Digitalization Project for Securities and Commodities Authority

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Contents

Introduction

Since its inception, the Securities and Commodities Authority (SCA) has been keen on putting the objectives stated in the Federal Law No. (4) of 2000 into effect by sparing no effort to strengthen the legislative structure through issuing such regulations and instructions that ensure the development of the organizational and supervisory framework of the list joint-stock companies and other companies operating in the securities field. Besides, the Authority has introduced some controls and criteria that would contribute positively to enhancing the investors' trust in the Authority.

Vision: A reliable, competitive, and sustainable investment environment in a globally leading capital market.

Mission: To enforce and develop an integrated and flexible legislative and regulatory system that protects investor rights, establishes fair transactions, promotes investment awareness, and enables the competitiveness and attractiveness of the country's capital market through innovative business models that leverage qualified human capabilities, advanced digital applications, and quality partnerships.

Values: Integrity – Justice – Transparency – Partnership and Collaboration – Innovation – Efficiency – Team Spirit – Excellence – Competitiveness

Strategic Objectives:

1- Develop a supportive and incentivizing legislative system for the competitiveness, attractiveness, and transparency of the country's capital market.
2- Enhance transparency and investor confidence in financial markets.
3- Promote ease of doing business and digital transformation.

Project Overview

SCA is looking for a vendor to provide the following solutions and services:

SCA CORE eservices:

1. Develop and enhance internal and external procedures and operations for all services provided by the authority to align with government tasks and standards (including internal services).
2. Enhance and improve the user journey, including the study of the current situation (AS-IS) and the desired situation (TO-BE) in line with the authority's and the UAE government directions.
3. Processes and Services Digitization (Backend System and e-Services Portal) using a low code to no code software development platform Microsoft Dynamics365.
4. Integration with the internal and external systems.
5. Reporting and statistics for data analysis and monitoring.
6. Migration of the SCA current DBs (SQL Server & Oracle DB) to the new system considering the historical data.
7. Build APIS from the e-Services Portal to be consumed by other systems
8. Configure the system for DR
9. eServices Portal should be built to be compatible and user friendly for any type of device.
10. Support responsive view of the system on different tablet / mobile devices
11. AI utilization should be assessed during the design phase of Business Process Automation and eservices design, and to be implemented where applicable
12. Define & build 3 A.I. use cases to be included in the project scope.
13. Training and Knowledge Transfer, Providing visual and readable guidance for internal and external users on the usage of the new digital services.
14. Support and warranty for one year from the project delivery date.
15. Develop and improve the governance mechanism for these procedures in compliance with UAE government standards.
16. Achieve 100% digital transformation for all services and automate them.

Enterprise Resources Planning (ERP and Employee Portal):

Upgrade and implementation of the Dynamics GP 2016 to Dynamics 365 while achieving below objectives:

1- Automate the business process & functions and enhance the business process as per the industry best practices.
2- Reduce and/or eliminate manual and paper based process by transforming the existing processes into electronic workflows with individual and group assignments.
3- Reduce process time by automating data generation and auto assignments of task based on preconfigured workflows.
4- Increased operating efficiency.

5- Allow accurate and precise decision making by adopting superior analytics and real time monitoring of KPI's and SLA's set out across the organization

6- Eliminate manual data transfer between systems and share information across different system within Customer IT architecture and reducing the exposure risk of manual data download & upload while allowing an information to float across the organization freely and readily for decision making.

7- Automate repetitive tasks.

8- Automate payment processing, letters, and reports.

9- Compliance to UAE Government policies & regulation.

Content Services Platform (CSP)

SCA is seeking to acquire a content services platform (CSP) that allows employees to:

- Efficiently capture content and automate classification, eliminating the need for manual sorting and processing.
- Securely and efficiently search, retrieve, scan, store, share and manage multiple types of content, including but not limited to electronic and imaged documents, audio and video files, emails.
- Archive records and apply formal retention schedules for effective information governance.

There will be 200 users across All SCA departments:

The organization's estimated document volume per month is between 5000-10000.

The CSP will integrate with the following software applications to support a seamless flow of information between systems:

- Employee Portal
- ERP System
- E-Services

The integrations will be required to perform the following functions (i.e. pass information, catalogue data, provide end-to-end automation etc.):

- Upload document
- Download Document
- Browse Content
- Search Content
- Add/ Edit Category metadata

General Requirements

3.1 Highly Configurable Business Processes

All business processes of the corresponding SCA services should be highly configurable.

- The business processes (including but not limited to the process maps / workflows, business rules, integrations, actions triggered, etc.) should be highly configurable on a standardized BPM solution.
- The business processes should be highly maintainable (updates / modifications) by the SCA staff with minimal dependence on code.
- SCA should be equipped with the right capabilities (UI/tools and knowledge transfer) to independently maintain the business processes in line with the continuously evolving business requirements.
- Hard coding any element of the services business processes is prohibited.

3.2 Seamless & Frictionless User Experience

The target business processes must be customer centric minimizing the effort required by the end users.

- All business processes must align with the corresponding laws & legislations.
- All business processes must be optimized, minimizing the efforts and number of steps required by the end user throughout the services (e.g., leverage systems integration to eliminate need for the user to attach supporting documents, capture data from the customer once at most).
- The customer experience should be improved across the entire customer value chain
  - o Awareness: Through proactive services, simplified service guide, and simplified service steps
  - o Consumption: Minimal interactions with the system, minimal interactions with personnel, minimal efforts required by the end user (e.g., Minimal documents to be attached, minimal data fields to be populated by the user, capturing data from the source through systems integration)
  - o Feedback: Systematically harnessing all data relevant to customer feedback & satisfaction, measuring services delivery performance, identifying pain points & areas of enhancement, and visualizing them for continuous user experience enhancement.
- All business processes must be optimized from a backend / service fulfilment perspective.

3.3 Future Proof Technology Landscape

The delivered solution must be technically capable of continuously evolving and incorporating new technologies and digital services.

