



**CITY OF SHERIDAN, COLORADO  
&  
SHERIDAN REDEVELOPMENT AGENCY**

**REQUEST FOR PROPOSALS**

**FOR**

**ENTERPRISE CONTENT MANAGEMENT  
(ECM) SYSTEM**

**DATE OF ISSUE:**

**OCTOBER 28, 2016**

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## 1. GENERAL INFORMATION

### 1.1 Introduction

The City of Sheridan (City) is a home rule municipality located in Arapahoe County, Colorado encompassing approximately 2.2 square miles. The 2010 census population of the City is 5,664 people. The City gets its name from U.S. Army General Phillip H. Sheridan who established Fort Logan west of the City on October 31, 1887. It flourished primarily because of the military post. Fort Logan now serves as a mental health facility under the control of the State of Colorado. The western portion of the original post was dedicated in 1950 as Fort Logan National Military Cemetery.

The City maintains a limited number of waste water lines for the purpose of regulating and managing storm water flow within the City. Municipal Code violations are adjudicated in the Municipal Court. The City maintains its own police department but contracts fire services to the City and County of Denver Fire Department.

The Sheridan Redevelopment Agency (Agency) is a corporate body and political subdivision of the State of Colorado established by the City in 2003, pursuant to the Urban Renewal Law of the State of Colorado Sect.31-25-101 et seq., Colorado Revised Statutes (“C.R.S.”) for the purpose of undertaking urban renewal activities within the City. The Agency’s term of operations will expire in 2029.

The City and the Agency records retention policies conform to the State of Colorado, State Archives Municipal Records Management Manual and Special District Records Management Manual, respectively.

### 1.2 RFP Objective

The City and the Agency determined it is necessary to craft an encompassing enterprise content management (ECM) program that includes policies, procedures, standards, guidance, software and hardware needed to increase workflow efficiency, improve knowledge and information sharing, decrease duplication of records, provide security and protection throughout the life cycle of the record, and minimize cost to carry out the program. The objective of this Request for Proposal (“RFP”) is to select a vendor who can, in the City and Agency’s determination, best provide for the installation, configuration, training and software component for the ECM program. The ECM software component must consolidate all significant documents, records, files, and correspondence in a repository or integrate with other records repositories to provide the ability to quickly and easily locate and manage this data. It must also comply with user access and restrictions set forth in CJIS (Criminal Justice Information Services) regulations.

### 1.3 Contract

Though the City/Agency are jointly involved in the RFP process, the parties to the

Contract will be the City and the Vendor. The Contract will have an initial term from the date of the award through the next six months or as the parties determine is necessary to fulfill the goals of this RFP. Such Contract shall include a Maintenance and Support Plan for a term of at least three years. The general terms of the Contract shall include provisions pertaining, but not limited to, project deadlines, reporting requirements, compensation, default, termination, change orders, non-appropriation, compliance with laws, and Vendor insurance and indemnification. The work to be performed by the Vendor and the compensation for such work will be documented in a Scope of Work (SOW). The City/Agency and Vendor acknowledge that certain material changes may be proposed during the term of the Contract and the parties agree to negotiate such matters in good faith.

### 1.3.5 Reservation of Rights

The RFP is a solicitation and not an offer to contract. The City/ Agency reserve the right to reject any and all RFP's and at its sole discretion to abandon or terminate the RFP process at any time. The City/Agency further reserve the right to issue clarifications or other directives regarding the RFP, to require clarification or further information with respect to any proposal and to determine the final terms and conditions of any contract.

### 1.4 Time Schedule

The following is the anticipated schedule for the RFP process:

#### **RFP PROCUREMENT SCHEDULE**

<b>Activity</b>	<b>Due Dates Time</b>
RFP Issued	October 28, 2016
Vendor's Written First Round of Questions Due	November 14, 2016 10:00 AM
Written Responses to Vendors Questions (posted to Website)	November 28, 2016 4:00 PM
Vendor's Written Second Round of Questions Due	December 2, 2016 10:00 AM
Written Responses to Vendors Questions (posted to Website)	December 9, 2016 4:00 PM
Proposals Due	December 27, 2016 4:00 PM
Evaluation of Proposals	December 28 – Jan. 13, 2017
Notification to Top Vendors for On-Site Demonstrations	January 18, 2017
Vendors On-Site Demonstrations (exact date/time TBD)	February 7 – 8, 2017
Notification of Apparently Successful Vendor	February 13, 2017 4:00 PM
Contract Presented to City Council for Approval	February 28, 2017 6:00 PM
Contract Start Date (estimated)	March 20, 2017

Times given are for Mountain Standard Time (MST) or Mountain Daylight Time (MDT), as appropriate.

