

# EDRM System Implementation Toolkit

## Stage 7: Procuring the solution

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# Stage 7: Procuring the solution

## Reason for stage

This stage is designed to help the project team manage the procurement process.

## Definition of stage

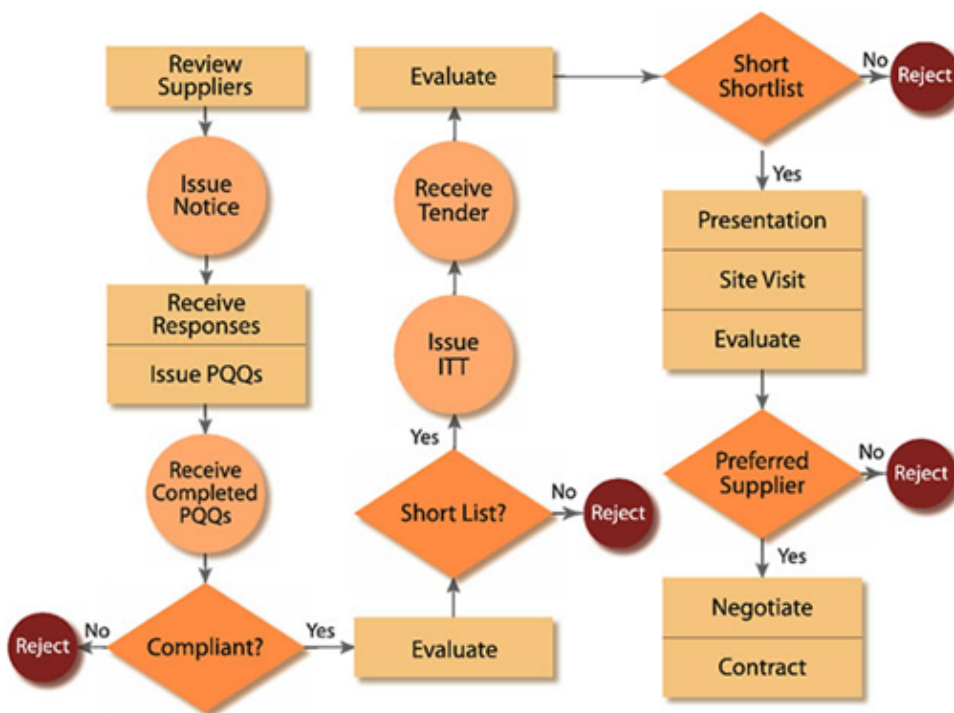
Stage 7 comprises four steps. It follows on from stage two, step two of the toolkit where advice is given on the choice of procurement approach. This stage assumes that a restricted fixed price OJEC procurement is undertaken.

Step one – a review of the suppliers on the market.

Step two – the notice and prequalification stages.

Step three – the issue of the ITT, clarifications and shortlisting.

Step four – selecting the preferred supplier.



## Objectives of stage

This stage is designed to help ensure that the EDRM project team adopt the correct procurement approach and allow the required time to conduct the full procurement process.

This stage takes the team step by step through a sample procurement process. A specific procurement procedure is assumed but the impact of selecting other procurement routes is also reviewed.

# Step One – review of suppliers

There are approximately 175 suppliers listed in the Cimtech yearbook offering EDM or ERM or EDRM or Enterprise Content Management solutions. How do you select a shortlist of suppliers or at least a list of suppliers to visit to see a representative sample of the solutions on offer? There are various approaches you can take.

If you opt to go for an OJEC procurement there is strictly speaking no need to shortlist the suppliers. You could just place your Notice and wait to see who responds. This is a perfectly reasonable approach to take contractually but in practice most education organisations want to reassure themselves that there are suppliers in the marketplace who can meet their requirements.

It is also a good way of educating yourself to schedule some demonstrations of software and solutions. However, we would recommend that you go through stages one to four before you start talking to too many suppliers. If you have not scoped your requirements you will simply get confused if you talk to a lot of suppliers, many of whom will be offering totally different solutions.

One approach would be to simply ask a consultancy to provide you with a review of the market and then draw up a shortlist based on their advice. A second approach is to draw up a set of criteria that could include the following:

- Functions required (see checklist in stage one, step one (link to stage 1 – Checklist of functions))
- Technical requirements
- Services required (system integrator, reseller or supplier)
- Size of supplier required (annual report, turnover, number of staff)
- Relevant references (experience of education organisations or public sector as a whole)
- Has product been approved by TNA – is product compliant with TNA requirements?

