

Date: 07 May 2021

Clarification Note # 1

Invitation to Bid (ITB) No. UKR/02/2021 – Supply and delivery of software and hardware for comprehensive electronic document management information-and-telecommunication system for the Central Election Commission of Ukraine and provision of associated services on installation and training

In accordance with issued ITB No. UKR/02/2021, the OSCE would like to provide the following clarification to the ITB Documents.

**Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE) hereinafter is also mentioned in answers as "ToR" (i.e. abbreviated from "Terms of Reference").*

Question 1: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

1. Software license for EDMS administrators (Page 4)

"Users and administrators access to details of registered documents in the system for the purposes of reviewing, editing, copying, and printing in accordance with responsibilities assigned for every user in EDMS;"

- Could you please verify that by the term "registered documents" you refer to protocol functionality?

Answer 1: In the ToR the term "registered documents" related to all incoming, internal, outgoing and other types of managerial documents in accordance with the legislation of Ukraine on workflow in public authorities. For more details, please refer to the following legislation:

- Law of Ukraine "On Electronic Documents and Electronic Workflow" of 22 May 2003, #851-IV
- Standard Manual for Recording Managerial Activities in Electronic Form and Organization of Work with Electronic Documents in Workflow, approved by the Regulation of the Cabinet of Ministers of Ukraine of 17 January, 2018 #55¹
- Procedure for Working with Electronic Documents in Record Keeping and their Preparation for Archiving approved by the Order of the Ministry of Justice of Ukraine of 11 November 2014, No. 1886/5²

These provisions are also applicable for the Minimal requirements for drafting and maintaining the file register, generating and drawing up EDMS electronic files (see page 9 of the ToR for LOT I).

Question 2: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE) (Pages 9, 17)

"The CEC has a cluster of servers based on the X86 platform" ³

¹ Available in Ukrainian here: <https://zakon.rada.gov.ua/laws/show/55-2018-%D0%BF/print>

² Available in Ukrainian here: <https://zakon.rada.gov.ua/laws/show/z1421-14/print>

³ Available in Ukrainian here: <https://zakon.rada.gov.ua/laws/show/851-15/print>

- If you do refer to document protocol functionality, could you please indicate if OSCE PCU currently uses a Registering (Protocoling Incoming & Outcoming) documents? If yes, could you please indicate who, was the Supplier of this platform? Does the Registering platform provide a programming interface (API) in order to connect the EDMS? What programming languages does the API support?
- If no, do you expect this functionality to be covered by the EDMS?

Answer 2: No, the CEC does not uses special registering platform or API for workflow processing.

If necessary, the Contractor shall provide the licenses for the CEC cluster of servers based on the X86 platform in order to ensure the access of client computers to the EDMS components identified in LOT I. In case, the proposed by the bidder technical solution require additional licenses to the CEC servers, the bidder should clearly indicate it in technical bid as well as in the price schedules.

Requirements for API functionality envisaged by the ToR for LOT I (see minimal requirements for software licenses of EDMS administrators; EDMS users basic software license), and LOT II (see minimal requirements for HR-MSM license). Also, see Section "PROVISION OF ASSOCIATED SERVICES ON INSTALLATION AND SETTING" on page 9 of the ToR for LOT I.

Question 3: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 5)

"Enable visualization of the documents and templates routes;"

- Could you please provide more information how you expect to visualize the templates routes? Can you elaborate what you mean by template routes?

Answer 3: Requirement for user's interface "enable visualization of the documents and templates routes" is used to ensure that contractor understand the need of the CEC to enable EDMS administrators and users to create, save and store in the system information about the document received, processed, reviewed, approved etc. Such information should be visualized in the form of a template of registration and control card, which contain the route for every unique document's. The route should show information about document's path from its creation, processing and to its closure.

Question 4: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

PROVISION OF ASSOCIATED SERVICES ON DATA TRANSFER (Page 9)

"Convertible data suitable for transfer are the records of incoming, outgoing and internal CEC documents with a total volume of up to 4 GB. Number of database tables - 47. Number of records on documents to be transferred - 560,295. Number of records on the subjects of appeals to the CEC, which shall be transferred to the EDMS - 116,438."

- Could you please verify that you have qualified the data to be transferred? Are the documents and records stored in Oracle v. 9.2.0.6 database with metadata? Could you please provide us with a list of metadata that shall be used per document type?

Answer 4: As the CEC uses only old-fashioned paper-document management system, the CEC only keeps electronic records on the details of incoming, internal and outgoing documents, such as registration date, initiator of the document, name and title of the executor in the CEC, closure date and decision details. This information maintained in format of MS Excel-table and stored in Oracle v. 9.2.0.6 database.

