

Tender specifications

Supply of an Electronic Document and Records Management System (EDRMS) for the European Environment Agency and provision of related services

Open Call for Tenders EEA/ADS/07/005

1. Background

The European Environment Agency (EEA) is currently using a European Commission software system (Adonis) for the registration of mail and e-mail and the attribution of a basic workflow. The new Electronic Document and Records Management System (ERDMS) must have all the features of Adonis but also provide state of the art services like Optical Character Recognition (OCR) of scanned documents, full-text search in attachments, convenient registration of e-mail. Furthermore electronic and scanned paper records have to be registered and stored in a secure manner guaranteeing authenticity and different levels of confidentiality. The main focus in the EEA for the coming two years lies on the management of records.

2. Scope and duration of the contract

Within two months from the entry into force of the contract, the contractor shall deliver and install a fully-integrated (ready-to-use) EDRMS including licenses at the EEA premises at Kongens Nytorv 6 (and 28), 1050 Copenhagen K, Denmark, and provide a number of related services as specified in this document including training described under 3.9 lit. d, following which the system will undergo an acceptance test of five days duration. Provided this test is successful, the Agency will sign a certificate of acceptance.

The required system must be a comprehensive solution for the electronic archiving and filing of documents. In addition to the core functions of an electronic archive like document storage, filing, search and retrieval, the system shall allow workflow management, batch scanning with barcode, tight integration with MS Office and the administration of paper archives.

The EEA aims at concluding a service contract with the successful tenderer for a period of 24 months with the option of two renewals each time for another 12 months. As to the contract's terms and conditions, reference is made to the draft contract which forms part of the tender documents.

The contractor will deliver and install the complete system within 1 month from the entry into force of the contract, so that it is ready to use (including documentation, user manuals, initial training, etc.).

Depending on need and without being bound to do so, the EEA may request the contractor by means of order letters to provide a number of additional services including the purchase of system and application upgrades and software add-ons or extensions, technical

consultancy assistance in case of development, modification or upgrade needs as well as additional training.

3. Mandatory requirements of the EDRMS

It is a general, mandatory requirement that the system complies with the generic Model Requirements for the Management of Electronic Records (MoReq Specification – version 2001¹).

Equally mandatory are the requirements listed below (3.1-9) which are of special importance to the EEA.

Tenders which do not comply with these requirements in their entirety (cf., below table 1) will be rejected as technically non-conform.

Therefore, tenderers are required to document in writing and in an easily verifiable manner that the proposed system meets all these requirements.

Table 1

Mandatory requirements	
General	
Compliance with MoReq (2001)	
3.1 Storage	
a) All file formats currently used by the EEA are storables in the database (MS Office formats, Adobe suite formats, OpenDocument format, tiff)	
b) Ability to store single documents with up to 500 MB size	
c) Full text indexing to be carried out in the document types (MS Office formats, Adobe suite formats, OpenDocument format) most frequently used by the EEA	
d) Guarantee of the authenticity of stored documents	
e) Administration of physical paper archives. The creation of registration cards ² must include metadata on title, subject, location, confidentiality, retention and volume and produce a visible unique identifier for the document.	
f) Interfaces to common backup software, compatible with EEA system requirements (HP Dataprotector, minimum 5.5)	
g) Physical file storage on SAN disks, compatible with EEA system requirements (HP EVA 5000)	
3.2 Scanning	
a) Integration between scanner and EDRMS, so that scanned documents are automatically received in the EDRMS	

¹ Cf., MoReq specification <http://ec.europa.eu/idabc/servlets/Doc?id=16847> on the IDABC website of the European Commission, page Documentation on Model for Electronic Records Management: <http://ec.europa.eu/idabc/en/document/2631/5585>.

