Upper Hill Road
P.O. 25089 – 00100
Nairobi, Kenya

WHEREAS [*name of bidder*] (hereinafter called "the Bidder") has undertaken, in pursuance to contract No.....[Reference number of contract] dated to supply, install, configure, customize, implement, test, train users and commission an RBSS, EDMS and related Hardware infrastructure, (hereinafter called "the Contract") **AND WHEREAS** it has been stipulated by you in the said Contract that the Bidder shall furnish you with bank guarantee of 10% of the contract amount by reputable bank, the sum specified therein being security for compliance with the Bidder's performance obligations in accordance with the Contract.

AND WHEREAS we have agreed to give the Bidder a guarantee: -

THEREFORE, we hereby affirm that we are Guarantors and responsible to you, on behalf of the Bidder, up to a total of [*amount of guarantee in words and figures*] and we undertake to pay you, upon your first written demand declaring the Bidder to be in default under the Contract and without civil or argument any sum or sums within the limits of [*amount of guarantee*] as aforesaid, without your needing to prove or to show grounds or reasons for your demand or the sum specified therein.

This guarantee is valid until the conclusion of the first year after the date of acceptance by Sacco Societies Regulatory Authority (SASRA) of the installation of the RBSS, EDMS and related Hardware infrastructure.

[Authorized

Signatory]

[Signature and seal of the Guarantors]

[Address]

[Date]