



19 April 2016  
Ref.: RFP 2016/00n

**Request for Proposal (RFP) 2016/00n**  
**Provision of Document Management System (DMS) for the Green Climate Fund**

Dear Sir/Madam,

1. The Secretariat of the Green Climate Fund is hereby inviting qualified tenderers to submit a proposal for the provision of a Document Management System (DMS) for the Green Climate Fund.
2. Proposals must be arriving at the Secretariat no later than 09 May 2016 13:00 (Korea Standard Time).
3. This RFP consists of this letter of transmittal and the following annexes:

Annex I	Essential Background
Annex II	Timeline
Annex III	Statement of Work
Annex IV	Technical Proposal
Annex V	Financial Proposal
Annex VI	Company profile
Annex VII	Terms and conditions to submit a proposal
Annex VIII	Evaluation criteria
Annex IX	Regulations, Rules and Policies
4. Please note that this document is an RFP and not an invitation to bid. The terms set forth in this RFP, including all the annexes listed, will form a part of a contract, should the Secretariat accept your proposal. Any such contract will require compliance with all factual statements and representations made in the proposal, subject to any modifications agreed to by the Secretariat in writing in the context of any negotiations entered into by it.
5. Proposals must be submitted in the English language in TRIPLICATE (3 copies). Any attachments to proposals must also be submitted in TRIPLICATE. Proposals must include information in sufficient scope and detail to allow the Secretariat to consider whether your company has the necessary capability, experience, knowledge, expertise, financial strength and capacity to perform the specified work in a satisfactory manner. Please mark all pages of proposals with the RFP number specified at the top of this letter.

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6. Proposals must be clearly separated in the following two parts:
- (a) Company profile (Annex VII) and technical proposal (Annex V). **The technical proposal shall contain no information on financial proposal.**
  - (b) Financial proposal (Annex VI).
7. Each part of the proposal must be in its own sealed envelope and must be appropriately labelled as “Company profile and technical proposal” and “Financial proposal”. The technical proposal and company profile must not contain any financial information relating to the proposal. The Secretariat reserves the right to disqualify any technical proposal that does include such financial proposal information. Electronic copies of each part of the proposal should be also copied on CDs and must be included in their respective sealed envelope.
8. The two parts of your proposal must be submitted in a further sealed envelope/package, clearly addressed as follows and preferably delivered in person:
- Green Climate Fund  
G-Tower, 11 floor  
175, Art center-daero  
Yeonsu-gu  
Incheon 406-840  
Republic of Korea**
9. The outer envelope/package of the proposal must clearly indicate the information set out below so that the secretariat can identify the proposal at the time of receipt.
- |                          |  |
|--------------------------|--|
| <b>RFP number</b>        | <b>RFP 2016/00n</b>                            |
| <b>Attention</b>         | <b>Procurement Specialist</b>                  |
| <b>Closing date/time</b> | <b>09 May 2016 13:00 (Korea Standard Time)</b> |
| <b>Company Name</b>      | .....  |
10. It is the exclusive responsibility of the proposer to ensure that the sealed envelope/package containing the proposal reaches the above address before the time and date indicated above. The GCF Secretariat reserves the right to invalidate any proposals received after the above-mentioned closing time. Proposals must not be sent by facsimile.
11. All queries relating to this RFP may be submitted via email (procurement@gcfund.org) or to facsimile no. +82-(0)32-458-6093 up to 02 May 2016, 13:00 (Korean Standard Time).

Yours sincerely,

The Secretariat of the Green Climate Fund

### Annex I: Essential Background

1. The Green Climate Fund (GCF) is a new multilateral fund that was agreed by Parties under the United Nations Framework Convention on Climate Change. The Fund's purpose is to make a significant and ambitious contribution to the global effort to limit mean global temperature increases to below 2° Celsius as compared to the pre-industrialization phase and deal with the impacts of these changes by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change. The Fund will be innovative and will promote the paradigm shift to help developing countries transform to a low-emission and climate-resilient development path. It will consider the needs of those developing countries that are particularly vulnerable to climate change impacts and will also help meet sustainable development goals.
2. The Fund is planning to implement an DMS that will automate the following business areas – it will serve as extremely valuable information repository for specialized collaborative solutions of inter-organizational nature and more:
  - Documents capturing and storing
  - Documents indexing
  - Documents versioning
  - Collaboration / Co-Authoring
  - Documents search
  - Documents sharing and publishing
  - Documents security
3. The functional and technical requirements for this RFP are described in Annex III: Statement of Work and Annex IV: Requirements.
4. This RFP does not commit the Secretariat to award a contract, nor does it contain a contractual proposal.

### Annex II: Timeline

The Green Climate Fund will follow the timeline below for this RFP. Any changes to this timeline will be posted on the GCF website. Please note that the dates set forth in 5-9 are target dates and may be adjusted.

	<b>Event</b>	<b>Responsible Party</b>	<b>Date (and time, KST*)</b>
1	Posting of RFP	GCF	19 April 2016
2	Last date for questions about RFP	Tenderer	02 May 2016, 13:00
3	Last day to reply to questions received/ Last date for amendment	GCF	04 May 2016
4	Last day for submission of proposal	Tenderer	09 May 2016, 13:00
5	Software demonstrations (remotely)	Tenderer/GCF	16-20 May 2016
6	Last day to finalize evaluation	GCF	26 May 2016
7	Notice of successful provider	GCF	27 May 2016
8	Contract signing	GCF/Tenderer	30 May 2016
9	Work start	Tenderer	As specified in the contract. It is currently assumed this to be within days after signing the contract.