² Registration card is the form where all metadata can be viewed and edited and the icons/links to the documents appear.

b) Batch scanning with barcode separator sheets and direct automatic linking of scan to a registration card	
c) High speed scanning and linking to registration card also for double-sided originals with a blank page detection/remover	
d) Automatic Optical Character Recognition (OCR) and full-text indexing of scans	
e) Image Capture Software is able to process fast high volume scans and capable of handling large scans with up to 100 MB. Minimum requirement is to process fast 100 double sided pages of text and tables/graphs in the batch scanning mode with the blank page remover	
3.3 Search	
a) Free text search using a search engine that indexes the content in the document database enabling efficient retrieval	
b) Simple search function with web browser interface following the XHTML 1.0 transitional specification	
c) Advanced search in metadata fields	
d) Full text search in various common formats currently used by the EEA (MS Office formats, Adobe suite formats, OpenDocument format)	
e) Highlighting of searched words in the results	
f) Clear display of registration card with metadata and easy link (e.g., through an icon) to the attached documents	
3.4 Metadata	
a) Registration card allows mandatory metadata as specified in the ANNEX	
b) Registration interface for metadata for all types of documents (electronic and paper documents), which all staff can use without specific training	
c) Linking of different registration cards to each other, especially in the case of a reply to an incoming mail	
d) Linking of a registration card to a classification file	
e) Authority to make changes in the filing structure and transfer of records to new or modified files can be limited to the administrator [role]	
f) Life cycle management of documents (automatic tracking of retention, transferral and destruction periods)	
g) Audit trail of complete life cycle	
h) Customization and modification (add or delete fields, change labelling, confidentiality settings) in the metadata fields of the registration card are limited to the EEA database administrator role	
i) Safety mechanism prohibiting changes to the retention schedule by mistake or unauthorized users	
3.5 Security	

a) Login, password and user settings are limited to administrator role	
b) Different confidentiality settings for groups and individuals (e.g., Personnel, Finance, Management Board) to be managed by the administrator. Different levels of confidentiality for different groups (e.g., high level of confidentiality for Personnel, lower confidentiality setting for Finance)	
c) Authentication of users against EEA system requirements (Microsoft Active Directory)	
3.6 System integration	
a) Compatibility with the EEA system requirements hardware, namely: - Metadata storage: MS SQL server 2005 - Server OS environment: MS Win 2003 - Client OS environment: MS Win2000 or XP	
b) Integration with EEA system requirements (MS Office, especially MS Word and MS Outlook)	
3.7 Workflow	
a) Workflow management	
b) Creation of different action codes (attribution) for different tasks with different automatic deadlines (e.g., today's date plus 14 days) A workflow example would be a registered letter that is first attributed by the Document Management Officer to a Person A and then attributed from Person A by Person A to Person B with the assignment to draft a reply within a given deadline	
c) Possibility to attribute one document to several persons with different action codes	
d) Attributed persons can themselves close attributions and make re-attributions to different staff members indicating the dates of attribution and closure as well as the name of the person who made them	
e) Clear overview in one window of the registration card of the attributions, deadlines and closing dates of one document	
f) Automatic e-mail notification of persons attributed indicating key metadata of the record and hyperlinked to registration card	
g) Clear overview in one window of all attributions to a person or to a department (reminders diary)	
h) Search for persons/departments and their attributed, closed, open and overdue attributions	
i) Version control for documents	
3.8 Language	
User interface, personal support, online hotline, documentation (installation and user manuals, etc.) training as specified in 3.9 in English	
3.9 Licences and services The contractor must provide the following as part of the offer and included in the price	
a) Installation (ready-to-use)	
b) Personal support at the EEA premises within 24 hours (Monday to Friday) on demand	
c) Helpdesk services open during EEA business hours (Monday to Friday 09.00-17.00)	

d) Training for EEA staff (technical and administrative, 5 days for 5 administrators at the EEA premises)	
f) License for 170 users (5 administrators/30 power users/135 users)	
g) Maintenance (corrective) and upgrades to available new versions for 24 months twice renewable each time for another 12 months	
h) Additional services (scenario: 20 days within the first 24 months) including the purchase of system and application upgrades and software add-ons or extensions, technical consultancy assistance in case of development, modification or upgrade needs as well as additional training on demand	

4. Prices

The prices quoted must be fixed and not subject to revision for implementation during the first year of duration of the Contract.

From the beginning of the second year of duration of the Contract, prices may be revised upwards or downwards each year, where such revision is requested by one of the contracting parties by registered letter no later than three months before the anniversary of the date on which it was signed. The Agency shall purchase on the basis of the prices in force on the date on which orders or specific contracts are signed. Such prices shall not be subject to revision.

