The New Development Bank

Request for Proposal

(This is not a Purchase Order)

1. Introduction

The New Development Bank (NDB) is issuing a Request for Proposal (RFP) to invite qualified suppliers to provide proposals to NDB's **S-IT-2023-01386 Document management system** project. Please refer to the following information and attachment for detailed requirements.

NDB invites those interested and qualified companies to register with NDB's e-procurement system to be our **registered suppliers** and participate in the bidding process (**please be advised the contact information provided in registration, especially email address, must be correct as all communications regarding the bid, including RFP distribution and award notice, will be sent through it**). NDB will choose the most suitable one(s) from the shortlisted suppliers. NDB at its sole discretion reserves the right to reject all proposals in accordance with its internal policy and guidelines.

2. RFP Schedule

Please be advised the following activities could take place in the RFP process. NDB will inform the specific arrangements in advance and the suppliers are requested to respond in a timely manner.

Activity	Date
Distribution of RFP	January 17, 2024
Deadline for Questions	February 8, 2024
Proposal Response Due	February 19, 2024
Presentation and Demonstration	TBD
Negotiation on contract	TBD
Signing Contract	TBD
Project Kick Off	TBD

*The RFP Schedule is for reference only and NDB has its sole discretion to adjust as per the project's needs.

3. Instruction to bidders

3.1 Contact Information

Please use the following contact information for all correspondence with NDB concerning this RFP.

Name: Ivan Nepeivoda
Address: 26th floor, NDB Headquarters, 1600 Guozhan Road, Pudong, Shanghai, China
中国上海浦东新区国展路 1600 号，新开发银行总部大楼 26 层
Email: nepeivoda.ivan@ndb.int

3.2 Submission of Proposals (Introduction to use of NDB's e-procurement system)

Proposals shall be prepared in English. Electronic version is obligatory and shall be uploaded in NDB's e-procurement system.

For submission of proposal, the qualified suppliers should register with NDB's e-procurement system to be **NDB registered suppliers** (subject to NDB's internal approval) in advance. All registration information shall be in English except for uploads of scanned or copied documents originally produced in other languages. Then registered suppliers need to **ENROLL** in the procurement notice (for open competitive bidding) or **ACCEPT** the invitation (for limited competitive bidding) before submitting proposal online according to the timeline: https://www.ndb.int/procurement-opportunities/corporate-procurement/

The deadline, due time, closing date, among others, referred to herein means Beijing time; and NDB's business time is from 9:00AM to 5:15PM in working days.

3.3 Questions

Please submit questions in writing by e-mail. Suppliers are advised to refer to the specific paragraph and page number in RFP and should quote the corresponding passage. NDB will be prompt in responding to the questions. All questions will be responded to as a group and sent to all suppliers. NDB will not provide feedback to questions raised beyond deadline.

3.4 Ownership of Materials

All materials submitted in response to this RFP become the property of NDB. Proposals and supporting materials will not be returned to suppliers.

3.5 Proposal Costs

NDB is not responsible for any costs incurred by the supplier in the preparation of the proposal or the site visit.

3.6 Proposal Format (if applicable)

NDB recommends that the proposal should contain **three** parts as follows. **The supplier may choose another proposal format as long as it suits the purpose.**

- Volume 1 – Information on the supplier. The supplier is required to provide the basic information in the attached table (attachment 2). Please fill out the table as complete as possible. More information will help us in evaluation.
- Volume 2 – Main Proposal

    Section 1   Executive Summary

    Section 2   Functional Section

    Section 3   Technical Section

    Section 4   Project Management Section

    Section 5   Support Section

- Volume 3 – Price Proposal – Should be in a separate document even though it is an integral part of the proposal. The currency is **USD**; if quoted in other currencies, the exchange rate should be clearly defined. **The price shall be inclusive of applicable taxes (if not, please specify)**; other charges shall also be clearly defined.

3.7 Validity Period

The proposal, including pricing quotation, shall be valid at least for 120 days.

3.8 RFP Amendments

New Development Bank reserves the right to amend this RFP any time prior to the closing date. Amendments will be issued only to suppliers who are going to complete a proposal.

