

Annexure A

TERMS OF REFERENCE FOR THE APPOINTMENT OF A SERVICE PROVIDER TO PROVIDE THE INDEPENDENT COMMUNICATIONS AUTHORITY OF SOUTH AFRICA (ICASA) WITH SUPPORT AND MAINTENANCE OF THE ALFRESCO ELECTRONIC DOCUMENT AND RECORDS MANAGEMENT SYSTEM (EDRMS), FOR A PERIOD OF THREE (3) YEARS AND SUPPLY AN ANNUAL RENEWAL FOR THE AVAILABLE LICENCES ON AN 80/20 PROCUREMENT BID PROCESS

1. Introduction

1.1 Purpose

The objective of this bid is to appoint a service provider that will provide the Independent Communications Authority of South Africa (ICASA) with support and maintenance services for the existing Alfresco Electronic Document and Records Management System (EDRMS) solution for a period of three (3) years

1.2 Objective

- 1.2.1. It is required that a Service Provider be appointed to support and maintain EDRMS Alfresco software for a period of three (3) years, to ensure organisational continuity and protection of the current solution investment.
- 1.2.2. The support and maintenance service should consist of Software Maintenance with Vendor support as well as professional services support according to a Service Level Agreement (SLA) with the appointed service provider.

1.3 Background

- 1.3.1. The National Archives and Records Service of South Africa (NARSSA), in terms of its statutory mandate, requires governmental bodies to put the necessary infrastructure, policies, strategies, procedures and systems in place to ensure that records in all formats are managed in an integrated manner.

- 1.3.2. The NARS endorses the SANS (ISO) 15489, Records Management Standard, SANS (ISO) 2308, Metadata for Records and SANS (ISO) 15801, Trustworthiness and Reliability of Records Stored Electronically and considers these to be the benchmarking tools for sound records management.
- 1.3.3. The primary standard for creating and managing electronic records in office environment is SANS (ISO) 16175-2: 2014. A product that complies with these standards would possess the records management functionality required by the National Archives and Records Services of S.A. (NARS).
- 1.3.4. Detailed information regarding the management of electronic records is contained in the NARS's two publications, viz
- Managing Electronic Records in Governmental bodies: Policy, Principles and Requirements; and
 - Managing Electronic Records in Governmental bodies: Metadata requirements
- 1.3.5. ICASA implemented the Alfresco Electronic Documents and Records Management System (EDRMS) in 2018. There are currently 270 Alfresco EDRMS user licenses across the organization.
- 1.3.6. Among others the EDRMS system is used to manage ICASA records and documents effectively and efficiently through the following system functionalities:
- Version control
 - Document workflow capabilities
 - Reporting
 - Auditing of user activities on the system,
 - The ICASA approved file plan is integrated in the system to manage records management functionality like the file referencing, the disposition etc.
 - Mobile functionality of accessing the system from the mobile phones
- 1.3.7. There are currently approximately 73,000 records uploaded on the system. These records are in formats which includes but not limited to MS Word, MS Excel, PowerPoint, PDF etc.

2. Scope of work

2.1 The service provider should provide a professional service that ensures that ICASA support calls are addressed according to the agreed service level response times. The service level assurance should indicate the various levels of support available, the severity/business of the issue raised, and the time frame within which each will be resolved.

Priority Level	Description	Response Time	Resolution Time	Comply/Not Comply
Priority Level 1	Alfresco system is unavailable	30 minutes	Two (2) hours	
Priority Level 2	A major function, component or application of Alfresco system is unusable	One (1) hour	Two (2) hours	
Priority Level 3	A function, component or application of Alfresco system has been lost but does not seriously affect business critical work	Eight (8) hours	Twenty-four (24) hours	
Priority Level 4	All other queries, reporting requirements and/or enquiries that do not fall into the three (3) levels above.	Twenty-four (24) hours	Seventy-two (72) hours	

2.2 The service provider should assist with the software maintenance that will protect ICASA’s investment in the software product by ensuring ICASA has access to the latest Alfresco released software updates versions at no additional cost as long as the software maintenance contract is in place.

2.3 The Service provider should be available as long as the Support and Software Maintenance contract is in place to provide professional services to ICASA.

2.4 Professional services support should be accessed through a certified Alfresco Reseller, by providing a signed letter from Alfresco.

2.5 Support provided should be during normal business hours from 08:30 AM to 04:30 PM during weekdays excluding public holidays.