**The City/Agency reserves the right to revise the above schedule.**

## **2. INSTRUCTIONS TO VENDORS**

2.1. All proposals shall be mailed to:

Marilyn Duckett  
Administrative Coordinator  
Sheridan Police Department  
4101 S. Federal Blvd.  
Sheridan, CO 80110-4316

2.2. Submittal Response Date & Location.

**The City must receive all proposals no later than 4 p.m. MDT on Thursday, December 27, 2016.**

One (1) electronic copy and three (3) original physical copies of the proposal must be received by the RFP deadline. Proposals will include original signatures, in ink, by authorized personnel, on all documents that require an authorized signature. No faxed or telephone proposals will be accepted. Respondents should allow sufficient delivery time to ensure receipt on or before the deadline. If proposals arrive in the City/Agency's possession after the deadline, and do not have a mailed out date of 3 days (not including Sunday) prior to the deadline, those proposals will be considered late and will not be accepted. All accepted or rejected proposals and accompanying documentation will become the property of the City/Agency and will not be returned. The City/Agency, at its discretion, may make additional copies for the purpose of evaluation only. Vendors accept all risks of late delivery of mailed proposals regardless of fault.

The final selection will be the proposal, which, in sole opinion of the City/Agency, best meets the requirements set forth in the RFP and is in the best interest of the City/Agency. The City/Agency will review proposals received by the deadline and selected Vendors will be invited to meet with ECM Team members to discuss their proposal.

2.3. Vendor Questions.

The City/Agency is not bound by any communication, information, clarification, or interpretation from other City/Agency officials or employees, except as directed in this RFP. Two rounds of Vendor questions regarding this RFP will be allowed consistent with the respective dates and times specified in the *Schedule* (Section 1.4).

All Vendor questions must be submitted in writing (e-mail acceptable) to the following individuals:

### **Technical, Integration and Overall Solution Questions**

Marilyn Duckett, Administrative Coordinator – Sheridan Police Department

**Phone:** (303) 438-3230 **Email:** [mduckett@sheridangov.org](mailto:mduckett@sheridangov.org)

### **RFP Terms and Conditions**

Susanne Durkin-Schindler, Administrator – Sheridan Redevelopment Agency

**Phone:** (970) 412-8786 **Email:** [sdinsight@comcast.net](mailto:sdinsight@comcast.net)

Official written City/Agency responses will be provided for Vendor questions received by the respective deadlines. Written responses to Vendor questions will be posted on the City's website at <http://www.ci.sheridan.co.us>.

**First Round** – First-Round written questions are due to the City/Agency no later than by the First-Round deadline for Vendor Questions and Comments in the *Schedule* (Section 1.4). The City/Agency intends to provide an official written response for First-Round Vendor questions received by this deadline as outlined in the Schedule (Section 1.4).

**Second Round** – Second-Round written questions are due to the City/Agency no later than the Second-Round deadline for Vendor Questions and Comments in the *Schedule* (Section 1.4). The City/Agency intends to provide an official written response for Second-Round Vendor questions received by this deadline as outlined in the *Schedule* (Section 1.4). The Vendor that submitted the questions will not be identified. Verbal responses to questions will be considered unofficial and non-binding. Only written responses posted to the City's web site will be considered official and binding. It is the Vendor's responsibility to access any and all addenda issued and posted on the City's website at <http://www.ci.sheridan.co.us>. Vendors should not contact any City/Agency officials or employees other than as directed in this RFP. Failure to observe this requirement may be grounds for rejection of the Vendor's submittal.

#### 2.4. Vendor Cost to Develop Response.

Costs for developing proposals in response to this RFP are entirely the obligation of the Vendor and shall not be chargeable in any manner to the City/Agency.

#### 2.5. Response Format.

All proposals must be in a sealed envelope and clearly marked in the lower left-hand corner "RFP ECM System". Proposals should be prepared simply and economically in 8.5 x 11 format, providing a straight forward, concise description of Vendor capabilities to satisfy the requirements of the request. Technical literature and promotional materials, if any, must be submitted separately. Emphasis should be on completeness and clarity of content and adherence to the presentation structure required by this RFP. Proposals must be submitted in the format specified below. Vendors that deviate from this format may in the City/Agency's sole discretion be deemed non-responsive.

#### 2.6. Performance Expectations.

If the submitting party has had a contract terminated for default during the past five (5) years, all such incidents must be described. "Termination for default" is defined as notice to stop performance due to the submitting party's non-performance or poor performance, and the issue was either (a) not litigated; or (b) litigated and such litigation determined the submitting party to be in default. Submit full details of all terminations for default experienced by the submitting party during the past five (5) years, including the other party's name, address and telephone number. Present the submitting party's position on the matter. The City/Agency will evaluate the facts and may, at its sole discretion, reject the submittal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the submitting party. If the submitting party has experienced no such termination for default in the past five (5) years, so declare. If the submitting party has had a contract terminated for convenience, nonperformance, non-allocation of funds or any other reason, which termination occurred before completion of the contract, during the past five (5) years, describe fully all such terminations, including the name, address and telephone number of the other contracting party.

