



QUESTION AND ANSWER SHEET

EOI – supply and implement a legal and/or investigative case management system for the AGSA



Corporate Legal Services business unit - Implementation of PAA presentation (Marissa Bezuidenhout)

NO	Question	Answer
1.	Where will the process start? At auditing phase or afterwards	The identification of the material irregularity happens during the course of performing an audit.
2.	Will this take into account previous findings?	Only material irregularities that result in recommendations in audit reports issuing post 1 April 2019 will be taken into account.

Investigations business unit - MI Process presentation (Aletta van Tromp)

NO	Question	Answer
3.	How do you assign the external committee members?	The CMS should have the capability to allow us to set up profiles of external committee members. Based on their availability we should be able to select the members who will form part of each committee. For e.g. meeting of 13 Feb 2019, member A, D, E and G. These specific members will receive notification of the cases that will be discussed and read access thereto.
4.	What is the difference between the financial and non-financial loss? What is the process to determine that?	The non-financial loss process ends after the remedial actions were issued and the Executive authority have been notified thereof. The financial loss process however still continues as the written representations, oral representations and the certificate of debt can still follow. Each cases will be assessed at the beginning as to whether it has a financial loss or not.

5.	Will the service provide be working with internal staff who handles the domain, will there be templates?	Currently templates are being created by AGSA. However, these might need to be tailored following the selected CMS environment. It is also a possibility that once we commence with implementation we note that the templates may require additional fields.
6	Will voice recordings be part of the process?	Yes, especially since we need to record all oral representations for each case.
7	What is the email system used by AGSA at the moment?	Outlook
8	Explain time tracking concept?	CMS needs to alert internal and external user if specific action is due in the following 7 days for e.g. (automated notification/ reminder). CMS should also provide management with a view of how cases are progressing and highlight cases which are older than 3 months/ 6 months etc.
9	Please elaborate on project management functionality and scale thereof?	CMS must provide an overview for each user of all his/her matters and the timeframes for each and where in the process/ sub-process they are. Management perspective the CMS must provide a dashboard reflecting all active cases. Statistics on no of matters in referral process and no in remedial process. Provide alerts of responses overdue or long pending matters. These dashboards should also be available per business unit, we have 15 in total.
10	The ability to extract of information from cases uploaded? At what extent does the AGSA intends to do this?	We do not foresee extracting from the information uploaded by the external parties as the entire uploaded file will be evidence. The reviewers will have to review and consider all evidence submitted. We also do not want to extract information for purposes of review or meetings, we want users to access the relevant information directly from the system.

11	Any external body/ies that need to be complied with?	See question 12
12	Will there be integration with external entities? E.g. SIU, etc...?	We are not anticipating integrating with any systems of the public bodies. At most we will contact them via email and they should be able to access the CMS using a web-portal.
13	In cases where the matter is referred to SIU, do you want the system to generate emails by itself or the employee handling the case to send the emails?	We want emails to be generated directly from the CMS system or if via Outlook, the employee should be able to file that email in the relevant case folder in CMS.
14	Do you have existing business detailed processes of the MI process?	We have a high level and second level process flow, however the levels below this would still need to be designed along with the service provider.
15	When do you think of going live on this process?	The implementation date for the M process is 1 April 2019. We need to ensure that we at least have a phase 1 of the CMS ready and functioning as close to this date as possible.
16	When do we think of having RFP?	First week of January 2019
17	At RFP stage, and if shortlisted, and evaluation is done, you see functionality that is better than specification, is the bidder allowed to give alternative solution?	Yes, we would welcome this.
18	Will templates that need to be built into the system be developed by the service provider?	The general information that is required will be given by the AGSA. However the templates would need to be configured on the CMS and access through it by the users.
19	What is the role of project management team in relation to the process?	The project management team need to ensure that project deadlines are managed, any delays or risks are communicated timeously. They need to ensure that any input from the AGSA is raised on a timely basis. They would be required to report of progress etc.
20	Do you have detailed business processes?	See question 14
21	What is AGSA referring to when saying giving documents?	The audit team may collect various documents/ evidence in support of the material irregularity (case), these documents would need to be uploaded and saved in a secure environment (CMS). The user must also capture information such as from whom the document was obtained, when (date & time) and where (place).

22	Do you envisage all 120 users to have access to the system?	Yes, all 120 will have access, however, the level of access assigned to each user will determine what functions they can perform and what information they can view. That is, read only access does not provide them with Read Only access to all data in the system. Therefore, access should be designed in such a way that a user only sees and performs tasks on those cases that they are assigned to.
23	Will you apply delegations in terms of authority in terms of access to the system (multiple levels of access to the system)?	Yes, there will be users from non-audit business units (support Business Units that will have read only access. Even within Read Only access, they will be further restricted to see only that information that they should have access to. For example: A case has could have information that is Confidential, Classified, Secret and Top Secret. A User that has been given access to the case may only have a security level of Secret. This user should therefore be able to see all the information except the Top Secret Information. The Top Secret Information related to this case in the system should be masked /
24	Will you expect the system to have levels of confidentiality?	Yes, as per the State Security classification of information.
25	How many cases will this system be expected to handle?	Initially we expect the system
26	How long cases on the system should be archived?	As per the National Archives Act, we legally are required to retain the cases for seven years after the case / matter has been resolved or closed. We may however, for other requirements within the AGSA, decide to retain the information for longer periods.
27	In terms of security and security clearance, should the SP and employees have clearances?	We do not foresee that the Service Provider (SP) and/or its employees will need security clearance for the configuration and or development as well as for the implementation of the system. However, we will provide an update to this if so required as part of the RFI.
28	Where will archives be stored?	The archives will be stored in electronic format offsite.
29	Is the solution to be hosted by the service provider or AGSA?	The solution will be hosted by the AGSA.