- 2.6 Support should be provided for but not limited to the following types of issues:
 - 2.6.1 The Alfresco EDRMS system is on version 5.2.3
 - 2.6.2 Configuration, usage, and compatibility to ALFRESCO software.
 - 2.6.3 Software issues (e.g. display content correctness, display performance) in ALFRESCO software; and
 - 2.6.4 Compatibility issues between ALFRESCO software and hardware provided by ICASA. The Alfresco servers are currently running on a VMWare6.7 cluster. The servers are virtual, the operating system is Windows Server 2016
 - 2.6.5 Fixing content management issues (e.g., indexing, content creation, reports, dashboards etc.).
 - 2.6.6 Resolving performance issues such as long page load time, inability to access Alfresco system sites, integration issues.
 - 2.6.7 Enhancements to the Alfresco system for improved performance and system capabilities.
 - 2.6.8 File plan enhancement and updates on the system
- 2.7 The Alfresco EDRMS has the following functionalities: records management, document management, and workflow capabilities. The service provider should be able to provide support on all the Alfresco EDRMS functionalities and assist in optimizing the use of all available functionalities.
- 2.8. The service provider must be an accredited reseller with the relevant skills and expertise to provide software maintenance and support on the Alfresco software system.
- 2.9. The maintenance and support must include but not limited to:
 - 2.9.1. Analysis of the licensing status and related functionalities.
 - 2.9.2. Optimally configure the EDRMS system.
 - 2.9.3. Recommend improvements to the existing configurations.
 - 2.9.4. Provision of optimal design and recommendation for new deployments.
 - 2.9.5. Ensure software is implemented against pre-defined processes, service level and metrics.
 - 2.9.6. Assist with responses to audit and risk findings with proposals to mitigate/resolve the findings.

- 2.9.7. Provide reports and status updates on the status of EDRMS environment as agreed with ICASA (e.g., daily, weekly, monthly, quarterly).
- 2.9.8. Provide inputs and review standards and procedures associated to EDRMS.
- 2.9.9. Document and operationalise solutions, train and support staff/system administrators and end-users.
- 2.9.10. Provide maintenance and support during business hours, or as and when required (e.g., telephone and online helpdesk platform, ability to log and track support calls etc.).

2.10 Key personnel

- 2.10.1 The service provider must list all personnel to be assigned to this project, stating their qualifications to perform the tasks or functions to be assigned (include CV's).
- 2.10.2 The service provider shall always use competent and trained staff directly employed and supervised by the service provider
- 2.10.3 Where individual members of the service provider's staff are named in the proposal as part of the project staff, the service provider will make every reasonable effort to ensure that the named individual(s) are available to support its work to ICASA.
- 2.10.4 Where the service provider considers changes in its staff assigned to ICASA, they should alert ICASA and provide a new resource with the similar skills and qualifications.

2.11 References

The service provider must provide a list of references where services of a similar size and scope were successfully completed (i.e., maintenance and support of the Alfresco system, license renewals and sourcing new licenses), as evidence of the service provider's ability to successfully perform the services required.

2.12 Data Confidentiality

- 2.12.1 All data, technical information, materials gathered, originated, developed, prepared, used or obtained in the performance of these services which are prepared for or are

a result of the services required shall be and remain the property of ICASA.

- 2.12.2 All the information and/or technical data recorded and supplied to ICASA by the service provider is strictly confidential and must not be shared with anyone except ICASA nominated officials.
- 2.12.3 The service provider is required to use reasonable care to protect the confidentiality of such information and/or data. Any use, sale or offering of this data in any form by the service provider, or any individual or entity will be considered a violation and may result in ICASA taking legal action against the service provider and reported to National Treasury or appropriate government authorities for the service provider's suspension or debarment from providing services to government entities/department
- 2.12.4 The service provider is expected to sign a non-disclosure agreement with the appointed service provider.
- 2.12.5 ICASA reserve the right to do a security screening of the appointed service provider, its personnel and back-up staff.
- 2.12.6 In your proposal, please state the security features you will implement to ensure data confidentiality.

2.13 Architecture Design

As part of the proposal, the service provider must include the proposed architecture design review, which should include but not limited to:

- 2.13.1 Assessment of current environment
- 2.13.2 Design and architecture
- 2.13.3 Document management and classification
- 2.13.4 POPIA & other related Acts

2.14 Implementation/Project plan

As part of the proposal, the service provider must include an implementation plan, linked to the scope of work, on how the proposal will be implemented, including control measures that will be put in place which would mitigate the risk to ICASA pertaining to potential non-performance by the service provider in relation to the quality of

services to be delivered and continuity of the provision of the services. Describe how and when the required resources and capabilities from your organization will be deployed.

The service provider is expected to designate a project manager who shall be the central point of contact and be responsible for ensuring that planned activities, tasks, and deliverables are completed as scheduled.