## **2.7. Vendor Qualifications & Criteria.**

This RFP is open to any qualified, professional organization with extensive experience in the industry selling products or providing installation services that match the descriptions set forth in the included specifications. The City/Agency shall consider only responsible Vendors that have in the sole judgment of the City/Agency, the financial stability, experience, resources, skills, capability, reliability and integrity necessary to perform the requirements of the contract. The City/Agency may also consider any other information available for consideration. Vendors with an owner convicted within the past ten (10) years of a crime that impugns honesty or integrity, or with unsatisfied tax or judgment liens, are ineligible to participate and shall not be considered.

## **2.8. Submittal Requirements.**

Responses to this RFP should include the following in the order outlined and the format requested:

- a. Cover Letter - Include a high level overview of the Vendor's qualifications to provide the required services.
- b. Submittal Form – Complete Attachment #1
- c. Vendor Information Requirements – Complete Attachment #2
- d. Executive Summary - Provide a one-page high-level summary of your proposal
- e. Proposal Response - This section must include the following:
  - i) A description detailing the proposed methods and mechanisms to be utilized in completing all aspects of this project as outlined in Section 4 - Scope of Services and

Exhibit B-1. Also completion of the Checklist provided in Exhibit B-2.

ii) A proposed schedule for completion for each of the elements described in the Scope of Services should also be included. The schedule should indicate when the Vendor is available to begin work on the project.

iii) A narrative background indicating the Vendor's ability, education, and experience in providing the scope of services outlined herein. – Attachment #3

f. Cost - Estimated cost information, including discussion of the underlying assumptions, required to complete the project as described in the Scope of Services. Contract prices must include all cost components needed for the provisioning of the Software/Services as described herein. All costs associated with the Software/Services must be incorporated into the price of the Response to the RFP. Any Software/Services offered by the Vendor or its Subcontractor(s) that does not have a corresponding separate price will have no separate additional cost to the City/Agency when acquired by the City/Agency.

All elements of recurring and non-recurring costs must be identified and also summarized into the Cost Model (Exhibit C). Proposals should include the detailed cost information described above AND the completed Cost Model (Exhibit C). The detailed financial discussion must include, but is not limited to, all administrative fees, maintenance, manuals, documentation, shipping charges, labor, travel, training, consultation services, wiring and supplies needed for the installation, equipment, warranty work and maintenance of the Products/Services. It is anticipated that the contract will utilize a progressive payment schedule based on specified deliverables. Costs are to be broken down by line item and submitted with the RFP. Failure to identify all costs in a manner consistent with the instructions in this RFP is sufficient grounds for disqualification.

g. References – Complete Attachment #4

## **2.9. Proprietary or Confidential Information.**

Any information contained in the Proposal that is proprietary or confidential must be clearly designated. Marking of the entire Proposal or entire sections of the Proposal as proprietary or confidential will not be accepted nor honored. The City/Agency will not accept Proposals where pricing is marked proprietary or confidential, and the Proposal will be rejected. The City/Agency shall to the extent required by the Colorado Open Records Act C.R.S. Sec. 24-72-200.1 et seq. maintain the confidentiality of Vendor's information marked confidential or proprietary. If a request is made to disclose Vendor's proprietary or confidential information, the City/Agency will notify Vendor of the request and the City/Agency's response to such request. If the City/Agency must, as required by law, release such information, any further act seeking non-disclosure shall be the sole responsibility of the Vendor. Failure to so label such materials or failure to timely respond after notice of request for public disclosure has been given shall be deemed a waiver by Vendor of any claim that such materials are exempt from disclosure.

## **2.10. Contract**

The Scope of Work described herein shall be authorized by Contract. The City/Agency

anticipates negotiating the contract terms and conditions with the Vendor selected. The City/Agency reserves the right to make an award without further discussion of the RFP submitted. Therefore, the proposal should be submitted on the most favorable terms that the Vendor could propose. Vendor should be prepared to accept this RFP for incorporation into a contract. Contract negotiations may provide for the incorporation of the Vendor's proposal and/or final revised Scope of Work with a schedule of deliverables and milestones necessary for satisfactory completion of the work.

### **3. SCOPE OF WORK**

The City/Agency desires to find an ECM Suite that provides a single solution that can maintain as much of the existing functionality (see Exhibit A) as possible as well as migrate our existing documents including their associated index values, document associations and annotations. The City/Agency is seeking a new Enterprise Content Management (ECM) suite consisting of:

- Content Management
- Business Process Management (Workflow)
- Capture
- Records Management

The following list is intended to define the scope of the services requested during the length of the contract. There could be other, unidentified services required, however, they will be addressed on an as needed basis and documented through Change Orders.