\* KST: Korean Standard Time (Seoul Time)

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### Annex III: Statement of Work

1. Proposals under this RFP are requested for the provision of Document Management System (DMS) for the Green Climate Fund as defined in this Annex.
2. The selected contractor shall implement a DMS solution that will automate core activities and support business processes throughout all divisions. The products and services required by the Fund shall basically include, but not be limited to, the following:

#### A. General scope of work

- a. Supply and installation of DMS application, related software, service subscriptions, and databases;
- b. Implementation services including:
  - Using the set of already shared information and subsequent feedback on key GCF specific regulations, policies, guidelines, procedures and systems overview documents for translating them into intelligent future automated and semi-automated DMS related business processes.
  - Verifying the appropriateness of 'to be' business process maps in relation to the proposed DMS solution, recommending business process adjustments where justified in the interest of the Fund and modifying/completing the maps accordingly.
  - Modelling and configuring of the DMS solution satisfying requirements of GCF's optimised business processes;
  - Interfacing with essential applications and external data sources that are required for efficient operation of the new DMS;
  - Planning and executing necessary tests on the proposed solution for compliance of requirements and specifications;
  - Compliance of audit recommendations, including security and controls; and
  - Performance testing, roll out, stabilization and post go-live support.
- c. Planning and executing data conversion and migration including archiving of past data; it is assumed that this part will be minimal, considering the start-up situation of GCF;
- d. Training of users and core team members including developing necessary documentation, user manuals, training material and conducting change management workshops;
- e. Designing the system architecture, installation and implementation in a Cloud based hosted environment. Work comprises fitting backend performance, storage and network links, including accompanying business continuity concerns.
- f. Providing warranty services for the solution as a whole.
- g. 3 years of maintenance coverage for the provided software and services
- h. On demand by GCF: complementary, separately costed services beyond the basic implementation project. Examples are:
  - Integration/interface development work for future GCF business or partner systems
  - Onsite/remote/blended training for future staff members joining the organisation
  - Updating of customised documentation/training material/eLearning modules

## **B. Components of the scope of work**

The scope of work primarily consists of five elements as follows:

- a. Supply, implementation and installation of a suitable DMS application, database and related software. 3 years of maintenance coverage, following the implementation project.
- b. Advice on installation and commissioning of appropriate PaaS, SaaS, fitting network links, in association with GCF's chosen Cloud service providers.
- c. Setting up of the necessary Cloud infrastructure and application support function with minimum requirements delivering a performance level and availability requirement suitable for GCF.
- d. Implementation services including application installation on development, quality, sandbox and production instances, data conversion as far as required and migration, training and change management, documentation, fitting DMS specific customer support arrangement and warranty services.
- e. Optional, on-demand service offerings, especially for the time period beyond implementation project closure.

The activities covering all the above elements will be completed by the Contractor.

### **Detailed Scope**

The scope has been described in detail in the following sections.

#### **a. Supply, implementation and installation of a suitable DMS application, database and related software and subscription services**

The Contractor will be responsible for the following:

- Responding to the RFP and executing the same if selected, describing the process to be followed for supply and implementation of the software;
- Supply a suitable DMS product (indicating specific modules, tools etc.) with justification with respect to satisfying the functional and technical requirement specifications laid down in this document; and
- Validate the solution configured and provide quality assurance within the project.

The product proposed by the Contractor must comply with the mandatory criteria and must meet the following:

- It must be of the latest commercially available and acceptable version, at the time of project implementation completion.
- It must have all functions described in business process requirements as natively integrated applications on a single interoperable open platform and not the integration of multiple products and overlapping middleware.
- It must provide wide range of security features such as Authentication, Single Sign-On (SSO) matching with the GCF's current platform environment with Microsoft Active Directory and Azure, authorization, comprehensive log files, and integrated user management.
- Upgrade to new releases should not become mandatory for the next three years from the date of installation.
- It must be upwards scalable in size, capacity and functionality to meet changing business and technical requirements, thereby enabling GCF to be adaptable to change.

The Tenderers will be required to provide detailed documentation on the following in their technical response:

- The DMS application, required customization if any (although not desired), tools, database, network performance and the related software being supplied in order to meet the functional and technical requirements set out in this document;
- The process to be followed in installation and configuration of the DMS application, tools, database and the related software; and
- The process to be followed for maintenance and upgrade of the DMS application, applying patches, tools, database and the related software.

**b. Advice on, installation and commissioning of appropriate PaaS, SaaS and network links, in association with GCF's respective Cloud service providers**

- Tenderer shall specify the Cloud services configuration/specifications that are most suitable for running the DMS solution provided to GCF comprising of (but not limited to) the operating systems, load balancing (at application level) and administration tools, bandwidth requirements, firewalls and any other item required for the proposed solution considering GCF's modern building and network infrastructure, server less environment with all core current and future applications running on virtual machines in an external Cloud environment.
- Contractor will be responsible for properly drawing up all PaaS, SaaS and networking link specifications to ensure that the installation and deployment of the procured DMS solution is smooth across GCF.

Specific activities that need to be done in this task are:

- Draw up detailed PaaS, SaaS and external networking specifications pertaining to the DMS solution being implemented;
- Provide the bandwidth requirements of DMS applications, clarify if there should be a need for dedicated quotas;
- Additional PaaS and SaaS subscriptions required will be procured by GCF. Bidder is required to configure and integrate any of those changes;
- Assist GCF in the procurement of the specified Cloud services;
- Assist GCF in carrying out a quality check of the procured new/extended Cloud services and connectivity arrangements;
- Fine-tune and optimize the Cloud based services and connectivity arrangements during implementation period;
- The chosen PaaS and SaaS should be performance scalable to meet changing business and technical requirements;
- Ensuring that the operating system and software plug-ins are of the latest release commercially available. Tenderers should mention the operating system/s and software plug-ins supplied along with version and release date.
- The Tenderer will also be required to provide detailed documentation on:
  - The software and services to be supplied;
  - The process to be followed in installation of the software;
  - The process to be followed in maintenance and upgrade of the PaaS, SaaS and related software; and
  - Processes suggested for performance measurement during the period of performance guarantee.
- The Tenderer shall be responsible for PaaS sizing, to be done considering appropriate capacity and scalability assumptions, along with justifications.

