

Terms of Reference

PROVISION OF AN ELECTRONIC DOCUMENT AND RECORDS MANAGEMENT SYSTEM (EDRMS)

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1. BACKGROUND AND CONTEXT

Federation of Kenya Employers (FKE) is an employers Federation registered in January 1959 under the provisions of the Trade Unions Act (CAP.233) (now repealed).

FKE represents the interests of employers at the tripartite level involving the Government, Employers and Workers, and serves as a platform for advocacy of key concerns of employers in areas of employment, labour relations, social policy as well as providing value added services that address the emerging employers needs in the dynamic labour market.

The Federation has a membership of over 2000 employers with over 3500 active files and CBAs in hard copy format. FKE wishes to digitize its records management operations through a robust Electronic Document and Records Management System (EDRMS), a software application that will enable FKE to manage digital records throughout their life cycle from creation to destruction of records. This project will first convert the current key documents and records that are in a physical format to digital and further provide a system that will facilitate Realtime digitization of records moving forward. The selected system should also provide linkages to other key internal systems within FKE to promote efficiency in access and operations.

This project is aimed at supporting FKE's strategic objective of enhancing members satisfaction through enhanced internal systems and adoption of technology in serving them.

2.EDRMS NEEDS/FUNCTIONALITIES

i. General EDRMS capabilities

The system should provide for the following key functionalities:

- Digitization of current and future records while meeting the specific needs enlisted below
- Support for multi-user, multi-site computing environment
- Accessibility of the EDRMS via various devices and through a mobile app
- Ability to link and fully integrate to others existing internal systems e.g Sugar CRM (Open source), HRMS
- Easy user-friendly interface, ease in uploading and accessing contents
- Optimized for search engines and cloud storage for data
- Facility for data import and export from and to other systems
- Highly scalable and ability to expand the modules in a phased manner

ii. Specific EDRMS capabilities

A. Document Scanning and Indexing

- a. Support quick scanning and indexing of bulk documents.
- b. Support automatic categorization of scanned images as different documents like forms, supporting documents, reports
- c. Allow indexing, quality checks and verification during scanning
- d. Provide for features that can support automatic indexing from specialized zones like Optical Character Recognition (OCR) functionality
- e. Support bulk import of images and electronic documents and automatic indexing of documents based on offline data
- f. Support scanning of multiple pages into batches for auto/manual processing
- g. Provide a facility for uploading scanned batches into the system with auto folder/subfolder creation document filing and indexing on user defined fields
- h. Generate extensive reports and audit trail

B. Mail management

- a. Support receiving of the incoming mails
- b. Marking the letters to the relevant person for action
- c. Allow electronic circulation of record for actioning
- d. Allow tagging of actions and inclusion of sticky notes
- e. Trail a record and alert action officers
- f. Time bound period of action before escalation

C. Workflow Process

- a. Support workflow capabilities.
- b. Allow document editing
- c. Allow digital signing
- d. The system should support authorized users to forward records/documents for approval
- e. Users in the workflow should be able to access the work items in their inbox and process them accordingly.
- f. Support collaborative working on documents in a secure environment
- g. Provide a facility to view the complete track sheet and note sheet
- h. Provide a facility for assigning tasks and deadlines for users in a workflow

D. Classification & File Planning

- a. Support the creation, maintenance and adaptation of an electronic file plan
- b. Allow classification and organization of complete and reliable group of records that relate to the same business activity
- c. Allow hierarchical arrangement of the folders
- d. Restrict only to authorized individuals the ability to create, edit, and delete file plan components and their identifiers

E. Metadata Capture

- a. Allow capture of enough descriptive information about the record.
- b. Allow manual or automatic updating of all metadata
- c. Support several formats or combination of formats for metadata elements, including; alphanumeric, alphabetic, numeric, date/time, and logical

F. Search and Retrieval of e-records

- a. The system should provide flexible and extensive facilities for searching electronic records
- b. System should have basic and advanced searching capabilities
- c. Support saving of search queries and results
- d. Support a facility to export search results to other applications e.g. Excel
- e. Should not return searches of a result a user is not allowed to view.

G. Document Viewing

- a. The system should provide a facility for putting text, graphic and image annotations on document pages
- b. Support automatic stamping of annotations with user ID, date and time
- c. Provide facilities for users to enter remarks/comments and secure notes on the documents while stamping their user ID, date and time.

