

Annexure 1

Mandatory Requirements

Mandatory requirements are included as the first set of evaluation criteria and are not assigned a weighting. The mandatory criteria must be met in full, or the bid will be eliminated from further evaluation

**1. NARS compliance – solution**

<p>The proposed <b>physical</b> filing system and the EDRMS solution must be compliant with the KZN Archives and Records Services Act. And the National Archives and Records Services Act.</p> <p>The Solution must show the functionality as required in SANS (ISO) 16175-2:2014 or the European Commission’s Model Requirements for the Management of Electronic Records (MoReq2010) or the Design Criteria Standard for Electronic Records Management Software Applications (US DoD 5015.2US DOD5015.2. Service provider must ensure that an electronic records management application has the generic records management functionality required by the National Archives and Records Service</p>	Comply	Not Comply
Substantiate:		

## 2. METADATA

	Comply	Not Comply
The EDRMS application must not present any practical limitation on the number of metadata elements allowed for each item (e.g. file, volume, record). It must be able to capture the National Archives Records Services of S.A minimum mandatory metadata.		
Comment		

## 3. STORAGE

	Comply	Not Comply
a) All file formats currently used by TIKZN are storable in the database or folder (MS Office formats, Adobe suite formats, tiff, multimedia and graphics formats).		
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, tiff, multimedia and graphics formats) most frequently used by TIKZN.		
d) Guarantee of the authenticity of stored documents		
e) Administration of physical paper archives in a filling room. The creation of registration cards 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 TIKZN system requirements.		
Comment		

## 4. CLASSIFICATION SCHEMES/FILEPLAN

	Comply	Not Comply
The system must support and be compatible with TIKZN's file plan (an extract of the File plan will be available during the briefing session).		
Comment		

**4.1**

	Comply	Not Comply
The system must be able to represent files as being organized in a hierarchy with a maximum of seven levels.		
Comment		

**4.2**

	Comply	Not Comply
The system must allow for the addition of new classes at any point within any class as well as amendments to the file plan.		
Comment		

**4.3**

	Comply	Not Comply
The system must support a distributed classification scheme which can be maintained across a network of electronic record repositories.		
Comment		

**5. SCANNING**

	Comply	Not Comply
Integration between scanner and EDRMS, so that scanned documents are automatically received in the EDRMS.		
Comment		

**5.1**

	Comply	Not Comply
Batch scanning with barcode separator sheets and direct automatic linking of scan to a registration card.		
Comment		

**5.2**

	Comply	Not Comply
High speed scanning and linking to registration card also for double-sided originals with a blank page detection/remover.		
Comment		

**5.3**

	Comply	Not Comply
Automatic Optical Character Recognition (OCR) and full-text indexing of scans.		
Comment		

**5.4**

	Comply	Not Comply
Image Capture Software 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.		
Comment		

**6. CONTROLS & SECURITY**

	Comply	Not Comply
The system must offer access to records, files and metadata to specified users / user groups.		
Comment		

**6.1**

	Comply	Not Comply
The system must keep an unalterable audit trail capable of automatically capturing and storing information about all actions that are taken upon an electronic record; file or classification scheme; users carrying out or initiating out the action; the date and time of the event. The system must also keep and maintain the audit trail as a record.		
Comment		

**6.2**

	Comply	Not Comply
The EDRMS must have comprehensive controls to provide regular backup of the records and metadata and can recover records if any are lost because of system failure, accident, security breach, etc. The system must also provide automated backup and recovery procedures that allow regular backup and allow only the Administrator to restore from ERDMS backups. Full integrity of the data must be maintained after the restore.		
Comment		

**6.3**

	Comply	Not Comply
Users must be allowed to indicate that selected records are “vital records”- those records that are necessary to the organization’s ability to continue its business hence the protection and identification of such records is of great importance to the organization.		
Comment		

**6.4**

	Comply	Not Comply
A tracking feature is needed to record the change of location for both ease of access and to meet regulatory requirements. The tracking function must record information about file movements which include unique identifier of the file or records; current location; date file sent/moved from location; date file received at location; user responsible for the move.		
Comment		

**6.5**

	Comply	Not Comply
The EDRMS must restrict access to system functions per user’s role and strict system administration controls. (To protect the authenticity of electronic records). The system must also prevent any change to the content of the electronic record by users and/or Administrators.		
Comment		

## 7. RETENTION & DISPOSAL

	Comply	Not Comply
The EDRMS must provide a function that specifies retention schedule, automates reporting and destruction actions (should require a second confirmation) and provide integrated facilities for exporting records and metadata.		
Comment		

### 7.1

	Comply	Not Comply
It must automatically record and report all disposition actions to the Administrator / Records Manager.		
Comment		