If we assume that you need a full set of document and records management functions and you want the product to have been approved by the National Archives, or at least to be compliant with TNA requirements and awaiting approval, then we can narrow the list somewhat.

As of June 2004 there were six products listed on the TNA website as compliant with the 2002 requirements. They were:

Product	Supplier	Website	Comments
Trim Context 5.1	Tower Software	<a href="http://www.towersoft.co.uk/">http://www.towersoft.co.uk/</a>	Approved against core functions plus options B.2 and B.3
T2 e-records(Trim Context 5.1 with Tower IDM repository)	Tower Technology	<a href="http://www.towertech.com/">http://www.towertech.com/</a>	Approved against core functions plus options B.2 and B.3 Since gaining approval Tower Technology has been acquired by Vignette so see also <a href="http://www.vignette.com">www.vignette.com</a>
R/KYV v 9.1	Valid Information Systems	<a href="http://www.valinf.com/">http://www.valinf.com/</a>	Approved against core functions plus options B.2 and B.3 Since gaining approval Valid has been acquired by Hummingbird so see also <a href="http://www.hummingbird.com">www.hummingbird.com</a>

Wisdom v 5 (5.0.1.1)	Diagonal Solutions Ltd	<a href="http://www.diagonal-solutions.co.uk/">http://www.diagonal-solutions.co.uk/</a>	Approved against core functions plus options B.2 and B.3
Meridio Records Manager v 4.1	Meridio Ltd	<a href="http://www.meridio.com/">http://www.meridio.com/</a>	Approved against core functions plus options B.2 and B.3
Fabasoft e-Gov Suite v 5.0	Fabasoft Ltd	<a href="http://www.fabasoft.com/">http://www.fabasoft.com/</a>	Approved against core functions plus options B.2 and B.3

Following on from this core list we can add a supplementary list. Suppliers have been added to this list because of one or more of the following criteria:

- Suppliers who were approved against the older 1999 TNA requirements
- Suppliers who claim to have applied to be approved under the 2002 requirements
- Suppliers known to be targeting the education community
- Leading suppliers of EDRM or Enterprise Content Management solutions as cited in user surveys

Product	Supplier	Website	Comments
KnowPro	Dexmar	<a href="http://www.dexmar.com/">http://www.dexmar.com/</a>	Approved against 1999 requirements. Based on Lotus Domino
Documentum Enterprise Records Manager	Documentum	<a href="http://www.documentum.co.uk/">http://www.documentum.co.uk/</a>	DOD 5105-2 certified adds RM to Documentum's content management facilities
Records Manager	FileNet	<a href="http://www.filenet.com/">http://www.filenet.com/</a>	Adds records management to FileNet's content management facilities. Solutions in Universities
Hummingbird Enterprise	Hummingbird	<a href="http://www.hummingbird.com/">http://www.hummingbird.com/</a>	Hummingbird's Enterprise Content Management suite. Hummingbird also now own Valid (see above)
IBM DB2	IBM Records Manager	<a href="http://www.ibm.com/">http://www.ibm.com/</a>	Adds e-records management to business applications
IDOX software	i-documentsystems	<a href="http://www.i-doxplc.com/">http://www.i-doxplc.com/</a>	Adding RM to EDM facilities
Objective 6i	Objective Corporation	<a href="http://www.objective.com/">http://www.objective.com/</a>	Approved against 1999 requirements
DocFinity	OITUK Ltd	<a href="http://www.oituk.com/">http://www.oituk.com/</a>	Adding RM to EDM facilities
Livelink	Open Text	<a href="http://www.opentext.com/">http://www.opentext.com/</a>	Approved against 1999 requirement – add RM to Enterprise Content Management suite. Solutions in Universities
e-intranet		<a href="http://www.serengeti-systems.com/">http://www.serengeti-systems.com/</a>	

	Serengeti Systems Ltd		Adding RM to content management facilities – solutions in Universities
RecFind Corporate	Team Logic Systems Ltd	<a href="http://www.teamlogic.co.uk/">http://www.teamlogic.co.uk/</a>	Physical and electronic records management

If you do find several suppliers that meet your requirements then do not be tempted to use this as an excuse to skimp on the stages in this toolkit. You should be driving the process and hence you need to define your requirements, manage the project and go through a formal procurement. Just make sure that all the suppliers you have met are fully aware of the approach you are taking and are looking out for the Notice when it comes out.

