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-2024-01427 Ethics and Investigation - Case management system_ project. Please refer to the following information and attachment for detailed requirements.

Those interested and qualified companies please register into NDB's e-procurement system to be **NDB's registered suppliers** and participate in the bidding process (**please be noted 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 noted 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 timely.

Activity	Date
Distribution of RFP	February 23, 2024
Deadline for Questions	March 8, 2024
Proposal Response Due	March 15, 2024
Presentation and Demonstration	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: Junfeng (Jimmy), Wang
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: wang.junfeng@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 sent online in NDB's e-procurement system.

For submission of proposal, the qualified suppliers should register to 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 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 mentioning of deadline, due time, closing date, etc. 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 should refer to the specific RFP paragraph number and page and should quote the questioned passage. NDB will be prompt in responding to 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 suppliers. The supplier is required to provide the basic information in the attached table (attachment 2). Please fill out the table as complete as possible, where it applies. More information is more helpful for evaluating.

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 separate but integral part of the proposal. The currency is **USD**; if quoting in other currencies, the exchange rate should be clearly defined. **The price shall be inclusive of applicable taxes (if not, please specify)**; and 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 could negotiate with all shortlisted suppliers before deciding the winning supplier. And NDB reserves the right to negotiate further with the winning supplier before and 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 eliminated without further consideration. 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 meet 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 especially be aware that being an international institution, NDB enjoys privileges and immunities granted in the Articles of Agreement (Agreement on the New Development Bank) (https://www.ndb.int/) and disputes will be held by a reputable international arbitration center. Preferable forum is Shanghai International Arbitration Center ("SHIAC") or any alternative forum in a neutral jurisdiction.

Attachment 1:

Service Scope (Statement on Work)

NDB Information Technology

Case Management System

Requirements Specification

Executive Summary

Project Description

Ethics and Investigations Division (EID) is seeking a firm to implement a Case Management System (CMS) for NDB to be used by EID. The system should facilitate central management of the entire investigative process and be easy-to-use and fit-for-purpose.

Goals

- Digitize Ethics and Investigations business process activities using a Case Management System

- Track progress, assignments, and status of cases

- Control access to sensitive data

- Manage all cases in a single easy to use solution.

- Generate statistical reports to manage process performance.

Functions and Features

Functional Requirements

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 international organisations, experience in delivering solutions that meets customer specifications and MDBs (multilateral 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:
  - Project Manager: manage scope, quality, cost, time, and reporting during the execution of the project.
  - Solution Architect: design and document the solution.
  - Business Analyst: collect, analyse, and document requirements within NDB business units.
  - Delivery Manager: deliver the solution following NDB's change management policies, procedures, and guidelines.
  - Development: customize the solution based on NDB's requirements.
  - User Experience: customize the solution to enhance the usability and experience of users.
  - 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. A list of recognizable clients must be provided.

FR2. Workflow – Registering and Recording

- Register all incoming complaints in the same format as received (e.g., external web forms from NDB official website, internal forms from Compliance shared drive and/or e-mails, hotline, voice, and any other reporting mechanism (walk-ins)), with 24/7/365 worldwide access.
- Track, triage, centralize, and submit all received incidents/requests to the CMS database in a form that matches the fields and workflows as required by EID, regardless of the form received.
- Forward and backward propagation of information.
- Record the complaints involving allegations against the Bank Personnel and wrongdoing (relating to corruption, fraudulent practices, and instances of money laundering) against Bank contractors, borrowers and/or their affiliates/contractors and allocation of complaints to the relevant stakeholder countries.
- Record the complaints relating to social and environmental issues in Bank-financed projects (and not involving Bank Personnel), and allocation of complaints to the relevant stakeholder countries.
- Record the investigation processes, such as: Case Prioritization, PR, IC, NC, RM, Closure, relating to each case and formal recording of the decisions of an investigation, a response, or closure at the respective stages.
- Record the chronology of all case activities.
- Record the type of allegation/request, source of allegation/request, names of subjects, and witnesses/stakeholders, case information and populate templates; and
- Record time spent by case and investigator(s), stakeholder countries.

FR3. Workflow – Process Control

- Allocate tasks and track investigation progress with role-based access capabilities.
- User accounts, depending on the access level, are able to view the case portfolio with a dashboard-based interface, indicating the status of the cases.
- Send automated notifications to managers for completion of Preliminary Review by the investigators.
- Automated notification and alert system linked with diary function, indicating e.g. deadlines; and
- Send emails from the CMS and the system will automatically save those emails.

FR4.Workflow – Uploading, Editing and Saving Files

- The CMS should allow users to attach reports, supporting documentation and other electronic files (at least 1 GB in size) with at least PC end via the web form. There should not be any limitation on the number of files to upload or the extension of the file.