#### **3.1 Software Solution**

- See Exhibit B-1 for System Functionality Requirements. The City/Agency desires to achieve as much of this functionality as possible. A detailed narrative to Exhibit B-1 and completion of the Summary Checklist (Exhibit B-2) is required.
- If the proposed software requires specific hardware requirements (e.g. server brand, models, configuration, and supporting software), they must be specified within the proposal. Additionally, any known compatibility issues with the application, (for example, a requirement for standalone implementation on a server or a database), must be specified in the proposal. Recommended hardware specifications, such as memory, storage, etc., must be documented in the proposal.
- Proposal should include option for test system.

#### **3.2. Establish Implementation Plan.**

Vendor must provide technical leadership and expertise in establishing overall system architecture (production & test), an implementation plan, migration plan, and installation process for the proposed solution. Specify whether it will be manual installation or via

remote implementation utilities such as Microsoft SMS (System Management Server) to client workstations.

### **3.3. Implementation**

- Design, install, set up, configure and document ECM Solution infrastructure (test & production).
- Provide for the migration of existing documents and associated index values, associations and annotations from existing production environment to the new system. Existing content will need to re-OCR'd to ensure full text functionality.
- Provide and test interfaces for ancillary software systems: Microsoft Exchange, Innoprise, JEMS, ADG, Logistic Systems, and E-Citation. It will be the vendor's responsibility to demonstrate interoperability between the ECM solution and the City/Agency and PD data and management systems listed above.
- Estimate hardware systems and resources load
- Monitor and troubleshoot installation in conjunction with City/Agency IT staff.
- Provide detailed documentation of installation and configuration.
- Describe Testing Methodology and Acceptance Testing Plan to ensure resolution of all identified issues prior to launch.

Specific mutually agreeable criteria for successful operation will need to be established taking into account the City/Agency's requirements and the Vendors software functionality. The selected Vendor will be required to participate with appropriate City/Agency personnel in testing the criteria before the City/Agency will accept the system.

### **3.4. Training.**

Vendor must specify what training is included in the package and any additional training options that are available, including, their cost, location and scope. At a minimum, training materials need to be provided for both system administrator level and end-user level.

### **3.5 Support & Maintenance.**

The Vendor must submit a Maintenance Support Plan for the proposed software, which defines the system maintenance support Vendor will provide. The Maintenance Support Plan will be incorporated into the Contract. Plan should include details related to service levels, response times, and customer notifications regarding product updates. Cost of

annual maintenance must be provided.

#### **4. SELECTION CRITERIA**

##### **4.1 Evaluation.**

Proposals will be evaluated in accordance with this section of the solicitation using the criteria specified below to evaluate each proposal. "Evaluation" as used in this section means comprehensive scrutiny of every aspect (unless specifically excluded by the terms of this section) of the Vendor's proposal including written submissions, discussions, and negotiations, if necessary. The City/Agency will conduct the evaluation of proposals. Award will be made to that Vendor whose proposal contains the combination of those criteria offering the best overall value to the City/Agency and not necessarily to the Vendor who proposes the lowest price or whose proposal scores highest in the technical evaluation. Best value will be determined by a tradeoff analysis of comparative differences in the value of technical merit with differences in price/cost. The City/Agency is more concerned with obtaining superior technical or management features than with making an award at the lowest overall price/cost. However, the City/Agency will not make an award at a significantly higher overall price/cost to achieve slightly superior technical or management performance. Final award is dependent upon funding being approved by City Council/Agency Commissioners. Evaluations will be based on criteria as outlined herein. All proposals will be evaluated using the same criteria and weighting.

#### **Proposal Response Total 1,500 points**

<b>Technical Requirements (§ 3.1, Appendix A)</b>	
<b>General Requirements</b>	<b>100 points</b>
<b>Vendor and Product Characteristics</b>	<b>100 points</b>
<b>Core Content Management Requirements</b>	<b>200 points</b>
<b>Core BPM Requirements</b>	<b>100 points</b>
<b>Records Management</b>	<b>50 points</b>
<b>Content Capture</b>	<b>150 points</b>
<b>Implementation (§ 3.2)</b>	<b>75 points</b>
<b>Implementation Plan (§ 3.3)</b>	<b>125 points</b>
<b>Training (§ 3.4)</b>	<b>100 points</b>
<b>Support &amp; Maintenance (§ 3.5)</b>	<b>100 points</b>

<b>Vendor Qualifications (§ 2.8)</b>	<b>150 points</b>
<b>Cost (§ 2.8(f)); (Appendix C)</b>	<b>200 points</b>
<b>Client References (§ 2.8)</b>	<b>50 points</b>
<b>Interviews &amp; Demonstrations</b>	<b>Total 300 Points</b>
<b>Vendor Interview</b>	<b>100 points</b>
<b>Product Demonstration</b>	<b>200 points</b>

#### **4.2. Interviews & Product Demonstrations.**

The City/Agency will select the top three Vendors after the initial proposal screening to attend an interview & provide a product demonstration before the Project Team. The purpose of this interview will be to allow the Vendor to make a brief presentation, allow City/Agency representatives to ask questions of the Vendors and view a product demonstration. It is anticipated that each Vendor interview, presentation & demo will be limited to a maximum time period of 3-hours, including the question and answer period. Contractors' representatives in attendance at this interview should include the proposed project manager and other key staff member(s) that will be directly involved in the project. Vendors will be advised by letter as to the exact time and location of their interviews.