## Step Two – issuing the notice and prequalifying

### Issuing a PIN and/or the Notice

With the restricted OJEC procurement route you optionally publish a PIN (Prior Information Notice). This is usually only needed if it is a very complex procurement and you expect a number of suppliers will need to collaborate together to meet all the requirements of the bid. If that is the case then they need as much advance notice as possible so they can draw up outline heads of agreements and agree who will be the prime contractor and the sub contractor etc. This is unlikely to be the case with an EDRM solution unless you have a large backfile conversion requirement in which case the solution provider will need to team up with a bureau and the bureau will act as a sub contractor.

If you publish a PIN you have to wait 30 days and then you publish a Notice. If not you simply start by drafting a Notice and submitting it for publication in the journal. The Notice is a short formal notice defining the system/services you require. You can obtain all the details you need from the relevant OJEC websites and there are websites that will provide you with an electronic form to complete online and submit online. You need to register on these sites and prove you are a bona fide public sector person with procurement responsibility. Your procurement section will have their preferred route for publishing Notices.

Assuming that you have selected the restricted approach then you will also need to prepare a slightly more detailed briefing document and an Application form or Pre Qualification Questionnaire (PQQ).

The Notice will invite suppliers to express an interest in the procurement. Usually you instruct them to submit e-mails or faxes or to formally respond by post. When you receive a response you should log it and record the date when the response was received and when you sent them out the briefing document and application form/PQQ. Again you should have this in electronic format so you can simply e-mail it out to all the suppliers who respond. You may receive anything from 50 – 100 or more responses initially.

### Prequalification

The application form or PQQ must be designed to achieve its prime purpose – providing you with objective criteria upon which you can decide to reject or include a supplier on your shortlist. The PQQ should ask suppliers a set of questions relating to their finances, their size, their expertise in these areas; their professional qualifications; their customer base in related areas and references of customers who have been provided with a similar system/service etc. The answers to certain key questions should be mandated. Responders are required to submit the completed PQQ within 37 days of the date when the Notice was issued. If a supplier is late in responding then they reduce

the time they have to complete the PQQ.

If you received 100 expressions of interest – some of them will just be from suppliers or consultants who are interested in what the requirement is but have no intention of replying. You may receive 40 – 70 completed PQQs depending on how long it is.

The next task is to carry out a mechanical review of the PQQs and to reject incomplete PQQs that do not comply with the mandatory requirements. This is referred to as "long listing".

The project team should then review the long listed responses and mark them and discuss them and agree a mark for each supplier and agree a cut off point of 6 – 8 shortlisted suppliers or however many you decide. These will comprise the serious short list of suppliers that you send the full ITT to. The team should agree one or more reasons why each supplier was rejected. This may be needed if any of the rejected suppliers question the basis on which they were rejected.

Your procurement team should then send out notifications to the unsuccessful suppliers.

## **Step Three – issue ITT and shortlist**

### **Issue ITT to shortlist**

The next task when you have shortlisted the suppliers is to notify them that they have been shortlisted and send them the full ITT and SOR package and notify them that they have 40 days to respond. This figure can be extended if it is a particularly complex ITT or if the timetable runs across a summer holiday period or the Christmas holidays etc. It is at your discretion provided you give them a minimum of 40 days.

As part of creating the SOR the team should have drawn up an evaluation grid that allows them to assign marks and weightings to the tendered responses to each section of the SOR. This should be completed and logged well before any responses are received back from the suppliers.

It can also be useful to send out with the ITT a compliance matrix. This comprises a long table with a row for every paragraph in the ITT and columns indicating whether the paragraph contains a mandatory or highly desirable or desirable requirement or whether it is just for information. Suppliers should be required to complete designated columns to indicate whether they are compliant with the requirement; non compliant or partially compliant. There should be a further section where they can explain how they are compliant or if they are partially compliant – explain what this means. If they are non compliant they should also state any mitigations, i.e. facility will be supported in next release of software or they can produce customised solution, etc.

This can simplify the response and marking process. The supplier must complete the matrix and then can use the matrix to refer to any background document that might contain a more detailed explanation of how they are planning to meet requirement plus background material explaining their approach to the project etc.

During the time allowed for suppliers to respond to the ITT if you have made provision for clarifications then you need to be geared up to respond to them. You should specify how suppliers should submit their clarifications (usually to a designated e-mail account) and when they are received they should be circulated to the team including any external consultant on a daily basis and a deadline agreed for responses. The individual clarifications should be anonymised and cumulated and a set of questions and clarifications issued out to the suppliers on at least a weekly basis. You need an end date after which no further clarifications will be issued.