- The end-to-end solution must have the scalability to adapt to evolving business requirements from a sizing perspective by catering for a potential increased number of users, services, services daily throughput (demand), and integrations.
- The end-to-end solution must have the technical ability to incorporate new technologies in line with the evolving market trends.
- The end-to-end solution must be fully equipped to be hosted on a UAE government cloud while leveraging all the cloud's benefits.

Section 1 – SCA CORE E- Services

1.1   Requirements Details

This section elaborates in detail the scope of the requirements:

1.2   Process Re-engineering:

1. Review current processes and understanding of SCA Business as below tasks

2. Study and analyse all the services provided by the authority with the aim of restructuring the service list, categorizing and naming them. This may lead to merging services, cancelling services, transforming some services into proactive ones, in addition to classifying services in the form of packages that include all related services. (Up to 120 Services) –List of services Ref Appendix Service

3. Study and analyse all processes related to the authority's services with the goal of restructuring the process list and categorizing them.

4. Designing As-Is User Journeys and Identify bottlenecks, inefficiencies, and areas for improvement.

5. Applying relevant quantitative and qualitative tools and approaches to establish a solid baselining view of the current states of the services.

6. Redesign all services by studying and analysing the current customer journey, identifying problems and pain points faced by clients, and proposing the desired "To Be" situation.

7. Identify all potential improvements, priorities and best practices recommendations to provide a customer-centric and consistent experience across services channels and improve the services efficiency & effectiveness

8. Engaging all stakeholders in the development of services and processes (employees, partners, clients, suppliers, relevant government entities) by explaining the mechanisms, methods, and means that will be used to analyse their needs and expectations. These will be presented in the initial study of the services for the authority's approval. Additionally, conducting interviews AB-A Analysis with internal and external stakeholders is essential, with the presence of a representative from the authority during the interviews.

9. Designing Service Blueprints for all services for the final approval by various stakeholders

10. Validating the enhanced services with customers.

11. Upon implementation, the bidder shall be responsible to participate in user tests to test the new platform and gather feedback for the product backlog for future enhancements and iterations.

12. Integrate best practices and innovative solutions to optimize workflows.

13. Ensure compliance with standards and guidelines issued by the following:
    a.   TDRA
    b.   ISO 27001
    c.   PMO
    d.   Global Standards
    e.   Cyber Security Standards

14. Analyse all reports, data, and information available to the authority and utilize them for the development and enhancement of services and the customer experience.

15. Develop a mechanism for classifying, using, and displaying open data through the website and electronic services.

16. Establish key performance indicators (KPIs) to measure the success of the reengineered processes.

17. Define SLA for processes services and tasks if needed.

18. Participate in testing the new electronic system with users after the development and completion of electronic services, collect feedback, propose solutions, and identify improvements to be considered during future modifications.

19. Improve the user interface and user experience for the authority's electronic services portal by:

    a. Designing the user interface for all services provided by the authority.

    b. Delivering final User Interface (UI) screens in both Arabic and English languages.

    c. Ensuring full compatibility with information technology, technology, and digital channel requirements following government standards.

20. Deliver the user journey and service blueprints (TO BE and Designing Service Blueprints the Actual) after the testing, trial, and launch phase as a final output.

21. Define user types and categorize services from a user-demand perspective.

22. The following documents must be provided by the end of the phase 1:

    a. Business Requirement Document – include all validations and integration points required / specify the historical data required for migration from old systems
    b. Functional Design Document
    c. Data Flow diagram for each service
    d. Business Process Diagram for each service
    e. User Journey Maps
    f. Technical design documents
    g. Screens wireframes (forms layout/Labels / validations messages) AR /EN
    h. Required reports (format / data output required/filters)

23. Guaranteeing the implementation of the "Once Only" data request principle. Clarify the external entities from which data will be retrieved, explain the linking process, the level of integration, and the external entities to be linked.

24. Follow The Zero Government Bureaucracy Program which is introduced by the PMO

25. Establish an appropriate team full-time and structured to develop the project as outlined above and ensure their availability during the project period.

26. Current automated services should be given priority for re-engineering and development

1.3   Digital Transformation

1. Backend System for SCA users for the following purpose:
    - To manage/maintain the e-services requests and required actions from SCA employees.
    - To manage any sub/internal processes.
    - To provide Master data management control (Insert/Update/Delete) for the respective department to manage master data.

- To cover processes within following departments/Sections:

   a) Legal Affairs: Backend system will handle the cycle of creating the regulation from draft stage until the final stage of publishing the regulation the website.

   b) Licensing: Backend system will handle the company profiles management and details related to the licensing internal processes.

   c) Issuance and governance: Backend system to manage the issuance and registration internal processes, companies/individual profiles under their services.

   d) Training centre: backend system related services and their configuration screens

   e) Supervision: Supervision system will be integrated with SCA CORE

   f) Market Surveillance: Backend system to manage the market surveillance internal processes.

   g) Enforcement: backend system with regard to following up on fines and violations, correcting them, programming equations to calculate delays in fines...etc., as well as automating the linking between enforcement system and company's profiles, which includes violations data, company professional registary السجل المهني للشركات

   h) Crypto: Backend system to manage the crypto internal processes, companies/individual profiles under their services.

   i) AML: backend system to handle the AML regulations and supervision functions

   j) Note: Departments names may change and The Final department list will be given after signing the contract

2. Build E- Services portal to automate 120 services approximately.

3. Support responsive view of the system on different tablet / mobile devices.

4. Configure system for DR

5. Evaluate the current implementation to estimate the infrastructure required and forecast the required licenses for users and transactions (if any)

6. The platform should meet the government guidelines from TDRA / PMO / NCEMA

7. Front End should follow TDRA Design system latest version

1.4   A.I. Use Cases

Kindly refer to section **5.3 ERP and Employees Portal** - points 11/12 , Vendor must provide the approach and methodology he will follow and the assumptions to be taken into account.

