**TERMS OF REFERENCE**
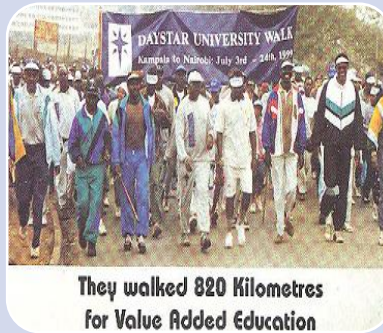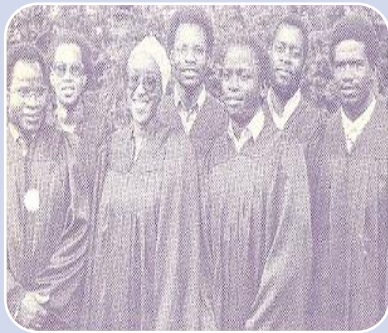
**DU/09/2022-2023-TENDER DOCUMENT FOR THE PROVISION OF CONSULTANCY SERVICES FOR RECORDS MANAGEMENT AND DIGITIZATION OF DAYSTAR UNIVERSITY RECORDS AND ARCHIVES.**



| **VISION** | **MISSION** | **CORE VALUES** |
|---|---|---|
| A distinguished Christ-centered University of choice transforming the World through world-class, value-based education. | To provide learners with higher education that equips them to grow spiritually and intellectually, enabling them to serve as transformational agents in their professions and give Christ–centered servant leadership in the home, church and society. | Christian Values Servant Leadership Excellence Education Effective Communication |

## 1. TITLE

**TENDER DOCUMENT FOR THE PROVISION OF CONSULTANCY SERVICES FOR RECORDS MANAGEMENT AND DIGITIZATION OF DAYSTAR UNIVERSITY RECORDS AND ARCHIVES.**

## 2. BACKGROUND

Daystar Publications was founded in 1964 in Bulawayo, Zimbabwe, by S.E Motsoko-Pheko, a political refugee from South Africa and Dr. Donald Smith & Mrs. Faye Smith, an American missionary couple. In 1969, Daystar Publications became Daystar Communications; shifting concentration from publishing to research and training. Daystar Communications relocated to Nairobi Kenya in 1974 and was granted a charter as an accredited University in 1994. The name 'Daystar' is derived from the Bible (2nd Peter 1:19), which is used to describe Jesus Christ. With this in mind, every member of Daystar University is encouraged to emulate Jesus Christ in behavior, lifestyle and speech.

Our records and archives speak volumes of Daystar's rich history in its extraordinary journey of faith and steadfast adherence to a mission and vision. Our quest for academic excellence, dynamic approach to teaching and research grounded on a firm Christian foundation traces its roots back to 1964. The University has since grown considerably and continues to expand both in physical facilities and in student population. Its vision to develop servant leaders to serve their communities and nations remains the same.

The University recognizes that proper management of records is vital in the realization of its Mandate, Vision and Mission. We therefore endeavor to develop sound record management systems, procedures and practices that meet international standards to document our activities. The University understands that properly managed records are an asset, and a reference for sound governance and management, and those records contribute not only to efficiency and effectiveness of service delivery; but also constitute vital management tools for decision-making, policy formulation, implementation, monitoring and evaluation. The preservation of these records offers the University an opportunity for posterity through keeping and sharing its rich memory and heritage for present and future generations. We aim to ensure that the record, whatever form it takes, is accurate, reliable, ordered, complete, useful, up to date and accessible whenever it is needed to: help us carry out our business and help us to make informed decisions.

## 3. RATIONALE FOR RECORDS MANAGEMENT AND DIGITIZATION

Daystar University records and archives are currently available in physical format; many are captured at individual department level with their own filing systems, many others remain undiscovered at the offices or departments that created them and some of them are at the small archival facility within the library department. Creating a centralized records systems and digital copies of these vital documents of Daystar University will play a vital role in increase efficiency of business, enable proper service delivery and protect and preserve key historical records. The digital versions may someday be the only record of the original files when they deteriorate and get disposed.

The system for records management will create a new resource for the University, which will itself require preservation through digital capture, and proper care of physical and original materials. Digitization will therefore form part of a comprehensive approach to preservation and access in which all of the institution's records and archives assets will be addressed in a single, unified effort: providing repair and proper housing of original materials, creating high-quality copies in digital form where appropriate, and preserving the digital files.

