

Request for Proposal (RFP)
Document Management System and Services
For the
Minnesota Sports Facilities Authority

REQUEST FOR PROPOSALS
DOCUMENT MANAGEMENT SYSTEM
FOR THE MINNESOTA SPORTS FACILITIES AUTHORITY

A. Project Background and Objectives

The Minnesota Sports Facilities Authority has prepared this Request for Proposals (“RFP”) for the design, construction and implementation of a Document Management System. The requirements of this system are incorporated within this Request for Proposal. The successful Proposer to the Request for Proposal will be engaged to provide a complete technology solution and perform Document Management implementation services (including conversion of selected paper documentation from a total of approximately 450 boxes now in storage), as further described in the Request for Proposal and any addendums that will be issued to this RFP.

B. Intent and Process of the Requests for Proposal

The Requests for Proposal are focused on the selection of a Document Management System and the integration of existing electronic and selected paper documents into the system. It is the desire of the Authority to promote wherever possible equitable opportunities for Minority Owned Business Enterprises (“MBE”), Women Owned Business Enterprises (“WBE”) and persons with disabilities to participate in the services associated with this RFP.

C. Requested Qualifications

The Authority reserves the right and discretion to determine the qualifications and responsibility of the Proposers to perform the services that are the subject of the Requests for Proposal. It is the request and intent of the Authority that Proposers responding to these Requests for Proposal have the following qualifications.

- Significant experience in the design, construction and implementation of Document Management System environments.
- In-house capacity to produce necessary design, implementation, testing and schedule documentation, which does not preclude any firm from also identifying potential sub-consultants that could assist in producing such estimates and schedules.
- Bonding capacity or ability to obtain bonding capacity to the full amount of the Document Management System Proposal.

D. Payment and Performance Bonds

By Minnesota statutes and the Act, payment and performance bonds will be required in the amount of 100% of the cost of Proposal.

E. Minnesota Government Data Practices

All proposals are eventually subject to the Minnesota Government Data Practices Act, Minn. Statutes, Chapter 13, but the Act prohibits disclosure of any information derived from Proposals submitted by competing Proposers, and the content of all Proposals is nonpublic data under Chapter 13 until such time as notice to award a contract is given by the Authority. Proposers shall note with their Proposal any proprietary information or other private data in their submittal.

F. List of Exhibits (Completed copies to be submitted with Proposal)

Exhibit A	Acknowledgement and Attestation Form
Exhibit B	Confidentiality Agreement
Exhibit C	Non Collusion Statement
Exhibit D	State of Minnesota Affirmative Action Data Page

EXHIBIT A

**MINNESOTA SPORTS FACILITIES AUTHORITY
ACKNOWLEDGEMENT AND ATTESTATION FORM
(To Be Submitted With Proposal)**

In submitting a Proposal the undersigned has certified that the Proposer has reviewed the Request for Document Management System and Services Proposal (“RFP”) dated January 12, 2015 and is familiar with the terms and conditions therein and accepts and waives any protest of the terms and conditions imposed under the RFP and all documents identified therein.

The Proposer understands the MSFA reserves the right to reject any or all proposals in accordance with its best interest. The Proposer submitting a response does so at its own expense. I hereby certify that the foregoing is true and correct.

Proposer’s Name _____
Name: _____
Title: _____
Date: _____

Witness: _____
Name: _____
Title: _____

Date: _____

Note: Use full corporate name and attach corporate seal, if any, here. {SEAL}

EXHIBIT B

CONFIDENTIALITY AGREEMENT (To Be Included Submitted With Indication of Interest and Qualifications)

This Confidentiality Agreement (the “Agreement”) made and entered to as of the _____ day of _____, 2015, by and between the Minnesota Sports Facilities Authority (“Authority”) and _____ (“Proposer”) in connection with Document Management System and Services (the “Project”). The Authority and affiliates are hereafter referred to individually or collectively as “Project Participants”.

1. For purposes of this Agreement, “Confidential Information” means any and all information accessed, received, obtained or otherwise learned about the Project Participants as a result of the Project, and/or any other information whether or not designated as Confidential Information by the Project Participants. Notwithstanding the above, Confidential Information will not include any information that (a) is or becomes public knowledge or (b) is or becomes available to without obligation of confidence from a source (other than the Project Participants) having the legal right to disclose that information.
1. Without the prior written consent of the Project Participants, which may be given or withheld in their sole and absolute discretion, the Proposer will (a) not disclose any Confidential Information to any third party nor give any third party access thereto, and (b) only disclose the Confidential Information to those of its employees or agents who need to know such information for purposes of completing the Project and who are bound by confidentiality obligations no less restrictive than this Agreement. For the avoidance of doubt, any disclosure by the Project Participants of work product received from the Proposer shall not be considered a breach of this Agreement.
1. The Proposer will use at least the same degree of care to avoid the publication, disclosure, reproduction or other dissemination of the Confidential Information as employed with respect to its own valuable, proprietary information which it protects from unauthorized publication, disclosure, reproduction or other dissemination and in no event shall use less than reasonable care.
1. If the MSFA receives notice that it may be required or ordered to disclose any Confidential Information in connection with legal proceedings or pursuant to a subpoena, order or a requirement or an official request issued by a court of competent jurisdiction or by a judicial, administrative, legislative, regulatory or self-regulating authority or body, the Proposer shall (a) first give written notice of the intended disclosure to the Project Participants as far in advance of disclosure as is practicable and in any case within a reasonable time prior to the time when disclosure is to be made, (b) consult with the Project Participants on the advisability of taking steps to resist or narrow such request and (c) if disclosure is required or deemed advisable, cooperate with the Project Participants in any attempt made to obtain an order or other reliable assurance that confidential treatment will be accorded to designated portions of the Confidential Information or that the Confidential Information will otherwise be held in the strictest confidence to the fullest extent permitted under the laws, rules or regulations of any other applicable governing body.

1. The Proposer acknowledges that the unauthorized disclosure or use of Confidential Information could cause irreparable harm and significant injury, the precise measure of which may be difficult to ascertain. Accordingly, the Proposer agrees that the Project Participants will be entitled to specific performance and injunctive or other equitable relief, without bond, as a remedy for any such breach or threatened breach, in addition to all other rights and remedies to which the Project Participants may have. The Proposer will, except to the extent inconsistent with (a) its use in connection with legal proceedings or (b) applicable law, regulations, rules or official requests, at the Authority's election, destroy or return to the Project Participants any tangible copies of the Confidential Information and permanently delete all electronic copies of the Confidential Information in its possession or control, if any, at the earlier of the request of the Project Participants or the completion of the Project and will certify in writing to the Project Participants that it has completed the foregoing.

1. In the event of any litigation between the Project Participants and the Proposer in connection with this Confidentiality Agreement, the unsuccessful party to such litigation will pay to the successful party therein all costs and expenses, including but not limited to actual attorneys' fees incurred therein by such successful party, which costs, expenses and attorneys' fees shall be included as a part of any judgment rendered in such action in addition to any other relief to which the successful party may be entitled.

1. All references to the Proposer herein also include any of its officers, directors, employees, attorneys, agents, professional advisors and independent contractors and any person, corporation, partnership or other entity which, directly or indirectly, controls, is controlled by, or is under common control with, the undersigned. This Agreement supersedes all previous agreements, written or oral, relating to the above subject matter, and may be modified only by a written instrument duly executed by the parties hereto. All clauses and covenants contained in this Agreement are severable and in the event any of them is held to be invalid by any court, this Agreement will be interpreted as if such invalid clauses and covenants were not contained herein. The Proposer represents and warrants that it has the right and authority to enter into and perform this Agreement. This Agreement may not be assigned without the Project Participants' prior written consent (in their sole discretion). This Agreement shall be construed in accordance with the internal laws of the State of Minnesota, USA, without regard to its principles of conflicts of laws. None of the provisions of this Agreement can be waived or modified except expressly in writing by the parties hereto.

Dated and effective this _____ day of _____, 2015

("Authority")

("Proposer") (Seal)

WITNESS:

(If Proposer is a Corporation, complete below)

By: _____

Title: _____

Attest: _____

Title: _____

EXHIBIT C
NON-COLLUSION STATEMENT

(To Be Included Submitted With Indication of Interest and Qualifications)

STATE OF _____
CITY/COUNTY OF _____

_____ being first duly sworn, deposes and says that he or she is

Title of Person Signing

of _____

Name of Proposer

states that all statements made and facts set out in the Proposal for the above Project are true and correct; and the Proposer (the person, firm, association, or corporation making said proposal) has not, either directly or indirectly, entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with said proposal or any contract which may result from its acceptance.

Affiant further certifies that Proposer is not financially interested in, or financially affiliated with, any other Proposer for the above Project.

Proposer _____

By _____

Its _____

SWORN to before me this _____ day of _____ 20 ____.

Notary Public

My Commission Expires

EXHIBIT D

State Of Minnesota – Affirmative Action Data Page (For responses in excess of \$100,000 only)

If your response to this solicitation is in excess of \$100,000, please complete the information requested below to determine whether you are subject to the Minnesota Human Rights Act (Minnesota Statutes 363.073) certification requirement, and to provide documentation of compliance if necessary. *It is your sole responsibility to provide this information and—if required—to apply for Human Rights certification prior to the due date and time of the bid or proposal and to obtain Human Rights certification prior to the execution of the contract.*

How to determine which boxes to complete on this form:

Then you must complete these boxes...	BOX A	BOX B	BOX C	BOX D
On any single working day within the past 12 months, if your company...				
Employed more than 40 full-time employees in Minnesota				
Did not employ more than 40 full-time employees in Minnesota, but did employ more than 40 full-time employees in the state where you have your primary place of business				
Did not employ more than 40 full-time employees in Minnesota or in the state where you have your primary place of business.				