3.9 Sub-contractor

NDB expects to negotiate and sign contract with one winning supplier. NDB will accept only complete solutions from a primary supplier and will not accept any incomplete proposals that are only cover part of the RFP. The prime supplier will be responsible for the management of all subcontractors. NDB will not accept any invoices from subcontractors or become part of any negotiations between a prime supplier and a subcontractor. If there is any sub-contractor involved or engaged by the supplier, it shall be clearly stated in the proposal.

3.10 Award Notification

NDB will negotiate with all shortlisted suppliers before deciding the winning supplier. NDB reserves the right to negotiate further with the winning supplier before or in the contracting

process. The award notification is sent to the winner online in the e-procurement system. NDB is not obliged to notify the bid outcome to unsuccessful suppliers.

4. Evaluation Criteria

The proposals will be reviewed and evaluated by NDB's team in accordance with the related policy and guidelines, especially the six principles (Economy, Efficiency, Competition, Transparency, Value for Money, Fit for Purpose) contained in NDB's corporate procurement policy. NDB is interested in obtaining a complete solution to the requirements contained in this RFP. Proposals that meet the proposal instructions and requirements will be given a thorough and objective review. Proposals that are late, or do not comply with proposal instructions, or take exceptions to mandatory requirements will be excluded. The following are the key factors that would be taken into consideration for evaluating the proposals.

i. Technical Approach and Methodology or Software Solution
Primary consideration will be given to the mandatory requirements as listed in this RFP.

The following are the main factors in the evaluation.

1. Meeting the requirements as stated in this RFP;
2. Understanding of the work to be performed;
3. Technical approach and methodology to accomplish the work;
4. Completeness and competence in addressing the scope of work.

ii. Project Management
NDB also believes that effective project management is essential for a successful implementation. Suppliers will be evaluated on the completeness and responsiveness of their project management plans and the project team assigned.

As part of the project management plan, suppliers must demonstrate adequate experiences in developing and implementing the requested project. NDB's confidence in the suppliers' ability to meet deadlines and successfully manage similar projects will be a primary consideration.

Special consideration is given to suppliers who propose a detailed project plan with sufficient breakdown of tasks and steps to demonstrate a complete understanding of the project.

iii. Pricing
NDB will consider pricing as part of the evaluation criteria. **Lowest price is not essential to win.** However, large pricing differentials between suppliers will be carefully examined. Price will be used as a final indicator for determining the supplier finalists when all other criteria have been normalized.

iv. Presentation and Demonstration

The performances and results of Presentation and Demonstration will be evaluation factors.

v. Support and Maintenance

NDB believes the ability to perform timely support is also an important factor for the success of this project. Therefore, suppliers should provide adequate information to demonstrate their capabilities to fulfill this task.

5. Contract

The participants shall review the service agreement template provided by NDB in advance. The use of NDB's version of service agreement is preferable. NDB Template for Service Agreement and NDB General Terms and Conditions for Procurement Contracts can be found on the NDB's official website: https://www.ndb.int/procurement-opportunities/corporate-procurement/

Please note that, being an international institution, NDB enjoys privileges and immunities as per the Articles of Agreement (Agreement on the New Development Bank) and disputes will be resolved by a reputable international arbitration center. The preferable forum is Shanghai International Arbitration Center ("SHIAC") or any alternative forum in a neutral jurisdiction.

Attachment 1:

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Service Scope (Statement on Work)

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Executive Summary

Project Description

As part of NDB's digitisation strategy to improve efficiency and security controls, it is imperative advance in our business processes automation initiative related to how we produce, review, store, distribute, approve, archive, and search electronic documents across business units. On this project, we are looking for solutions that would help NDB to implement an enterprise document management system powered by business processes workflows.

Goals

- Store documents managed by business units in a centralized, secure cloud-based repository with restricted access control.
- Provide a business process automation solution to manage the request, review, authorization, preparation for circulation, and multi-level approval workflows for multiple document types with version control.
- Provide a record management system for archiving documents with appropriate retention policies.
- Enhance document search capabilities with metadata information and full-text search.
- Enforce security controls such as audit logging, data-loss prevention, confidentiality, and information classification.
- Manage, track, and remind pending approvals and actions.
- Provide means to produce reports integrated with analytics tools.
- Provide templates for documents that are common across areas.
- Provide an extensible solution that would be able to integrate with other systems such as but not limited by digital signatures and intranet portal.
- Provide means to collaborate on documents in an efficient manner.