The benefits of a centralized and digitized records management system would be:

o Improve productivity through faster access, multiple access, access from anywhere, work from home, faster search, collaboration and transparent turn around through workflows.
o Enhance customer satisfaction through easier and faster access to documents.
o Improved Security through access control, audit trails and documents replications.
o Attainment of cost effectiveness through elimination of storage space and file transportation costs.
o Controlled and improved document distribution.
o Business continuity.
o Mitigation of risk arising from missing, or poor access control of documents.
o Integration with existing systems.
o Automation of key processes.
o Improved record management through establishment and application of records management policies.
o Ensure long-term archival of records.
o Provision of document and record management reports.

## 4. RECORDS MANAGEMENT OBJECTIVES
The Records Management is intended:

- To protect institutional information resources throughout their life cycle.
- To align the records management structure between different departments.
- To capture institutional records on decision-making.
- Review and development of Institutional records management policies and procedures
- Provide guidance and recommendation for Archival for records.
- Provide guidance and recommendation for the disposition of records
- To make records available to those who need them, when they need them in a cost-effective way.

## 5. DIGITIZING OBJECTIVES
The Digitization project is intended:

- Improving day to day capture, storage, modification, security, sharing and collaboration on electronic and physical documents to enhance service delivery

- Improving electronic records management practices through establishment and application of records management policies and standards
- To support automated processes and workflows by providing online access to an array of organized and classified documents and records of the University.
- To make our digitized material and metadata available online for reuse on other platforms such as the ERP.
- To advance the preservation of records and archives by reducing wear and tear on the originals.
- To provide searchable-access to those materials that can no longer be accessed in their original format.
- To maximize the efficient and effective use of document resources and achieve cost-saving benefits whenever possible.
- Empowering staff to be effectively and efficiently use **Electronic Documents and Records Management System (EDRMS)** and other integrated business systems

## 6. RECORDS PROPOSED FOR DIGITIZATION

The strategy is to centralize, classify and digitize the diverse range of permanent records that are stored and available to the university community in the archives as well as in different departments of the university. Separate from Archives' efforts to address permanent records in our custody that are "born digital," the focus of this strategy is to make our conventional records and Archives available to users online as quickly, efficiently, and cost-effectively as possible.

The following are the key areas and responsibilities for records and archives management in Daystar University requiring digitization:

a. University Governance (*including, but not limited to, records of the Daystar Company, its Board and committees, the University Council and its various committees, the Senate, affiliate bodies, such as Daystar US, the Senate, the University Charter and Statutes, and the Vice Chancellor's Division*)

b. Strategic Management, Government and Community *(including, but not limited to, records of Daystar University Development, Strategic and Action Plans, Management Board/Team, Daystar University Administration, Daystar University Campus Development, Legal Matters, Commission of University Education)*

c. Human Resource (*including, but not limited to, Personnel Files, Disciplinary Committee records, The Council ad hoc Committees, Daystar University Search Committee, Staff Associations*)

d. Chaplaincy *(including, but not limited to, spiritual nurture programs, outreach programs, calendar or events)*

e. Finance (*including, but not limited to, records of Finance, Administration and Planning, Bank Files, Finance Committee*)

f. Teaching and Learning (*including, but not limited to, records of Academic Affairs Committee, Post Graduate Studies, Academic Division, Daystar University Registrar, Students' academic records e.g Admission and Registration and Examinations*)

g. External Relations (*including, but not limited to, records of Corporate Affairs and Public Relations, Inter-University Council of East Africa, Visitors, Missionaries and Sponsors files, Nairobi Baptist Church, ICMT FILES, Kenya Association of Private Universities,*)

h. Student Services (*including, but not limited to, records of Daystar University Student Association, Daystar Community Life, Daystar Student Life*)

i. Student Administration *(University Registrar Records, Records of Graduation Committee, Various minutes, General files)*

j. Information Collection Management *(Library Department Records)*

k. Asset Management *(Records of Assets)*

l. Research Publications *(Print Journals, Manuscripts and past Typed/Handwritten Research Projects)*

m. Publishing *(Output, Infospot, Involvements, Connect Magazines, Newsletters)*

n. History and Archives *(Daystar University Founders' Archives)*

(Estimated figure for these records is **1,500,000.)**

## 7. SCOPE OF SERVICES

### A. Records Management Consultancy
   a. Review and develop a records management policy.

   b. Review and develop a classification scheme for the University Records.

   c. Review and develop records management procedures.

   d. Advice and recommend on records dis

   e. position.