The service provider's project manager shall also be responsible for tracking and issues related to the service provider's completion of the planned activities, tasks, and deliverables and provide periodic reports to the ICASA's project team.

2.15 Local presence

The service provider must provide the following information, showing/confirming their local presence (in South Africa):

- 2.15.1 Provide contact details of your (Head) office location.
- 2.15.2 If the head office location is not in South Africa, also provide details of local company offices, support and visibility.
- 2.15.3 Provide the year of establishment of the South African business and the number of employees currently employed.
- 2.15.4 Provide instances of the company's experience in providing Alfresco maintenance and support services in South Africa

2.16 Liability

- 2.16.1 The service provider shall use reasonable skills and care expected from an expert in its industry in the provision and delivery of the services and the deliverables in terms of the Service Level Agreement.
- 2.16.2 The service provider shall be liable to pay compensation for damages and losses suffered by ICASA arising as a direct result of breach of contract, misconduct, dishonesty/fraud or negligence (including gross negligence) on its part or third parties acting on behalf of the service provider in respect of Services provided in connection with or arising out of the Service Level Agreement (or any variation or addition thereto).

3. Mandatory Requirements

3.1 The service provider must be accredited to resell Alfresco software/system, (an official letter from Alfresco/Hyland)

4. Deliverables/Methodology

Deliverables shall include but not limited to the following:

4.1 Support process covering but not limited to:

- 4.1.1 Logging the call,
- 4.1.2 Defining the problem
- 4.1.3 Gathering background and diagnostic information
- 4.1.4 Technical, development and configuration support services
- 4.1.5 Maintenance and repair
- 4.1.6 Troubleshooting
- 4.1.7 Documentation and training
- 4.1.8 Determining the business impact/effects of various issues logged
- 4.1.9 Turnaround/response time

Describe how, as a service provider, you will approach this scope of work and methodologies to be adopted (i.e. details of the phases (if any), activities and milestones).

4.2 Communications

The service provider should indicate the various communication platforms available to be agreed with ICASA. For example:

- 4.2.1 Communication regarding progress of issues raised via email and or a meeting
- 4.2.2 A portal to log on issues, track progress etc.

4.3 Reporting & Dashboards

The service provider should be able to provide reports in line with organizational needs and submit to the ICASA team on agreed regular cycles.

Reports and/or dashboards should cover but not be limited to:

- 4.3.1 Audit logs reports
- 4.3.2 Divisional records reports
- 4.3.3 User roles/access rights reports
- 4.3.4 System administrator's report
- 4.3.5 Reports on records uploaded on the system during a determined period/time range
- 4.3.6 Support performance report, etc

4.4 Service Level Agreement

The service provider should provide a sample service level assurance through a Service Level Agreement (SLA) that will be entered into between ICASA and the service provider, with a clearly defined escalation process.

The SLA should include a Services credit methodology in case of a Service Level Breach

4.5 Maintenance of Alfresco licenses

The service provider should facilitate and assist ICASA with the renewal of the Alfresco licenses as and when there is a need to renew the licenses. One hundred and fifty (150) base licenses have expired and need to be renewed.

One hundred and twenty (120) licenses will expire in March 2022.

In total there are 270 Alfresco licenses, it is anticipated that all the renewals and procurement of new licenses must at all times be aligned, enabling ICASA to always retrieve content, for the duration of the contract.

4.6 Training/Change management

With regards to change management, the service provider is expected to deliver on the following:

- 4.6.1 Creating awareness of why there is a need for change – i.e., move from storing records/documents on ICASA’s various hard drives (e.g., H-drive, shared drive, Z-drive, desktop etc.) to storing records on the Alfresco (EDRMS) system, as well moving from paper-based records/documents to electronic records/documents.
- 4.6.2 Rationale for change, what the role of individual employees are in the process, how to own the change, have full understanding of what the organisation is working towards electronic records management, including the associated work practices, and what it means for ICASA.
- 4.6.3 Identification and implementation of innovative change management initiatives to promote efficient and effective interaction and engagement of executives, management and employees.
- 4.6.4 Development and facilitation of a programme for the executives and managers to understand their roles in the change management process.

- 4.6.5 Ensure the change management process responds the change drivers that will be used to promote change in the creation, use, and storing of ICASA's records (from paper based to electronic records).
- 4.6.6 Development of a comprehensive and holistic time bound change management programme, and detailed work breakdown structure (WBS)
- 4.6.7 Recommend continuous monitoring and evaluation mechanism to monitor progress of every aspect of the change
- 4.6.8 Make recommendations for continuous improvement on delivery of interventions
- 4.6.9 The service provider should be able to conduct continued EDRMS training for both existing and new users, providing documented manuals etc. The service provider should assist ICASA with processes towards system adoption to improve usage by all licensed to use the system.

