



Executive Summary

Appendix I to the Invitation to submit a request to participate

Restricted call for tenders – Phase I

COMP/2016/007

**for a direct framework contract for the
acquisition of a Case Management
Framework and related IT consultancy
services for the European Commission**

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1. Context of the call for tenders

1.1. *This document*

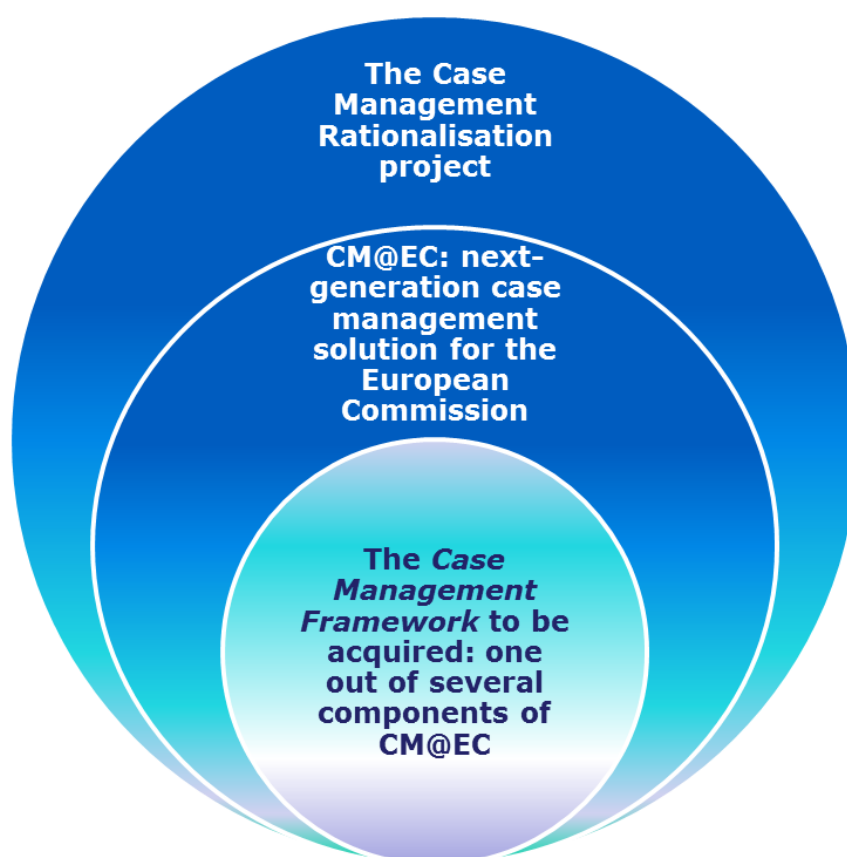
The aim of this document is to explain the context and provide a high-level overview of the objectives and scope of this call for tenders.

1.2. *Case Management Rationalisation project*

In 2011, the European Commission decided to rationalise IT¹. The Directorate-General for Competition has been appointed as leader of the rationalisation in the domain of Case Management ("Case Management Rationalisation project").

The goal of the Case Management Rationalisation project is to deliver and operate CM@EC: a modern, adaptive, efficient and re-usable solution for case management which fulfils the common business needs of the participating European Commission Services. Setting up and operating CM@EC will be fully in the responsibility of the European Commission and out of the scope of this call for tenders. CM@EC is mentioned here only for a better understanding of the context.

The *Case Management Framework* to be acquired will be one out of several components of the envisaged CM@EC solution.



¹ SEC(2010) 1182 Communication from Vice President Šefčovič to the Commission 'Getting the best from IT in the Commission'; SEC(2011) 1500 'First decisions in the IT rationalisation process'.

1.3. Participating European Commission Services

The following Commission Services participate to the Case Management Rationalisation project:

- The Directorate-General for Agriculture and Rural Development (DG AGRI)
http://ec.europa.eu/dgs/agriculture/index_en.htm
- The Directorate-General for Competition (DG COMP)
http://ec.europa.eu/dgs/competition/index_en.htm
- The Directorate-General for Maritime Affairs and Fisheries (DG MARE)
http://ec.europa.eu/dgs/maritimeaffairs_fisheries/index_en.htm
- The European Anti-Fraud Office (OLAF)
http://ec.europa.eu/anti_fraud/index_en.htm
- The Directorate-General for Trade (DG TRADE)
<http://ec.europa.eu/trade/trade-policy-and-you/contacts/>

Further Commission Services might later join and use CM@EC if the tool responds satisfactorily to their user needs in the context of Case Management.