- The CMS database users should be allowed to upload, scan, save and modify electronic files directly into the database without any limitations; and
- The CMS database should allow EID to save data in the vendor's servers of at least 300 GB per calendar year. This capacity may be increased as EID's needs change.

FR5.Workflow – Access

- Allow simultaneous access to the system and individual case files to all EID staff.
- Allow world web-based and email 24/7/365 access and functionality to the CMS on multiple and different types of devices: standalone, laptops, tablets, and mobile devices through secured VPN servers with a license and from any location.
- It must be possible to limit the scope of access on an individual and case-by-case basis for users accessing the CMS (establish customized firewalls between activities/information of investigators); Users will receive access to CMS information based on their status, manager to be able to set Interface and communications with EID members;
- Be secure with appropriate VPNs and certification/licenses for data hosting; and

FR6.Workflow – Search and Analysis

- Able to fill searchable fields and data for the report and analytic purposes.
- Automatic and manual case-linking by searching with keywords.
- Able to view details – including status, priority, and due date.
- Able to convert fields into charts and graphs; and
- Case and template printing.

FR7. Dashboards and Analytical Functions

- Multiple dashboards with logical workflows and scheduling capabilities, entire lifecycle management, including functions/responsibilities.
- A main dashboard whereby the initial information/complaint is registered.
- Dashboards permitting investigations, namely: Preliminary Review (PR) Investigation Case (IC), Non-Case (NC), and Redress Mechanism (RM).
- The dashboards should provide a seamless transition between PR, IC, and NC.
- The dashboards should be interoperable and linked.
- Dashboards should set out the main functions of each respective step in the entire life cycle of the process.
- The dashboard should capture and set out all the responsibilities/functions (tasks) of both management and investigators, inclusive of communications between management and investigators.
- Single, centralized case file with simultaneous multi-user capability.
- It must provide for the entire process /workflow, including the initial registering of the complaint and recording/uploading of the information received. It must provide for process control throughout until case finalization and closure.

FR8.Centralized repository

- All data is stored in a single location/repository.

Non-Functional Requirements

NF1.	Location

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

NF2.	Language

Details   English is mandatory as the medium of communication and documentation

NF3.	Support

Details   Minimum 9 hours / 5 weekdays support in English should be offered with the following SLAs for initial response and resolution time (Shanghai time-zone).

- Initial response Time: the initial period in which the service provider responded to commence action to an incident.
- Resolution Time: the period by which the service provider will resolve the issue or provide an alternative solution to walk-around the issue.
- 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.
- 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.
- 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.

- Low business impact:
  - Initial response time: 24 hours
  - Resolution time: 72 hours
  - NDB's business is functioning with minor limitations or impediments of services.
- 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.

NF4.	Service Level Agreements

Details	The solution should support 99.5% availability. Planned maintenance windows are not considered for the availability calculation but must be informed to NDB with at least 2-weeks in advance.

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.
- Monthly report on SLAs

NF5.	Documentation and Training

Details The supplier should provide the administrator and case agent 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: 1
- Case Agent: 1

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

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 role-based access control.

Access and actions must be logged for auding purposes.

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.

NF7.	Disaster Recovery & Backup

Details The solution provider should provide a disaster recovery plan and an annual test result.

The disaster recovery location must also be in NDB's member countries.

All other requirements also apply to the disaster recovery location.

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

NF8.	Deployment & Change Management

Details The solution should be provided as Software as a Service Model or a Managed Platform, connected to our private network (i.e. VPN), without access through the Internet directly. If it is a managed platform, NDB will provide the cloud resources based on supplier's architecture and the supplier must support this environment throughout the service period (NF13), including upgrading, patching, and handling incidents and problems.

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, at EID's discretion, to allow NDB to validate workflows during the Technical Evaluation phase and before promoting to production. The solution provider should follow NDB's change management procedure whenever a change in production is necessary.

NF9.	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 on Mac/Windows operating systems.

NF10.	Customization

Details
The supplier should provide professional services to implement and customize the solution based on workflow and dashboard requirements.

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

NF11.	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 cases): 5.

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

Number of administrators: 5.

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

NF12.	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 50 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 unit price per man-day.

NF13.	Service Period

Details   The service period is 3 years and has the option to be extended as requested by NDB

Glossary	
EID	Ethics and Investigation Division
CMS	Case Management System
FR	Functional Requirement
NFR	Non-Functional Requirement

Attachment 2:

Information Category	Description	Supplier's inputs
General Information	Legal Entity Name	
	Legal Address	
	Website	
	Government Registered 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 international customers for Similar case(minimum)	
Financial Information	Registration 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	