This revision shall be determined by the trend in the harmonised consumer price index [MUICP] published for the first time by the Office for Official Publications of the European Communities in the Eurostat New Cronos Database <http://www.cc.cec/newcronos/> (Theme 2 - Economy and Finance; Price – Prices and Purchasing Power Parities; HICP – Harmonized Indices of Consumer Prices; HMIDX – Monthly data (index) GEO – Euro zone; COICOP cp00).

Revision shall be calculated in accordance with the following formula:

$$Pr = Po \left(0,2 + \frac{0,8 \times Ir}{Io} \right)$$

where:

Pr = revised price;

Po = price in the original tender;

Io = index for the month in which the validity of the tender expires;

Ir = index for the month corresponding to the date of receipt of the letter requesting a revision of prices.

Under Articles 3 and 4 of the Protocol on the Privileges and Immunities of the European Communities and the Headquarters Agreement between the Agency and the Government of Denmark of 17 August 1995, the Agency is exempt from all charges, taxes and duties, including value added tax; such charges may not therefore be included in the calculation of the price quoted; the VAT amount must be indicated separately.

The prices tendered must be all-inclusive and expressed in Euro, including for countries that are not part of the Euro zone. The costs incurred in preparing and submitting tenders are borne by the tenderers and cannot be reimbursed. To avoid misunderstandings and for the purpose of comparing bids, prices should be listed in the form provided (Annex 3).

5. Criteria

5.1 Exclusion criteria

Candidates or tenderers shall be excluded from participation in a procurement procedure if:

- (a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- (b) they have been convicted of an offence concerning their professional conduct by a judgment which has the force of res judicata;
- (c) they have been guilty of grave professional misconduct proven by any means which the contracting authority can justify;
- (d) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the contracting authority or those of the country where the contract is to be performed;
- (e) they have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;
- (f) following another procurement procedure or grant award procedure financed by the Community budget, they have been declared to be in serious breach of contract for failure to comply with their contractual obligations.

Tenderers must provide a declaration on their honour, duly signed and dated, stating that they are not in one of the situations listed above (see Annex 1).

The tenderer to whom the contract will be awarded must provide evidence confirming the declaration referred to in the previous point.

The contracting authority shall accept as satisfactory the following evidence:

- i) For points (a), (b) and (e) a recent extract from the judicial record, or failing that, a recent equivalent document issued by a judicial or administrative authority in the country of origin or provenance showing that those requirements are satisfied.
- ii) For point (d) a recent certificate issued by the competent authority of the State concerned.

Where the document of certificate referred above is not issued in the country concerned and for other cases of exclusion, it may be replaced by a sworn or, failing that, a solemn statement made by the interested party before a judicial or administrative authority, a notary or a qualified professional body in his country of origin or provenance.

Contracts may not be awarded to candidates or tenderers who, during the procurement procedure:

- a) are subject to a conflict of interest;

- b) are guilty of misrepresentation in supplying the information required by the contracting authority as a condition of participation in the contract procedure or fail to supply this information.

5.2. Selection criteria as stated in III.2 (conditions for participation) of the Contract notice

5.3 Award Criteria

The contract will be awarded to the tenderer whose (technically conform) tender is the most economically advantageous in terms of the following award criteria (price/technical merit – 50:50)

5.3.1 Price (200 points max.)

Tenderers are required to quote a total price for a complete EDRMS as specified in 3.

This price is relevant for the evaluation leading to the award of the contract and shall in particular include the costs for (scenario) 20 person-days within the first 24 months of additional services including the purchase of system and application upgrades and software add-ons or extensions, technical consultancy assistance in case of development, modification or upgrade needs as well as additional training.

Delivery + installation (ready to use) and related services		... EUR
Additional services per person-day x 20 (scenario)	... x 20	... EUR
TOTAL		<u>... EUR</u>

All fields are compulsory, non-compliance will lead to exclusion.

Tenders will receive points for price (P) on the basis of the following formula:

$$\text{Score: } x(P) = P_{\min}/P \times 200$$

in which ...

P_{min} = total price of the cheapest technically compliant offer

P = total price of the offer concerned

5.3.2 Technical merit (200 points max.)

A) EDRMS (100 points max.)

B) User friendliness of trial database (100 points max.)

A) Technical functions of the EDRMS

In section A the technical functions of the EDRMS are evaluated.

In five different sections merit points will be awarded for functions that go beyond the mandatory requirements. Examples of possible features that would be marked positive are given below for each section.