- d. The secured notes shall only be visible to authorized users.
- e. Store the image annotations as a separate file and the original should remain unaltered.
- f. Ensure that electronic files have the same feel and look as the physical file.
- g. Provide facilities for locking documents/records for editing

H. Access & Security of e-records

- a. Support a secure login ID for each users and store passwords in encrypted format
- b. Support access restrictions from folders/aggregation of electronic records to the lowest object level
- c. Support privileges like create/modify/delete users, define indexes/metadata
- d. Control editing of record/ file content to protect integrity and authenticity
- e. Control of access at file level and folio level
- f. Control change of the content of the electronic record & the metadata of the electronic records (except where specified)
- g. Allow the creation of an extract from an electronic record, whereby sensitive information is removed or hidden from view in the extract, while the originating record remains intact
- h. Permit restricted printing and exporting of records.
- i. Restrict users to certain functions within the system.
- j. Provide logs for user activity
- k. Allow secure transfer of data

I. Retention and disposal of e-records

- a. Support compliance with established legal and regulatory retention & disposal requirements
- b. Associate a retention schedule to any document, file or class of the file plan
- c. Allow control of disposal schedule
- d. Allow definition of retention period within the folder at the time of creation
- e. Allow assignment of action to be taken when the retention period expire
- f. Allow review or change of the assigned retention period to take care of changing business environments
- g. Track retention periods that have been allocated in the system and initiate the disposal process once their specified conditions are met.
- h. Issue email alerts when the retention period is over and seek confirmation before implementing any disposal actions
- i. Generate disposal list
- j. Allow removal of folders from the system after initiation of disposal schedule instruction Support
- k. Completely destroy groups of folders and individual folders according to their scheduling, and generate a disposal list and its audit trail within the system

J. Destruction of e-records

- a. Support complete destruction of authorized disposal ensuring that it cannot be reconstructed by any technical means including specialist data recovery techniques
- b. Distinguish between an ad hoc delete function and the destruction function within the disposition process, so that each can be allocated individually to authorized users
- c. Prevent the delete function from being used within the disposition process so that the destruction of identified records can only be achieved through the allocation of a disposition class
- d. Retain metadata for electronic records that have been destroyed
- e. Record the date and details of all disposition actions within the metadata profile of the electronic record

J. Audit trail

- a. Provide an audit trail on any single action done on the file by stamping user ID, date and date.
- b. Ensure that the audit trails remain unalterable

K. Reporting

- a. Should support reporting tools for the provision of statistics to the records manager on aspects of activity within the electronic file plan
- b. Support reporting on the actions carried out on electronic records or aggregations of electronic records during a specified period
- c. The system should be able to produce a report listing the details and outcome of any migration process to ensure the integrity of the records
- d. The system must be able to produce reports on electronic records disposition
- e. Produce a report detailing any export failure from the system identifying those electronic records which have generated processing errors or were not successfully exported
- f. Produce a report detailing the outcome of a destruction process including records successfully destroyed and those which were not successfully destroyed

L. Archiving of e-records

- a. Support archiving function and allow moving the data from the database and store it zipped in a magnetic storage
- b. Create Archive templates for documents due for retention
- c. Support querying to locate objects ready to be archived
- d. Allow users with rights to restore files from the archive and edit, view and escalate and return the document as a new version

M. Back up and disaster recovery

- a. Provide facilities that support secure storage of data and disaster recovery
- b. Provide automated backup and recovery procedures that allow for regular backup of all or selected classes, files, documents, metadata and administrative attributes of the EDRMS repository.
- c. Maintain full integrity of the data after the restore
- d. Integrate with third party backup solutions.
- e. Specify recommended backup and other disaster recovery procedures for the system

4. CONSULTANCY OUTPUTS

The EDRMS project outputs will be:

1. A fully functional and robust Electronic Document and Records Management System as per the specifications, tested and deployed for use
2. Linkages done as per FKE needs as specified in the TOR
3. FKE staff trained on both the system usage and administration
4. Video tutorial on usage developed and deployed
5. System User Manual/Guide provided

5. TIMELINES

The assignment should take no more than 3 months from contract signing.

6. MANAGEMENT

The consultant will be directly supervised by FKE, with relevant technical advice, inputs and support provided by the project steering committee. Project plan with clear deliverables shall be prepared and presented by the consultant and the project to commence upon adoption of the plan by the steering committee.

7. QUALIFICATIONS AND EXPERIENCE

- This assignment is open to reputable firms/consultants who have deployed similar robust EDRMS successfully to corporates. It will be necessary for consultants to provide the relevant competency credentials and list of clients currently using their systems.

- The bidding firms/ consultants will have to show their in-house capacity to provide the service by showcasing the personnel that will be attached to the project from start to end and the roles they will play.

8.TERMS OF PAYMENT

The payment terms will be agreed on between FKE and the selected firm/consultant upon selection.

9.SUBMISSION OF BIDS

Interested and Qualified firms/Consultants are invited to submit:

- a) A Technical proposal indicating among others: How their solution meets the indicated FKE needs, capabilities of the system and the platform it operates on and any value-added services among others
- b) A proposed workplan for delivery and deployment of the system indicating key milestones
- c) A Financial proposal for initial implementation of the project and subsequently maintaining it thereafter. The Firm/Consultant should also indicate the proposed payment plan.
- d) A list of clients currently utilizing the firm's/consultants EDRMS for FKE review
- e) Accompanying documents including CVs of key personnel for project implementation and company financials for the last 3 years for FKE consideration.

The Bid documents must be received by COB on **30th September 2020**, delivered to the address below:

REF: PROVISION OF AN ELECTRONIC DOCUMENT AND RECORDS

MANAGEMENT SYSTEM (EDRMS)

**C/O Ag. Head, Finance & Procurement
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