BOX A – For companies which have employed more than 40 full-time employees within Minnesota on any single working day during the previous 12 months

Your response will be rejected unless your business:

has a current Certificate of Compliance issued by the Minnesota Department of Human Rights (MDHR)

–or–

has submitted an affirmative action plan to the MDHR, which the Department received prior to the date and time the responses are due.

Check one of the following statements if you have employed more than 40 full-time employees in Minnesota on any single working day during the previous 12 months:

- We have a current Certificate of Compliance issued by the MDHR. **Proceed to BOX D.** Include a copy of your certificate with your response.
- We do not have a current Certificate of Compliance. However, we submitted an Affirmative Action Plan to the MDHR for approval, which the Department received on _____ (date) at _____ (time). [If you do not know when the Department received your Plan, contact the

Department.] We acknowledge that the plan must be approved by the MDHR before any contract or agreement can be executed. **Proceed to BOX D.**

- We do not have a Certificate of Compliance, nor has the MDHR received an Affirmative Action Plan from our company. *We acknowledge that our response will be rejected.* **Proceed to BOX D. Call the Minnesota Department of Human Rights for assistance.**

Please note: Certificates of Compliance must be issued by the Minnesota Department of Human Rights. Affirmative Action Plans approved by the Federal government, a county, or a municipality must still be reviewed and approved by the Minnesota Department of Human Rights before a certificate can be issued.

BOX B – For companies, which *have not had more than 40 full-time employees in Minnesota but have employed more than 40 full-time employees on any single working day during the previous 12 months in the state where they have their primary place of business*

You may achieve compliance with the Minnesota Human Rights Act by certifying that you are in compliance with applicable Federal Affirmative Action requirements.

Check one of the following statements if you have not employed more than 40 full-time employees in Minnesota but you have employed more than 40 full-time employees on any single working day during the previous 12 months in the state where you have your primary place of business:

- We are not subject to Federal Affirmative Action requirements. **Proceed to BOX D.**
- We are subject to Federal Affirmative Action requirements, and we are in compliance with those requirements. **Proceed to BOX D.**

BOX C – For those companies not described in BOX A or BOX B

Check below. You are not subject to the Minnesota Human Rights Act certification requirement.

- We have not employed more than 40 full-time employees on any single working day in Minnesota or in the state of our primary place of business within the previous 12 months. **Proceed to BOX D**

BOX D – For all companies

By signing this statement, you certify that the information provided is accurate and that you are authorized to sign on behalf of the responder.

Name of Company: _____

Authorized Signature: _____

Printed Name: _____

Title: _____

Date: _____ Telephone number: _____

For further information regarding Minnesota Human Rights Act requirements, contact:

Minnesota Department of Human Rights, Compliance Services Section

REQUEST FOR PROPOSALS
MSFA DOCUMENT MANAGEMENT SYSTEM AND SERVICES

Mail: 190 East 5 th Street, Suite 700 St. Paul, MN 55101	Metro: (651) 296-5663 Toll Free: 800-657-3704
Website: www.humanrights.state.mn.us	Fax: (651) 296-9042
Email: employerinfo@therightsplace.net	TTY: (651) 296-1283

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RFP Introduction

1. Purpose of the RFP

Through this RFP, the Minnesota Sports Facilities Authority (MSFA) desires to purchase or otherwise acquire rights to use an enterprise system and services that meets the requirements identified in this RFP. In addition, the MSFA requires proposals for professional services necessary to implement the system and train users on the new software. Vendors offering hosted services or software as a service are encouraged to propose, but hosting services are not required.

2. Project Background

The MSFA is located in Minneapolis. The MSFA owns the Minnesota Multi-purpose Stadium. Implementation of the document management system and services are expected to be completed prior to the end of March, 2016 and include features related to document storage, imaging, management, indexing, search, and workflow.

a. Overall Project Scope

The MSFA anticipates that the document management system will be used enterprise wide for all document retention; including but not limited to design, scripting, implementation, integration, document conversion, testing, training and support.

b. Notice to Proposers

Failure to carefully read and understand this RFP may cause the proposal to be out of compliance, rejected by the Authority, or legally obligate the proposer to more than it may realize. Information obtained by the proposer from any officer, agent or employee of the MSFA shall not affect the risks or obligations assumed by the proposer or relieve the proposer from fulfilling any of the RFP conditions or any subsequent contract conditions. Only the format described in the RFP and the attachments included with this RFP will be accepted as compliant for the submitted proposal. Failure to completely fill out all required attachments may result in disqualification.

c. Conditions

- i. This RFP, its general provisions, and the terms and conditions identified shall be incorporated in any agreement resulting from this solicitation, and the RFP and its terms and conditions, plus attachments shall control unless the Agreement expressly provides otherwise.

d. MSFA's Rights Reserved

- i. The MSFA reserves the right to select the proposal(s), which in its sole judgment best meets the needs of the MSFA. The lowest proposed cost will not be the sole criterion for recommending the contract award.
- ii. The MSFA reserves the right to reject any or all proposals and to waive technicalities and informalities when such waiver is determined by the MSFA to be in the MSFA's best interest.
- iii. The MSFA reserves the right to communicate with select proposers at any time to gather additional information. Furthermore, the MSFA reserves the right to remove or add functionality (i.e., modules and components) until the final

contract signing.

- iv. The MSFA reserves the right to revise the RFP prior to the date that proposals are due.
- v. This RFP does not commit the MSFA to award a contract. All proposals submitted in response to this RFP become the property of the MSFA and public records, and as such, may be subject to public review.
- vi. The MSFA shall not be liable for any pre-contractual expenses incurred by prospective vendors or selected contractors, including but not limited to costs incurred in the preparation or submission of proposals. The MSFA shall be held harmless and free from any and all liability, claims, or expenses whatsoever incurred by, or on behalf of, any person or organization responding to this RFP

e. Communication Regarding this RFP

All communication from prospective proposers regarding this RFP must be in writing by email to the address listed in this RFP. Communication by telephone or in person will not be accepted. Attempts by, or on behalf of, a prospective or existing vendor to make telephone or personal contact with any MSFA representatives, other than those specifically listed in this document, regarding this RFP, may lead to the elimination of that vendor from further consideration.

Attempts by or on behalf of a prospective or existing vendor to contact or to influence any member of the selection committee, any member of the MSFA, or any employee of the MSFA with regard to the acceptance of a proposal may lead to elimination of that vendor from further consideration.

f. Pre Proposal Conference

A pre-proposal vendor conference will be held at the MSFA offices on Monday, January 26, 2015 from 10:00 AM to 11:00 AM CST. Attendance at the pre-proposal conference is not mandatory. Answers to questions submitted prior to the deadline indicated on the procurement schedule will be documented and posted on the MSFA.com web site.

g. Inquiries and Requests for Clarification

- i. In an effort to maintain fairness in the process, inquiries concerning this procurement, including questions related to technical issues are to be directed through email to the following contact. Questions over the phone will not be accepted:

Contact:

Steven C. Maki, PE
Sr. Stadium Director
511 11th Ave. South Suite 401
Minneapolis, MN 55415
Fax: 612.332.8334
Email: steve.maki@msfa.com

- ii. Questions will be answered and posted to the MSFA's website in the form of addenda to the RFP.

h. Procurement Schedule

The expected procurement schedule is listed below. The MSFA reserves the right to change the procurement schedule. If changes are made, proposers will be notified by the MSFA in the form of an addendum to this RFP, posted on the MSFA's website MSFA.com.

Procurement Schedule	
1/12/2015	RFP posted
1/26/2015	Pre-proposal conference – 10:00 AM (CST) MSFA Office, 511 11 th Ave. South, Suite 401
2/9/2015	Last day to accept questions and requests for clarification on the RFP - by 4:00 PM (CST)
2/16/2015	Answers to submitted questions provided
2/26/2015	Proposals due – 4:00 PM (CST)
March 2015	Vendors selected for software demonstrations are notified
March 2015	Software demonstrations
April 2015	Complete contract negotiations and Statement of Work (SOW)
May 2015	Award of contract by MSFA

- i. Software demonstrations will be held either on-site at MSFA facilities or through a webinar format and will cover all functional areas listed in this RFP. The MSFA will attempt to be flexible in scheduling demonstrations. However, to avoid unnecessary delays, the MSFA expects that proposers will be available for software demonstrations during the days identified on the schedule above. Proposers that cannot demonstrate their software during the dates prescribed by the MSFA may be eliminated. Software demonstrations will focus on software; however, the MSFA will also ask questions related to implementation.

i. Evaluation Criteria

The MSFA will review all proposals received as part of a documented evaluation process. The sole purpose of the proposal evaluation process is to determine which solution best meets the MSFA's needs. The criteria that will be used to evaluate proposals may include, but are not limited to the following:

- Proposal Evaluation
- Cost
- Software Features
- Implementation Approach
- Technical Compatibility
- Past Experience with Similar Organizations
- Client References

j. Proposal Submission Instructions

- i. Proposals are to be submitted in sealed packages by February 26, 2015 at 4:00 PM CST. Late submissions will not be accepted.