Merit points will be awarded for features that provide additional benefits for the end user and the EDRMS administrator in the European Environment Agency. Special interest is given to technical options that enable the EDRMS administrator to adapt or change features of the functions.

The tenderer should provide clear and detailed documentation for each section. An overview list of functions with screenshots where appropriate is helpful for the assessment.

Table 2

Criterion	Merit points
1. Search	20
Functions and design of the simple and advanced search like, e.g.: Advanced search with Boolean operators, truncation and wildcard , auto-correction of common misspellings, sorting of search results by metadata (e.g., date, person, register number, format type), possibility for the EEA administrator to add fields in the search interface or change the labelling of search fields	
2. Metadata	20
Includes the way and scope metadata information is entered into the registration cards as well as Filing/Classification features like, e.g.: metadata from MS Word document and Outlook email is automatically inserted into the registration card (e.g., author, date, title), EDRMS allows for individually created file plans by and for each staff member ("my files", "my workplace"), name of person or organisation is entered into an address list from which the user can select the name for the field in the registration card or an option for linking address data to an outside CRM system.	
3. System integration	20
Concerns especially the integration with Microsoft Office and Windows Explorer and the quality of the integration of possibly different software for scanning and workflow like, e.g.: a button/functionality "to register" in the user interfaces of both Microsoft Word and Outlook so that users can save documents directly out of MS Office applications to the EDRMS database, another solution could be a drag-and-drop function to EDRMS files in MS Outlook and Word, tight integration to Windows Explorer. A direct interface from Windows Explorer to EDRMS for registration or easy to use drag and drop from Windows Explorer to the EDRMS files, automatic tracking and import of documents or emails to the EDRMS database after predefined rules by the administrator, e.g. all emails from address x are registered with confidentiality y to the file z with a retention period of 15 years	
4. Workflow	20
Focus on workflow for mail attribution as described in and on the basis of the mandatory requirements 3.7 like, e.g.: print out of circulation sheet with all the persons in attribution (e.g., as cover for paper documents to be signed) and the action code, memo field for notes that can be filled in by the person making an attribution to the attributed person, clear marking of attribution deadlines with overdue dates in the attribution reminders overview (e.g., in red colour)	
5. Miscellaneous	20
Includes statistical tools, publishing and versioning like, e.g.: basic statistical queries, e.g., how many records or queries by department, author/user, date, most popular documents, etc., advanced statistical query: number of registration cards by Boolean search in several metadata fields in combination with date (e.g., certain period of time and sender and title; how many invoices by company x in 2006, how many attributions, overdue dates, number of closing of overdue dates, usual delay between attribution and closing by Department, Group, Person). Possibility to export statistical query results to Excel and/or Business Objects, possibility to automatically publish selected documents to a public web site without giving direct access to the internal EDRM from the public internet, versioning with different user access rights, printable registration labels with unique identifier and title for file binders	
SUBTOTAL A	100

B) User friendliness of trial database

As part of their tenders tenderers are required to provide access to a trial database on the internet which allows testing its user friendliness. The trial database needs to be set up in such a way that its test is self-explanatory, is supplemented by a quick-guide and that during the test any interference on the part of the respective tenderer is excluded (non-compliance leads to exclusion from the tender procedure).

For the purpose of this test and as indicated in the following, aspects of user friendliness relate, *inter alia.*, to the clarity of layout, labelling and icons, the command structure, etc.

Table 3

Criterion	Relevant aspects	Merit points
1. Simple search and search results	Clear layout, number of commands needed, response time, clear overview of search results, easy sorting function of results	15
2. Advanced search (combined cross search in four metadata fields including date, author, file and a Boolean text search with two words in the text)	Number of commands needed, clear labelling, response time, clear overview of search results, easy sorting function of results, individual queries can be saved for re-use	15
3. Filing plan: clear overview of files for the normal end user. The test filing plan should contain at least 20 files in three levels	Good overview of files on one page, clear icons and labelling. Should be similar to the filing structure in Microsoft applications used in the EEA	10
4. Administrator's interface for adding or changing files	Labelling/Icons, number of commands needed, clear overview of file metadata in one window	10
5. Distinction between records and documents	Clear visual distinction already when opening a file	10
6. Interface to EDRMS from MS Outlook for manual registration of a document	Clear labelling, clear icons, number of commands needed for complete registration, speed of possible pop-up windows and saving, layout similar to MS Outlook	10
7. Interface to EDRMS from MS Word for manual registration of a document	Clear labelling, clear icons, number of commands needed for complete registration, speed of possible pop-up windows	10