1.5   Project Phases & Methodology

It is mandatory to include the project phases & methodology in proposal. Project methodology should be agile, include the work break down structure of the project management processes along with solution designs, The below list describes the minimum deliverables expected from the vendor. The vendor is also expected to add to the list any deliverables they deem important:

✓ Planning

   1.   Project Charter

   2.   Project Plan

3. Risk mitigation Plan

    4. Change Management Plan

✓ ANALYSIS / REQUIREMENTS & Design

        1. Business Requirement Document (BRD)

        2. Architecture and Technical Design Document
        3. Prototypes Pages

✓ Testing

        1. Test Plan
        2. Test Cases
        3. Test Report

✓ Rollout

    1. User Manual

    2. Training Material

    3. Administrative Manual

    4. Deployment Manual

1.6   Project Management

The vendor must state in the proposal the project plan, deliverables, and approach.

1.7   Training and Knowledge Transfer

The vendor to provide the following training for Securities and Commodities Authority-SCA's staff:

1. Train of Trainer training

2. Administration Training

3. Solution Engine Training

4. Reporting tool training

5. Vendor to provide the training and knowledge transfer methodology

6. source code should be provided after project completion

1.8   Support and Warranty

Vendor to provide 3 years support and warranty, vendor must provide clear support and warranty methodology and approach in the proposal

1.9   References

Vendor must provide references with similar nature of works, preferably with government federal and local in the UAE.

1.10   Preferred Technologies

This section illustrates the preferred technologies to be used in digitizing the processes and services:

1- Microsoft Products, low code to no code software development platform:

- No-Code to Low-Code software development platform with built-in advanced business process automation (BPM) capabilities.
- The platform must have user-friendly graphical interfaces that allow to drag and drop application components, connect them, and create mobile or web applications.
- The platform must support rebuilding (Modernization) legacy applications and accelerate digital transformation journey through rapid application development.
- The platform must provide a flexible hosting option; on premise and dedicated cloud instance (Containerized or VM based) and it should be cloud agnostic.

1.11   Functional Requirements

1.11.1 Data Modelling

The platform must enable the users to manage all the data stores used by applications created by them. Data must be stored as JSON structured documents or on an external relational database. The Data Modelling Module must have the bellow features:

o   User-friendly graphical interface to draw entities and the association between them.
o   Build Data Models as JSON Document Collections.
o   Build Data Model from external relational Database.
o   Execute CRUD operations on the data model.
o   Retrieve data by dynamic queries.

1.11.2 Dynamic Form Builder

The platform must have a dynamic form builder that manages web form creation using a visual (drag and drop) tool to capture data without coding.

The Dynamic Form Builder must allow to build digital forms that are faster to complete and more intuitive. The Dynamic Form Builder must have the bellow features:

o   User-friendly graphical interface to build powerful forms by drag and drop.
o   Allow advanced palette of widgets
o   Multi-lingual translation
o   Manage form configuration and routing through process stakeholders
o   Custom layouts
o   Data validations
o   Use form templates to get started quickly and then customize them to fit your needs.

1.11.3 Notifications Module

Notification module (خدمة الاخطارات) is a component of regulatory compliance for licensed financial entities. It mandates timely reporting to SCA as regulatory authority on various aspects.

1.11.4 Logic Flow

The Platform must have a Logic Flow designer that allow to express the logic of the application and create interactive logic flow quickly and efficiently. Logic designer must contain components for

retrieving and deleting objects and opening and closing pages necessary to implement complex logic visually using drag and drop functionality. The logic flow designer must have the following features:

- o User-friendly graphical interface to define logic and business rules.
- o Integration with other software
- o Necessary logic actions; Decisions, Parameter, Loop, Events, Object Activities, Client Activities, List Activities, Integration Activities.
- o Call Logic Flow or Workflow from Logic Flow.
- o The platform should support excel like function building with auto complete that has operations like Is Blank and can have (==) sign or other operators for comparing 2 values. This excel like feature can be used in conditions within the function builder or to manipulate the final output

1.11.5 Workflow Engine

The Platform must have a Workflow Designer that allow to create interactive workflows of any complexity quickly and efficiently. The workflow designer must contain components necessary to implement complex workflows visually using drag and drop functionality. The Workflow Designer must have the following features:

- o User-friendly graphical interfaces to build the process.

- o Integration with other software, can be exposed as an API

- o Parallel branches and conditional paths

- o Notifications and Reminders

- o Delegations and Escalations

- o Audit Trails

- o Security and access control

1.11.6 Exception Handling

Solution must include robust exception handling mechanisms to ensure system stability, data integrity, and user clarity. The solution should:

- Gracefully capture and log system errors and exceptions without crashing or disrupting the user experience.
- Provide user-friendly error messages that guide users on corrective actions without exposing technical details.
- Include a centralized error logging and monitoring system for administrators to track, analyse, and resolve issues.
- Allow configurable alerts/notifications for critical exceptions to enable prompt resolution.

- Support both functional and technical exception handling at various layers, including workflows, integrations, and business logic.

Vendors should describe their approach to exception handling, including examples of how errors are captured, reported, and resolved

1.11.7 Integration

Integration with Internal Systems

Integration with internal (15system), SCA CORE eservices sheet in appendix shows an indicative list of internal integrations required. The vendor should implement all internal integrations required to operate the end-to-end solution in a streamlined way; and in line with the RFP design principles, SCA guidelines, TRDA and UAE government guidelines.

Integration with External Systems

Integration with external (30 system), SCA CORE eservices sheet in appendix shows list provides an only indicative list of external SCA integrations required for the solution. New external integrations may be explored and identified during solution design phase based on process improvements. The vendor should implement all external integrations required to operate the end-to-end solution in a streamlined way; and in line with the RFP design principles, SCA guidelines, TRDA and UAE government guidelines.

The vendor should cater to integrate with integration services with the indicative list of entities below. SCA reserves the right to distribute these/additional integration services and mandate the vendor to implement the integration services needed by SCA.