#### **4.3. Final Selection.**

Based on the outcomes of the procedures described above, the City/Agency representatives will make a final recommendation to the City Council/Agency Commissioners for approval. The final selection is also subject to the terms described in Exhibit D.

**ATTACHMENT 1 - CERTIFICATION OF VENDOR**

PROPOSAL SUBMITTED BY:

Company Name: \_\_\_\_\_

Tax ID: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_

Mailing Address (If different): \_\_\_\_\_

City, State and Zip Code: \_\_\_\_\_

Telephone No: \_\_\_\_\_

I certify that I am affiliated with the above noted company or individual and authorized to enter into a contract for professional services with the City of Sheridan Project regarding the Enterprise Content Management Project as set forth in the Request for Proposal and the attached submission in response to such request. I further certify that the Vendor will be able to comply with the insurance provisions of the City and that the Vendor will obtain all necessary licenses and permits as required by the State of Colorado, Arapahoe County, and the City of Sheridan, or any other lawful authority.

Vendor:

\_\_\_\_\_

(Please Print)

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

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

**ATTACHMENT 2 – Vendor Information**

<b>Required Information</b>	<b>Vendor Answer</b>
Company Name	
Home Office Address	
Colorado Business Address	
Website Address	
Name of Person to be contacted concerning the RFP Title Telephone Number Fax Number Email Address	
Length of time in business	
Gross revenue for the prior fiscal year (in US dollars)	
Percentage of gross revenue generated by implementation of services related to those defined in this RFP	
Total number of clients that have received similar services to those defined in this RFP	
Total number of employees	

**Licensed To Do Business**

Attach to this form, and label appropriately, documentation showing that the Vendor is duly organized and validly existing as a corporation or partnership in good standing, and licensed to do business in the City. If the Vendor is not licensed to do business in the City, then the Vendor must provide a sworn statement that it will take all necessary actions to become so licensed if selected as the Successful Vendor.

**Professional Fee Schedule**

Attach to this form, and label appropriately, your current fee schedule for all professional services mentioned in this RFP or your response.

### ATTACHMENT 3 – PROJECT STAFF INFORMATION

Please duplicate table below as needed and complete the following table for each of the key project staff members (including subcontractors) who will be assisting the City/Agency with the services detailed in this RFP. Include details regarding their professional and technical qualifications, including descriptions of their individual experience with similar projects.

Staff member name	
Position in the company	
Length of time in position	
Project position and responsibilities	
Education	
Certifications	
Previous related work experience	
Related technical skills and Qualifications	

**ATTACHMENT 4 – CLIENT REFERENCES**

Please duplicate the table below as needed and complete the table for each of five (5) client references.

Client Name	
Contact Name	
Title	
Phone Number	
Email Address	
Type of Services Provided	
Services Provided Similar to the City/Agency’s Requirements?	<input type="checkbox"/> Yes – Explain similarities: <input type="checkbox"/> No – Explain differences

## EXHIBIT A

### **EXISTING SOFTWARE ENVIRONMENT:**

American Data Group

Microsoft Active Directory

Windows Server 2008 R2

Windows Server 2012 R2

Microsoft Exchange 2010

Microsoft SQL

Microsoft Office 2010 Standard

Microsoft Office 365 Business

RMS/Logistic Systems

Carbonite – Server Pro Bundle

Drobo Network Attached Storage

FreeNAS

Gigabit Switched Network

WatchGuard Firewall

### **EXISTING SOFTWARE AND DATA LOCATIONS:**

ADG – American Data Group - <http://www.adginc.net/adginc/>

Innoprise – Harris ERP - <http://www.harriserp.com/>

JEMS - Judicial Enforcement Management System -  
<http://www.csdcsystems.com/en/solutions/courts-justice/jems/>

LogiSYS – Logistic Systems - <http://logisys911.com/>

E-Citation – Brazos - <http://www.tylertech.com/solutions-products/brazos-product-suite> -

Windows File Shares

## EXHIBIT B-1

### **Functional Specifications – Itemized Requirements**

The City/Agency desires a solution that can meet as many of the capabilities described below as possible. Prospective vendors must specify how, and to what extent, they satisfy each of the following requirements to be considered for this award. The City/Agency will determine clarity and completeness in the responses to any of the provisions in this RFP. Prospective vendors will be required to answer all requirements questions. In the event requirements questions are not applicable, the vendor must state “Requirement Does Not Apply.” Vendor must limit each requirement response to no more than one page. Failure to respond to all requirements and to describe the method and extent of support addressing each requirement may result in rejection of the proposal as non-responsive. Additionally, Vendors must complete the summary labeled Exhibit B-2.