The Secretariat-General of the European Commission (SG) as well as the Directorate-General for Informatics (DG DIGIT) partake the steering of the Case Management Rationalisation project.

2. Call for tenders

2.1. Objectives of this call for tenders

The European Commission wants to acquire under this call for tenders a *Case Management Framework (CMF)* together with supporting IT consultancy services specialised on the installation, configuration, development and administration of this Framework.

Case Management Frameworks are software meant to be configured, extended, integrated and interoperable with other assets by buyers, enabling the speedy delivery of customised and flexible solutions. Case Management Frameworks implement "out of the box" case management entities and provide architectural patterns² and capabilities relevant for the implementation of a case management solution.

2.2. The Framework Contract

The European Commission and the successful tenderer following this call for tenders must sign a Direct Framework Contract for a period of 4 years with effect from the date on which it enters into force.

² https://en.wikipedia.org/wiki/Architectural_pattern

The Framework Contract may be renewed up to three times for a period of two years each time. Terms and conditions for renewal will be described in the documentation related to phase II of the restricted call for tenders (the Tender Phase).

2.2.1. Licenses and related support

Acquisition of licenses (or whichever legal instrument) allowing the installation of the acquired *Case Management Framework* on European Commission hosting infrastructure as well as its use by a certain number of European Commission users.

The participants to this call for tenders will be requested to make an offer providing the best possible match between the Framework products proposed in their offer and related IT consultancy services, and the European Commission's needs for licenses and services with reference to the consumption scenario described in the Guide for Candidates (Appendix II). The offer may be based on different licensing approaches and/or business models.

2.2.2. IT consultancy services

The European Commission would like to use highly specialised IT consultancy services to train its staff, and to support the European Commission in configuring, integrating, adapting and operating the acquired *Case Management Framework*.

IT consultancy services will be ordered by way of specific contracts, either Time and Means³ and/or Quoted Time and Means⁴ within the number of days defined in the framework contract for each profile.

The IT consultancy services will be consumed in different ways:

- 1) **Installation and initial configuration.** The installation of the acquired Case Management Framework on European Commission hosting infrastructure as well as a very limited and well defined set of initial configurations will be ordered.
- 2) **Provision of training courses:** Provision of training courses for European Commission staff upon request (training courses for: application administrators, business engineers, developers, application support persons, end-user trainers). Training courses are to be

³ Time and Means services are ordered by the European Commission as a request for a consultant with a specific profile ^{for} working on specified tasks for a specific amount of days. Time and Means services are rendered mainly in the premises of the European Commission.

⁴ Quoted Time & Means orders are fix-priced and task-oriented. Upon agreement on tasks, workload/costs and time schedule with the Commission, a specific contract is signed by both parties. Only agreed costs for the specified tasks are chargeable, after acceptance by the European Commission of the delivered outcome. Quoted Time & Means orders can be executed inside or outside the European Commission's premises (to be specified in the specific contract), depending on the nature of the tasks.

provided either at contractor premises in the European Economic Area or at European Commission premises.

- 3) **Intensive Configuration:** Adaptation and further configuration of the Case Management Framework to the specific needs of the European Commission following agile methodology. Profiles to be requested: a project manager, a business engineer, a developer, and a database administrator. The duration of this Intensive Configuration and expected input per profile will be agreed on in the respective specific contract(s). The Intensive Configuration will imply a full-day workshop per week at European Commission premises during the duration of this specific contract(s).
- 4) **Long-term permanent IT consultancy services:** A business engineer and a developer of the contractor are expected to work at European Commission premises for the entire duration of the Framework Contract.
- 5) **Ad-hoc IT consultancy services:** To be provided upon request, typically for concrete punctual tasks. Travelling to European Commission premises is probable, however limited in time. Profiles to be requested: Architect, System administrator, Business engineer, Developers, Database administrators, Trainers.

Please refer to Guide for Candidates (Appendix II), Section V.3.2, for the description of the above-mentioned profiles.

Please refer to Guide for Candidates (Appendix II), Section III.3 for the estimated volume.

The Commission will not be obliged to order all the days indicated in the framework contract pertaining to each profile. The Commission may decide not to consume all the days and the Contractor will not be entitled to any compensation for days not ordered.

3. Overview requirements for the Case Management Framework

3.1. Key principles

The *Case Management Framework* to be acquired will be the core component of the envisaged CM@EC solution.

- The *Case Management Framework* must by large cover the functional requirements for case management, case handling, case design, configuration and document management described in chapter 3.3.
- The *Case Management Framework* must provide state-of-the-art connectivity, interoperability and integration capabilities supporting appropriate standard and/or open exchange formats as to enable its integration and interoperability with European Commission information systems.