The platform has to allow integration with other software and databases and connects different systems to each other in a way that allows for more timely and efficient process completion. The platform must have the below functionalities:

- o Ability to integrate with any external system using different types of integration methods (e.g. Restful API, Soap API, Oracle and SQL Server, Active Directory).
- o Ability to automatically retry when there is an error calling an endpoint
- o Schedule integrations in different time patterns
- o Logging integration errors

1.11.8 Data Migration

Migration of the SCA current DBs (SQL Server & Oracle DB) to the new system considering the historical data

Vendor should provide:

- Database analysis and data mapping
- Conversion program writing
- Data integrity checking and audit methodology
- Post-conversion clean-up
- Methodologies used to keep data in sync between the new and legacy systems during implementation

The Data Migration Requirements documentation will provide high-level data source information as a starting point for field-level data mapping. In addition, Master Data Entities and related Taxonomy

will be defined to a level of detail that is equal to the data field level of the Microsoft Dynamics solution that is being implemented, as well as other Master Data Management requirements.

Vendor's migration strategy must also evaluate the quality and general state of data and determine Data Cleansing Requirements. The data mapping documentation should cover all identified fields from the source system.

Ideally, the standard Extract (E), Transform (T) and Load (L) or E-T-L approach is recommended; however, if the data cannot migrate using this method, vendor must produce and develop data migration templates. Vendors should include those development estimates in their price sheet.

Below are the data that SCA assumes that will be migrated

Service group by departments	Data Element	Years Retained (to be reviewed during design phase)
Legal Affairs	All	All
Licensing	Entities, Licenses, Employees	All Master data, 3 years' transaction history
Issuance and registration	Entities, Licenses, Mutual Funds	All Master data, 3 years transaction history
Training center	Candidates, Exams, Equivalency, CPD	All: Candidates, Exams, Equivalency 3-year transaction history
Enforcement	Entities/Individuals: Violated Articles, Violations/Fines/Warnings, decisions,	All
Market Surveillance	Entities BOD details/documents	All: BOD details/documents
Crypto	-	-
Supervision		Master data

For the data that cannot be migrated, Proper justification should be provided and approved before data can be transferred into new DB and reporting tools should be linked to it.

1.11.9 Dashboard and Reporting

Reporting, this module will generate set of statistical and standard reports for data analysis and monitoring.

The Platform must have a dashboards and reports module that deliver instant business insights from the applications created; this module must have the below functionalities:

- o Generates dynamic dashboards for processes, requests and users
- o Generates custom graphics and charts to track processes and requests.
- o Generates statistical reports to track user responsiveness towards applications and workflows.

1.11.10   Security and Access Management

The platform must have a Security and Access Management module to manage the system access by only authorized users, and simplify the control. It must allow to create and assign users to roles, groups, permissions, and organizational units. This module must have the below features:

- o Authenticate users from external providers (ex. Active Directory)
- o Define and assign users to roles, groups, and permissions
- o Define and assign users to organizational units
- o Support oauth sign-in in Google and Facebook

Refer to appendix under SCA CORE – eService – User requirement

1.12   None-Functional Requirements

1.12.1 Availability

The proposed platform must provide a highly available Apps, and it must reliably provide a high level of service with minimal downtime. The availability must be achieved through adapting clustering mechanism for the Apps, web-services, and other application components, as well as the database store.

1.12.2 Scalability

The proposed platform must be scalable to the extent that achieves high performance in the environment it is deployed in. The platform must have two ways of scaling: vertically (scaled up) by increasing the number of processors and the amount of memory each server uses, or it can be scaled horizontally (scaled out) by adding more servers to be deployed as part of the platform.

1.12.3 Flexibility

The platform must ensure that the applications created are very flexible in terms of adding new modules or extending the local architecture and exposing more functionality.

1.12.4 Efficiency

Software efficiency is a key aspect for measuring the quality of any solution implementation; by providing enterprise level solutions based on Microsoft and other leading-edge technologies to provide the optimum efficiency and performance, we believe that the efficiency of the solution will be tangible when it is up and running.

1.12.5 Performance

The proposed platform must be built using up-to-date technologies in software industry and must provide a stable degree of performance in 24/7 range.

Configure the system to be monitored by Performance Tool used by SCA for example (AppDynamics)

1.12.6 Sizing- Existing Environment

Parameter	Sizing
External users' yearly transactions (number of transaction for automated 25 services)	16,000
External users	4,000
Digital Services Platform internal users	200
Reporting & analytics internal users	100
Internal Admin users	5

1.13   Deliverables

No	Section	Deliverable
1	Project Management Deliverables	Comprehensive project plan (weekly)
2	Project Management Deliverables	Risk register (weekly)
3	Project Management Deliverables	Action log (weekly)
4	Project Management Deliverables	Project progress report (weekly)
5	Project Management Deliverables	Higher Management project progress report (monthly)
6	Project Management Deliverables	Minutes of Meeting (per meeting / workshop)
7	Requirements Validation Deliverables	Functional Requirements Validation Document
8	Requirements Validation Deliverables	Technical Requirements Validation Document
9	Business Processes Re-engineering Deliverables	Current Business Process Documentation
10	Business Processes Re-engineering Deliverables	Categorized target services and corresponding attributes and business processes
11	Business Processes Re-engineering Deliverables	Post-digitization optimization per service summary
12	Specifications Design deliverables	User Interface & User Experience Designs
13	Specifications Design deliverables	SCA Service Catalog
14	Specifications Design deliverables	SCA Service Guide
15	Specifications Design deliverables	Applications Specifications Document
16	Specifications Design deliverables	Integration Specifications Document