Functional Requirements

Functional requirements define the features the solution provider must provide.

FR1. General requirement to the solution provider team

- Expertise and Experience: The solution provider team should have a strong background and extensive experience in IT solution delivery to the financial industry and MDBs (multilateral

6

development bank).

- Relevant Skills and Certifications: The solution provider should have a team of specialist with the necessary skills and certifications. The solution provider should have a team that is able to perform the following roles:
  - o Project Manager: manage scope, quality, cost, time, and reporting during the execution of the project.
  - o Solution Architect: design and document the solution.
  - o Business Analyst: collect, analyse, and document requirements within NDB business units.
  - o Delivery Manager: deliver the solution following NDB's change management policies, procedures, and guidelines.
  - o Development: customize the solution based on NDB's requirements
  - o User Experience: customize the solution to enhance the usability and experience of users.
  - o Support and training: offer training, guidance, and support during and post go-live, following NDB's incident, service desk, problem management guidelines and procedures.

- Understanding of Organizational Context: The solution provider should demonstrate a strong understanding of NDB's organization, industry, size, complexity, and specific IT management and governance challenges. They should be able to align the recommendations and solutions with NDB's context and strategic objectives.

- Methodology and Approach: The solution provider should have a structured and proven approach for managing the project delivery from beginning to end to ensure a systematic and successful delivery of the solution in production.

- Collaboration and Communication: The solution provider team should demonstrate excellent communication skills, actively listen to NDB's needs and requirements, and foster collaborative and pro-active working relationships with project stakeholders.

- Tailored Solutions: Look for a solution provider that can provide tailored solutions to meet NDB specific needs. They should be able to customize policies, frameworks, and governance structures to align with NDB's culture, processes, and industry regulations.

- Project Management and Timelines: The solution provider should have a track record of delivering projects on time and within budget, proven project management methodologies, deliverable milestones, and reporting mechanisms to ensure effective project oversight and transparency.

- References and Reputation: The solution provider should have high reputation in the industry with testimonials, case studies, or client success stories that demonstrate their ability to deliver value and achieve desired outcomes.

FR2. Centralized Document Repository

- The solution should allow the users to manually upload and download documents of various formats, including but not limited to Microsoft Office files (Word, Excel, PPT), JPG/JPEG, PDF, and emails to and from selected folder(s).
- The solution should be able to annotate documents with custom metadata fields such as document number, approval status, category, sub-category, pre-defined by document type, etc.
- The solution should be able to generate automated document numbering scheme following the conventions defined by NDB business units.
- The solution should be able to lock the file, blocking editing/writing. Authorized users can change this flag.
- The solution should support information classification for each document or set of documents and enforce security controls based on them.

FR3. Searching and Sorting

- The solution should support full text and metadata search capabilities on any registered requests and type of supported file, including PDFs.
  - Enable Optical Character Recognition (OCR) for un-editable files to facilitate texts searching.
- Search scope must be performed only on documents that the user has access to.
- The solution should provide means to sort filtered results based on their metadata fields such as creation date, author, approval status, etc.

FR4. Sharing and Collaboration

- The solution should provide means to share documents via email and links to the shared files.
  - Sharing and access control should support Internal and external users (not managed by NDB's user directory).
- The solution should preferably allow co-authoring using Microsoft 365 online capabilities.

FR5. Workflow Management

- The solution should provide means to register and submit online requests based on workflow/document types. The request registration may contain custom fields such as urgency level, due date, and information classification, that may affect the behaviour of the workflow. Attachments should also be supported.
  - Workflows can also be triggered by events such as file uploaded, or metadata field updated.
- The solution should provide means to track and manage tasks and their progress as they move through the workflow. This includes:
  - The ability to create tasks, assign them to individuals or teams, track progress and update their status, assignments, or comments.