- All the components of the *Case Management Framework* must be hosted at the European Commission's hosting infrastructure.
- After initial installation and configuration and training of the administrators and the IT team, the European Commission must be able to manage and configure independently the *Case Management Framework*.

The *Case Management Framework* must be based on "off the shelf" product(s). The European Commission would like to gain the benefits of a proven framework that is functioning and operational at other companies or institutions.

- The *Case Management Framework* must have proven appropriate to serve a large population of end users (2000 or more).
- The *Case Management Framework* must have proven appropriate to handle a very large volume (both in number and in size) of documents in an efficient and performant manner.
 - Document repository: At least 300 TB.
 - Size of a case file: At least 400 GB.
 - Size of a single document: At least 2.2 GB.
 - Be able at least to manage 120.000 cases and 300.000 contacts.
- The *Case Management Framework* must provide a way to extend, e.g. by means of configuration, integration with third party components or programming or scripting, its capabilities without branching the Framework from the base set.

From an IT architecture and infrastructure point of view:

- The *Case Management Framework* must follow a generic, reusable and interoperable architecture.
- The *Case Management Framework* must enable a continuous system operation (24x7) at the required level of availability of 99%. This translates into requirements for high-availability (failure tolerance, clustering, hot backuping, et cetera).
- The *Case Management Framework* must be modular in nature and provide a flexible and expandable combination of components, enabling upward growth.

From a security point of view:

- The *Case Management Framework* must enable implementing the Need to Know principle⁵.
- The *Case Management Framework* should support multi-tenancy. A single instance of the *Case Management Framework* must run on a server, serving multiple tenants, providing every tenant with a

⁵ Only persons who need to have access to specific information in order to carry out their duty should be given the (need to know) access to it.

dedicated share of the instance including its data, configuration, user management, et cetera.

- The *Case Management Framework* must allow the separation of data of different participating European Commission Services
- The *Case Management Framework* must allow the implementation of encryption of confidential data.

From a business implementation point of view:

- The *Case Management Framework* must be highly configurable in particular with regard to configuring business-specific entities like: case, case file, case calendar, workflows, etc., as to easily adapt/prepare the platform to cover new business processes and to adapt/evolve already implemented business processes.

From an end-user point of view:

- The *Case Management Framework* must provide single sign-on and single user interface to all the tools / features of the platform.
- The single user interface of the *Case Management Framework* must be a web browser.
- The *Case Management Framework* must support, in a user friendly, adaptive and performant way, the key needs on case management, case handling, document and records management described high-level in section 3.3.

3.2. *System perspectives/usages*

The *Case Management Framework* must provide means / user interfaces to serve different usages:

Actor	Usage
Case team	Case handling Case management
Registries	Document management
Business experts	Case design/configuration
Application support	Security management Management of data & application settings
Security officer	Consultation of audit trail/log
Application administrator	Administration and monitoring of Framework components (database, application server, interoperability settings, low level security)
Developers	Development of Framework enhancement with tools provided by Framework vendor.

3.3. *High-level functional scope*

The functional scope of Case Management is summarised as follows:

Case Management - Tools to support case management tasks related to the:

- evolution of the case status;
- time management;
- resources allocation/management;
- task allocation;
- operational reporting;
- case portfolio monitoring and follow-up.

Adaptive Case Management provides the flexibility to:

- introduce or change activities and tasks, planning and resources at case execution time.

Case Handling - Tools to support the day to day execution of case-related tasks assigned to the case handler:

- monitoring tasks and deadlines;
- accessing appropriate templates according to case type and case stage;
- drafting;
- document search;
- fact/evidence management;

- analysing and preparing the legal case.

Document and Records Management:

- capacities for managing and controlling all pieces of information relevant to a case throughout their lifecycle;
- functionalities for managing, capturing, processing, converting, distributing and accessing/using documents related to the case (the "dossier" or "case file"), inclusive handling of huge bulks of documents and large documents;
- capacities for preservation and archiving.

Case design/configuration:

- tools to create, edit, reuse and manage: rules, case structures, case calendars, document templates, workflows.

Administration:

- tools to support the administration of the Framework (e.g. users and access rights management);
- functionalities for application administration and monitoring.

OPTIONAL

eDiscovery: Advanced document search.

Collaboration: Tools to support collaborative work by case team members such as co-drafting, distribution and monitoring of document review work; consultations, interactions and discussions with internal interlocutors to reach a common objective.

Remark: Solutions for eDiscovery and Collaboration exist at the European Commission and will be reused in the scope of CM@EC (integrated to the Case Management Framework), unless the Case Management Framework delivers these building blocks with at least the same level of functionality coverage.