17	Specifications Design deliverables	Data Architecture Document
18	Specifications Design deliverables	Technical Specifications Document
19	Sourcing Deliverables	Finalized Bill of Materials detailing item description, designation, specifications, and quantity; delivered to SCA.
20	Development and Configuration Deliverables	Development / configuration of all the solutions and its components according to the specifications design.
21	Integration Deliverables	Integration of all the solutions and its components according to the specifications design
22	Testing Deliverables	Testing Plan including testing scope, phases, schedules, environment, testing status tracking & metrics
23	Testing Deliverables	Testing Outcomes certifying readiness for full fledge deployment
24	Data Migration Deliverables	Data Assessment Report
25	Data Migration Deliverables	Data Migration Strategy & Plan
26	Data Migration Deliverables	Data Cleansing & Migration Completion Report
27	Data Migration Deliverables	Data Classification (includes classification of all the data entities)
28	Solution Acceptance Deliverables	Testing Plan including testing scope, phases, schedules, environment, testing status tracking & metrics
29	Solution Acceptance Deliverables	Testing Outcomes certifying readiness for full fledge deployment
30	Knowledge Transfer and Training Deliverables	Training Plans, including courses description and schedules
31	Knowledge Transfer and Training Deliverables	Training Materials for each course (which must include training presentations, reading material, booklets, and tutorial videos)
32	Knowledge Transfer and Training Deliverables	End-user, Operator, and Administrator user guides
33	Knowledge Transfer and Training Deliverables	Technical Support guides
34	Knowledge Transfer and Training Deliverables	Training Certificates for all trainees
35	Knowledge Transfer and Training Deliverables	Source code handover
36	Deployment Deliverables	Deployment Plan (incl. services migration) including deployment scope, phases, schedules, environment, testing status tracking & metrics

37	Deployment Deliverables	Deployment report certifying completion of all deployment activities and readiness for full fledge operations
38	Deployment Deliverables	List of business decisions to be taken by SCA
39	Operational Support Deliverables	Onsite resources for the Operational Support phase
40	Operational Support Deliverables	Operational activities progress report
41	Operational Support Deliverables	Standard Operating Procedures
42	Operational Support Deliverables	Up-to-date Service Catalog and Service Guides
43	Support and Maintenance Deliverables	Signed Service Level Agreement in conformance with RFP requirements
44	Support and Maintenance Deliverables	Contact details of vendor support / service management team
45	Support and Maintenance Deliverables	Periodic support & maintenance reports (including issues reported & resolved vs. the SLAs, maintenance activities conducted, and maintenance activities planned)

5. Section 2 – ERP and Employees Portal

5.1 Existing Environment

SCA currently uses a combination of commercial off-the-shelf systems, custom developed systems, general office applications, and manual processes to support its business operations. SCA uses Microsoft Dynamics GP 2016 to support many of its financial activities, with modules including general ledger, accounts payable (AP), accounts receivable (AR), Invoicing, Purchase Order Processing (POP), SSRS, Crystal Reports, Customized HR and Payroll, Audit Trail Module, Smart list Builder and budget variance reporting. In addition, SCA utilizes legacy custom applications to support its operations including full employee self-service, Survey system and appraisal system

Employee Number: 170
GP Current Users: 20

5.2 Generic Requirements

- Ease of Implementation, use, and administration.
- User friendly system
- Minimal/low/No coding functionalities
- Collaboration Capability
- Reporting and Dashboard Capabilities
- Alerting (Notifications) capabilities using different channels (application notifications, SMS and emails)
- Integration capabilities with other systems
- Low Code/No Code Business Process Automation Low Code/No Code Customization Capabilities (Can be implemented using Section 1 Platform)
- Arabic and English Support
- Strong local and technical support
- Different types of access for different type of users.
- Ability to record, update, track, any changes on the data.
- Software provides an audit trail with user id and date/time stamp for adds/changes/deletes made to application elements.
- AI Powered Capabilities for insight generation.
- The new deployment should allow easy API generation for internal business processes and general CRUD operations, those endpoints will be exposed to third party systems. The API generation subsystem should be dynamics, secure and follows international standards.
- Customized system.

5.3 ERP and Employees Portal scope

SCA has one Legal Entity that needs to be implemented and the following high-level business processes (but not limited to) will be under the scope of ERP implementation project:

1. Financial (Including GL, Payables, Receivables, Bank, Budget, electronic Transfer and reconciliation)
2. Supply change management including

    a. Purchase Planning
    b. Advance planning and sourcing
    c. Planning to Contract Management
    d. Procure to Pay process
    e. Vendor Management
    f. Contract management
    g. Stock and non-stock Item Management
    h. Inventory Analysis
    i. Self-Service Procurement in ERP (Tendering)
    j. Sales (Services)

3. HR & Payroll for Middle East including

    a. HR Planning
    b. Recruitment and Staffing (Internal and External)
    c. Training & Development
    d. Performance Management
    e. Staff Administration
       *Module should be within Dynamics 365 and uses the same screens of it and same login (no separate module will be accepted)

4. Time & Attendance Integration & shift Maintenance
5. Appraisal System.
6. Survey system.
7. Fixed assets system including Physical Audit and counting using Mobile devices and automatic Retrieval/Upload of asset information.
8. Integration with:
    a. Internal Employee self-service portal
    b. 60 Request for employees
    c. Awarding point system
    d. Knowledge Points system
9. Reporting including Power BI and dashboard using AI
10. CRM (Customer Service) Module including Service Desk and Ticketing for Both Internal and External customers and employees
    a. All in one contact center
    b. Ability to raise queries from multi channels
    c. Help agents get answers faster
    d. Multitask
    e. Monitor cases and agents using KPIs
    f. Automatically assign requests to the best-suited agent
    g. Omnichannel support with native customer service integration across digital channels such as:

        i.   WhatsApp
        ii.   LinkedIn
        iii.   Microsoft Teams
        iv.   Voice
        v.   Chatbot
        vi.   Social media
        vii.   Mobile App
        viii.   Website

    h.   Unified Case Routing
    i.   Integration with Customer Voice surveys.
    j.   Integration with National CRM

11. Knowledge Base with Chabot (Integrated with:
    a.   SCA Website
    b.   Open data
    c.   Service Catalogue
    d.   SCA (Section 1 SCA CORE)- Logged in user can inquire about:
        i.   Requests status in case of (not completed requests – calculate the time until completion from KPI defined in the service catalogue)
    e.   Internal modules such as reporting, correspondence system

12. Microsoft Co-pilot implementation and customization to any of the business processes and services. In Addition of 3 AI Cases for SCA environment (might include multiple services out of the 120)

13. Online chat tool

14. IT including

    a.   User & Role Management
    b.   Workflow Management
    c.   Integration/interfacing management
    d.   Audit and log management
    e.   Administration through Interface
    f.   Data Warehouse management
    g.   Business Intelligence
    h.   Backup & Recovery Management
    i.   Job and scheduling management
    j.   System change request management

15. All integration with external systems if required
16. system uses a web interface and mobile application.
17. Base Functionality should meet all existing functions in MS Dynamics GP 2016.
*all processes might be reengineered based on best practices and as per requirement of SCA

The functional scope of work is available as questionnaire format in "Functional Requirements V2".