- o   Track and log all activities performed by users.
  - o   Delegate tasks such as approvals to authorized users.
  - o   Allow for escalation in case no action is taken for a pre-defined time.
  - o   Allow for amendment of due dates and individuals/teams in the workflow by authorized users. Close, interim close, or reopen a registered request.
- The workflow system should provide means to define custom business rules and conditions to progress from one stage to another, such as, but not limited to:
  - o   Verification of correct metadata information
  - o   Verification that the necessary approvals are in place.
- The workflow management system should provide means to
  - o   Be easily managed, created, and adjusted by citizen developers and system administrators.
  - o   Adjustment of workflow does not alter running and previous existing workflows.
  - o   There are complete workflow logs and audit trail of activities in the system.
- The workflow management system should support multiple action types such as:
  - o   Convert documents to PDFs.
  - o   Update metadata fields.
  - o   Submit for approval.
  - o   Approve, decline or return the submitted request.
  - o   Submit for digital signature.
  - o   Call external APIs.
  - o   Send e-mails with/without attachments.
  - o   Notify users.
  - o   Upload/Download files.
  - o   Create folders.
  - o   Generate compressed files.
  - o   Encrypt/Decrypt files.
- The solution should support means to notify users based on pre-defined criteria and workflow, such as incoming request, pending actions, time expiration, workflow stage change. E-mail and mobile push notifications must be supported.
- The solution should be able to automatically record audit trail to track and monitor all the activities performed according to the workflows in the solution.
- Access control should be supported for different users depending on their roles and document sensitivity.
- Workflows for each type of document/request should be flexible and customizable to support multiple type of scenarios such as multi-level approvals, multiple stages of review and amendments.
- User requests should support comments, clearly indicating the user and timestamp of each comment.
- The solution should list pending actions for each request to facilitate governance of required approvals and actions such as review, etc.
- The solution should provide means to define expiration dates for any action request with reminders associated with them.
- Every approval should be recorded with author, timestamp and the version of the documents that have been approved.
- Approvals can be performed by other authorized members (e.g., assistant) on behalf of the authority. Authorities can delegate permissions to other members to approve on their behalf.

- The solution should support multiple approval policy schemes defined by NDB.
- The solution should clearly identify at which stage every document/package is on the pipeline and the necessary actions to move to the next stage.
- The solution should provide means to customize email message notifications.
- Approvals and other actions should be available on the web and mobile versions.

FR6. Version Control

- The solution should track changes, keep multiple versions of the document, and show revision history.
- Authorized users can restore previous versions.
- The solution should provide means to compare versions or leverage Office 365 tools to achieve similar result.
- The solution should provide means to control multiple versions of workflows and restore to previous versions.

FR7. Integration

- The solution should be able to provide or integrate with digital electronic signature technologies.
- The solution should be able to integrate with the following technologies: SharePoint, Power Platform (i.e., Power BI, Power Apps, etc), ServiceNow, SAP Success Factor, Microsoft Teams, Microsoft Office 365, Outlook, OneDrive, Convene and any other solution that provides APIs to connect to.
- Integration means that the solution workflow can call or be called by external APIs or integration points to send/receive files, metadata, notifications, messages (i.e., webhooks), or requests.

FR8. Extensibility

- The solution should be able to be extended to integrate and provide electronic signatures to documents based on NDB's policies, guidelines and procedures.
- The solution should provide APIs with authentication and authorization mechanisms to perform the main activities such as create a request, trigger a workflow, attach/upload a file, update metadata fields, import/export data, request/cancel approvals, notify users, archive documents.
- The solution should be extensible to support multiple types of documents and workflows for future enhancements.

FR9. Information and access Rights Management

- The solution should support means to classify documents based on NDB's information classification guidelines and procedures.

- The solution should support means to allow periodic access review and notifications, integrated with enterprise users (Azure AD).

FR10.	Reporting and Analytics

- The solution should be able to automatically generate reports and dashboards with required information sourced in accordance with pre-defined metrics, including:
  - reports on the number of requests in a defined period/area or from defined client departments.
  - dashboard illustrating the status of all tasks, including in progress, interim closure, final closure.
- The solution should be able to integrate with Analytics tools such as Microsoft Power BI by providing means to export data (files), metadata and logging activity.
- Access to these reports should be governed by the access control rules defined in the system.