- The Tenderer shall study and prepare a schedule and road map to comply with the specified overall project time schedule and project scope.

#### **c. Cloud infrastructure and application support team set up**

Installation and commissioning of any software and Cloud based services will be the responsibility of the Contractor.

The tasks include, but are not limited to the following:

- Review sizing and detailed specifications of external network bandwidth required for smooth and effective running of all the DMS applications;
- Specify the bandwidth requirements of applications in comparison to current GCF infrastructure;
- The Contractor shall be entirely responsible for setting up the fitting PaaS and SaaS environment to meet the requirements of the DMS solution implemented at GCF;
- The Tenderer shall study and prepare a schedule to comply with the specified overall project time schedule and project scope, and
- The Tenderer should also provide details of the support team requirements with detailed team structure, skills requirements and any other information necessary to enable GCF to evaluate the ongoing cost and skill requirements to support the proposed solution. The description should at least describe two scenarios, one with maximised reliance on vendor/third party for providing DMS support and enhancement services in the future. A second scenario should describe the typical/best practise size and nature of customer side DMS team. Please elaborate on job categories of more strategic nature that are recommended to be created internally (business intelligence etc).
- Provide a formula that allows the GCF to estimate its future annual steady state TCO for your suggested DMS solution.

#### **d. Implementation services**

The Contractor will be responsible for the following:

- I. Design and implementation of system architecture
- II. Project management, planning and scheduling various phases of the implementation;
- III. Verify and ensure the completeness of business process descriptions and their mapping against the capabilities of the DMS solution;
- IV. Conceptualizing, configuring, developing, customizing, validating and implementing the solution, including developing and testing interfaces, custom applications, data conversion were required, training and change management, documentation etc.;
- V. Providing post go-live support.

Each of the tasks is described in detail below. Some of these are also explained in detail further in this section.

##### **I. Design and implementation of system architecture**

The Contractor shall be entirely responsible for the architecture of the system implemented to satisfy all features, functions and performance as described in this document. System architecture description provided in this document is for guidance only. Tenderer should validate the description as necessary in order to provide a complete solution.

The System architecture shall be developed with the following guidelines in mind:

## General Guidelines

- The system architecture should be based on open and prevailing industry standards and protocols.
- The system will be Cloud based, centrally deployed and accessed.
- Role based access shall be planned to ensure high granularity without compromising on security needs of the application.
- The system shall be designed to be scalable and extensible.

## Application

- The application design should be a services based architecture for all environments.
- All application components should have a browser based user interface with a common look and feel.
- All production applications must have high availability.
- All systems must take into account appropriate security, performance, efficiency and maintainability issues.

## Data

- Data will be owned, shared, controlled and protected as a corporate asset.
- Shared data will have consistent formats and definitions and be independent of applications.
- Data should only be accessed through application/interfaces to create, update and delete.

## Infrastructure

- The architecture should be designed for extensibility and scalability.
- The system must be designed in such a way that it supports all the future enhancements, load balancing of the application, presentation and data layers of the system.

## Information Security Policy

- The GCF will due to the nature of its business, at one future point, aim for ISO 27001 certification. DMS solution should be prepared to match upcoming GCF information security policies and procedures in line with the requirements of that standard. The Contractor will have to incorporate these needs into the platform, links, application and operations design as appropriate. The information security provisioning may be audited either by GCF or an external auditor authorized by GCF.
- Contractor will provide support to GCF policies regarding the archiving, retention and destruction of records, through customization of DMS and automatization of the procedures for these activities.
- Contractor will provide support in configuring DMS solution to match GCF policies for backup and recovery.

## II. Project management, planning and scheduling

### Project Team

- The Contractor will form a full-time team for the project consisting of Project Manager and other team members. The key team members should be professionally qualified / trained in their tasks and should have requisite DMS implementation experience. Swapping of resources during the project will not be permitted without prior approval by GCF.
- The Tenderer should specify the expected involvement of GCF employees within the project team structure. The Tenderer should further on describe the recommended composition and terms of reference of Project Steering Committee.

- The Contractor will be expected to follow Project Management principles (according ideally PMI PMBOK or alternatively PRINCE2) and good practices, including Risk Management, Quality Assurance, Resources Management and Reporting.
- The Tenderer project plan will adequately account for User Acceptance testing, documentation related to Controls, Security, Segregation of Duties; and the activities will adequately account for implementation of controls identified in our business processes.

### **Implementation Plan**

The date of award of contract to the Contractor will be considered as start date of implementation.

- The Tenderer should propose a suitable project plan in such a manner that overall timelines, as specified in this document, are adhered to. The Tenderer should provide detailed time schedule for all items as per total scope of work matching with the implementation plan.
- The Tenderer will further detail the project plan in early stages of the project and get the same validated by GCF. The project plan should include the following at the minimum:

The project broken up into logical phases and sub-phases;

- Activities making up the sub-phases and phases;
- Key milestones and deliverables along with their dates;
- Start date and end date for each activity;
- The dependencies among activities;
- Resources / Consultants to be assigned to each activity;
- Resources (core team, business team and process owners) expected from GCF for each activity.