	and saving, layout similar to MS Word	
8. Interface to EDRMS from Windows Explorer for manual registration of a document	Clear labelling, clear icons, number of commands needed for complete registration, speed of possible pop-up windows and saving, layout similar to Windows Explorer	10
9. Navigation in the EDRMS for the normal user. Finding search and registration interfaces in different environments (Outlook, Word, browser) from the perspective of an untrained user.	Clear icons, number of commands/time needed to change from Outlook to Simple search and open document in result list.	10
SUBTOTAL B		100
TOTAL A + B		200

Tenders will receive points for technical merit (TM) on the basis of the following formula:

$$\text{Score: } y(\text{TM}) = A + B$$

Tenders will be ranked according to their total scores:

$$\sum = x(P) + y(TM).$$

6. Environmental considerations

The EEA runs a certified environmental management system (EMAS) and aims to minimise the environmental impact of all its activities, including those carried out under contract. The future contractor will, therefore, be requested to consider the EEA environmental management guidelines in the implementation of the contract, in particular, those relating to business travel/, paper and energy consumption.

Further information on the EMAS system can be found on the EEA homepage:
<http://www.eea.europa.eu/documents/emas>

Moreover, it is strongly recommended that tenders are submitted in an environmentally friendly way, e.g., by choosing a simple and clear structure (list of contents and consecutive page numbering) and double-sided printing; limiting attachments to what is required in the technical specifications (no additional material) and avoiding plastic folders or binders;

7. Further information

Submitting an offer implies acceptance by the tenderer of all terms and conditions of the draft contract and its annexes.

ANNEX: Metadata

Required metadata for documents

Unique Document Identifier / Registration number (generated by the EDRM software)		
*Author/ Sender (Person's/ Organisation's name /synonym)		
Addressee		
Attributed Person/Case worker		
Attribution code		
Attributed by		
Attributed on date		
Name of the recorder	Not mandatory, but desirable	
*Date on the document		
*Date of registration		
*Title		
*Type of document (e.g. email, fax, paper mail, internal note, contract)		
*1.Filing Classification (Code, Title)		
2.Filing Classification (Code, Title)	Not mandatory, but desirable	
Keyword/Case file		
Links to other registration cards		
Versions		
*Abstract/Description		
*Legal Retention		
Action after Retention (Format)		
Size (pages, volume)		
*Access confidentiality		
Value (info, admin, legal, financial)		
Location of originals		

*Features with an asterisk have to be completed when registering. The points "format", "size" and "location of originals" might not be necessary for electronic documents but are important for paper original. The "links" feature should function as simply as possible, e.g. by drag-and-drop. Persons have to be registered with their full name, department, and organisation. The metadata tag must also allow for synonyms (very important for names in foreign languages) for persons and organisations.

Test example of a metadata tag

Unique Document Identifier / Registration number (generated by the EDRM software)	2006ADS00347
*Author/ Sender (Person's/ Organisation's name /synonym)	Philipp Wilhelm, ADS2, EEA
Addressee	Martin Mustermann, EC, DG ENV
Attributed Person/Case worker	Søren Nielsen
Attribution Code	Approval
Attributed by	Iben Bjurner
Attributed on date	01.09.2006
Name of the recorder	Rosa Ortiz
*Date on the document	01.11.2005
*Date of registration	23.08.2006
*Title	Adonis – Guidelines for mail registration and management in the EEA
*Type of document (e.g. email, fax, paper mail, internal note, contract)	Internal note
*1.Filing Classification (Code, Title)(new general filing plan)	A06 Document management
2.Filing Classification (Code, Title)(management plan)	2005/9.8.4 Corporate mail, filing and archiving system
Keyword/Case file	DM manuals
Links	Email criteria, Email at the EC
Versions	1.0
*Abstract/Description	Manual for the registration of mail and email with Adonis. Introduction to registration card system, criteria of official email
*Legal Retention Period	None
Action after Retention	Transfer to Historical Archives
(Format)	PDF
Size (pages, volume)	20 pages
*Access confidentiality	Internal use
Value (info, admin, legal, financial)	info
Location of originals	H-drive Wilhelm