FR11.	Records Management

- The solution should be able to file/archive documents based on pre-defined retention policies.
- The system should be able to provide for two "Libraries"; one "library" for day-to-day work processes of drafting, editing, reviewing sharing and finalization of records. Once a record becomes final, staff will now "declare it a record" and file into the "records management library" in a file plan schematic customized for the use of the concerned Department (office of record). This should also trigger a "lock" to the record or groups of records.
- The file plan schematic is composed of file folders with functional categories. Each file plan category will be assigned one retention rule.
- The system should make it visible to the user about the separate structures of the "libraries".
- The system should be able to manage and control access rights (from originator Department to Administration Department) once retention rules have been reached.
- The system should be able to generate reports for records destruction or permanent retention.
- Approval workflows should be supported on disposal of records after retention period.

Non-Functional Requirements

Non-functional requirements define the technical standards and quality attributes of the system, for instance, system usability, effectiveness, security, scalability, etc.

NF1.	Location

| Details | Services must be provided are expected to work with NDB HQ staff in Shanghai, China. |
| Priority | High |

NF2.	Language

Details   English is mandatory as the medium of communication and documentation

Priority   High

NF3.	Support

Details   24x7 support in English should be offered with the following SLAs for initial response and resolution time.

- o Initial response Time: the initial period in which the service provider responded to commence action to an incident.
- o Resolution Time: the period by which the service provider will resolve the issue or provide an alternative solution to walk-around the issue.
- o Critical business impact:
    - Initial response time: 30 mins
    - Resolution time: 2 hours
    - NDB's business has stopped, or has a significant loss or degradation of services, and requires immediate attention to restore functionality or usability of the solution.
    - Loss of data, loss of encryption key or a data wipe.
- o High business impact:
    - Initial response time: 2 hours
    - Resolution time: 12 hours
    - Critical module or component is unusable and is preventing full use of the system in a manner that has a material impact on the business. The system itself is available in part, but one or more elements are not functioning correctly and require immediate attention.
- o Medium business impact:
    - Initial response time: 12 hours
    - Resolution time: 48 hours
    - A non-critical or procedure of the system is down, unusable, or difficult to use with some operational impact, but no immediate impact on the system delivery and an alternative or bypass is available.
- o Low business impact:
    - Initial response time: 24 hours
    - Resolution time: 72 hours
    - NDB's business is functioning with minor limitations or impediments of services.
- o User and development support, inquiries:
    - Initial response time: 24 hours
    - Resolution time: 72 hours

For all critical or high business impact the provider must perform a root cause analysis and implement a remediation plan in agreement with NDB without additional cost.

Identified product defects should be fixed in an agreed time plan with NDB IT team and a workaround should be provided following the impact table above.

Priority   High

NF4. Service Level Agreements

Details   The solution should support 99.5% availability. Planned maintenance windows are not considered for the availability calculation.

The supplier should provide a status page and a status API (i.e., health endpoint) allowing IT team to monitor the solution availability using their own internal tools.

The solution provider must provide monthly availability reports.

The solution provider should provide a technical account manager to be able to:

- Manage support cases, users' questions, incidents, and problems following NDB's event, incident and problem management policies, guidelines, and procedures.
- Provide root cause analysis reports for identified problems.
- Identify and manage opportunities to improve service levels or the solution.
- Manage new enhancements requests.
- Manage the delivery of changes of new versions of the solution according to NDB's change management policies, procedures, and guidelines.
- Report about progress on incidents, problems, user support cases and enhancements requests.

Priority   High

NF5. Documentation and Training

Details   The supplier should provide the administrator and user manual covering all activities and operations.

The supplier should provide a solution architecture documentation with detailed information about integration points, relationships, connectivity, and description of main components of the solution, following NDB's technology architecture guidelines and procedures.

The supplier should provide training. The estimate number of sessions are indicated below. A session should provide full training on the solution for the selected user role.