5.4 System Integration

System Name	Integration Points
Time & Attendance System (Biometric System)	Employee information, Shift Maintenance, Calendar
Active Directory, Microsoft Exchange, Outlook	Employee Information
Bank Systems (Payment)	Posting Payment to Banks
Mersal (Correspondence system)	Employee information , Delegation
Tafa3ul (Internal Portal)	Employee information, employee requests, Delegation
FAHR	All integration points attached (ESAE-GP-26012016-FAHR ESB-ICD v4.5)
MOF	Chart of Account, Balances
UAE PASS	Authentication, Digital signature
DMS	Employee Information, Document integration
SMS Gateway	Send notification, employee Information
Payment gateway	Invoice, Cash Receipt Creation, Service Category
Alcatel	Customer Service

5.5 Solution Features and Capabilities

System Integrity & Security

• The system shall provide Audit edit to prevent incomplete or incorrect data from being processed and programmatic control of the process flow to prevent information from being processed in the wrong sequence

- The system shall have the ability to require batch and on-line editing to use the same edit routines/programs for consistent programming. It shall also have the ability to prevent users from overriding or bypassing data validation and editing routines.

- The system shall describe the security elements of the proposed solution and explain their use and operation. Security should address:
  o Restricted access to system functions,
  o Restricted access to information,
  o User/system activity audit,
  o Dual control over specific transactions,
  o Encrypted storage of information,
  o Encrypted transmission of information,
  o Transaction audit.

Workflow Capabilities

• The system should include workflow engine and designer applicable to all modules enabling automation and digitization of processes the designer should be available to the admin.

• Auto notifications and notification template function should be available to be configured and managed by the admin.

• Exceptions can be handled in any workflow such as department specific or employee level exception.

• Delegation and Escalation should be handled on all workflows / Automatic delegation should be handled both automatically based on Leave management in HR and manually.

Development & Customizations

- All customizations and development should be done in .NET core and source code should be provided after project completion
- SCA will be the owner of any development, coding and programming as an output of this project
- Any application development and any system development design, development and deployment should be aligned with UAE Government Standards and guidelines
- Vendor should provide the wireframe for the system
- Vendor should clarify clearly the cost of using any third party tool, engine and how much will cost the SCA for support, or activation per year

Report tool:

• The report development tool should be available and included as part of the admin training.

• The report development tool should support Arabic Language fully

• The reporting tool should allow end users to create their own reports with minimum training.

• The tool should be able to define and create reports with data from the various modules.

• The tool should support in a single report data from different sources and also calculated fields (such as [percentage yield per product * average balance per product]).

• It should have an easy to use UI for business users to create their own reports. It should generate non- editable financial statements to which users can add Notes to the statement.

• It should allow for generating reports in different format – MS Excel. MS Word, Acrobat .PDF format.

• The reporting tool should allow users to view the results of a report on screen as Inquiries across all modules.

• The system has to enable user creation of data queries and ad hoc reporting.

• The reporting and modelling capabilities of the system shall allow the admin to design any report by calling any field in the database using SQL queries and design the graphical pages of the reports.

• Business Intelligence (BI) and Analytics shall be integrated part of the proposed solution.

Digital File Management (Document Management)

• The system must allow attachment of document(s) at the level of master records (e.g. customers, vendors, employee, asset, etc.), at transaction level (e.g. invoice, receipt, payment, payroll, leave, etc.), at approval workflow step level, and all other key points where a supporting document could add value to understand the request/record.

• All standard document formats must be supported.

• Ability to restrict/manage file size validations.

• Ability to search documents.

• Ability to Integrate with Current or Planned DMS.

Mobility

- Vendor must include details of the features available on mobile application along with the technology details and supported platform. If the proposed solution has multiple mobile app, vendor must list all the applications along with their feature list.
- In case that the tool selected has Mobile application version, then the smart application shall be compatible with all smart phone operating systems ("iOS", "Android") and can run on old versions.

System Management

Vendor should describe how the proposed system is managed, including:

- System resource utilization
- Transaction queuing management
- Performance monitoring and optimization
- Problem reporting and diagnosis
- Database management
- Software upgrades and patch releases

Implementation Services

Vendor should Provide the following implementation services for the proposed modules:

• Understand the requirements through process discussion with all concerned departments and entities within the scope.

• Map the requirements to proposed ERP Solution.

• Conduct gap analysis.

• Develop future state design/Business Blue Print.

• Refine the business process as required to map it to the system.

• Define application and database server architecture. And recommend the best scenario based on the analysis

• Install ERP application and other required software if vendor has proposed on premise option.

• Set-up and Configure proposed solution according to business processes and requirements.

• Develop the required custom components like the customizations of the application, reports, workflows and alerts as per the requirements to fit the overall solution.

• Vendor is expected to provide details of implementation approach.

• Provide best practice in data migration and data conversion. Perform Data migration to the new system.

• Provide technical support for proposed ERP Solution for patches, fixes, bugs, new release upgrades during the implementation period.

• Install, setup and configure Business Intelligence and Dash Boards for Executive Management based on existing KPI's available in the standard application and as per requirements gathered in the requirements gathering session.

• Built and configure the reports.

• Provide a list of expected project success factors and risk.

• Provide a high level project work-plan showing the implementation activities included in the scope.

- Provide list of deliverables for each phase in the project.
- Details of proposed Implementation Services should be included in Technical information.
- Provide required support throughout the project lifecycle.
- The vendor shall create a detailed Security Plan describing application security features and provide security procedures including recommended levels of security, limitations of capabilities, and required rules.
- Vendor shall take all necessary steps in managing the cultural change while rolling out the ERP.