#### **General requirements (applies to all ECM Modules)**

The modules of this suite must be well integrated to provide synergy between components and to provide a single point for management/control and recovery.

Gen.1. Describe how the management and control of backup and recovery is integrated across the ECM suite.

Gen.2. Describe the functional integration and synergy achieved between the Document Capture, Content Management (CM) module, the Business Process Management (BPM) module, and the Records Management (RM) module.

Gen.3. Describe your archival features related to industry standards and directions.

Gen.4. The metadata repository must be implemented using Microsoft SQL relational database technology. Describe the organization and interfaces to the metadata repository.

Gen.5. The City is seeking a single content repository for the storage of electronic documents, electronic data objects and scanned documents. Describe how the proposed ECM suite meets these criteria.

Gen.6. Describe your software’s complete web browser based interface for all end user functions (only administration functions may require a client installation).

Gen.7. Describe a single user authentication methodology permitting a single-sign-on for all modules. This function must be implemented using Microsoft Active Directory technology.

Gen.8. Describe the Application administered group (role) based user permissions / rights.

## EXHIBIT B-1

Gen.9. Describe the underlying programming language that the solution is developed on (i.e. J2EE, .Net, ASP, PowerBuilder, etc.).

Gen.10. Describe the Application Programming Interfaces that support non-proprietary software development languages for application extensions and integration between applications. (Specify the programming languages supported.)

Gen.11. Describe the Software Development Kits (SDK) that facilitates enterprise application integration.

Gen.12. Describe other software packages or libraries that facilitate configuration and integration.

Gen.13. Describe the tools that facilitate the migration of documents from other document repositories and from network accessible file folders.

Gen.14. Specify your products hardware and software dependencies.

### **Vendor and Product Characteristics**

VPC.1. Describe the scalability of your products to meet growing enterprise level volumes of users, content, workflows.

VPC.2. Describe your customer service technical and administrative support options and structure in terms of hours and days of support coverage, the number of people in your support organization, and onsite support capabilities for the City/Agency installation. Provide metrics of current support over the last two years.

VPC.3. Describe your product documentation and options for personnel in systems support, systems management, application development, workflow development, application administration and end users.

VPC.4. Describe features, services, templates and other materials you provide to facilitate configuration and extension of your products and integration of your products with other products to address unique total solution requirements within an enterprise.

VPC.5. Describe any transaction logging, instrumentation or facilities of your product that permit an enterprise to capture and analyze the frequency of feature and function use, data access characteristics and user activity.

VPC.6. Describe your current number of product customers, established user groups for your products, their objectives, activities and membership.

## EXHIBIT B-1

VPC.7. Describe your current customer base, your industry and technology focus, the number of years you have been providing software of this nature, the evolution of your product suite and future directions.

VPC.8. Describe your strategic alliances with industry-leading hardware and software technology vendors.

VPC.9. Describe any industry standard certifications your products have achieved.

VPC.10. Describe your customer retention characteristics (i.e., percentage of customers continuing to use your products for three or more years)

VPC.11. Describe how you can facilitate support of our current system during system migration.

VPC.12. Describe your project management approach and methodology for this project.

VPC.13. Describe your customer service & ongoing support approach and methodology.

### **Core Content Management Requirements User Experience**

CM.1. Solution offers the full feature set of a client-based solution through a web deployable interface (i.e., rich internet application).

CM.2. Solution provides user-friendly interface allowing users to easily navigate and perform their primary job tasks with little-to-no training.

CM.3. Ability to display the document being indexed in a preview pane during the indexing process.

CM.4. Ability to display all of the associated information about a document alongside the image itself – displaying index values, notes, related documents, revisions, discussion threads, and document history.

CM.5. Ability to search across multiple document classifications, including data from external sources.

CM.6. Solution provides Administrators with the ability to create static and dynamic searches using hidden fields, prompts, and joins with external data.

CM.7. Solution provides ability for search results to be defined to contain items such as static text, defined index values, or values joined from external databases.

## EXHIBIT B-1

CM.8. Solution's search interface accommodates multiple search methods from a single interface. This includes advanced search operators, full text searching, index value searches, searches against defined document types, all file formats, date ranges, etc.

CM.9. Solution provides advanced full text search capabilities that include AND, OR, NOT, LIKE, \*, etc.

CM.10. Solution provides ability to utilize full text searching alongside index value search.

CM.11. Solution offers hit highlighting for content retrieved from full text searching.

CM.12. Solution provides ability for a user to sort search result list.

CM.13. Solution provides ability for users to output search results to Excel, printer, email, or print-friendly format.

CM.14. Solution allows for printing or saving of one or multiple documents from search results.

In the case of exporting or saving the documents, describe functionality available for naming of these documents.

CM.15. Solution provides ability to link disparate applications via equal values.

CM.16. Solution provides ability to link searches to external data via equal values.

### **Metadata**

CM.17. Solution allows for custom metadata fields (index fields) to be applied to repositories (applications).