## **Evaluate tenders and create short shortlist**

When the full proposals come back in the team use the grid to mark the responses. If a consultancy is used they or the project manager can write a commentary on each supplier and response and use that to prompt a discussion. For each supplier the team should go through the proposal and pool their marks and agree a team mark for each section. They should also draw up a list of strengths and weaknesses and issues/questions.

The outcome should be a list of marks and comments for each supplier on the basis of which a short shortlist can be created of 2 – 3 suppliers.

## **Step Four – Select preferred supplier**

### **Supplier presentation**

The next stage could be to call the 2–3 suppliers in for each to give a presentation and to answer the questions you have about their tender. You are advised to structure this to avoid a simple sales pitch. One approach is to split the meeting into sessions. One session can be a run through their tender and their approach.

The second should address the questions and issues you have with their approach and any areas where clarifications might still be needed. As far as possible advise the supplier of the areas you want to cover here in advance so they can research the answers.

The third session might be a demonstration of key elements of the solution.

### **Reference site visits**

You may also wish to attend reference site visits to hear from a customer what they think about the software and services they have been provided by the supplier. Try and get to talk to them on their own and allow time for this as it can take several weeks to fix up such visits.

### **Final selection**

You will then typically have another meeting to discuss the 2 – 3 suppliers and select the preferred supplier based on the original evaluation and the feedback from the presentation and reference site visits. Again you should document the reasons for your decision.

Even though you have gone down the fixed price route there may still be a need to carry out some final negotiations with the supplier so you are then in a position to draw up and sign the contract.

Agreeing the contract will be a relatively simple matter if you issued a standard contract out as part of the ITT. If you were unable to do that you will have to spend more time at this stage working through terms and conditions.

## **Deliverables from stage seven**

After completing stage seven of the toolkit you should be able to produce as many of the following deliverables as you need for your project.

Step	Deliverable
1	Review of suppliers contacted and positive and negative points
2	PIN/Notice Briefing document Application form/Pre Qualification Questionnaire List of suppliers who responded to notice and were sent PQQ List of suppliers who were rejected Short list of suppliers selected to receive SOR
3	Evaluation grid for SOR Marks assigned to each tender Commentary and set of questions relating to each tender List of suppliers rejected at this stage Short shortlist of suppliers selected to go through to presentation stage.
4	Report on each supplier presentation Report on each reference site visit Summary report on each shortlisted supplier that was rejected including reasons why rejected Preferred supplier Contract with preferred supplier

## Resources required to complete stage seven

The resource required for stage seven will vary depending on the number of PQQs received; how easy or difficult it is to shortlist 6 – 8 suppliers; how close the tenders are when received; how many reference site visits need to be fixed; how easy it is to agree the preferred supplier and whether or not the contract terms were agreed at the SOR stage.

Assuming that the team reaches a consensus position relatively early on and that the contract terms were agreed beforehand then the following is an estimate of the resources required.

Step	Resource estimate(days)	Description
1	8	Include time for travel
2	7	To draw up the Notice and the briefing document and PQQ and review the responses and draw up the shortlist. This assumes that procurement weed out the initial non compliant responses and notifies suppliers of decisions.
3	10	Assume 6 ITTs to read and mark and discuss
4	10	Assume 3 shortlisted suppliers and 1 presentation and reference site visit for each supplier
TotalSteps 1 – 4	35	

## Tools to complete stage seven

- Word processing software
- Spreadsheet for entering team marks
- Project management software (see JISC infoKit for guidance)
- Compliance matrix as part of SOR
- Evaluation grid for SOR

## Frequently asked questions

### Question:

Where can we obtain a list of suppliers?

## Answer:

See Step One – review of suppliers

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## Question:

How do we produce a Notice?

## Answer:

Your procurement people section ought to be able to help you here. Alternatively if you access the OJEC website you will be pointed to official sites where you can complete the relevant electronic form. More information at <http://www.ojec.co.uk/> and <http://www.mytenders.com/>.

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## Question:

How long does this process take?

## Answer:

See stage two, step two for a timetable for the OJEC restricted tender process. The elapsed time is 105 days but, of course, you will have many other tasks you will need to be doing during that time. If you need to truncate the process stage two, step two also reviews the other procurement options.

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## Question:

What happens if a supplier challenges our decision?