Submittal Address:

**MSFA
Attn. Steve Maki – Document Management Proposal
511 11th Ave. South Suite 401
Minneapolis, MN 55415**

- ii. Failure to comply with the requirements of this RFP may result in disqualification. Proposals received subsequent to the time and date specified above will not be considered. Please note the following as part of the submittal process.
- iii. Signature of the proposal by the proposer constitutes acceptance by the proposer of terms, conditions, and requirements set forth herein.
- iv. Proposers are required to submit TWO (2) hard copies and TWO (2) electronic copies of the proposal in a sealed package that is clearly labeled with the proposer's company name and the RFP name.
- v. Emailed proposals will not be accepted.
- vi. Use the Submittal Checklist (Attachment 1) to ensure that all required documents, forms, and attachments have been completed and submitted as instructed.
- vii. By submitting a proposal, the proposer is providing a guarantee to the MSFA that, if chosen, it will be able to provide the proposed products and services during the period of time discussed in the RFP.
- viii. Upon submission, all proposals shall be treated as confidential documents until the selection process is completed. Once the notice of intent to award is issued by the MSFA, all proposals shall be deemed public record. In the event that a proposer desires to claim portions of its proposal exempt from disclosure, it is incumbent upon the proposer to clearly identify those portions with the word "Confidential" printed on the top right hand corner of each page for which such privilege is claimed. Examples of confidential materials include trade secrets and financial statements. Each page shall be clearly marked and readily separable from the proposal in order to facilitate public inspection of the non-confidential portion of the proposal. The MSFA will consider a proposer's request for exemptions from disclosure; however, the MSFA will make its decision based upon applicable laws. An assertion by a proposer that the entire proposal, or large portions, is exempt from disclosure will not be honored. Prices, makes and models or catalog numbers of the items offered, deliverables, and terms of payment shall be publicly available regardless of any designation to the contrary.

k. Organization of Proposal

The proposal must be organized into the following major sections. Specific instructions for each section are provided in Section B of this RFP. Any required attachments must be included in the proper section as indicated by the instructions.

Section Number	Section
1	Executive Summary and Introductory Material
2	Company Background
3	Proposed Software
4	Professional Services
5	Technical Information
6	Maintenance and Support
7	Sample Documents
8	Exceptions to the RFP
9	Price Proposal
10	Additional Information

3. Detailed Submittal Requirements

So that competing proposals can be compared equally, proposers must assemble their proposals in strict adherence to the layout requirements identified in Section 2.k. Failure to follow all proposal layout requirements may result in disqualification. Proposals should be prepared as simply as possible and provide a straightforward, concise description of the proposed products and services to satisfy the requirements of the RFP. Attention should be given to accuracy, completeness, relevance, and clarity of content. Proposals must address the following questions and contain the following Sections.

a. Executive Summary and Introductory Material

(Proposal Section 1.0) The introductory material must include a title page with the RFP name, name of the proposer, address, telephone number, the date, a Letter of Transmittal, and a Table of Contents. The executive summary should be limited to a brief narrative (less than 2 pages) summarizing the proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel.

- i. Complete Attachment 1 (RFP Checklist)
- ii. Complete Attachment 2 (Signature Page)
- iii. Complete Attachment 3 (Addendum Acknowledgement Form)

b. Company Background

(Proposal Section 2.0) Each proposal must provide information about any firm involved with this proposal including the software vendor, implementation vendor, and/or any third party vendors so that the MSFA can evaluate the proposer's stability and ability to support the commitments set forth in response to the RFP. The MSFA, at its discretion, may require a proposer to provide additional supporting documentation or clarify requested information.

- i. Complete Attachment 4 (Company Background)
- ii. Complete Attachment 5 (Reference Form)

c. Proposed Software

(Proposal Section 3.0) Each proposal must provide information about the software proposed in response to the MSFA's RFP and the MSFA's functional requirements.

- i. List and describe all proposed software modules proposed. Proposer must explicitly state the software module name and versions that are proposed (if applicable).
 - ii. Complete Attachment 6 (Functional Requirements).
- Responses to the functional requirements should be completed to identify both the capability of the software and the scope of the implementation.
 - Failure to provide some requirements or excluding some requirements from scope will **NOT** eliminate the proposer from contention. The MSFA will evaluate the proposal as a whole including price/value comparisons when evaluating proposals.
 - The requirements responses submitted will become attached to the software license and implementation services contract. Proposers are expected to warrant both software and implementation of all positive responses (every response except "N").

d. Professional Services

(Proposal Section 4.0) This section should describe the proposed professional services for both implementation and training.

- i. Provide a detailed plan for implementing the proposed system. Included in the plan should be:
 - Description of proposed project management services
 - Description of proposed services for paper document conversion, functional configuration and implementation of the system (see photographs below)





- Description of proposed services to assist with technical aspects of the implementation
 - ii. Explain the proposed vendor staffing for the project including:
 - How many staff will the vendor have assigned to the project
 - Approximate dedication to the project of each resource and approximate time work will be completed on-site vs. off-site.
 - iii. Explain the MSFA's responsibilities in implementing the software including:
 - Number of resources
 - Key responsibilities
 - Assumptions about prior skills/competencies of resources
- iv. Complete Attachment 7 (Staffing Plan)
- v. Identify options for converting paper files into the document management system.

e. Technical Information

(Proposal Section 5.0) This section should identify any system requirements that are necessary to run the system.

- i. Identify all technical requirements to run the system as proposed
- ii. Complete Attachment 8 (Technical Specifications)
- iii. Complete Attachment 9 (Alternative Delivery Options)

f. Maintenance and Support

(Proposal Section 8.0) The proposal must specify the nature of any post-implementation and on-going support provided by the vendor including:

- i. Complete Attachment 10 (Maintenance and Support)
- ii. Identify any additional support that is proposed (if applicable)

g. Sample Documents

(Proposal Section 7.0) Proposers should include sample copies of the following documents. Although they are sample forms, the documents must contain all material terms so that the MSFA can fairly evaluate the proposer's forms. If one master agreement serves multiple purposes (e.g., licensing and maintenance), it can satisfy the submittal required for both.

- i. Sample software licensing agreement
- ii. Sample maintenance agreement
- iii. Sample implementation services agreement
- iv. Sample hosting agreement (if applicable)

h. Exceptions to the RFP

(Proposal Section 8.0) All requested information in this RFP must be supplied. Proposers may take exception to certain requirements in this RFP. All exceptions shall be clearly identified in this section, and a written explanation shall include the scope of the exceptions, the ramifications of the exceptions for the MSFA, and the description of the advantages or disadvantages to the MSFA as a result of exceptions. Section D of this RFP contains standard contract terms and conditions that the MSFA expects to be part of the final agreements for these services. Please indicate your willingness to comply with each condition by noting any exceptions.

i. Price Proposal

(Proposal Section 9.0) Proposers should submit their price proposal that includes pricing for all products and services identified in the proposal. If any components of the proposal are "optional" and not included in the summary or total price, those features must be clearly labeled as "optional" in the proposal. All "optional" items not included in the total price must identify a price separately.

- i. Complete and submit Attachment 11 (Cost)
 - The MSFA may award a purchase contract, based on initial offers received without discussion of such offers. A proposer's initial offer should, therefore, be based on the most favorable terms available. The MSFA may also request revised pricing offers from proposers, and/or enter into contract negotiations thereafter.
 - Pricing is to be submitted using the provided template. Proposers are to list both summary prices for each module/system being proposed and proposed payment milestones during the implementation.

- Proposers must submit implementation costs as fully loaded rates that include all necessary travel or list travel as a fixed or not-to-exceed amount. The proposed price must cover all payments and expenses.

j. Additional Information

- j. Complete and submit Attachment 11 (Cost)

Proposers are encouraged to submit any additional information it feels appropriate for the MSFA to consider in its evaluation of the proposal.

k. Contract Terms and Conditions

Below are standard contract terms and conditions that the MSFA expects to be part of an agreement with the finalist proposer(s); provided that MSFA reserves the right to negotiate additional terms and conditions to the definitive agreement with the finalist proposer(s). Please indicate your willingness to comply with each condition by noting any exceptions per the instructions in section B.12 of this RFP. Contract terms in the final agreement may include, without limitation, those listed below.

a. Warranty

- i. A warranty is sought for both the software and implementation services. The selected software vendor will warrant that the proposed software will conform in all material respects to the requirements and specifications as stated in this RFP. That is, the detailed requirements in Attachment 6 (Functional Requirements) as stated in this RFP and responded to with a positive response (anything except for “N”) will become part of the selected vendor’s software license and the software vendor will warrant to the requirements. The selected vendor must warrant that the content of its proposal accurately reflects the software's capability to satisfy the functional requirements as included in this RFP. Furthermore, the warranty, at a minimum, should be valid for the duration of the implementation and until 12 months after final acceptance of all modules, suites, and applications included in the implementation.
- ii. The MSFA also requires a warranty for the services (e.g., work products, developed modifications, and system configuration) for a minimum of 12 months after the final acceptance date of the respective modules. The vendor must ensure that the implemented software conforms to the requirements with a positive response (any except for “N”) and is warranted.

b. Warranty Remedy

The MSFA requires that the vendor commit to repair or replace any function not working in the system during the life of the warranty. In the event a problem cannot be fixed or replaced, the vendor will be requested to refund 1.5 times the full amount paid for the unusable software plus implementation costs.