Question 5: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

TIME SCHEDULE (Page 10)

- The time schedule is quite strict. Is OSCE PCU in favour of a specific EDMS platform to be purchased? Has OSCE PCU conducted any survey to facilitate its decision as regards the implementation services to calculate the delivery timeframe of the platform and integration services? If so, could you please provide us with all relevant documentation and results?

Answer 5: The OSCE PCU does not foresee any specific EDMS platform to be purchased. The time schedule for implementation services were negotiated with the CEC based on their workload and capability to support contractor during the implementation phase.

The OSCE PCU also took into consideration the CEC Staff engagement into the elections administration during 2021 and its availability for training on usage, administration and maintenance of the CEDMS components.

The time for software and equipment delivery is calculated based on usual business practice and previous OSCE PCU experience.

Question 6: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

2. EDMS mobile client software license (Page 4)

- You have specified that you will need mobile app for digital signature of documents that are imported/attached/created in EDMS. Please specify in detail what do you mean by *“have valid positive expert conclusion of the State Service of Special Communications and Information Protection of EU”*?

Answer 6: In accordance with the legislation of Ukraine on cybersecurity, the CEDMS and HR-MSM software licenses may be used for public authorities if they passed the assessment of the State Service for Special Communication and Information Protection of Ukraine.

This means, that the assessed software should receive expert conclusion ensuring the guaranty level Class-2 of evaluation correctness of software functional security and information protection from unauthorized access in accordance with the national normative document on information technical protection 2.5-005-99.⁴

The ToR contains requirements for the bidder’s software to have such valid expert conclusion of the State Service for Special Communication and Information Protection of Ukraine.⁵

Question 7: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 4)

- By integrating the EDMS with the HR-MSM system, the EDMS system should read the employee's position and organisational unit that she/he belongs to and will automatically give the specific permission in the EDMS system (i.e. system role)? So HR-MSM will handle the users' authorisation? Will there be a responsible person that will accurately update the employees job position?

⁴ The detailed cybersecurity requirements available in Ukrainian here: <https://tzi.ua/assets/files/%D0%9D%D0%94-%D0%A2%D0%97%D0%86-2.5-005--99.pdf>

⁵ For more details please refer to the State Service for Special Communication and Information Protection of Ukraine: <https://cip.gov.ua/en>

Answer 7: Yes. The CEC has an HR-department to be responsible for employees authorization in the system and correctness of their titles.

Question 8: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 5)

“Contains a valid expert conclusion on EDMS issued by the State Service for Special Communication and Information Protection of EU ensuring the guaranty not less than level Class-2 of evaluation correctness of software functional security and information protection from unauthorized access in accordance with the national normative document on information technical protection 2.5-005-99”

- Does non-Ukrainian-made software should have valid expert conclusion on EDMS from the mentioned Ukrainian institution? Is this a certificate regarding the system? Please explain in detail.

Answer 8: In accordance with the legislation of Ukraine on cybersecurity, the CEDMS and HR-MSM software licenses may be used for public authorities if they passed the assessment of the State Service for Special Communication and Information Protection of Ukraine. These requirements are mandatory for any type of the applied software made in or outside Ukraine if the software will be used for Ukrainian public authorities.

This means, that the assessed software should receive expert conclusion ensuring the guaranty level Class-2 of evaluation correctness of software functional security and information protection from unauthorized access in accordance with the national normative document on information technical protection 2.5-005-99.⁶

The ToR contains requirements for the bidder’s software to have such valid expert conclusion of the State Service for Special Communication and Information Protection of Ukraine.⁷

Question 9: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 5)

“Allow creation of new types of documents or templates, libraries”

- Does this mean implementation of e-Forms, web forms?

Answer 9: User interface minimal requirements on creation of new types of documents or templates, libraries does not means allowing users to create web or e-forms.

Question 10: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 5)

“Automatic downloading and recognizing paper documents (stream scanning), import and export of different format files, centralized scanning of the big amount of documents with automatic assignment to the document description;”

- When a document is imported, the system should recognize its content (through barcode, QR or similar) and regarding should automatically start a workflow?

⁶ The detailed cybersecurity requirements available in Ukrainian here: <https://tzi.ua/assets/files/%D0%9D%D0%94-%D0%A2%D0%97%D0%86-2.5-005--99.pdf>

⁷ For more details please refer to the State Service for Special Communication and Information Protection of Ukraine: <https://cip.gov.ua/en>

Answer 10: The EDMS should scan and recognize the incoming paper document, barcode it (or similar) and create electronic registration and control card for further processing with the document.