In addition to the implementation plan, the Tenderer should formulate and submit other key documents including, but not limited to, the following:

- The Interface Strategy describing high-level interface points between DMS and non-DMS applications;
- Data Conversion Strategy describing the data elements that would need to be converted and the process to be followed for the same;
- Solution Test Strategy including the number of iterations of SIT (System Integration Test) and UAT (User Acceptance Test) expected, all test documents to be submitted to GCF for prior approval;
- Risk Management Strategy, identifying, analysing and evaluating the project risks and the process to be followed in mitigating those risks;
- Training Strategy, describing and implementing proposed approach in providing training to various categories of users;
- Change Management strategy; and
- Post implementation support strategy.
- In addition to the strategy level documentation above, implementation related documentation is expected. All documentation will be in English and subject to review and acceptance by GCF. It is expected that documentation will capture an adequate level of detail and will be presented professionally to GCF.

## Project Reporting

- The Tenderer should describe the proposed project reporting methodology. As a minimum, a progress report to GCF is expected each fortnight. The frequency may be increased during critical phases of the project. Additionally, the Contractor shall report on a continuous basis, project risks, mitigation, exceptions and issues that require immediate attention of GCF.
- The GCF will nominate an internal focal point, to ensure seamless coordination between the parties.
- The Contractor will via its Project Manager be responsible for attending meetings of the Project Steering Committee, informing the membership about progress and status, discussing potential options ahead, and seeking clearance for potential change requests.

## Other Requirements

The Contractor should also meet following expectations:

- The Contractor should carry out the implementation based on a well-defined proven methodology (including pre-defined formats) through all stages of the project. However, the Contractor will not restrict itself to this methodology and would be open to improvisation as may be necessary;
- The Contractor should observe formats and procedures prescribed for documentation during all stages of project execution;
- The Contractor should deploy adequate resources for the required duration on site at GCF as well as any other site / unit / location as may be necessary during any stage of the project;
- The Contractor should be accessible during the GCF working hours, and be capable to provide a wide range of assistance services remotely via the Internet, in that way minimising the dependence on onsite work for routine or exception settings.
- All the key team members (including Project Manager) of the Contractor should be permanent staff of the Contractor, with demonstrable experience in the solution proposed. As mentioned earlier, substitutions and changes to the team will not be permitted during the project. In case of extreme circumstances, GCF reserves the right to evaluate and authorize substitutions, and/or request for substitutions.
- The Contractor should obtain and produce a certificate from proposed DMS Product Supplier mentioning that the Solution is fit for go-live.
- The Contractor should obtain and produce a certificate from DMS Product Supplier for appropriate PaaS and SaaS sizing.

## III. Business Process Evaluation

GCF has already prepared the draft copies of regulations, rules & policies and overview documents that will be the basis for elaborating DMS assisted future business processes. Find those in Annex IX (Regulations, Rules & Policies). The Contractor is encouraged to study the Fund's public facing web site with official GCF Board documents for complementary details.

- The Tenderer is responsible for studying the upfront provided reference material for estimating the effort of interactively designing the DMS related to-be business processes. The Tenderer is expected to list and very briefly explain all the essential business processes that are suggested to be covered during the assignment work and would allow the Fund to fulfil its mandate.  
The GCF will validate this list and suggest suitable changes as may be necessary. Based on the agreed business process coverage of the implementation, the Contractor will:
  - Conduct an in detail study of the business process requirements specified by GCF;

- Identify the workaround solutions or customizations and interfaces to be developed as part of the implementation;
- Identify information requirements for each business process;
- Identify data conversion elements for each business process; and
- Identify data migration requirements for each business process.
- The Tenderer should clearly understand GCF integration requirements (functional as well as technical). The implementation cost that will be submitted by the Tenderer should include effective integration of these applications as proposed and no extra payments will be made towards integrations of applications.
- The Tenderer proposal should clearly state where GCF business process requirements can be met 'out of the box' by the DMS solution and the extent of any customization required if this is not possible.

#### **IV. Modelling, developing, configuring and testing the solution**

The Contractor will also be responsible for the following:

- Modelling, developing and customizing the solution based on the business processes, proposed improvements and satisfying the business and reporting requirements of GCF;
- Configuring the solution including development of necessary interfaces with external data sources and basic platform applications;
- Ensuring that the necessary controls and security are configured in line with GCF policies, and controls are acceptably automated to the extent possible.
- Conducting System Integration Tests, User Acceptance Tests and such other tests and making necessary changes to configuration / setup based on the test results, implementation of pre-go live audit recommendations etc.;
- Training and change management;
- Data conversion and migration; and
- Go-live and cutover activities.

#### **V. Providing post go-live support**

- The Contractor will provide remote post implementation support for six months from the go-live of all implemented modules from final go live date. The Contractor will also provide on-site post implementation support for fifteen working days each for two quarter closing and two months for one annual closing process after first go-live date.
- The Contractor will provide guidelines in setting up and managing an DMS customer support regime (to be operational ahead of the go live date) including the processes to be followed in logging request for assistance, assigning requests to specific individuals, escalating calls to technical, business or vendor actors, recording resolution and tracking overall time frame from logging a call to its resolution.
- The Contractor will provide a meaningful DMS Service Level Agreement that helps in managing expectations and roles between users and internal/external DMS service providers.
- In addition to the above mentioned post go live support, the Contractor may be requested by GCF to provide additional support for problem resolution, enhancements etc.
- The Contractor will provide a description of its team for the post-implementation support along with their roles, job descriptions and profiles of key individuals. If such additional support is expected to be charged separately, then the Contractor will propose time and material rates for this as mentioned in the price bid separately.
- The Contractor shall co-operate with GCF in the conduct of any post implementation audit (by a party other than the Contractor), if so desired to be conducted by GCF, during the period of post go-live support.

Also, in the event of GCF conducting an independent pre go-live audit, the Contractor shall render all necessary support for the audit, including implementing the changes/improvements if any recommended.