- Administrator sessions: 2
- Workflow designer: 2
- User sessions: 6

Sessions must be recorded and provided to NDB to be shared with any internal employee.

The supplier should provide cost break down per user role.

Training sessions are optional as per NDB request.

Priority   Medium

NF6.	Security and Compliance

Details   Project will follow the Bank's policies pertaining to IT security and compliance related requirements.

The solution should support integration with Privilege Access Management solution (i.e., CyberArk).

The solution should support data retention, and role-based access control for all types of documents.

Access must be audited and logged for each document or set of documents.

The solution must support exporting all audit and access logs to external solutions (e.g., Splunk)

Data at rest and in-transit should be encrypted.

The service hosting and data residency of the system is required to be in NDB member countries.

Authentication and authorization should be integrated with NDB's single sign-on Azure Active Directory Service and multi-factor authentication.

The solution provider should implement a business continuity and disaster recovery plan considering the Recovery Point Objective of 2h and Recovery Time Objective of 24h. Penetration testing should be performed at least once annually or with any major functionality changes, where applicable. The provider must implement fixes for any critical or high findings without additional cost, based on an approved plan by NDB.

SOC II Type 2 report would be required where applicable or, alternatively, ISO 27001.

Service Provider is responsible for taking all measures to diligently ensure data privacy and information confidentiality of NDB and its personnel for the full term of the contract until the personal data and confidential information concerned is deleted or returned to the NDB on termination of the contract.

Priority   High

NF7.	Deployment & Change Management

Details   The solution should be provided as Software as a Service Model or a Managed Platform, preferably connected to our private network, without access through the Internet directly.

The solution should be preferably provisioned on an isolated tenant, even though the underlying infrastructure could be shared.

The supplier should provide a development and testing environments to allow NDB to validate workflows before promoting to production.

The solution should provide backup mechanisms of files and metadata to external systems.

Priority   High

NF8.	Design and Content

Details   The interface should support responsive design for desktop, tablets and mobile, including IOS and Android technologies or provide mobile apps to access its functionalities.

Compatibility with the current versions of Firefox, Safari, Chrome, and Edge

Priority   High

NF9.	Customization

Details   The supplier should provide professional services to implement and customize the solution based on the number of document types (and their relevant metadata) and workflows. One workflow can be applied to one or more document type. The following is the initial estimate of the number of workflows and document types to be implemented:

- Number of document types: 40
- Number of workflows: 20

The solution provider should provide their customization cost model breakdown based on these metrics.

The solution provider should include on their proposal an initial design customization of the main interface to align with requirements from business users.

Priority   High

NF10.	Number of users

Details   The solution provider may expect different types of users and may have different licensing requirements. The following is the estimate of the number of users expected after customization is complete.

Number of users with full capabilities on the tool (submit requests, participate on tasks from the workflows, upload/download/collaborate on documents): 60.

Number of users that would submit, view, and participate on requests: 300.

Number of administrators: 15.

Any licensing cost should be provided per user type with a clear definition of their capabilities.

Priority   High

NF11.	Additional development and enhancement

Details   The solution provider should plan, in addition to NF9, extra man-days capacity to support custom development or enhancement required to support NDB's business cases.

This additional capacity is limited to 200 man-days. NF9 should be included in the main proposal. NF11 only refers to additional development work after all initial workflows have been implemented.

This additional capacity is optional and may only be requested as per business need.

The provider should include the cost unit per man-day.

Priority   High

NF12.   Service Period

Details   The service period is 3 years.

Priority   High

Attachment 2:

Information Category	Description	Supplier's inputs
General Information	Legal Entity Name	
	Legal Address	
	Website	
	Government Registration Number	
	Date of Registration	
	Tax ID	
	Name(s) of Authorized Signatory	
	Contact Information (name, title, mail address and telephone number)	
	Amount of Employee	
	Three reference customers (minimum)	
Financial Information	Registered capital	
	Revenue of last 3 years	
Other Information	Information Security Credentials if any	
	Data residency location, for providing service required in the RFP	
	IDD/ AML Sanctions, Yes or No. If yes, please specify.	
	Others deemed necessary	