5. Pricing

The service Provider must clearly indicate the cost separately for the following:

- 5.1 Pricing for the three (3) years professional support, showing the pricing per year, i.e. year 1 – year 3, showing the once-off and/or monthly costs
- 5.2 Pricing for the three (3) years Alfresco Software maintenance for 270 user licenses, (i.e. maintenance of Alfresco licenses for software upgrades and license renewal)
- 5.3 Pricing for the change management program for the duration of the contract

	Item Description	Number of users	Rate per hour (VAT incl.)	Estimated number of hours	Total estimated costs (VAT incl.)
<u>1.</u>	<p><u>Change Management</u></p> <ul style="list-style-type: none"> • Development of change management programme for executives, management & employees; • Alignment of change drivers with the scope of work • Development of participatory materials 				
	<p>Other (please specify)</p> <p>—</p> <p>-</p>				
<u>2</u>	<p><u>Architecture design review</u></p> <ul style="list-style-type: none"> • Assessment of the current environment • Design & architecture recommendations/alignment • Documents management & classification • POPIA & other Acts alignment 				
	Other (please specify)				
<u>3</u>	<p><u>Professional services</u></p> <ul style="list-style-type: none"> • Business Hours Product support and maintenance • Software upgrades assurance 				

	Other (please specify)				
Total Cost: Year 1 (VAT inclusive)					R
Total Cost: Year 2 , including escalation (VAT incl.)			Escalation Percentage ____%	R	
Total Cost: Year 3 , including escalation (VAT incl.)			Escalation Percentage ____%	R	
Grand Total for 3 years (VAT inclusive)					

NB: A detailed price proposal should indicate the cost of each of the deliverable, including the co-ordination thereof.

6. Evaluation Criteria

Functional Evaluation	Weight	Rating	Total score	Notes
<p>1. Implementation/Project plan The service provider shall:</p> <ul style="list-style-type: none"> • Prepare and maintain a project plan for supporting and maintaining the EDRMS system, that clearly identifies key tasks to be performed in each phase, including milestones. • Prepare training plan, and communication plan; • Manage project risk, scope, budget and timelines, • Prepare project reports, • Manage all aspects of the software implementation, including but not limited to requirements gathering, assessing current state, configuration. <p>- If all of the above is provided = 5 - If 4 of the above is provided = 4 - If 3 of the above is provided = 3 - If 2 of the above is provided = 2 - If 1/0 of the above is provided = 1</p>	25			
<p>2. References</p> <p>Provide at least five contactable references in the last five (5) years where similar services were provided in South Africa. Include letters of reference on the client letterhead indicating the duration of the contract/service rendered, the volume of</p>				

Functional Evaluation	Weight	Rating	Total score	Notes
<p>records that were in the system and the size of the organization that was supported</p> <ul style="list-style-type: none"> - If the SP provided five (5) or more contactable and relevant references with letters = 5 - If the SP provided four (4) contactable and relevant references with letters = 4 - If the SP provided three (3) contactable and relevant references with letters = 3 - If the SP provided two (2) contactable and relevant references with letters = 2 - If the SP provided one (1) or none contactable reference with letters = 1 	25			
<p>3. Dedicated resources Experience and Qualifications</p> <p>Dedicated experienced resources in the implementation of the support and maintenance of the Alfresco EDRMS solution by providing their CV's</p> <p>Bidders are required to provide ICASA with a dedicated team of resources i.e. (Developers, Technical Lead, analysts, change/training specialist) to implement the solution (the team does not have to be limited to the 3 roles mentioned)</p> <ul style="list-style-type: none"> - 5 or more resources with more than four of the skills required = 5 - 3 resources with 4 of the skills required = 4 - 2 resources with three of the skills required = 3 - 1 resource with any one of the skills mentioned = 2 - No resources provided = 1 - 	25			
<p>4. Deliverables/Methodology</p> <p>The service provider should be able to provide in detail on how the deliverables listed above in par 4.1 to 4.6 will be achieved</p> <ul style="list-style-type: none"> - If 100% of the relevant deliverable aspects are covered in detail = 5 - Anything less than 100% of the deliverable aspects listed are covered = 1 	25			
<p>TOTAL</p>	100			
<p>Total score required for consideration</p>	70			

7. BRIEFING SESSION

There will be a non-compulsory briefing session

8. PERIOD OF ASSIGNMENT

Three (3) years