### **C. Functional scope**

The new system should be a centralized, Cloud based DMS providing a tight integration with the various Office 365 applications, maintaining all the data under a single repository, and minimizing the need of data transfer among the various applications.

The various functional groups are as follows:

#### **a. Capturing and Storing**

- Automatic unique document numbering
- Automatic unique folder numbering (including at sub-folder level) with ability to create new top level folders when working on new matters.
- Prompting to save files on DMS repository.
- Capturing hard copies of the documents.
- Keeping electronic documents in a non-proprietary and native format.

#### **b. Flexible Indexing**

- Documents stored within a DMS can be indexed in several different ways simultaneously, applying multiple taxonomies or categorizations to a document or folder that allow documents to be classified and stored in more than one way from a “single instance”.

#### **c. Versioning**

- Ability to save multiple versions of the same document without creating new files (and ability to not have to create new versions every time you open and edit a document – unlike the current SharePoint system).
- Ability to track authors of different versions.
- Ability to track who has accessed, viewed, emailed documents, and the reasons (included by the author) why a new version was saved.
- Ability to run comparisons between different versions of the same document without saving it on local drive.

#### **d. Collaboration / Co-Authoring**

- DMS will facilitate real-time collaborative review of the stored documents.

#### **e. Robust Search Engine**

- Full text search using keywords and phrases with sorting by relevance, will be supported.

#### **f. Sharing and Publishing**

- Provide secure ways to share stored documents with authorised external parties in a user-friendly manner.
- Support publishing of the stored documents on website for public and/or authenticated access.
- Allow sharing of links to the stored documents instead of the attachments in the e-mails.

#### **g. Integration**

- Integration with Office 365 Suite through toolbars and context menus.
- Integration with MS Windows 8 and higher, through context menus.
- Ability to save e-mails and attachments from Outlook folders.

#### **h. Security**

- Integration with Active Directory (Single Sign On authentication).
- Authorised access to classified documents.

- Compliance to GCF information security classification policies and practice.
- Full audit trail.

#### **D. Technical scope**

The features that characterize the system shall include, but not be limited to the following:

##### **i. User Interface**

- The end user interfaces should be web interface based. The Tenderer should account for access from remote locations with weak internet connections.
- Regular DMS interactions for normal staff members should further on be possible from modern smartphone devices – Android, iPhone and Windows Phone.

##### **j. Centralized / Common Master Data**

- The solution envisaged by GCF assumes a centralized master data repository to be shared by all the units based on their requirements. These master data would include but not be limited to the following:
  - Employee Master.
  - Designations Master.
  - Departments Master.
- Centralized/Common master data repository means that there would be only one set of master data across the organization capable of maintenance from any or all units with centralized approval system.
- The master will have data common to all units as well as data specific to a unit. While managing data, the system must provide adequate control and security for addition, modification, deletion and validity. The values will be assigned to individual units based on their requirements.

##### **k. Data Access and Security**

- GCF is aware that ensuring information security in a DMS environment is critical for the Fund's stakeholders. The system must have proper security and maintenance facility which limit access to the system and its various functions to the users delegated with appropriate authority. It shall provide logging, both by user and by terminal. Access to the data shall be on role based principles. The system shall record user identity, date and time stamp of all transaction with details of creation, read, update, delete or print.
- Access should be restricted at different levels of files and meta data.

##### **l. Audit Trail**

- The Tenderer must ensure that the DMS solution proposed by them has extensive facility with respect to maintaining audit trail. The system shall be able to define audit trails, audit logs and transaction logging requirements. It shall enable audit trails on-line, tailor audit requirements by modules.
- Any addition, deletion or modification to an existing record, whether master or transaction, must bear the date and time stamp, the name of the log-in user who made the change and the terminal from which the change was made. It should also be possible to maintain details of the original record and subsequent changes to the record. Standard audit related reports should also be available.

##### **m. Online Help Facility**

- The system should also provide online help capability for every form /process in the proposed solution.

**n. Workflow Based Applications**

- GCF expects the proposed DMS solution should be capable of replacing the current physical flow of documents across business team with the flow of electronic data. For instance, if purchase requisitions require approval based on the item or service being procured, then the workflow in the DMS Solution should forward the link of a purchase requisition electronically to a user/approver based on the criteria defined by GCF. The proposed solution can assume a GCF environment with SharePoint and Outlook in their O365 variation.

**o. Modularity**

- GCF expects the proposed DMS Solution to be modular in nature. The system will initially be required to cover a range of business processes across various functional areas / modules as mentioned above, but it should also allow addition of more functional modules as and when required, which should seamlessly integrate into the core system without encountering any technical issues. Integration between such new modules and the modules already implemented should be seamless and should not require significant development effort.

**p. Scalability**

- The DMS Solution being proposed by the Tenderer must be scalable both in terms of the business rules, volume of transaction and master data but also in terms of defining new entities and organization structure.

**q. 24/7 Operations**

- The Tenderer must ensure that the DMS Solution implemented supports 24/7 operations. This is necessary as GCF will work with implementation partners and stakeholders across all time zones worldwide.

**r. Reports**

- It is expected that all the out-of-the-box reports will be reformatted as per GCF's requirements and fields could be replaced/removed if required.
- The Tenderer shall explain how the Fund's need for agility and flexibility to respond to changes of information needs by stakeholders can be dealt with, while avoidable bottleneck effects and/or costly case by case development work. A brief description of the methodology variations at disposal when developing custom applications/reports should be included in the response to the RFP.
- In addition, the Contractor is required to train GCF Core/ Technical Team members on the methodology of building custom reports, so that GCF can take up the additional development as and when required.