### B. EDRMS
Implementation of EDRMS that is able to: -
   • allow records to be classified in accordance with records classification scheme.
   • be accessed via desktop and web.

- able to create, store, scan and record various documents to electronic media.
- allow for scanning and uploading of documents in different formats e.g TIFF. PDF. PNG. JPEG. Word. Excel etc..
- allow use of templates and associated workflows.
- extract meta data from existing documents and store meta data on a database.
- store documents on separate storage and outside the Database Management System (DBMS).
- allow for both manual and automatic assignment of folios.
- allow indexing and provide different search criteria
- provide annotation tools such as sticky notes. highlighter. underline on various documents.
- allow Optical Character Recognition (OCR) and batch scanning.
- allow for OCR search capability.
- allow creation of workflows.
- provide notification alerts through email whenever workflows are sent.
- provide safe and confidential Electronic Document and Records Management System whereby documents can be created, scanned, indexed and electronically stored and retrieved in a manner that is easily and readily accessible.
- provide granular system permission access roles.
- provide audit trail to monitor any transaction through the system.
- not limit the number of folders that can be allocated to a record category or defined within the entire system.
- prevent the destruction or deletion of folders, records and associated metadata at all times, except when authorized to do so by the System Administrator or the creator.
- provide integration capabilities for both hardware and internal existing systems (e.g. printers. scanners. ERPs. Portals etc.).
- work with variety of database server operating systems.
- compression of documents.
- allow use of scanned signatures and integration with 3$^{rd}$ parties electronic signature tools.
- easy to customize.
- scanning, indexing and uploading of **500,000** records in Phase 1
- provide record management functionalities such as retention, disposition, preserving records through entire life cycle, identifying what records exist by records inventory.
- Hold storage capacity of 10 TB.

## 8. KEY DELIVERABLES

**A. Records Management Consultancy**
- Report on key findings.
- Records management structure.
- Revised records management policy.
- Revised records management procedures.

**B. EDRMS**
- Requirements specification document
- System Design Document
- Infrastructure setup and configuration (Specifications to be guided by the EDRMS Implementing Firm)
- Installation and configuration of EDRMS System
- System Integration
- Training of trainers and system administrators
- System operation and administration manuals
- User Acceptance Testing
- Going Live sign off
- Digitization of 1,500,000 records
- Provision of 20 concurrent licenses
- Convert the original paper document into electronic/digital format using effective, cost efficient, and technologically advanced document digitization solution.
- The digitized document must be able to integrate into other existing systems of the University such as the ERP without need for third party software.

## 9. DETAILED TECHNICAL REQUIREMENTS

This detailed check list is to help the bidder organize and consistently present their technical bid. The bidder must describe how its technical bid responds to the requirements.

For each specification the bidder is required to provide clear and concise explanation and supporting information. "One" or "two" word responses are not sufficient to confirm technical responsiveness with technical requirements. Provide detailed responses and screenshots where necessary. USE (FS –Fully Supported; PS- Partially Supported; CR- Customization Required (detail requirement); NS –Not Supported (the system is not capable of supporting the requirement and cannot be modified to accommodate it). Under Priority compliance statement (M-Mandatory/U-Useful.)

| | REQUIREMENTS DESCRIPTION | Responses (FS, PS, CR, NS) | Comment/ Details |
|---|---|---|---|
| | **A. GENERAL** | | |
| 1. | System should be available in LAN and Web based and support all browsers. | | |