5.6 Knowledge Transfer and Trainings

Vendor is expected to provide a formal classroom knowledge transfer and training session as well as develop specific training documentation to ensure that users are fully prepared to operate the proposed Solution.
This includes the training for the Project Team, Power Users and Selected End Users for 'train the trainer' approach (both Functional and Technical). The End Users training sessions should be structured in a way that covers the specific day-to-day operations and shall be role based.
Vendor shall provide the following related to training:

- Describe the detailed approach, including tools to knowledge transfer and training

- Describe and list the proposed training sessions and number by module, session length, number of attendees per session, etc.

- Provide detailed approach for Technical and DBA training.

- Provide a list of other deliverables for the knowledge transfer and training

Vendor shall provide the following related to knowledge transfer:
- Detailed documentation for the entire project configuration.
- Detailed documentation for architecture design.
- Details of development environment and setup procedure with code base for custom developed solutions.

5.7 Post Implementation Support

Vendor is expected to provide 3 years of post Go-Live support (warranty).

Vendor shall also provide optional additional onsite / offshore support for 1 Year and also provide the SLA.

Vendor shall provide their detailed support methodology.

5.8 Deliverables

Vendor is expected to deliver at minimum following deliverables:

- Scope of Services

- Project plan and project charter

- Project management documents like project status review report, project risks and issue logs, Minutes of Meeting, etc.

- Current state assessment report / Requirement gathering document

- Business process Blue print / Design document

- Technical and design documentation of the system

- User Awareness training material and presentation
- Unit testing scripts and testing results
- Integrated testing scripts and testing results
- User acceptance report
- Go-Live preparation checklist
- End user manuals
- Certified trainings and official study material
- Milestone and project sign off (Work completion certificates)
- Technical architecture diagram / deployment logical diagram
- Source Code for the customized Applications

5.9 SCA Users

Role	Description	Count
Inquiry Users	Utilize the system for inquiry and standard reporting purposes (e.g., looking up account balances, invoice status, vendor payments, etc.)	6
Professional Users		
	Finance	6
	Procurement	3
	HR Payroll	8
Power Users		2
Customer Service		6
Report Developers		2
Developer Users		1
Approvers		50
Self Service Users		200
Vendors		1000

5.10 Data Conversion and Data Migration

Vendor should provide:

- Database analysis and data mapping
- Conversion program writing
- Data integrity checking and audit methodology
- Post-conversion cleanup
- Methodologies used to keep data in sync between the new and legacy systems during implementation

The Data Migration Requirements documentation will provide high-level data source information as a starting point for field-level data mapping. In addition, Master Data Entities and related Taxonomy will be defined to a level of detail that is equal to the data field level of the Microsoft Dynamics solution that is being implemented, as well as other Master Data Management requirements.

Vendor's migration strategy must also evaluate the quality and general state of data and determine Data Cleansing Requirements. The data mapping documentation should cover all identified fields in Microsoft Dynamics.

Ideally, the standard Extract (E), Transform (T) and Load (L) or E-T-L approach is recommended; however, if the data cannot migrate using this method, vendor must produce and develop data migration templates. Vendors should include those development estimates in their price sheet.

Below are the data that SCA assumes that will be migrated

Source System	Data Element	Years Retained
Dynamics 2016	Financial balances and budgeted values (rollover balances plus 3 years of summary level balances and transaction history)	SCA would prefer all historical mapped monthly trial balance amounts AND 3 years of transactional history.
Dynamics 2016	Payroll, HR, and TA history	All
Dynamics 2016	Purchase Orders, AP, AR	All open and 3 years of transactional history
eTendering	Vendor File	Active vendors and 3-year history for those vendors
FA system	Fixed Assets	Master Information

For the data that cannot be migrated, Proper justification should be provided and approved before data can be transferred into new DB and reporting tools should be linked to it.

5.11 Technology

Define the technology platform(s) used by the proposed solution.

This should include:

- The application development environment
- The database(s) supported
- Database server operating system(s) supported
- Client or end-user operating system(s) supported and plug-in (like browser or apps for mobile device)
- Network environment(s) supported
- Complete hardware (Servers, Storages, network equipment, load balancer etc.)
- Required component-based capacity (RAM, CPU, IO, SDD speed, bandwidth etc.)

5.12 System Host:

The proposal should include both Cloud and On premise options and cost of each option (Also should include advantage and disadvantages of both options)

6. Section 3 – Content services platform CSP
Scope of Services.

A. General

Except as otherwise provided herein as the responsibility of SCA, the successful proposer will provide all services, software and materials to successfully install and implement an enterprise content management system in accordance with the provisions of the resulting agreement between the parties.

1. The CSP must be robust and scalable, so that it can provide a unified tool for managing content across SCA. There are currently 170 employees in the organization. For the purposes of this RFP, there will be 200 initial users of the CSP.

2. SCA will consider both a solution made up of one tool or a suite of software tools that can operate together in a seamless way to provide enterprise content management functionality.

3. SCA prefers to purchase commercial off-the-shelf software, but will consider software that may require some minimal level of customization to ensure that the software links easily to other applications and systems currently in use. Extensive customization is not desired.

4. SCA Will request to customize up to 10 Reports from the system

5. Databases and equipment requirements should be non-proprietary. Storage of electronic documents in an archival, non-proprietary format is necessary. The system must easily create images of documents and import them into the system. Storage of electronic documents in their native file format is necessary.

6. The CSP must include integrated capture that can accommodate both hard copy and electronic documents. The CSP must accept documents from the Microsoft Office suite of products, as well as other types of files such as emails, maps, photographs, scanned images, sound and movie formats, Web pages. The system must be able to automatically extract metadata from specific captured content, such as images and documents in tiff, pdf, png, jpg, bmp or gif format.

7. Be sure to include any additional requirements within the scope of work.

C. Technical Environment

Any solution adopted as a result of this RFP will have to work within SCA technical environment and may need to integrate with existing systems.