**s. Data Cleansing, Conversion, Mapping, Migration and Validation**

- GCF expects data migration activities to be required as part of the DMS introduction work.
- The Contractor is expected to prepare and submit a Data Conversion Strategy Document during the initial study stage of the project describing the broad data elements to be manually entered or when justified in an automated fashion converted, source of the same, the target DMS module and the detailed form in which the same will be converted. A tentative timeframe for developing the potentially necessary scripts, testing the same and eventual execution on the Production environment should also be indicated.

- The Contractor shall:
  - Identify data elements (files and meta data) to be migrated;
  - Ensure collection of all data required from identified sources with GCF assistance;
  - Support GCF in providing assistance in cleansing, enriching and formatting of pre-existing data categories;
  - Prepare and validate data mapping structure;
  - Prepare data migration scripts where adequate due to volume;
  - Run successful trial data migration;
  - Upload data to the new test and production system upon acceptance by the data owners;
  - Reconcile and validate migrated data and status of transactional data; and
  - Create new/additional data mandatory in the new system.

**t. Training Scope**

- GCF believes that the key to successful DMS implementation will be the Contractor's ability to train GCFs staff in operating the proposed business solutions. In this context, the Contractor is expected to:
  - Provide a description of the approach and tentative plan for training GCFs core team members and end users along with the tentative time frame;
  - Include the training budget in the proposal;
  - Provide a description of the training hand-outs and/or operating manuals to be provided to the core team members and the end users;
  - Provide a description of the assistance in setting up a DMS customer support prior to go-live.
- Training programs will have to be organized for separate categories of users based on functions, roles, responsibilities and geographic locations. The Contractor will be responsible for the preparation of the training material and end user manuals. End user manuals should cover "how to use" concepts for all DMS modules to be implemented.

**u. Change Management Workshops**

In addition to the above, the Contractor will create a change management approach and work stream to identify issues anticipated in the change management process and proposed solutions to overcome these. The Contractor is expected to conduct the change management programs on one-on-one individual basis or in groups and at different locations.

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#### Annex IV: Technical Proposal

1. The Technical Proposal must be sealed in its own envelope clearly marked as Technical Proposal. **NO details of a financial nature whatsoever must be included in this Technical Proposal.** Failure to comply with this requirement will result in the disqualification. Each page of the Technical Proposal shall be signed and stamped at the bottom by an authorized representative of the company.
2. Proposers are requested to submit a Technical Proposal that demonstrates the capability in delivering requested services as indicated in Annex III.
3. To facilitate a faster evaluation and comparative analysis of the bids, we recommend that the bid proposals be structured in the following manner:
  - a. **Expertise of Firm/Organization** – This section should provide details regarding management structure of the organization, organizational capability/resources, and experience of organization/firm, the list of projects/contracts (both completed and on-going, both domestic and international) which are related or similar in nature to the requirements of the RFP.
  - b. **Proposed Methodology, Approach and Implementation Plan** – This section should demonstrate the Proposer's response to the Terms of Reference/scope of services by identifying the specific components proposed, how the requirements shall be addressed, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; identifying the works/portions of the work that will be subcontracted; and demonstrating how the proposed methodology meets or exceeds the specifications, while ensuring appropriateness of the approach to the local conditions and the rest of the project operating environment.
  - c. **Management Structure and Key Personnel** – This section should include the comprehensive curriculum vitae (CVs) of key personnel that will be assigned to support the implementation of the proposed methodology, clearly defining the roles and responsibilities vis-à-vis the proposed methodology. CVs should establish competence and demonstrate qualifications in areas relevant to the TOR.

In complying with this section, the Proposer assures and confirms to GCF that the personnel being nominated are available for the Contract on the dates proposed. If any of the key personnel later becomes unavailable, except for unavoidable reasons such as death or medical incapacity, GCF reserves the right to render the proposal non-responsive. Any substitution of personnel arising from unavoidable reasons shall be made only with the approval of GCF.

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- d. **Other Information as may be relevant to the Proposal.**

The Technical Proposal shall not include any financial information. A Technical Proposal containing any form of financial information that could lead to the determination of the price offer may be declared non-compliant.

## Annex V: Financial Proposal

### Pricing Information

1. The Financial Proposal should include pricing information covering requests stated in the previous annexes.
2. This Financial Proposal must be sealed in its own envelope clearly marked as Financial Proposal. NO details of a financial nature whatsoever must be included in the Technical Proposal (Annex IV). Failure to comply with this requirement will result in disqualification. Each page of this Financial Proposal shall fully completed, signed and stamped at the bottom by an authorized representative of the company.
3. The financial component shall use the pro forma in Volume 3 and shall include the following:
  - a. Structure and pricing details in US dollars including all expenses and excluding taxes, as per table below:

Item	Price
Implementation (installation, customisation, development, consultancy, training, testing and other activities related to solution fitting to GCF requirements)	
Licenses/Subscription for 1 year – based on 50 users.	
Post go-live support for 1 year	

- b. Potential economies of scale due to linkages with existing operations of the Tenderer;
  - c. Financial plan that clearly links all costs to activities and outputs detailed in the work plan with associated payment mechanisms;
4. Tenderer shall exclude all taxes in the financial component.
5. The Fund reserves the right to give preference to the most appropriate baseline in terms of expected economies of scale for the Fund.

## Annex VI: Company Profile Form

All of the questions below should be answered in full. The information provided in response to the questions below will be used as part of the evaluation of the solution/service provider proposal.

As you can partner with other companies to provide all components, the information required in this form is for the company which will submit the offer. This company will be the one signing the contract (if selected) and will be responsible for the delivery of all components.