c. System Acceptance

For purposes of acceptance of the system (or portions thereof), the MSFA intends to use a two-staged acceptance procedure. Key points include:

- i. “Conditional Acceptance” will essentially occur at go-live. The MSFA will have up to fifteen (15) days to test the system before going live.
- ii. The MSFA will have a forty-five (45) day period after Conditional Acceptance to

- “live test” the system. Live testing is the MSFA’s opportunity to verify that the system complies with the functional requirements and any other written specifications delivered to the MSFA by the vendor during the course of the project.
- iii. If, after the live testing, the system performs in accordance with the system specifications (including the functional requirements), the MSFA will issue “Final Acceptance.” The forty-five (45) day time frame for Final Acceptance is suspended if problems are found in the live test. Specifically, the MSFA expects to document the date the problem is found and the date it is certified as fixed. The clock would restart on the date the problem is certified as fixed. The warranty period will begin at the time of Final Acceptance.

d. Additional Users and Modules

The MSFA will require “price protection” for a minimum of one (1) year from the effective date of the software license for additional MSFA users and modules that are listed in the proposal but are not initially purchased. Annual increases must not exceed 5%.

e. Status of Vendor

The vendor and its employees will be engaged in an independent contractor relationship with the MSFA in performing all work, duties, and obligations under the Agreement. The MSFA will not exercise any control or direction over the methods by which the vendor shall perform its work and functions. The MSFA’s sole interest and responsibility is to ensure that the work covered by the Agreement is performed and rendered in a competent, satisfactory, and legal manner. No work, act, commission, or omission of the vendor or its employees pursuant to the Agreement shall be construed to make the vendor or its employees the agent or employee of the MSFA.

The vendor and its employees will have no power to incur any debt, obligation, or liability on behalf of the MSFA or otherwise act on behalf of the MSFA as an agent. The vendor shall not, at any time or in any manner, represent that it or any of its agents, servants or employees, are in any manner agents, servants or employees of the MSFA.

The vendor and its employees will not be entitled to receive from MSFA vacation pay, sick leave, retirement benefits, social security, workers’ compensation, disability benefits, unemployment benefits, or any other employee benefit of any kind. Neither MSFA nor vendor will have any right, power, or authority to create any contract or obligation on behalf of, or binding upon, the other party without prior written consent of such other party.

f. Payment of Taxes

Vendor agrees to file federal and state tax returns and pay all applicable taxes on amounts paid pursuant to this Agreement and shall be solely liable and responsible to pay such taxes and other obligations, including, but not limited to, state and federal income and FICA taxes. Vendor agrees to indemnify and hold MSFA harmless from any liability which it may incur to the United States or to the State of Minnesota as a consequence of Vendor’s failure to pay, when due, all such taxes and obligations. In case MSFA is audited for compliance regarding any withholding or other applicable taxes, Vendor agrees to furnish MSFA with proof of payment of taxes on these earnings.

g. Records

Vendor shall keep and maintain full and complete documentation and accounting records concerning all services performed that are compensable under this Agreement and shall make such documents and

records available to MSFA for inspection at any reasonable time. Vendor shall maintain such records for in compliance with MSFA policy and applicable laws.

h. Subcontracting

The vendor is prohibited from subcontracting the Agreement or any services provided pursuant to the Agreement without the prior written consent of the MSFA.

i. Ownership and Disclosure of Work Product

All reports, original drawings, graphics, plans, specifications, exhibits, photographs, images, video files, or other media created, and other data or documents (“documents”), in whatever form or format, assembled or prepared by Vendor or Vendor’s subcontractors, consultants, and other agents in connection with the agreement will be the property of MSFA. MSFA will be entitled to immediate possession of such documents upon completion of the work pursuant to the agreement. Upon expiration or termination of the agreement, Vendor will promptly deliver to MSFA all such documents, which have not already been provided to MSFA, in such form or format as MSFA deems appropriate. All documents will be considered “works made for hire,” and all written products and any and all intellectual property rights arising from their creation, including, but not limited to, all copyrights and other proprietary rights, shall be and remain the property of the MSFA without restriction or limitation upon their use, duplication or dissemination. Vendor may retain copies of the above- described documents but agrees not to disclose or discuss any information gathered, discovered, or generated in any way through this Agreement without the express written permission of MSFA.

j. Intellectual Property Rights

Vendor will represent and warrant that it has all necessary licenses, consents or approvals to use any instrumentality, thing or component as to which any intellectual property right exists, including computer software, used in the rendering of the services and the production of all written products produced under the agreement, and that the MSFA has full legal title to and the right to reproduce the written products. Vendor will defend, indemnify and hold the MSFA, and its officials, officers, employees, servants, attorneys, volunteers, and agents, harmless from any loss, claim or liability in any way related to a claim that MSFA’s use of any of the written products is violating federal, state or local laws, or any contractual provisions, or any laws relating to trade names, licenses, franchises, copyrights, patents or other means of protecting intellectual property rights and/or interests in products or inventions. Vendor will bear all costs arising from the use of patented, copyrighted, trade secret or trademarked documents, materials, equipment, devices or processes in connection with its provision of the services and written products produced under the agreement. In the event the use of any of the Written Products or other deliverables hereunder by the MSFA is held to constitute an infringement and the use of any of the same is enjoined, Vendor, at its expense, will: (a) secure for MSFA the right to continue using the written products and other deliverables by suspension of any injunction, or by procuring a license or licenses for the MSFA; or (b) modify the written products and other deliverables so that they become non-infringing while remaining in compliance with the requirements of the agreement.

k. Legal Action

- i. Should either party to the agreement bring legal action against the other, the validity, interpretation, and performance of the agreement will be controlled by and construed under the laws of the State of Minnesota.

- ii. If any legal action or other proceeding, including action for declaratory relief, is brought for the enforcement of the agreement or because of an alleged dispute, breach, default or misrepresentation in connection with the agreement, the prevailing party will be entitled to recover reasonable attorneys' fees, experts' fees, and other costs, in addition to any other relief to which the party may be entitled.

I. General Liability

Vendor shall at all times during the term of the agreement carry, maintain, and keep in full force and effect, a policy or policies of Commercial General Liability Insurance, with minimum limits in amounts reasonably acceptable by the MSFA for each occurrence and general aggregate for bodily injury, death, loss or property damage for products or completed operations and any and all other activities undertaken by Vendor in the performance of the agreement.

m. Professional Liability

Vendor shall at all times during the term of the agreement, carry, maintain, and keep in full force and effect a policy or policies of professional liability insurance with a minimum limit in an amount reasonably acceptable by the MSFA per claim and aggregate for errors and/or omissions of Vendor in the performance of the agreement.

n. Automobile Liability

Vendor shall at all times during the term of the agreement obtain, maintain, and keep in full force and effect, a policy or policies of Automobile Liability Insurance, with minimum coverage per claim and occurrence, in the aggregate for bodily injuries or death, and property damage in amounts reasonably acceptable to the MSFA.

o. Worker's Compensation

Vendor agrees to maintain in force at all times during the performance of work under the agreement worker's compensation insurance as required by the law and as reasonably acceptable to the MSFA. Vendor will require any subcontractor similarly to provide such compensation insurance for their respective employees.

p. Primary Coverage

The insurance provided by Vendor shall be primary to any coverage available to the MSFA. The insurance policies (other than workers compensation and professional liability) shall include provisions for waiver of subrogation.

q. Indemnification

Vendor agrees to accept all responsibility for loss or damage to any person or entity, including MSFA, and to indemnify, hold harmless, and release MSFA, its officers, agents, and employees, from and against any actions, claims, damages, liabilities, disabilities, or expenses, that may be asserted by any person or entity, including Vendor, that arise out of, pertain to, or relate to Vendor's performance or obligations under the agreement. Vendor agrees to provide a complete defense for any claim or action brought against MSFA based upon a claim relating to Vendor's performance or obligations under the agreement. Vendor's obligations under will apply whether or not there is concurrent negligence on MSFA's part, but

to the extent required by law, excluding liability due to MSFA's conduct. MSFA shall have the right to select its legal counsel at Vendor's expense. This indemnification obligation is not limited in any way by any limitation on the amount or type of damages or compensation payable to or for Vendor or its agents under workers' compensation acts, disability benefits acts, or other employee benefit acts.

r. Termination

- i. At any time and without cause, MSFA shall have the right, in its sole discretion, to terminate this Agreement by giving 60 days written notice to the Vendor.
- ii. Delivery of Work Product and Final Payment Upon Termination. In the event of termination, Vendor, within 14 days following the date of termination, will deliver to MSFA all materials and work product and will submit to MSFA an invoice showing the services performed, hours worked, and copies of receipts for reimbursable expenses up to the date of termination.

s. Assignment

Neither the agreement nor any part thereof will be assignable by Vendor without the prior written consent of the MSFA. Any purported assignment without written consent will be null and void, and Vendor will hold harmless, defend and indemnify the MSFA and its officers, officials, employees, agents and representatives with respect to any claim, demand or action arising from any unauthorized assignment.