E. Functional and Technical Requirements

Please see the technical requirements spreadsheet.

F. Hardware and Hosting Recommendations

Identify the hardware or other infrastructure necessary for CSP implementation, including any product-specific required hardware for:

- PCs, both user (retrieval) and scan/index stations (specifications only).

- Server(s) (specifications only).

- SaaS software and associated services.

- Cloud hosting.

- Scanners (provide recommended scanners).

- Other hardware.

G. Services Required for the Project

1. Implementation

   a. Describe your implementation methodology. Is your method flexible enough to incorporate changes during the implementation process?

   b. Submit an implementation plan for planning, designing, installing and configuring the core system. Explain how and when end-user feedback is incorporated into your plan.

   c. Identify roles and responsibilities (e.g. team lead, product owner, technical expert, etc.) for the successful proposer and SCA business and technical teams needed by stage.

   d. Do you provide a central point of contact during implementation?

2. Training and Certification

   a. Describe the training available and state whether you will provide it onsite.

b.   Describe your training program for end users, system administrators and developers prior to going live.

c.   Provide details on recommended system-specific training and certification courses—either online or in-person—including course name, description, location and duration.

3.   Service, Maintenance and Ongoing Support

a.   Describe the warranty or maintenance program offered with your product(s).

b.   Describe how problems are prioritized.

c.   Describe the problem escalation process.

d.   Provide information on your guaranteed response time to reported problems.

e.   Describe how the vendor will allow the customer to maintain self-sufficiency in supporting and expanding the implemented solution.

f.   Describe the resources that are available on the vendor's support website.

g.   Describe any active user groups, discussion forums and additional means for customers to exchange solutions and share knowledge.

h.   Describe your process for rolling out new versions and/or updates to your customers.

i.   Describe your process for training customers on new versions.

j.   Identify the current version of the software and the anticipated release date of the next version. Describe your product roadmap.

k.   Describe the measures, if any, the vendor takes to encourage customers to stay on the current version of the software.

7. Project duration and Timeline

Total Duration of the project should not exceed 24 months for all sections – all tracks should be implemented in parallel.

Tracks should be as follows:

1. Business Process Re-engineering
2. Services Automation (Should be delivered in 4 batches in parallel with track 1)
3. ERP
4. DMS

Separate project timeline should be submitted for each section

8. Software/Installation/Training/Support Costs

Set up a development & testing environment in SCA (software development & testing suite, productivity suite).

Include vendor's software, installation, training and support costs as well as any additional system software needed. Please submit an itemized list of all costs. Vendor must indicate how support will be provided (phone, online, on-site, etc.). If SCA can opt out of automatic software updates, vendor must allow SCA to test software updates and changes on a development server or other staging environment to ensure they work correctly before being implemented.

Costing Should include For each and every section

1. Implementation cost
2. License cost
3. Integration Cost
4. Migration Cost
5. Customization Cost
6. Any Third party plugin and/or tool implantation and license
7. Training Cost
8. On Site-Support for 3 Years from the sign off the contract including customizations, User support and new development if required

9. Security Tests

- Vulnerability Assessment (VA) & Penetration Testing (PT) Execution & Remediation: Conduct a single VA/PT test on the production environment, identify vulnerabilities, apply necessary fixes, and provide a detailed findings report.
- Disaster Recovery (DR) Design & Implementation: Develop and deploy the DR infrastructure, including provisioning, installation, and setup at the DR site. Support one full DR drill test and address identified gaps.
- Backup Policy Development: Define backup strategies, including data scope, frequency, and retention policies for applications and databases.

10. Vendor Qualification / Eligibility Criteria

For E-Services:

- The implementation must have local support
- The vendor must have completed successful projects with UAE Government Entities in the same scope
- Preferably the Vendor have worked with UAE government entities and helped achieve 5 star eServices in the UAE for not less than two of the other government entities
- Vendor to have operations center in the UAE for proper SLA support with experience in supporting government sectors
- Preferably Vendor should have experience in developing proactive eGovernment services

For Dynamics 365

- Vendor should be providing Dynamics GP/AX/365 Implementation services within the UAE for at least past 5 years.
- Vendor should have previously executed at least 2 similar solution implementation projects; Vendors must provide references.
- Vendor should have offices and operations within UAE
- Vendor should have Support team within UAE
- Vendor should have All Project team in SCA offices at the time of implementation
- Consultants to be deployed for the engagement shall have 5-7 years of experience in the proposed solution and executed at least 3 projects end to end. (Provide CV, Certification Proof, Evidence of Current Employment)

For Document Management System:

- The platform must have local support
- Vendor should have previously executed at least 2 similar solution implementation projects; Vendors must provide references.
- Vendor should have offices and operations within UAE
- Vendor should have All Project team in SCA offices at the time of implementation

Vendor **MUST** submit the profiles of the proposed consultants in the following format:
1. Name of consultant
2. Role / Designation
3. Language Spoken
4. Qualification
5. Certification
6. Total experience in years and Experience within IT Service Management
7. Details of Past Projects

11. Scope Caveats

SCA might still request changes (elimination, introduction, and modification) of services, business processes, and forms after go-live. The vendor should fulfil such requests at extra cost as part of the operational support, 100 man days.

The 120 services mentioned in the scope of Section1 – SCA CORE, might get merged or removed, thus the pricing against those in estimation can be used as additional man days for after go live change requests or support.

Any changes / modifications suggested by SCA during the parallel run period should be implemented by the vendor and are not to be considered as change requests. During the parallel run, any defects that are logged by SCA users should be resolved by the vendor.

The vendor should cater for extra cost for additional Requirements or changes that are applicable after the end of the operational support period or for out-of-scope elements (e.g., implementation of a new application):

•   The Bidders should include in their financial proposal the cost of 100 man-days of effort that may be utilized by SCA for implementation of new requirements or requirements classified as change request.

•   Each change or new requirement should be quoted separately and once agreed by SCA, it will be consumed from the said reserve of 100 man-days.