## Answer:

This does not happen very often provided you follow the methodology detailed in stage two. If a supplier does challenge your decision then provided you have the relevant documents you can send them a written notification of the reasons for your decision or you can invite them in to a meeting where you present them with the reasons.

## Hints and tips for stage seven

1. Ensure you have a detailed plan for the whole project and that you have reviewed the procurement options and agreed the approach you will take and planned the process as part of your overall project plan. This is covered in stage two of the toolkit.
2. Get in some external advice and expertise in the form of independent consultants plus your procurement department plus IT staff who have managed large IT projects before. To ensure you select the right supplier you need to have all points of view represented on the evaluation team – technical, records management, financial, contractual etc. You will be using the solution and working with the supplier for many years so spend the time needed to select the right one for you.
3. Following on from tip two, if you have a mix of expertise on the team then do not ask everyone to evaluate the complete tender responses. You can assign sections to different team members. The consultant and project manager may both mark the complete tender but other specialists should just mark the sections of interest to them.
4. Do not take too many assertions and statements for granted. If you suspect that a supplier is trying to hide a weakness then ask supplementary questions until you are reassured or you have concrete evidence of the weakness.

5. Do not to skimp on the site visits. Good references are vital evidence that the supplier provides a good overall service. If you cannot spare the time to visit two users then at least schedule a telephone call and take the contact point through a structured set of questions.

## **Additional References and Case Studies**

Design criteria standard for electronic records management software application (version 19, June 2002) US Department of Defense, Washington 2002. DOD Directive 5015.2.

<http://jitc.fhu.disa.mil/recmgt/p50152s2.pdf>

MoReq – Model requirements for the management of electronic records. CECA–CEE–CEEA. Bruxelles Luxembourg 2001.

<http://www.ispo.cec.be/ida>

Functional requirements for ERMS 2002. The National Archives.

<http://www.nationalarchives.gov.uk/electronicrecords/reqs2002/pdf/requirementsfinal.pdf>

For Project Management, as well as the infoKit the OGC PRINCE2 website has further details of the PRINCE2 project management methodology.

<http://www.ogc.gov.uk/prince/index.htm>

The OJEC website for details of EC procurement procedures

<http://www.ojec.com/>

The industry yearbook published by Cimtech provides a comprehensive list of all the main suppliers in each of the categories described in stage one, step one. It also provides a detailed management guide to the subject. Electronic document, records and content management: a comprehensive guide to electronic document, records and content management and a directory of products and services 15th edition 2004 Cimtech Ltd, University of Hertfordshire, College Lane, Hatfield, Hertfordshire AL10 9AB.

[http://www.cimtech.co.uk/Main/Pub\\_EDRCM.htm](http://www.cimtech.co.uk/Main/Pub_EDRCM.htm)

The DIRKS Manual, Steps A – D

<http://www.naa.gov.au/recordkeeping/dirks/dirksman/contents.html>

BSI–ISO 15489 – 2001 – Information and documentation – records management. Standards. BSI Customer Services 389 Chiswick High Road, London W4 4AL

<http://www.bsi-global.com/>

For modelling and redesigning business processes there are a number of useful reference works available as well as the Process Review infoKit. The following are three which we would recommend.

- Dave Chaffey. Groupware, Workflow and Intranets. Re-engineering the enterprise with collaborative software. Digital Press. Butterworth Heinemann. ISBN 1555581846. <http://books.elsevier.com/marketing?isbn=1555581846>
- Thomas M Koulopoulos. The Workflow Imperative – building real work business solutions. Van Nostrand Reinhold. 1995 ISBN 0442019750.
- Rosemary Rock-Evans. Data modelling and process modelling. 1992 Butterworth Heinemann, ISBN 0750607394.

For guidance on the conduct of records audits, the design of business classification schemes and retention schedules you are recommended to visit the National Archives website. <http://www.pro.gov.uk/recordsmanagement/standards/default.htm>

Magazines which contain useful case studies describing how organisations have successfully implemented an EDM or EDRM system include the following:

Managing information and documents MiD. Infoconomy Ltd, 17–18 Margaret Street London W1W 8RP. <http://www.infoconomy.com/>

Information management & technology. Cimtech Ltd University of Hertfordshire, College Lane, Hatfield, Hertfordshire AL10 9AB. <http://www.cimtech.co.uk/>

Web sites that contain useful information on all aspects of EDRM include the following plus individual supplier web sites:

- <http://www.aiim.org>
- <http://www.cimtech.co.uk>
- <http://www.document-manager.com>

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