I. Attachments

To be submitted with completed proposal.

a. Attachment 1 (RFP Submittal Checklist)

Submittal Checklist		
Section	Item	Submitted
a	1.0 Executive Summary and Introductory Materials	
a	Attachment 1 (RFP Submittal Checklist)	
b	Attachment 2 (Signature Page)	
c	Attachment 3 (Addendum Acknowledgement Form)	
b	2.0 Company Background	
g	Attachment 4 (Company Background)	
e	Attachment 5 (Reference Form)	
c	3.0 Proposed Software	
f	Attachment 6 (Functional Requirements)	
d	4.0 Professional Services	
g	Attachment 7 (Staffing Plan)	
e	5.0 Technical Information	
h	Attachment 8 (Technical Specifications)	
i	Attachment 9 (Alternative Delivery Options)	
f	6.0 Maintenance and Support	
j	Attachment 10 (Maintenance and Support)	
g	7.0 Sample Documents	
h	8.0 Exceptions	
i	9.0 Price	
k	Attachment 11 (Cost)	
j	10.0 Additional Information (if applicable)	

b. Attachment 2 (Signature Page)

The undersigned proposer having examined this RFP and having full knowledge of the condition under which the work described herein must be performed, hereby proposes that the proposer will fulfill the obligations contained herein in accordance with all instructions, terms, conditions, and specifications set forth; and that the proposer will furnish all required products/services and pay all incidental costs in strict conformity with these documents, for the stated prices as proposed.

Submitting Firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Authorized Representative (print): _____ Title: _____

Authorized Signature: _____ Date: _____

Contact Information:

Name: _____

Title: _____

Address: _____

City: _____ State: _____ Zip: _____

Email: _____

Phone # ____ (____) - _____

Cell Phone # ____ (____) - _____

Fax # ____ (____) - _____

c. Attachment 3 (Addendum Acknowledgement Form)

This page is used to acknowledge any and all addenda that might be issued. Any addendum issued within five days of the solicitation due date, will include a new due date to allow for addressing the addendum's issues. Your signature indicates that you took the information provided in the addendums into consideration when providing your complete response.

Please sign and date

ADDENDUM NO. 1 Acknowledgement

Signature Date

ADDENDUM NO. 2 Acknowledgement

Signature Date

ADDENDUM NO. 3 Acknowledgement

Signature Date

ADDENDUM NO. 4 Acknowledgement

Signature Date

ADDENDUM NO. 5 Acknowledgement

Signature Date

If no addenda were issued, indicate below, sign the form and return with your response.

Firm

Authorized Signature

d. Attachment 4 (Company Background)

Complete one form for each firm included in the proposal.

Company Background	
Company Name:	
Location of corporate headquarters:	
Location of nearest office/location to the MSFA:	
Proposer Experience	
# of years in business:	
# of years providing systems/services to public sector:	
Customer Base:	
# of public sector clients:	
# of new public sector clients in the last 3 years:	
# of local government clients:	
# of public sector clients in Minnesota:	
Organization Characteristics:	
Number of Employees: If Proposer is a subsidiary, identify # of employees in proposing company/division:	
Ownership: Privately held? Publicly traded? Parent Company?	

e. Attachment 5 (Reference Form)

Please provide five (5) public sector references for the software that are recent and where project scope was similar to the MSFA's RFP. These references should be sites where the proposed software was installed and is "live." Please use the following format in submitting references.

GENERAL BACKGROUND

Name of Client: _____

Project Manager/Contact: _____ Title: _____

Phone: _____ E-mail: _____

Software Program/Version: _____

Summary of Project: _____

Number of Employees: _____ Size of Operating Budget: _____

PROJECT SCOPE

Please provide a brief description of the project scope:

TECHNOLOGY INFORMATION

Hosted? Yes _____ No _____ If yes, hosting provider _____

Database Platform: _____

OTHER INFORMATION

Date of initial go-live: _____

Current version: _____

Date of go-live for current version: _____

Interface to Financial System (Yes/No) _____

Name of Financial System _____

Describe Interface: _____

f. Attachment 6 (Functional Requirements)

A.1 Access

A.1.1 Client User Interface

- 1. Users can easily navigate and perform their primary job tasks with little-to-no training and with intuitive ribbon-style toolbars, tabs, and easy access features that are based on the familiar look and feel of Microsoft Office products.**
- 2. Client provides capabilities for users to personalize their user experience (e.g., personalized home page that opens to personal workflow lifecycles, stored favorite retrievals, etc.).**
- 3. Client displays all of the associated information about a document right alongside the image itself – displaying index values, notes, related documents, revisions, discussion threads, and document history.**
- 4. Client provides ability to display the document being indexed in a preview pane during the indexing process.**
- 5. Client provides the ability to auto-import camera images and media files directly from a connected device.**
- 6. Client enables users to play, stop, and pause multimedia files (audio / video) with the native viewer.**

A.1.2 Web Client Interface

- 7. Web Client provides a dashboard component to create and manage personalized interfaces that present end users with access to priority content and tasks (e.g., workflow status report, commonly used document searches).**
- 8. Solution offers full support for the Internet Explorer and Mozilla Firefox browsers on the Windows platform as well as full support for the Mozilla Firefox browser on the Macintosh platform.**

A.1.3 Search Experience

- 9. Solution enables users (not administrators) to create their own personalized saved searches.**
- 10. Solution provides ability for meaningful document names to appear in a search results list that can contain both static text as well as defined index values, offering a more detailed description of the documents returned.**
- 11. Solution provides advanced full text search capabilities that include fuzzy, inflectional, thesaurus, proximity, wild card, and SOUNDEX.**
- 12. Solution provides ability to utilize full text searching alongside index value search. Provide a screen shot depicting this capability from a single interface.**
- 13. Solution allows users to search for multiple document types (e.g., text / COLD, image, PDF, Word, etc.) in one search.**

A.1.4 Search – Microsoft Office

- 14. Solution provides capabilities to not only retrieve and archive to the DMS system from the native office toolbar, but also search and retrieve DMS stored content from directly inside the native office application.**

A.1.5 Retrieval

- 15. Solution provides ability to automatically link related documents of similar or different file types to each other (e.g., a mainframe-generated text file to a TIFF image).**

A.1.6 Integrated Workflow

- 16. Solution's workflow experience is integrated to provide task buttons and user interaction on a menu right from selected or open documents through standard document retrieval (i.e., user does not need to enter the workflow client). Provide a screen shot depicting this embedded workflow functionality in your viewer.**

A.1.7 Offline Client Experience

- 17. Solution provides capabilities for an offline / mobile worker (e.g., access documentation, complete forms, synchronization).**

A.1.8 Mobile Devices

- 18. Solution provides natively built interfaces to standard mobile devices - iPad, iPhone, Windows and Android.**

A.1.9 Client Deployment

- 19. System offers a solution for the client interface, minimizing administration overhead and supporting IT policies.**

A.1.10 E-Mail Integration

- 20. Solution allows drag-and-drop import of messages into the DMS system using e-mail client folders in order to automate the classification and indexing of e-mails and attachments (e.g., a user could create a folder for purchase orders, one for invoices, another for resumes, etc.).**

- 21. Solution allows e-mails and attachments to be automatically imported and fully indexed into the system without any user intervention or data entry.**

- 22. List the versions of Microsoft Outlook that you support.**

- 23. Solution provides integration with mobile devices.**

A.1.11 E-Mail Integration to Workflow

- 24. Solution allows the user to access the DMS system's workflow processes from the e-mail client interface, with the ability to decision items (execute tasks) and view related documents directly from the e-mail message notification.**

A.1.12 E-Mail Archive

- 25. Solution provides an E-mail Archive that offers the ability to assign time-based retention to e-mails with the ability to put an e-mail or group of e-mails “on hold,” preventing automatic destruction.**
- 26. Solution supports single instance storage of both e-mail and attachments. For example, e-mails and attachments are only stored once in the E-mail Archive, with the sender and all recipients pointing to one record / file.**
- 27. Solution provides the ability for users to access an e-mail in the archive directly from their client.**
- 28. Solution provides the ability to search on e-mail index values and / or perform a full-text search on e-mail and attachment content.**

A.2 Capture

A.2.1 Capture

- 1. Describe the breadth of your solution's native, individual capture solutions.**
- 2. Describe your ability to automatically classify and index images.**
- 3. Describe the system's ability to capture and index documents from remote users through either a web-based connection or disconnected method.**
- 4. Describe the system's ability to perform quality assurance (QA) / verification of captured image documents. For instance, the solution should provide options to QA image quality and / or index accuracy. It should also provide a simple image re-scan process that automatically replaces the poor images with the newly-scanned images.**
- 5. Solution's capture process allows for page separation and retrieval. This should include the separation of image and PDF file types.**

A.2.2 Capture – Electronic

- 6. Describe your solution's capabilities related to electronic capture.**
- 7. Describe your solution's ability to full-page OCR.**
- 8. Describe the solution's support of sweeping images and other file types from a network directory, providing an indexing interface for viewing those documents while classifying and indexing them.**
- 9. Describe the ability to import content into your repository from directly within an application such as Microsoft Word or Excel.**

A.2.3 COLD

- 10. Solution provides ability to easily and quickly configure the ingestion of print streams.**
- 11. Solution provides ability to parse a print stream and index documents in one process. The solution should be able to handle multiple types of print streams. List those supported by your system.**

A.2.4 Workflow

- 12. Describe the ability of your capture solution to integrate with your workflow engine.**

A.2.5 Fax / MFP Integration

- 13. Solution provides ability to integrate with other devices (fax, MFP) as a means of ingesting documents into the system.**

A.2.6 SharePoint

- 14. Describe the capabilities you offer for scanning through the Microsoft SharePoint interface.**