### 1. General Information

Name	
Address	
	Postal Code:                      Country:
Telephone	
Fax	
E-mail	
Web site	
Parent company, if any	
Year established	
Type of organization	Public enterprise                      ( ) Private company                      ( ) Organization sponsored (assisted by Government) ( ) Other (please specify): .....                      ( )
Summary of main business activities (company and partner company expertise)	
No. of employees	
Primary contact for sales/client services	
Primary partnerships and cooperation (if any)	(e.g. airlines, hotels)
Working language (s)	English ( )                      Korean ( )                      Other: .....

### 2. Financial Information

Gross annual sales for last three years		
Year .....	€ or US\$	Year .....
		Year .....
		€ or US\$

**3. Summary of main products and services offered (by company or its partners)**

1
2
3
4
5
6

**4. Experience with other organizations (both national and international)**

<i>List contracts values of contacts</i>		
Name of organization	Value (€/US\$)	Year
1		
2		
3		
4		

**5. Environmental Policy**

Does your company have a written statement of its environmental policy?

YES ( ) Copy need to be provided in English if requested by the Secretariat

NO ( )

**6. Contract disputes**

List any disputes your company has been involved in over the last three years (enter N/A if you did not have any disputes)

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**7. Certification**

I, the undersigned, confirm that the information provided in this annex is correct. In the event of changes, details will be provided. I also confirm that this proposal is valid for 180 days from the closing date to submit proposals for this RFP.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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## **Annex VII: Terms & conditions to submit a proposal**

### **A. Submission of Proposal**

1. Proposals must be submitted in the English language on the requirements specified in this RFP.
2. Tenderer must provide all requisite information under this RFP and clearly and concisely respond to all points set out in this RFP. Any proposal, which does not fully and comprehensively address this RFP, may be rejected. However, unnecessary elaborate brochures or other presentations beyond that deemed sufficient to present complete and effective Proposals are not encouraged. Prices must be stated in US dollars and value added tax should be itemized separately.
3. Following submission of the proposals and their final evaluation, the GCF reserves the right to retain unsuccessful proposals. It is the responsibility of the tenderer to identify any information of a confidential or proprietary nature contained in its proposal so that it may be handled accordingly. However, the GCF Secretariat cannot guarantee confidentiality.

### **B. Functional and Technical Requirements**

4. Tenderer must adhere to the requirements of this RFP. Any changes, substitutions or other alterations to the functional and technical requirements stipulated in this RFP document must be clearly identified and well justified in the proposal.

### **C. No commitment**

5. This RFP does not commit the GCF to award a contract or to pay any costs incurred in the preparations or submission of proposals, or costs incurred in making necessary studies for the preparation thereof or to procure or contract for services or supplies. The GCF reserves the right to reject any or all proposals received in response to this RFP and to negotiate with any of the tenderer or other firms in any manner deemed to be in the best interest of the GCF. The GCF reserves the right to negotiate and award only a portion of the requirements; to negotiate and award separate or multiple contracts for the elements covered by this RFP in any combination it may deem appropriate, at its sole discretion to add new considerations, information or requirements at any stage of the procurement process, including during negotiations with tenderer; and reject the proposal of any tenderer that has previously failed to perform properly or in a timely manner contracts of a similar nature, or of a tenderer that, in the opinion of the GCF, is not in a position or is not sufficiently qualified to perform the contract.
6. This RFP contains no contractual proposal of any kind, any proposal submitted will be regarded as a proposal by the tenderer and not as an acceptance by the tenderer of any proposal by the GCF. No contractual relationship will exist except pursuant to a written contract document signed by the authorised procurement official of the GCF Secretariat and by the successful tenderer(s) chosen by the GCF Secretariat.

### **D. Criteria for Evaluation**

7. The evaluation procedure will consist of a formal, substantive and financial assessment of the proposals received. Proposals which do not meet the requirements set out in Annex IV and other provisions of the Contract will be disqualified. In the selection of the successful tenderer, paramount importance will be given to the quality of the Proposal and demonstrated ability to deliver required results. Subject to that criteria, price is the decisive factor.

### **E. Prices and Terms of Contract**

8. The price quotes shall be made in US\$ and shall be free of any local tax (such as VAT) and duty. Prices shall be final and not subject to revision from the time of entering into force of the contract.
9. Price quotes shall include any necessary service to be provided by the selected tenderer (even if such services are not expressly enumerated) in order to ensure a satisfactory fulfilment of the contract, as well as any other expenses incurred by the selected tenderer (e.g. telecommunication, postal charges).

10. In no case may the selected tenderer invoke a missing part or an oversight in the description of the work components in the tender documents or claim inadequate explanations for seeking any price increase or any release from contractual liabilities.
11. The contract shall include provisions dealing with the applicable law and the arbitration forum for the settlement of disputes.

#### **F. Payment Terms**

12. The normal terms of payments are 30 days (or similarly discounted payment terms if offered by tenderer) upon satisfactory delivery of goods or performance of services and acceptance thereof by the GCF Secretariat. Tenderer must therefore clearly specify in their proposals the payment terms being offered.

#### **G. Validity of Proposals**

13. The Proposal shall remain open and valid for a period of at least 180 days from the designated closing date for receipt of proposals indicated in the RFP. Please state in your proposal that it will remain valid for this period (Annex VII: Company Information). Once your proposal is accepted during this period, the price quoted in your proposal must remain unchanged for the entire period of the resulting contract unless otherwise specified in this RFP.

#### **H. Rejection of Proposals and Split Awards**

14. The GCF reserves the right to reject any and all proposals if they are, inter alia:
  - Received after the deadline stipulated in the Request for Proposal;
  - Not properly marked or addressed as required in the Request for Proposal;
  - Transmitted by facsimile;
  - Unsolicited;
  - Otherwise not in compliance with this Request for Proposal
15. The GCF also reserves the right to split an award between any tenderer in any combination, as it may deem appropriate. If the proposal is submitted on an “all or none” basis, it should clearly state so in the Proposal.