Question 11: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 6)

“Registration and control cards shall provide the ability to automatically maintain and manually establish relationships between certain incoming, outgoing and other documents processed in the EDMS”

- Please explain in detail and with example what exactly should these registration and control cards do.

Answer 11: All ToR terms and definitions are used in the meanings that correspond to the legislation of Ukraine on electronic workflow in public authorities.

In accordance with the legislation⁸, registration and control card is the electronic card that contains comprehensive information about creation, receiving, processing, execution, sending, storage or destruction of the document.

Question 12: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

REQUIREMENTS: PROVISION OF ASSOCIATED SERVICES ON INSTALLATION AND SETTING (Pages 9, 17)

“A detailed plan for the implementation of the EDMS shall be developed by the Contractor based on the results of the study of the existing CEC document flow and agreed with the Central Election Commission. The detailed plan shall contain a description of the procedure and content of the procedures for setting up and implementing EDMS and take into account the work schedule and delivery conditions set out in this document. The services shall be provided by the specialists in the Ukrainian language. The bidder shall provide interpretation to/from Ukrainian in case the expert will be not Ukrainian speaking.”

- The implementation project plan and time frame will be dependant of the results of the study? Is the study in process and do you have predicted a time frame when it will be finished?

Answer 12: During the preparation of the implementation plan, the contractor should rely on the ToR’s time schedule. In accordance with relevant ToR provisions, the contractor should provide onsite study of existing CEC document flow process to assess concrete and precise terms for introduction of the CEDMS introduction.

After the study, the detailed plan (see stage 3 of the Time schedule) should be agreed with the CEC to ensure all 3 LOTs implemented timely and at full scope in they will be executed by different bidders.

Question 13: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

1. Software license for EDMS administrators (Page 3)

“Define rights and responsibilities of local administrators in the system, for example, for administrators of the EDMS in every CEC department;”

- Will the application be multi-tenant so each department has its own configuration? Will CEC departments share content with each other?

⁸ For details please refer to the Standard Manual for Recording Managerial Activities in Electronic Form and Organization of Work with Electronic Documents in Workflow, approved by the Regulation of the Cabinet of Ministers of Ukraine of 17 January, 2018 #55 available in Ukrainian here: <https://zakon.rada.gov.ua/laws/show/55-2018-%D0%BF/print>

Answer 13: No. The EDMS will be used by all CEC Staff without separation of the content among departments.

Question 14: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

1. Software license for EDMS administrators (Page 3)

"Adjustment of reports data and types;"

- Are all reports predefined?

Answer 14: No. Administrators should have possibility to create different types of reports on demand, e.g.: quantitative or qualitative.

Question 15: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

1. Software license for EDMS administrators (Page 4)

"Users and administrators access to details of registered documents in the system for the purposes of reviewing, editing, copying, and printing in accordance with responsibilities assigned for every user in EDMS;"

- Will documents be downloaded edited and upload as new version, or edit should be integrated to the system?

Answer 15: Functional possibility to create electronic documents and edit them should be integrated to the system.

Question 16: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

1. Software license for EDMS administrators (Page 4)

"Analysis of users logs, identification of malicious actions that can lead to the data garbling;"

- Shall the system automatically identify malicious actions and alert administrators?

Answer 16: Yes. This is one of the minimal requirements to the administrators' software functionality.

Question 17: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 5)

"Support users identification with a qualified electronic signature certificate;"

- So the login should be based on Digital Certificate? Since we have Active Directory integration should there be a standard login screen with username and password?

Answer 17: Yes. It is expected that the identification of users will be provided via standard login screen by using user's digital signature.

Question 18: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 5)

"Automatic downloading and recognizing paper documents."

- What is the purpose of detecting paper documents - scanned documents?

Answer 18: There are no legislative requirements in Ukraine restricting citizens, election contestants to send paper claims. This means that the CEDMS should ensure equal processing of both electronic and paper documents. However, incoming paper documents (e.g.: claims, requests, letters) should first be scanned for transferring them into electronic form.

Question 19: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 5)

"Basic software users and mobile clients;"

- When you mention software users and mobile users, are they the same? Or you mean that not all users will have access from mobile application?

Answer 19: Yes. Software users are the same in this case. However, not all CEC staff will use mobile application for assessing EDMS.

Question 20: Annex C - TECHNICAL SPECIFICATIONS AND REQUIREMENTS (TERMS OF REFERENCE)

3. EDMS users basic software license (Page 8)

"EDMS shall support the functionality of comparing different versions of electronic documents."

- Does that mean comparison of the document content?

Answer 20: No. This mean that different document formats should be supported by the EDMS.

Sincerely,



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OSCE Project Co-ordinator in Ukraine