A.2.7 Indexing

- 15. Describe the indexing capabilities available within your solution.**
- 16. Describe your capture process's ability to automatically fill several index values on a document based on a primary index value that triggers the automatic look up of additional index information already contained within the system.**
- 17. Describe your solution's ability to automatically search for sensitive data and intelligently generate redacted zones.**

A.2.8 Recognition Technologies

- 18. Describe the system's ability to natively provide data and text extraction capabilities for scanned image documents, including OCR, ICR, OMR, bar codes, and signature detection, in order to provide hands-off processing of scanned documents directly into the system without involving third-party software applications.**

A.2.9 Image Management

- 19. Describe the solution's ability to control and track the modification of documents through multiple revisions, allowing users to view prior revisions and track document history. The solution should clearly display the number of revisions associated with a specific document. The solution should allow for the addition of comments per revision.**
- 20. Solution provides ability to stamp a specific revision of a document as a version, limiting which revisions of a document a certain user can see.**

A.2.10 Electronic Signature

- 21. Describe the native ability to associate an electronic signature with an event managed by your solution.**

A.2.11 Interface

- 22. Solution provides one central GUI for administration and deployment of capture products.**

A.2.12 Configuration

- 23. Describe the out-of-the-box configurable options related to your solution's scanning interface.**

A.2.13 Scalability

- 24. Describe the features that enable your system to scale for high-volume imaging applications.**

A.3 Process

A.3.1 User Environment

- 1. Solution's workflow configuration and user interface environments are integrated with the rest of the DMS solution (i.e., you can access the workflow interface from within the client environment).**

A.3.2 Process Design

- 2. How many configurable workflow business rule templates are available, out-of-the-box, with your system? Explain what parameters are available, excluding any scripted capabilities, upon configuration.**
- 3. How many configurable workflow actions are available, out-of-the-box, with your system? Explain what parameters are available, excluding any scripted capabilities, upon configuration.**

A.3.3 Process Initiation

- 4. Solution allows documents to be added to a workflow in several different ways, including:**
 - Scanning**
 - Enterprise text report processing**
 - Electronic forms processing**
 - Document import processing**
 - API**
 - E-mail interface**
 - Drag and drop from a line-of-business application screen**
 - Adding documents already stored within the solution's repository to a workflow process at a specific point-in-time**
- 5. Immediately upon import, based on the document type, the solution automatically identifies with which workflow processes to associate a given document.**

A.3.4 Configuration

- 6. Solution provides ability for the workflow process to interact directly with defined Web services, allowing external data received to be used as part of a workflow process (i.e., confirm a delivery date from a website such as ups.com). This is to be accomplished out-of-the-box with point-and-click configuration.**

A.3.5 Work Distribution

- 7. Solution allows for the automatic distribution and sorting of work based on load balancing rules. Rules should include role, availability, percentage, order of arrival, index values, or the size of existing workloads for users, as well as custom- built work distribution rules. This load balancing should also allow for the rebalancing of work to users if inequity is discovered within the workflow processes.**

A.3.6 User Experience

- 8. Solution provides for customized instructions to be displayed within the workflow application, directing the end user on what functionality they can or should execute.**

A.3.7 Decision Making

- 9. Describe the system's ability to dynamically query, directly within the workflow interface, related documents associated to the transaction to provide better decision making.**
- 10. Describe your workflow solution's ability to provide, out-of-the-box, visual indications of missing documents required of a work packet.**
- 11. Describe your workflow system's ability to conditionally present a targeted set of user tasks, based on role and step of the process, to assist with processing decisions.**
- 12. Describe the system's ability to retrieve or perform activity on related documents that may exist in the solution's DMS repository (file server), outside of the documents that currently exist within various stages of the workflow process.**
- 13. Describe the system's ability to provide for a document in a workflow to check an attribute (document property or index value) on a related document and make a processing decision, such as how the document is to be routed, based on pre-configured logic and rules.**
- 14. Solution provides the ability to perform parallel processing by automatically routing a single document through multiple business processes simultaneously and allowing multiple users to access and work on the same document.**
- 15. Upon execution of a task within a workflow process, solution provides the ability to automatically present a prompt requesting additional information for downstream processing (e.g., hiring manager determines a candidate as a "no fit" for a given position and is prompted for feedback on candidate's positioning for a role elsewhere in the organization). This is to be accomplished out-of-the-box with point-and-click configuration.**

A.3.8 Routing

- 16. Many workflow processes require the user to select a simple decision task such as “approve” or “deny.” Explain how additional out-of-the-box tasks can be presented to users, allowing them to execute more business-specific functions (e.g., simple tasks such as print, annotate, and email; advanced tasks such as calling out to external systems, advanced routing, document composition, or the creation of an e-form).**

A.3.9 Integration

- 17. Solution provides the ability to present and access workflow from the locations noted below. This should be accomplished out-of-the-box or through a productized offering. Provide a screen shot depicting this functionality within these viewers.**

- iPad
- iPhone
- Windows
- Android
- Standard Client
- Outlook
- Web Client
- Line-of-Business Application
- SharePoint
- URL string

A.3.10 Process Modeling and Analysis

- 18. Solution includes native capabilities to provide, or have partnerships for business rules engine, process modeling, process simulation, and process reporting.**
- 19. Solution supports, out-of-the-box, the graphical design of workflows with a BPMN compliant designer.**
- 20. Solution’s BPMN compliant designer is able to produce BPEL standard language.**

A.3.11 Business Activity Monitoring

- 21. Solution provides a native, configurable workflow dashboard to monitor, in real time, the workload of end users. This should provide for an automatic visual notification within that dashboard when a process threshold has been crossed. Provide a screen shot so that we may have a visual representation of this.**
- 22. Solution provides for a browser-based workflow dashboard to be displayed natively through your client interface, Microsoft SharePoint, or any WSRP 1.0 compliant portal product without any custom coding. Provide a screen shot so that we may have a visual representation of this.**

A.3.12 Reporting

- 23. Solution produces reports utilizing custom transactions (e.g., approval time stamps added by a specific user during a transaction).**
- 24. Solution provides preconfigured workflow reports that detail processing information such as:**
 - Average Time to Process Document per Lifecycle**
 - Daily Workflow Usage**
 - Document Process Time per Workflow Queue**
 - Documents Processed per Queue**
 - Documents Resident per Queue**
 - High or Low Document Processing Identification**
 - Queue Processing Time per User in Minutes**

Describe the specific report(s).

A.3.13 Electronic Forms

- 25. Workflow solution will include, at no additional cost, your native electronic forms application.**
- 26. Solution supports the use of electronic forms natively without requiring the purchase of any proprietary forms software.**

- 27. Solution's electronic forms offering will be architected in a way to interact with other parts of your DMS repository including:**
- **Document import capture**
 - **Web (online form submission)**
 - **Web portal and SharePoint (form creation / submission through portal)**
 - **Index value design and structure**
 - **Cross-referencing**
 - **Notes / annotations**
 - **Workflow (form auto-triggers a workflow process)**
 - **E-mail (form viewed as attachment)**
- 28. In addition to your native electronic forms solution, the solution will provide for integrations with popular forms software like Microsoft InfoPath and Adobe LiveCycle to allow users to complete forms created with these products and process them directly into the system repository.**
- 29. Solution maintains revision control on electronic forms to offer flexibility to display forms in their submitted state or with a new layout, allowing business processes to advance.**
- 30. While completing an electronic form, users have the ability to attach documents to it, allowing those documents to automatically be associated with the form.**

A.3.14 Case Management

- 31. Solution facilitates case management.**
- 32. Solution provides structured and unstructured information in a single view.**

A.4 Integrate

A.4.1 Non- Programmatic Integration

- 1. From a data-centric business application, based on account / record information presented on the screen, system allows users to retrieve DMS stored documents without custom programming, API programming, scripting, or modifications to the existing application.**
- 2. Solution provides the ability to execute separate and distinct document retrievals from sections/fields on the screen.**
- 3. Beyond retrieval, solution allows for other DMS functions to be performed, non-programmatically (i.e., point-and-click configurable), within the business application. This includes the ability to execute ALL of the following DMS functions from a single screen:**
 - Index DMS stored documents using data on the business application screen**
 - Present user with a workflow step in context with the business application screen**
 - Launch a complete set of related documents presented in a tabbed folder view**
 - Launch scanning interface to perform ad hoc capture related to the account / record**
 - Create a scanning cover sheet with bar codes using data from the business application screen**
 - Retrieve documents based on a custom query from the business application screen**
 - Index captured documents using data from more than one screen within more than one business application**
 - Launch and complete an electronic form to track an event or start a workflow process**
 - Create a form letter, based off of a Microsoft Word template, using data on the business application screen**
- 4. Solution provides integrations with Microsoft Outlook, allowing users to access DMS functionality and import emails and attached documents into the repository directly from their email interface.**
- 5. Non-programmatic configuration enables your system to be auto-aware of any business application that is integrated for document retrievals (meaning a user does not have to manually declare the business system in which they are working).**
- 6. Solution provides http URL requests to retrieve documents; present workflow interfaces, and presents a folder interface in lieu of custom programming.**

A.4.2 Programmatic Integration

- 7. System offers well-documented, robust API. Describe in detail.**
- 8. Explain your existing API training program available to help organizations extend their DMS investment.**

A.4.3 Synchronization

- 9. Solution offers the ability to synchronize data in real-time behind the scenes.**