#### **I. Withdrawals and Modification of Proposals**

16. Proposals may be modified or withdrawn in writing, prior to the proposal closing time specified therein. Proposals may not be modified or withdrawn after that time.

#### **J. Errors in Proposal**

17. Tenderer or their authorised agents are expected to examine any drawings, specifications, circulars, schedules and other instructions pertaining to the work, made available by the GCF to the tenderer for inspection. Failure to do so will be at the tenderer’s own risk. In case of error in the totalling of prices, the unit price will govern.

#### **K. Confidentiality**

18. This Request for Proposal or any part thereof, and all copies thereof must be returned to the GCF upon request. It is understood that this Request for Proposal is confidential and proprietary to the GCF, contains privileged information, part of which maybe copyrighted and is communicated to and received by tenderers on the condition that no part thereof or any information concerning it may be copied, exhibited or furnished to others without the prior written consent of the GCF except that tenderer may exhibit the specifications to prospective sub-contractors for the sole purpose of obtaining offers from them. Notwithstanding the other provisions of the Request for Proposal, tenderer will be bound by the contents of this paragraph whether or not their company submits a bid or responds in any other way to this Request for Proposal.

## Annex VIII: Evaluation Criteria

### A. Evaluation and Comparison of Proposals

1. A two-stage procedure will be implemented to evaluate the proposals. In the first stage, the technical proposals will be evaluated before any financial proposal is opened and compared. Only those financial proposals of the offers that meet at least the minimum score in the evaluation of the technical proposals will be opened. Although price is obviously an important factor for the selection, the Fund has decided to use weightings across a list of selection criteria for determining the best choice. 40% of weight will be given for the financial aspect of offer, 60% for the non-financial aspects, with details below.
2. All proposers are expected to adhere to the formal requirements for submitting a proposal and failure to do so will result in disqualification of the proposal from consideration as part of this evaluation. Formal requirements include, in particular:
  - a) Full compliance with the formal requirements for submitting a Proposal as stipulated in the transmittal letter (such as submission of 3 copies of the Proposal, separate and sealed Financial and Technical Proposals) and full compliance with Annex VII: "Terms and conditions to submit a proposal" of this RFP;
  - b) Submission of a Technical Proposal as described in Annex IV, which will include express understanding and acceptance of all Annexes to the RFP; submission of Annex V: "Financial Proposal"; Annex VI: "Company profile", and Annex VII: "Terms and conditions to submit a proposal" to this RFP duly completed where applicable, stamped and signed, for confirmation of acceptance, truth, completeness and accuracy;

### B. Evaluation of Technical Proposal

3. A review committee established in the GCF Secretariat will evaluate each technical proposal submitted. Each technical proposal will be evaluated on the basis of its responsiveness to the requirements detailed in this RFP, and will be assessed and scored according to technical evaluation criteria listed below:

Selection Criteria	Max. Points
<b>Functionality:</b> Match with essential functional and technical requirements as described in the text of this RFP	30
<b>Ease of use:</b> User friendliness of envisaged overall solution. With users comprising the heavy duty DMS users and those that touch it more infrequently or indirectly.	20
<b>Integrated Suite:</b> DMS solution must be capable to almost "plug and play" with its surrounding information handling systems and tools. It shall minimise the need to switch between applications and interfaces. And it shall have ability to serve as auditable system of record.	20
<b>Ease and speed of implementation:</b> Based on project schedule information being part of the offer, and backed up by real world examples.	12
<b>Ability to tailor functionality without programming:</b> As agility and adaptability is a trait of the GCF, we need to ensure that the DMS backbone will support that. We are still in the earliest stage of organisational life-cycle, many requirements will evolve in the future.	10
<b>Relationship with vendor:</b> This is about the quality of suggested project execution concept and the proposed subsequent support regime.	8
<b>TOTAL</b>	<b><u>100</u></b>

4. Those offers that are reaching at least **67** points during the papers-only based interim stage of technical evaluation process will be availed with the opportunity of providing a remote demonstration of their proposed base/adjusted DMS Suite and a chance to respond to related questions by the Incheon-based Review Committee. Information gained from that session will be used for confirming or adjusting the tentative scores, especially those for the “Ease of use” and “Integrated Suite” categories. The Tenderer shall be prepared for conducting such a presentation during Korean business hours in the week of 16<sup>th</sup> May 2016.

#### **C. Evaluation of Financial Proposal**

5. In the second stage, the Financial Proposals of all proposers who have attained a minimum score of **75** in the technical evaluation will be compared.
6. All proposals are evaluated against the following set of basic financial criteria:
  - a) Economy
  - b) Transparency in, and feasibility of, the pricing of services.

The financially most attractive offer will be given the maximum score of **100** points. Other offers will receive a point score proportional with their cost deviation.

#### **D. Combined Result**

7. The total of technical and financial points of eligible offers will determine the winner.

### **Annex IX: Regulations, Rules & Policies**

#### **List of most important Reference Documents**

- [GCF/B.08/Inf.05 Annual Update on the Structure and Staffing of the Secretariat, GCF/B.07/07 Structure of the Fund](#)  
(structure of the Fund)
- [GCF/BM-2014/01: Administrative Policies of the Fund](#)  
(administrative policies including HR, accounting, travel, budget, etc.)
- [GCF/B.08/27 Commencement Annual Reporting External Audit Process](#)  
(for Audit Trail)
- [GCF/B.12/24 Comprehensive Information Disclosure Policy of the Fund](#)  
(informs about the scope of overall information retrievability and confidentiality needs to cope with. It is further on foreseen that GCF will seek ISO 27001 certification during that same year)
- **Technical overview of the GCF ICT infrastructure available upon request.**