### 7.2

	Comply	Not Comply
It must allow the Administrator/ Records Manager to amend any retention schedule allocated to any file at any point in the life of the file and keep records of such changes in the audit trail.		
Comment		

### 7.3

	Comply	Not Comply
The EDRMS must be able to notify the Administrator regularly of all retention schedules which will come into force in a specified period and provide quantitative reports on the volumes and types of records.		
Comment		

**7.4**

	Comply	Not Comply
The EDRMS must support the review process by presenting electronic files to be reviewed, with their metadata and retention schedule information (the reason), in a manner which allows the reviewer to browse (i.e. navigate and study) the file contents and/or metadata efficiently.		
Comment		

**7.5**

	Comply	Not Comply
The EDRMS must allow the reviewer to take at least any of the following actions for each file during review: mark the file for deletion; mark the file for transfer; change the retention schedule (or assign a different schedule) so that the file is retained and re-reviewed later.		
Comment		

**8. CAPTURING RECORDS**

	Comply	Not Comply
The EDRMS record capture process must provide the controls and functionality to: register and manage all electronic records regardless of the method of encoding or other technological characteristics; ensure that the records are associated with a classification scheme and associated with one or more files; integrate with application software that generates the records; validate and control the entry of metadata into the EDRMS; and must be able to detect duplications from both content and metadata.		
Comment		



**8.1**

	Comply	Not Comply
The EDRMS must be able to capture documents from a range of different electronic document format types and structures as records.		
Comment		

**9. SEARCHING, RETRIEVAL AND RENDERING**

	Comply	Not Comply
The EDRMS must provide a flexible range of functions that operate on the metadata related to every level of record aggregation (file, class) and on the contents of the records through user-defined parameters for locating, accessing and retrieving records and/or metadata.		
Comment		

**9.1**

	Comply	Not Comply
The EDRMS search facilities must be integrated and must, to users, appear the same for all levels of the classification scheme.		
Comment		

**9.2**

	Comply	Not Comply
The EDRMS must provide searching tools that cover the following techniques: free text searching of combinations of record and file metadata elements and record content; Boolean searching of metadata elements.		
Comment		

**9.3**

	Comply	Not Comply
The EDRMS must allow the metadata of any object (such as record, volume, file or class) to be searched using the techniques in this section whether the object itself is in electronic form or not, and regardless of whether the object is stored on-line, near-line or off-line.		
Comment		

**9.4**

	Comply	Not Comply
The EDRMS must render records that the search request has retrieved. The EDRMS must be able to render all the types of electronic records specified by the organization in a manner that preserves the information of the records (e.g. all the features of visual presentation and layout produced by the generating application package), and which renders all components of an electronic record together.		
Comment		

**9.5**

	Comply	Not Comply
The EDRMS must be able to generate metadata about the access and security levels and the preservation actions taken on the records.		
Comment		

**9.6**

	Comply	Not Comply
Audit trail of complete life cycle.		
Comment		

**9.7**

	Comply	Not Comply
Customization and modification (add or delete fields, change labelling, confidentiality settings) in the metadata fields of the registration card are limited to the ICASA administrator role.		
Comment		

**9.8**

	Comply	Not Comply
Safety mechanism prohibiting changes to the retention schedule by mistake or unauthorized users.		
Comment		

**10. TIKZN TECHNICAL REQUIREMENTS**

Implementation	Comply	Not Comply
The supplier must install, configure and transfer skills to TIKZN with regards to the proposed solution, as well as any complimentary software proposed.		
Comment		

**10.1**

Facilities	Comply	Not Comply
Provision must be made for integration with organizational systems such as: Microsoft Exchange Microsoft office Fax System HR systems Customer relations management systems, etc.		
Comment		

**10.2**

Facilities	Comply	Not Comply
TIKZN's documents are in the form of physical paper and softcopy of randomly archived electronic documents on SharePoint 2013 server and personal folders on PC and Storage Servers. The proposed solution should be able to migrate records from these systems to the new system.		
Comment		

**10.3**

Facilities	Comply	Not Comply
The solution must be able to integrate to Active Directory.		
Comment		

**10.4**

Facilities	Comply	Not Comply
Database structures must be documented and available for report writing tools. Alternatively, the software itself must have sufficient report writing capabilities.		
Comment		

**10.5**

Facilities	Comply	Not Comply
Hardware requirements with quotation must be clearly specified and guaranteed for acceptable levels of performance and reliability.		
Comment		

## 11. WORKFLOW MANAGEMENT

Facilities	Comply	Not Comply
a) Workflow management.		
b) Creation of different action codes (attributions) for different tasks with different automatic deadlines (e.g., today's date plus 14 days).		
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.		
Comment		