Store

A.4.4 Records Management

1. **Records management functionality provided by the solution is native without requiring integration with a third-party or external RIM tool.**
2. **Solution provides the ability for documents to be automatically declared as records without any user interaction.**
3. **Solution allows for multiple documents to be grouped together and treated by the system as a single record, with a single retention plan.**
4. **Solution provides the ability for a document(s) to be dragged and dropped into a record (folder of documents) and have this new document automatically inherit the records management policy.**

A.4.5 Record Types

5. **Solution allows users to capture, declare, and store electronic records (documents) in their native formats, including e-mail, electronic forms, physical items, images, text files, and Office documents.**

A.4.6 Hold

6. **Solution provides the ability to place a hold (or multiple holds) on a record, as in the case of an audit or legal discovery.**

A.4.7 Auditing

7. **Solution provides the ability to identify both complete and incomplete records across the entire repository.**

A.4.8 Workflow

8. **Describe how you configure records management events (including Open, Closed, Cutoff, Hold, and Final Disposition) to be automatically posted to a record from within your workflow engine.**

A.4.9 Purging

9. **Solution provides a variety of destruction options, including the ability to keep both index values and files permanently, keep only index values, or purge both index values and files with or without a history log (certificate of destruction).**

A.4.10 Physical Records Management

10. **Ability to provide a holistic view of both digitally-stored content and physically- stored content in a single search results list.**

A.4.11 Administrative

11. **Provides an administrative view of physical record locators either pending check out (requested) or currently checked out with appropriate location information (item name, user in possession, expected return date, identifier, repository, repository name).**

A.4.12 Searching

- 12. Solution provides an easy way for administrators to locate / filter records.**

A.5 Measure

A.5.1 Auditing

- 1. Solution provides the ability to access a document-level audit trail directly from the document.**
- 2. Describe what is natively tracked in your out-of-the-box audit trail.**
- 3. Solution allows a system administrator to perform an ad hoc audit on system-related activities from within the client (e.g., identification of all documents accessed by a recently released employee).**
- 4. Solution allows an administrator to create custom audit log entries tied to workflow progress for the purpose of generating business process reports.**

A.5.2 Reporting

- 5. Solution's reporting tool directly integrates with Microsoft Excel, allowing users to build reports natively in Excel utilizing the DMS system attributes.**
- 6. Solution provides, within Microsoft Excel, point-and-click data mining and modeling of text-based reports stored within your repository.**

A.5.3 Exception Reporting

- 7. Solution provides a report out-of-the-box (with no custom coding) that identifies matched, unmatched, or missing numeric and / or character index values between a primary document and secondary document(s) (i.e., automated reconciliation report).**
- 8. Based on the exception identified, solution automatically routes exception items from the exception report to a workflow for proper resolution. This should be accomplished without any coding.**

A.5.4 Visibility

- 9. Solution provides real-time visibility without involving internal technical resources.**
- 10. Solution provides the ability to access dashboards from anywhere.**

Section B:

For each requirement listed below, insert the most appropriate response code that matches both the software capabilities and proposed implementation scope using the table below.

Response	Definition
F	Provided with standard functional that is available with configuration options (no custom development)
CU	Customization/Software Enhancement/Modifications (Any custom development)
SR	Provided with Standard Report
CR	Custom Report Development Required
N	Not Included in this Proposal

- For requirement responses other than “N,” proposers must indicate the module or product that is required to meet the requirement.
- All responses, which are marked F, CU, CR, and SR, will be considered to be included in the scope, and the cost proposal and staffing matrix submitted in this proposal should reflect this. Furthermore, the module necessary to perform that functionality must be included in the scope and cost of this proposal.
- Proposers are encouraged to leave comments or identify any assumptions for any requirement that is not clear. In addition, proposers are encouraged to enter comments for each requirement to provide the MSFA’s evaluation team a better understanding of the system’s features.
- If a module is required for only a few functional requirements and it is not cost-efficient to include in the proposal, the proposer should mark the requirement as “N” and indicate accordingly in the comment field that this module is available but not being included in the proposal. If functionality is not available, but expected to be available in future versions of the software, the expected release date can be noted in the comments column. The proper response would be “N”.

Number	Requirement	Response	Comment
	SYSTEM WIDE FEATURES		
1	System supports user authentication through Microsoft Active Directory		
2	System is web based and accessible through:		
3	Internet Explorer		
4	Chrome		
5	Firefox		
6	Safari		
7	Thin Client		
8	System provides audit trail of users actions		
	RECORDS MANAGEMENT		
9	System supports multiple versions of the same document		
10	System restricts access to documents through security settings by:		

Number	Requirement	Response	Comment
11	Type of document		
12	Individual document		
13	User Role		
14	User		
15	System supports users checking in and out document		
16	System provides for simultaneous access to the same document		
17	Does the system support ad-hoc and rules based workflow?		
18	System allows users to store private documents		
19	System allows users with permission to delete documents		
20	System supports records retention policies to prevent deletion prior to specified date		
21	System supports records retention policies to require deletion upon specified date		
22	System allows documents to be grouped or linked		
23	System supports workflow to pre-determined route documents for approval or review		
24	System supports ad-hoc workflow		
MSFA RECORDS MANAGEMENT			
25	System maintain agenda template and supports meeting agenda preparation		
26	Attach supporting documentation to a specific agenda item		
27	System provides online public access to meeting:		
28	Agendas		
29	Agenda supporting documentation (per item)		
30	Meeting minutes		
31	Ordinances		
32	Records of MSFA Meetings		
33	System provides workflow for pre-agenda items		
34	System supports viewing agenda and supporting documents on mobile devices		
35	iPad		
36	Android Tablet		
37	Other		
INDEX			
38	System can assign meta-data to document		
39	Automatically		
40	Manually tag document by category or ID		
41	System allows for searching documents by:		
42	Type of document		
43	Document Number		

Number	Requirement	Response	Comment
44	Document Name		
45	Document Contents		
	IMAGING		
46	System stores documents as:		
47	PDF		
48	Images (JPG, TIF, GIF, etc.) (identify limitations)		
49	System provides ability to scan file into specific folders based on type		
50	System allows for direct entry to system through desktop scanner		
51	System supports placing bar code on document for batch scanning		
52	System supports imaging and storing of large plat and plan files (example 24 x 36 and 36 x 42 inch documents)		
	ERP INTERFACE		
53	System supports interface to ERP system to allow documents uploaded through ERP to be stored in document management (example: invoice)		
54	System supports interface to ERP system to allow documents generated through ERP to be stored in document management (example: check)		
55	System supports drill down in ERP to access document in document management		
56	System supports search for document through ERP system		

g. Attachment 7 (Staffing Plan)

Identify the amount of effort that it is expected that the MSFA provide to assist with the implementation by major implementation phase/task (for example: project planning, configuration, testing, electronic and paper document transition into system, training, etc.). Include all MSFA participation in the project in hours. Also, please list proposed vendor participation by phase. Effort should be listed in total hours.

Phase / Task	Project Manager	Functional SME	Technical Resource	Vendor Participation

Identify the amount of effort that it is expected that the MSFA provide to assist with the implementation by month in the planned implementation. Also, please list proposed vendor participation by month.

	Project Manager	Functional SME	Technical Resource	Vendor Participation
Month 1				
Month 2				
Month 3				
Month 4				
Month 5				
Month 6				
Add additional rows if necessary				

* Note: this information is used to help the MSFA plan for the implementation. The MSFA’s expectation is that hours listed will accurately reflect the amount of work effort required to implement the system based on your past experience and your proposed approach for the MSFA. The MSFA understands that with limited information on the MSFA, certain assumptions were necessary. Please list any major assumptions that were made.

h. Attachment 8 (Technical Specifications)

Section C: TECHNICAL REQUIREMENTS

C.1 System Architecture

C.1.1 Index Value Configuration

- 1. System supports an unlimited number of index values per document.**
- 2. Provide an overview of the different metadata types you support (e.g., date, date and time, currency, specific currency, alphanumeric, numeric, floating point, etc.).**
- 3. Solution provides point-and-click configuration for index values, with multiple pre-configured formats (e.g., date: dd/mm/yyyy, month/dd/yy, mm-dd-yy).**

C.1.2 Index Value Addition

- 4. Describe your system's ability to define multiple instances of the same index value field to a single document without any programming. Explain how this is accomplished.**

C.1.3 Index Value Grouping

- 5. Solution provides the ability to store index value sets that can later be used to auto-index documents by entry of only a single primary value. This enables simplified indexing and more flexible retrieval by allowing users to enter a single index value and have all related index values auto-populate.**

C.1.4 Index Value Updates

- 6. Provide a detailed explanation of how your system can re-index documents, at a global level, without programming. The solution should provide for index values to be updated or replaced on multiple documents at once without custom programming or scripting.**
- 7. Solution provides a means of purging, with just a few clicks, those index values that are no longer being used (saving database space and optimizing performance).**

C.1.5 Index Value Security

- 8. Describe validation of attribute values, including data sets, masking, etc.**

C.1.6 Classification

- 9. Describe how the system classifies / categorizes content. Is categorization of content user defined?**
- 10. Solution supports an unlimited number of document types within the system.**
- 11. System supports the organization of documents into folder-type structures. Explain how this is accomplished.**