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|---|---|---|---|
| 2. | Wizard driven development tool | | |
| 3. | System should support multiple relational data bases e.g Oracle, MySQL, DB2,Ms SQL | | |
| 4. | System should support high scalability | | |
| 5. | System should be modular | | |
| 6. | Have Server performance statistics/dashboard on various subcomponents/engines within a given time period e.g Workflow, Email, Web, Jobs etc | | |
| 7. | Wizard driven storage setup/management | | |
| 8. | Automatic creation of storage folders and subfolders and filing encapsulated to the user | | |
| 9. | Access Control & Office 365 / DocuSign integrations including integration with active directory | | |
| 10. | Search With Multilingual OCR | | |
| 11. | Approval Workflow & Automated Retention | | |
| 12. | Document Numbering, Notifications & Audit Trails | | |
| 13. | Custom Metadata & File Linking | | |
| 14. | File Versions management | | |
| 15. | Reminders to specific | | |
| 16. | Import Documents over e-mail on Office365 and Google mail | | |
| 17. | Support for both Windows and Linux operating systems | | |
| 18. | Accessible on mobile devices | | |
| 19. | Support for automated backup on network attached storage (NAS) | | |
| 20. | Security based on advanced encryption standard | | |
| | **B. LICENSING** | | |
| 21. | Concurrent Licensing | | |
| 22. | Perpetual Licensing | | |
| 23. | Subsidiary support licensing | | |
| | **C. SYSTEM INTEGRATION** | | |
| 24. | System should integrate with Daystar Active Directory and support LDAP authentication | | |
| 25. | Support multiple scanners and storages | | |
| 26. | Integrate with ERP | | |
| 27. | Integrate with portals | | |
| 28. | Integration with Email Servers | | |
| 29. | System should support crystal reports integration. | | |
| 30. | Supports integration with electronic signature tools such as Docusign, Adobe Sign | | |

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| | **D. SCANNING/DOCUMENT CAPTURE** | | |
| 31. | Inbuilt scanning tool for both desktop and web client | | |
| 32. | Scanning tool to support imaging tool such as <br>  o Cropping <br>  o Image rotation <br>  o Speckle removal <br>  o Blank page deletion <br>  o Image enhancement <br>  o Page insertion / replacement <br>  o Compression | | |
| 33. | System should support bulk scanning and indexing | | |
| 34. | Support multi File formats e.g TIFF, JPEG,PDF,PNG,BMP,XLS,DOCX | | |
| 35. | System should have ability to capture and add emails DOCUMENTS | | |
| 36. | System should allow adding metadata at any point without doing any coding | | |
| 37. | System should have ability to classify/Categorize documents with metadata to make them easier to search and retrieve in future. | | |
| 38. | Allow for importing capability from other systems | | |
| 39. | System should compress images automatically to save space | | |
| 40. | System should support OCR capability and related searches | | |
| 41. | System should support Bar-Code recognition from scanned images. | | |
| 42. | The system should have imaging features such as invert, rotate, zoom-in/zoom-out, zoom percentage | | |
| 43. | The system should support Thumbnails on image documents. | | |
| 44. | The system should allow users to scan the documents in black and white, color or greyscale images. | | |
| | **E. ANNOTATIONS** | | |
| 45. | Allow image tools like annotations, highlighting, sticky notes, text, lines, signatures, circle, picture | | |
| 46. | These comments should be able to be stored in database. | | |

| 47. | The system should provide time stamps on annotations/texts, signatures showing user ID | | |
|---|---|---|---|
| 48. | The system should secure annotations | | |
| **F. DOCUMENT MANAGEMENT FUNCTIONALITY** | | | |
| 49. | System should be able to store documents in native format without being changed. | | |
| 50. | Provide version control. | | |
| 51. | Capture additional meta data like creation date, modification date, User ID. | | |
| **G. RECORDS MANAGEMENT FUNCTIONALITY** | | | |
| 52. | System should manage lifecycle of documents through record retention, storage, retrieval and records management policies | | |
| 53. | System should have a facility to define retention and disposition schedule | | |
| 54. | System should be able to determine destruction dates based on basic cut-off dates (e.g. end of year calendar). | | |
| 55. | Manage a multi-stage disposition process- qualify, review, approve, dispose. | | |
| 56. | System should be able to transfer records for archiving and digital preservation. | | |
| 57. | Provide permission on records management | | |
| 58. | The system should have 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; <br> a) disposition action date <br> b) Disposition action <br> c) Location <br> d) Transfer of accession location <br> e) Vital Records Review and update <br> f) Record Category identifier | | |
| **H. RECORDS CUT OFF** | | | |
| 59. | The system should have a feature to support cut off instructions | | |
| 60. | The system should have an option for user to either <br> Reject or Accept the Transfer request with facility to write comments against individual request item. | | |
| 61. | The system shall support reminders | | |