CM.18. Solution allows for picklists to be associated with metadata fields. Picklists are used to control the values available for selection in a metadata field.

CM.19. Solution supports varchar (string), date, float/currency, and numeric data types.

CM.20. Solution supports an unlimited number of document types.

CM.21. Solution supports modification of applications to add or remove metadata fields after creation.

CM.22. Solution supports update of metadata values for multiple documents at the same time.

**Viewer**

CM.23. Solution includes built-in viewer that allows for rendering of many different document formats in a single interface.

CM.24. Solution viewer does not require additional components to be installed on client hardware.

CM.25. Solution viewer supports annotation functionality (text, lines, redactions, highlights, stamps, sticky notes).

CM.26. Solution viewer supports standard functionality such as rotate, sizing (fit width, fit height, fit window, zoom percentage).

CM.27. Solution viewer supports printing functionality.

CM.28. Solution allows for control as to whether or not documents are printed with annotations.

CM.29. Solution supports annotations to be added via SDK or API.

**Document Management**

CM.30. Solution provides ability to lock documents so other users cannot make modifications or delete document while locked.

CM.31. Solution provides ability to version documents through Check-In and Check-Out functionality.

CM.32. Solution provides ability to associate documents to other documents.

CM.33. Solution can 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.

CM.34. Solution provides ability to cut or copy pages from one document to another (TIFF images) and re-sort pages within a document (TIFF images).

CM.35. Solution provides ability to email documents out of the system.

CM.36. Solution provides ability to copy or move documents from one application to another.

CM.37. Solution provides integration with Microsoft Office products and Windows Explorer, Mozilla, Chrome.

**Input**

- CM.38. Solution supports method for automatic batch-input of documents via metadata flat-files.
- CM.39. Solution supports API input of documents.
- CM.40. Solution supports user input of documents that controls metadata input.
- CM.41. Authentication and Authorization
- CM.42. Solution integrates with Microsoft Active Directory.
- CM.43. Solution supports Single Sign-On (SSO) functionality.
- CM.44. Access to applications is dependent upon LDAP (AD) group membership.
- CM.45. Access to searches is controlled by LDAP (AD) group membership.

**Security Model**

- CM.46. Solution Security model is based on application and search access
- CM.47. Solution supports document level security through the design of searches.
- CM.48. Solution supports security model that controls create/write rights at an application level.
- CM.49. Solution supports security model that controls delete rights at an application level.
- CM.50. Solution supports security model that controls print rights at an application level.
- CM.51. Solution supports security model that controls download rights at an application level.
- CM.52. Solution supports security model that controls lock rights at an application level.
- CM.53. Solution supports security model that controls unlock rights at an application level.
- CM.54. Solution supports security model that controls annotation rights at an application level.

## EXHIBIT B-1

CM.55. Solution supports security model with multiple levels of annotation security.

CM.56. Solution supports granular annotation security model that allows for explicit access to things like redactions, stamps, and text.

CM.57. Solution supports security model that allows for access to create searches.

CM.58. Solution supports security model that controls access to modify document metadata or content.

### **Administration**

CM.59. Solution provides the ability to import and export application configurations to ease migration of settings between environments.

CM.60. System provides a single interface for the configuration and administration of all major system components (for example: application configuration, index value configuration, user groups and rights assignments, storage structure).

CM.61. Solution allows for ease of configuration, in that most administrative tasks can be done by an internal resource as opposed to a third-party software expert.

### **Storage**

CM.62. Solution has the ability to store objects of disparate applications or repositories in separate physical locations.

CM.63. Solution should provide an export mechanism for mass-exporting of content in a nonproprietary format. This should supply both the document and the index values.

CM.64. Solution supports means of migrating objects from one storage location to another.

CM.65. Solution should support system-only access to storage location, users should not require access.

CM.66. Solution supports 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.

CM.67. Solution stores documents in their original, native file formats, not in a proprietary format.

## **Infrastructure**

CM.68. Solution supports MS SQL databases.

CM.69. Solution supports MS Windows based servers.

CM.70. Solution supports virtualized host servers.

CM.71. Solution supports multiple applications or web servers in a load-balanced configuration for redundancy and scalability.