30	What about access to mobile accessories/devices? Do you need the system to go live on mobile devices?	<p>We do not foresee the system to be available on mobile devices initially. The system should however cater for this as a future requirement. We may also require a mobile app for the external stakeholders, like an Accounting Officer, to upload evidence into a system that can be hosted in our DMZ from where the main system can pull information to update cases based on the uploaded information.</p>
31	In terms of the documentation (supporting documentation), whose responsibility is it to ensure that the documentation is not tampered with (AGSA/service provider)?	<p>The AGSA will ensure the security of the system through its internal controls process. The Service Provider will ensure that users who are given access can only perform the functions afforded them by the security module/feature of the system as allocated by the system's security administrator (an AGSA employee).</p> <p>The Service Provider must ensure that the system's audit trail feature stores the pertinent information in order to trace back to the user who makes any changes on the system.</p> <p>This should include as an example:</p> <ul style="list-style-type: none"> User Name Modified Date Table Details Property Name Operation Type Old Value New Value

32	What sort of ERP does AGSA use and are you expecting the system to fit into the current system?	The AGSA uses PeopleSoft as its ERP system and we do not expect the system to fit into (be developed in PeopleCode) PeopleSoft. There will be the need for integration in order to enable some of the workflow functionality such as accessing the organisation hierarchy for approvals and escalations.
33	What are the project timelines and go live date?	These will be provided as part of the information pack that is sent out to the attendees of the EOI. It is commonly referred to as the Journey Map.
34	Does the system need to cater for digital signatures?	We would prefer that the system caters for digital signatures, but this is not a requirement at this stage. We will look at other forms of digital verification, for instance, an Active Directory verification popup upon approval.
35	For external portal, do you need multifactor authentication of users?	We would prefer multi form factor authentication – This can be two form factor, such as a log in credentials and a one-time password sent to the user's phone or email address upon logging in.
36	Will integration be required in the first/phase stage of the implementation	Yes. Integration to the following systems will be required in the first phase: Microsoft Active Directory Microsoft Exchange PeopleSoft HC (Oracle 12c) Audit Services MIS (SQL Server 2014 and upwards) Stakeholder MIS (SQL Server 2014 and upwards)

37	<p>In terms of costing, should the indicative cost be based on the 120 users indicated and what type of access will these users have, e.g. viewing, editing, etc.?</p>	<p>The Service Provider should base the cost on the 120 users (AGSA internal) for Commercial Off The Shelf (COTS) Solutions but keep in mind that the system will scale to more users (e.g. 500 users over a period of 2 years) and therefore the cost multiple should be included in the pricing. This will be requiring to see if there will be economies of scale for a particular solution.</p> <p>However, should the system be a bespoke system that is purchased by the AGSA, then the licensing cost model may not be applicable. We would then look at a possible support and maintenance agreement for the system and the pricing model should therefore accommodate this. A bespoke system should therefore cater for 120 users initially but be scalable to more users over time.</p> <p>The 120 user requirement refers to the “front end” users of the system and excludes the IT system support staff and other IT admin staff that need administrator access to the system. For purposes of this EOI, the IT staff can be estimated at 10 users.</p> <p>In terms of the user type, all 120 users will have some element of editing as well as viewing access.</p> <p>However, the external organs of state that are required to view specific cases, must only have access to view the cases and then only to the information relating to cases that they need viewing access to. For instance, there may be some internal AGSA notes about the feedback from an organ of state that we may not want the organ of state to see. Accounting Officers / Accounting Authorities will have the ability to upload documents at specific points in the process and the system should limit what they see to enough information in order to upload and comment on the case/s related to them.</p>
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38	In terms of the solution, are you looking for an outright purchase of a solution or rental	<p>At this stage of the procurement process, being an Expression of Interest, we are looking to see what is available in the market, so there is no preference at this stage.</p> <p>However, one can appreciate that our requirements are quite unique.</p>
39	Do you require a bespoke solution or is there an appetite to consider a solution that meets some and not all of your workflow requirements	<p>We are willing to look at a Commercial Off The Shelf (COTS) solution. In this case, we request the vendor to show how their solution will meet the AGSA's requirements, including workflow requirements, and where it will not meet specific requirements, the Service Provider may offer suggestions in order to close the gaps.</p> <p>If a Service Provider wishes to put forward more than one option, they need to include the pricing per option in order for the AGSA to properly evaluate the different options.</p>

40	What is the general preference in the AGSA: Is it outright purchase or rental model?	<p>Should the system be a bespoke solution, because of the sensitivity and security classification of data that will be contained in the system the AGSA will be looking towards an outright purchase of the system. Should there be a need for ongoing maintenance an annual basis to cover upgrades and maintenance, this will be considered as an ongoing portion with the relevant Service Level Agreement in place. This will also be negotiated at the time of contracting.</p> <p>Should the solution be a COTS solution, then the licenses and the data will be owned by the AGSA. For both options above, should there be a need to cover upgrades and maintenance on an annual basis; this will be considered together with the relevant Service Level Agreement as part of the contract. This will be negotiated at the time of contracting.</p>
41	Who will read, edit or generate reports?	<p>The 120 users will have access to some reports. Of those, some of the users will use the reports to manage the overall processes.</p> <p>For instance, the Business Executive of the Investigations Business Unit will use different reports to the user that is allocated to 2 or three cases.</p>