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|---|---|---|---|
| **I. DISPOSAL** | | | |
| 62. | The system should be able to identify records and documents that are eligible for disposal, as a result of reaching that phase in their life cycle. | | |
| 63. | The system should provide options for documents disposal such as Shred, burn, transfer etc., as per the rules set for particular type of records. | | |
| 64. | The system should have a prompt the user the user to confirm the deletion before the operation is executed. | | |
| 65. | Provide related record management reports | | |
| **J. EMAIL MANAGEMENT** | | | |
| 66. | System should manage emails as records | | |
| 67. | System should enable the saving of emails with or without attachments. | | |
| **K. WORKFLOW** | | | |
| 68. | System should support self-initiated workflow capabilities. | | |
| 69. | System should support automatic workflow capabilities. | | |
| 70. | System should have ability to track workflow progress. | | |
| 71. | System should support approval /disapproval functionality. | | |
| 72. | System should have graphical interface for developing workflow. | | |
| 73. | System should support workflow modifications/Rerouting | | |
| 74. | Able to group or classify tasks e.g., inbox, pending, completed | | |
| 75. | System should offer ability to create color coding based on time taken on a given job | | |
| 76. | Provide workflow escalations | | |
| 77. | Provide email notifications | | |
| 78. | Provide turn around report on completed and non-completed tasks not completed tasks | | |
| 79. | The system should be flexible in allowing users to terminate the workflow depending on the workflow definition and permission | | |
| **L. SEARCH/ QUERY FUNCTIONALITY** | | | |
| 80. | Provide specific/target search | | |

| 81. | Provide group/proximity/wild card search e.g., using Contains | | |
|---|---|---|---|
| 82. | System should have ability to define searches for specific users/user groups | | |
| 83. | System should support Boolean operators to do searches | | |
| | **M.  USER INTERFACE** | | |
| 84. | System should be simple for users and inherently intuitive | | |
| 85. | System should provide configuration interface without need for writing any code | | |
| 86. | System should allow disabling/hiding unwanted fields. | | |
| 87. | System should have capability to allow external systems to access EDRMS with authorization. | | |
| | **N.  MAINTENANCE AND SUPPORT** | | |
| 88. | Warranty period of one year | | |
| 89. | Sample Support Contract | | |
| 90. | Support Procedure | | |
| 91. | Support staff and qualifications | | |
| | **O.  SECURITY** | | |
| 92. | System should have security Independent of network/Active directory | | |
| 93. | Provide granular library access control permissions based on user groups or users | | |
| 94. | Permission who is allowed to print, email, extract/Export | | |
| 95. | System should provide protection at-Application level, Library level, Document and Fields level | | |
| 96. | System should permit audit all system activity and provide audit trail reports | | |
| 97. | Wizard driven security administration module | | |
| 98. | Support data/documents Replication to Disaster Recovery site | | |
| | **P.  REPORTS** | | |
| 99. | Standard reports such as:<br>○ Document created within a period<br>○ Created workflows within a period<br>○ Completed/actioned workflows with turn around time<br>○ Pending workflows | | |

| | | | |
|---|---|---|---|
| | o Overdue workflows<br>o Escalated workflows<br>o Retention schedule<br>o Disposition schedule<br>o Report on activities of the selected user | | |
| 100. | Wizard driven report customization | | |

## 10. EVALUATION CRITERIA

### A. PRELIMINARY MANDATORY REQUIREMENTS (MR)

The following mandatory requirements must be met not withstanding other requirements in the documents:

| No | Requirements | Bidder's Response (Attach documents) Yes/No |
|---|---|---|
| 1. | Provide Copy of Certificate of Registration/Incorporation | |
| 2. | Provide copy of Valid Tax Compliance.<br>The tax compliance certificate must be valid as at the date of tender opening. | |
| 3. | Submit a copy of valid business permit from County Government | |
| 4. | Provided a Copy of Valid ICT Authority certificate for Electronic Records Management (minimum level 3) | |
| 5. | Bidders must serialize all pages of the document (using numeric only)or paginated for each bid submitted from the first page to the last page including annexes | |
| 6. | The document should in hard copies, properly bound, legible and presentable. Bidders must produce 1 original and 1 copy of the tender document. (Digital copies may be submitted at request) | |
| 7. | Provide copies of audited financial statement for at least (2) years (from 2020 - 2022) duly certified and signed by the auditor. | |
| 8. | If it is a consortium, a signed Joint venture agreement clearly indicating who is the lead partner, and responsibility matrix for joint bids must be submitted. Both bidders in the JV agreement must provide copy of valid tax compliance valid as at the date of tender opening and clearly readable. | |
| 9. | Valid manufacturer Authorization Letter from the proposed Original Equipment Manufacturer (OEM's)/Manufacturer for the EDRMS Solution | |

| | | |
|---|---|---|
| 10. | Records Management organization/unit/Individual must be certified by Kenya National Archives and documentation services | |
| 11. | Curriculum Vitae's of:<br>    a) Project Manager<br>    b) Lead EDRMS Implementer<br>    c) Lead Records Management Consultant<br>    d) System Implementer | |
| | **Bidders who will fail at this stage will not proceed for further evaluation** | |