C.1.7 Document Linking

12. Solution provides an underlying ability to easily pre-define document relationships for use in search and retrieval.

C.1.8 Database

13. Are there limitations (from a database perspective) regarding how many documents can be stored within the system?

C.1.9 Scalability

14. Does the system provide scaling-up as well as scaling-out deployment capabilities?

C.1.10 Storage Options

15. Solution allows the archiving of documents to various media, including:

- **Windows file servers, to allow the leveraging of Share and NTFS permissions**
- **Archiving of documents to Linux file servers**
- **Archiving of documents to Unix file servers**
- **Integrate with IBM Tivoli Storage Management**
- **Integrate with EMC Centera**
- **NetApp**
- **Plasmon Archive Appliances**
- **CD, DVD or Blu-ray**

C.1.11 Storage Formats

- 16. Solution stores documents in their original, native file format, not in a proprietary format, so that we are not forced to use your software to access our data.**
- 17. How many native file formats do you support? For unique file types, explain how you handle storage.**

C.1.12 SharePoint

- 18. Describe the solution's capabilities for providing high-volume storage for SharePoint content (i.e., SharePoint archiving).**

C.1.13 Export

- 19. Solution should contain an export tool for massive exporting of content in a non-proprietary format. This should supply both the document and the index values.**

C.1.14 Off-line

- 20. Users have the ability to check documents out of the system for access via a localized copy that can be worked on, checked back in, and processed automatically.**

C.1.15 Administration

- 21. For increased efficiencies in backup and database sizing, content is stored with pointers in the database to file storage locations, as opposed to a blob in the database.**

C.1.16 Fail-Over / Redundancy

- 22. System's storage architecture allows for documents and images to be stored at one too many different physical locations for the purpose of redundancy. If one of the locations were to have a failure, there would be no interruption of access to the documents.**

C.1.17 Security

- 23. System must have the option to limit access to the storage locations based on service accounts.**

C.1.18 Encryption

- 24. Solution provides the ability to encrypt data at the database level and at the file storage level, as well as content that has been backed up / at rest.**

C.2 Configuration

C.2.1 Administration Interface

1. **System provides a single interface for the configuration and administration of all major system components (e.g., import processing, document type configuration, index value configuration, workflow, user groups and rights, storage structure, scanning, records management, foldering, scripting, etc.).**
2. **Solution allows for ease of configuration, in that most administrative tasks (e.g., adding new document types and index values, user administration, configuring workflows, etc.) can be done by an internal resource as opposed to a third-party software expert.**

C.2.2 Configurability Options

3. **Quantify the number of configurable options in your solution.**

C.2.3 Import Processing

4. **Across all of your input / ingestion offerings (e.g., document capture, COLD / ERM, directory imports, document imports, etc.), describe the ease of configuring this content to automatically enter one or many workflow processes upon ingestion.**

C.2.4 Workflow Configurability

5. **Describe in detail how workflows are designed and created, and the level of scripting or any custom coding that is required.**
6. **Can business users modify business processes without having to rely on a system administrator to make the changes? If so, does this also allow for continued, uninterrupted access to the system when changes are made?**

C.3 Infrastructure

C.3.1 Database

- 1. The database architecture supports multi-vendor platforms, specifically Microsoft SQL and Oracle.**

C.3.2 Virtualization

- 2. Describe your solution's support for virtualization.**

C.4 Security Administration

C.4.1 Security

- 1. Describe the depth and breadth of your system's security methodology (rights and privileges), including system's ability to assign security at each of the following levels:**
 - **User Groups**
 - **Users**
 - **Document Type Groups**
 - **Document Types**
 - **Index Values**
 - **Folders**
 - **Notes**
 - **Workflow**
 - **Import Processors**
 - **Scan Queues**
 - **Configuration**

C.4.2 Authentication

- 2. Describe the solution's different security options for logging into the system, allowing the system administrator to decide which option is the best for our company (e.g., using a separate security model for an additional logon and password, NT Authentication, integration with Windows© Active Directory, or single sign-on authentication).**

C.4.3 Encryption

- 3. Describe your solution's ability to publish select content onto removable media (CD / DVD) in an encrypted format, allowing access to a self-contained / runtime version of your client.**
- 4. Describe your solution's ability to send documents as an encrypted PDF.**

C.4.4 PCI Compliance

- 5. Describe how your system manages highly sensitive information (i.e., employee information), adhering to compliance standards.**

C.4.5 Workflow Administration

- 6. To accommodate multi-departmental / enterprise deployments involving numerous administrators, explain how your system segregates workflow administration privileges.**

C.4.6 Web Administration

- 7. Describe the system's ability for designated users to perform the following administrative tasks via the web-based client:**
 - **Add new users**
 - **Change passwords**
 - **Reset passwords**
 - **Apply rights to user groups**

C.4.7 Licensing Assurance

- 8. Describe how the solution allows the system administrator to hold a specific number of licenses for different features such as logging into the system, importing documents, or using workflow for specific user groups that must be guaranteed access to these features regardless of who else is logged into the system.**

C.5 Scalability

C.5.1 Deployment

- 1. System supports simplified deployment to ease the use of installation and configuration updates.**

C.5.2 Test Environments

- 2. Solution allows for development, test, and disaster recovery environments with no additional licensing fees.**

C.5.3 Expansion

- 3. After our initial investment, we intend to add on additional departments. Describe how your software could accommodate this growth. Is the software contained in one code base?**

C.5.4 Redundancy

- 4. System supports multiple application and web servers in a load balanced configuration environment for redundancy.**

C.5.5 Users

- 5. Provide examples of scalability using real customer examples and metrics:**

- Peak number of users in a single instance at one time**
- Peak number of retrievals per hour**
- Peak number of documents ingested per day**
- Peak number of documents stored in the DMS repository**

C.5.6 Index Values

- 6. System supports an unlimited number of customer-defined, first class, index value fields per document within a single storage structure. These fields should be of various formats, including date, currency, alphanumeric, and numeric. (Second class index value fields would include any additional information stored about a document separate from the primary document index structure.)**
- 7. System supports the ability to store multiple values for the same index value instance (e.g., Client Name = Sarah Adams and John Adams). The population of an additional value(s) should be accomplished with a single mouse click or keyboard short cut.**

C.5.7 Image Storage

- 8. System utilizes a file storage system to store documents, as opposed to storing directly into the database.**

C.5.8 Batch Processing

- 9. Describe how your system supports the ingestion of large volumes of transactions during peak processing timeframes.**

C.5.9 Code Base

- 10. Describe how your system's architecture supports the addition of features and functionality without having to build connectors between the applications in your suite of products.**

C.5.10 Capacity

- 11. What is the maximum number of documents the system can hold?**

C.5.11 Document Caching (Distributed Deployments)

- 12. Does the system deliver efficient access to documents over a WAN?**

Technical Specifications	
Technology Architecture	
Is the system available to be hosted by the vendor? Is the system available to be hosted by the MSFA?	Yes/No Yes/No
Platforms supported (for MSFA hosting)	
Recommended network requirements	
Recommended database requirements	
Recommended server requirements	
Recommended desktop (client) requirements	
Can servers be virtualized? If so, which virtual platforms are supported?	
Is content delivered through a web browser (which browsers supported?)	
Security	
What security tools are provided in software?	
How is security profile defined?	
Does system support active directory?	
Does system support single sign on?	

i. Attachment 9 (Alternative Delivery Options)

*Attach additional pages if necessary

Alternative Delivery Options	
Options	
Is system available through ASP model (MSFA owns license)	Yes/No
Is the system available through SaaS model (MSFA pays monthly service fee)	Yes/No
Where is the data center and disaster recovery data center located?	
Contract	
Describe any minimum contract periods (example: Minimum of 5 year)	
Proposed Services	
Number of users	
Number of database instances (please list)	
Describe proposed application availability service level	
Security	
Describe network level security	
Describe physical security of data center	
Describe data center security policies including background checks on employees and other measures to protect confidentiality and sensitivity of MSFA's data	
Support	
Describe operations support	
Describe back up procedures and testing of back ups and other quality assurance processes to ensure the back up is working correctly	
Describe process for installing patches and updates	
Describe process for roll-back of patches and updates if major functionality is broken as a result of the patch and/or update	

j. Attachment 10 (Maintenance and Support)

Proposed Maintenance and Support	
Basic Support (identify for each type of support offered):	
Hours available (and time zone)	
Problem reporting and resolution procedures	
Response time for various levels of severity	
Telephone Support:	
Hours available (and time zone)	
Problem reporting and resolution procedures	
Response time for various levels of severity	
User Groups:	
Local user group	
User group members (number)	
Upgrades/Patches:	
Upgrade frequency (major and minor releases)	
How are upgrades delivered?	
Are upgrades required?	
How many versions are currently supported?	

k. Attachment 11 (Cost)

Summary of Costs

Summary of Costs	
Software Licenses	
Hardware	
Professional Services	
Other Project Costs	
Total Project Costs	
Maintenance Costs (Year 1)	
Maintenance Costs (Year 2-5)	
Hosting Costs (Year 1)	
Maintenance Costs (Year 2-5)	
Other Costs	
Total 5 Year Costs	

Proposed Milestone Payments

For all project related costs, indicate a proposed payment milestone schedule. For each payment, please identify a description of the payment (for example: % of license fees), milestone (for example: MSFA sign off on system installation), and amount of payment. It is expected that all payments will be tied to measurable documented milestones.

Proposed Milestone Payments			
Number	Description	Milestone	Amount
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

- Add additional rows if necessary.