## B. TECHNICAL EVALUATION

| NO | EVALUATION CRITERIA | MAXIMUM SCORE |
|---|---|---|
| 1. | **EXPERIENCE OF THE TENDERER/ CAPACITY OF THE ORGANISATION** | **6** |
| | Provide list of three (3) clients where the firm has done similar system implementation with digitization of over 1Million records.<br>The list should detail the following<br>    (i)     Name of client<br>    (ii)    Project (start and end date)<br>    (iii)   Item description<br>    (iv)   Contract amount<br>    (v)    Client contact person along with contact details (i.e. email and phone number)<br><br>Bidder to also provide three (3) reference letters / recommendation letters or LPO or contract from the same clients and contracts listed above. | |
| 2. | **ADEQUACY AND QUALITY OF THE PROPOSED METHODOLOGY, AND WORK PLAN IN RESPONDING TO THE PROCURING ENTITY'S REQUIREMENTS** | **14** |
| | Technical approach and Project Methodology | |
| 3. | **CONFORMITY TO TECHNICAL SPECIFICATIONS** | **50** |
| | Compliance with technical specifications | |
| 4. | **TECHNICAL CAPACITY OF KEY STAFF** | **16** |
| | **Project Manager**<br>    • Degree in IT/Computer Science/Telecommunication/Electrical from reputable institution *(1 mark)*<br>    • At least 3years in project management *(1 mark)*<br>    • PRINCE2 Project certification *( 2 marks)* | 4 |

| | | |
|---|---|---|
| | **Lead EDRMS Implementer**<br>• Masters degree in IT/Computer Science/Telecommunication/Electrical from reputable institution *(1 mark)*<br>• At least 10years experience in EDRMS implementation *(1 mark)*<br>• EDRMS Implementation Certificate *(1 mark)*<br>• System Security Certificate -CISA/CEH/CISSP *(1 mark)*<br>• IT Governance certification, COBIT 2019 *(1 mark)*<br>• IT service delivery certification, ITIL *(1 mark)* | 6 |
| | **Lead Records Management Consultant**<br>• Degree in information science/Records and Archival management *(1 mark)*<br>• At least 5 years in records and Archives management *(1 mark)*<br>• KARMA (Kenya Association of Records Managers and Archivists) Membership *(1 mark)* | 3 |
| | **System Implementer**<br>• Degree in IT/Computer Science/Telecommunication/Electrical from reputable institution *(1 mark)*<br>• At least 7years in system development and implementation *(1 mark)*<br>• EDRMS Implementer certificate *(1 mark)* | 3 |
| 5. | **DEMOS, ARCHIVAL CENTRE AND TWO SAMPLE CLIENT SITE VISITS** | **14** |
| | Technical demos | 8 |
| | Client visits verification (*4 marks*)<br>Archival centre *(2 marks)* | 6 |

**Note: Tenderer MUST score minimum of 80% to proceed to financial evaluation**

## C. FINANCIAL EVALUATION

Bidders who score less than the required pass mark will be disqualified. Bidders who pass the technical evaluation will be evaluated further.

## SUBMISSION AND OPENING CRITERIA

Please submit your bid documents by **2pm,** on **Tuesday, 28nd February 2023** to Tender Box at Daystar University, Athi River campus next to the reception.

Tender-opening proceedings will be done at **3pm** on **28th February 2023.** Bidders who would like to participate in tender-opening proceedings are welcome.

Eligible candidates will receive the tender document via email address or access online from our website at a fee of **Kshs :3000** which can directly be deposited to Cooperative Bank - Daystar University Account **No:01120065209800** of Athi River Branch. Bidders are advised to attach the

original deposit slip in bid document and deliver to the tender box indicating clearly bidders name and contact address at the back of the deposit slip for verification.

In case of any queries, contact Mr. Haron Barsemoi at hbarsemoi@daystar.ac.ke, 0722 441 595, or Mr Justus Katiku jkatiku@daystar.ac.ke, 0715 599 521.