## **Integration**

**CM.72. Solution has SDK or APIs for accessing and managing documents from external programs. All Document Management, Workflow, and Administrative functions are supported.**

**CM.73. Solution allows for custom tools to be built and added to product.**

## **Reporting**

**CM.74. Solution supports built in reporting interface.**

**CM.75. Solution supports custom report creation.**

**CM.76. Solution supports 3rd party reporting solutions such as SQL Reporting.**

**CM.77. Solution tracks user logins/logouts**

**CM.78. Solution tracks when documents are accessed by user.**

**CM.79. Solution tracks when documents are deleted by user.**

**CM.80. Solution tracks when documents are updated/modified by user.**

**CM.81. Solution tracks when document index values are updated/modified by user. Both before and after values are stored.**

**CM.82. Solution tracks when document is printed by user.**

**CM.83. Solution tracks when document is downloaded or emailed by user.**

**CM.84. Solution tracks when annotations are added by user.**

**CM.85. Solution tracks when annotations are updated/modified by user.**

**CM.86. Solution tracks when user executes search.**

## **Core BPM Requirements**

### **User Experience**

**BPM.1. User interface is integrated with the rest of the ECM solution.**

**BPM.2. Solution provides for customized instructions to be displayed within the workflow application, directing the end user on what functionality they can or should execute.**

**BPM.3. Solution offers the full feature set of a client-based solution through a web deployable interface (i.e., rich internet application).**

**BPM.4. Solution supports the ability for a user to lock a process instance when working it in a work (human) queue so other users cannot modify or work the instance.**

### **Functionality**

**BPM.5. Solution allows for custom views into process to find process instances that meet criteria based on metadata or location.**

**BPM.6. Solution allow documents to be added to a workflow in several different ways, including:**

- Document import processing (scanned documents)**
- API**
- E-mail**
- Adding documents already stored within the ECM solution's repository**

**BPM.7. Upon document import, the solution automatically initiates associated workflow processes.**

**BPM.8. Solution allows for ad-hoc routing to events and work (human) queues by users.**

**BPM.9. Solution allows for users to ad-hoc route packages from work (human) queues by users.**

**BPM.10. Solution allows for external events as triggers.**

## **Process Design**

**BPM.11. Solution provides work (human) queues that require user interaction in-process.**

**BPM.12. Solution allows for updates to process flow, rules, or metadata to update and affect inflight process instances.**

**BPM.13. Solution provides configurable workflow business rule events to automatically determine workflow routing.**

**BPM.14. Solution provides for evaluation of rules to identify conflicts or gaps.**

**BPM.15. Solution provides configurable process actions/events.**

**BPM.16. Solutions supports actions or events to be executed when a user locks or starts working a process instance from a work (human) queue.**

**BPM.17. Solution supports actions or events to be executed when a user completes or is done working a process instance from a work (human) queue.**

**BPM.18. Solution provides ability to update metadata of process instance from process event.**

**BPM.19. Solution provides the ability for process instances to be split for parallel processing. This includes splits by Rule, User selection, or static splits. Spawned process instances are also able to split again.**

**BPM.20. Solution provides ability to send static emails from process event.**

**BPM.21. Solution provides ability to send actionable emails from process event.**

**BPM.22. Solution provides the ability to spawn process instance into another process.**

**BPM.23. Solution provides the ability to send process instances from one defined process to another.**

**BPM.24. Solution provides the ability to route process instances from an event to different queues or events in the process.**

**BPM.25. Solution supports multiple start and end events.**

**BPM.26. Solution supports sub-processes.**

## EXHIBIT B-1

**BPM.27. Solution supports timers (or thresholds) to be placed on work (human) queues in order to launch actions, route the process instance, or escalate.**

**BPM.28. Solution supports customizable user interfaces to be created and utilized for the work (human) queues. Different interfaces (or forms) can be written for different queues.**

**BPM.29. Solution supports customizable user interfaces written in Microsoft .NET language(s) for the work (human) queues.**

**BPM.30. Solution provides the ability to develop custom reusable actions/events.**

**BPM.31. Solution allows for milestone tracking, e.g. a process instance must make it to an event in a given time frame if a=1, b=2, etc. These requirements can be enforced throughout the process. Solution should provide ability to force process instances to next stage/section of process if milestone not met.**

**BPM.32. Solution allows changes to the overall workflow, including metadata, decisions, and routing options, while instances are in flight. All changes to the workflow affect inflight instances.**

### **Process Designer**

**BPM.33. The workflow configuration environment is integrated with the rest of the ECM solution.**

**BPM.34. Solution includes an integrated form-generation tool.**

**BPM.35. Solution provides business analyst oriented interface for process design.**

**BPM.36. Solution allows for iterative process design with developers and analysts.**

**BPM.37. Solution designer can import and export process definitions with standard format such as BPMN, XPDL, or BPEL.**

**BPM.38. Solution supports process simulations to determine throughput and bottlenecks.**

### **Integration**

**BPM.39. Solution provides ability for the workflow process to interact directly with database tables, allowing external data received to be used as part of a workflow process.**

## EXHIBIT B-1

**BPM.40. 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.**

**BPM.41. Solution provides ability to update metadata of document in ECM repository from process event.**

**BPM.42. Solution provides ability to delete document in ECM repository from process event.**

**BPM.43. Solution provides ability to add document to ECM repository from process event.**

### **Authentication and Authorization**

**BPM.44. Solution integrates with Microsoft Active Directory.**

**BPM.45. Solution supports Single Sign-On (SSO) functionality.**

**BPM.46. Access to processes is dependent upon LDAP (AD) group membership.**

**BPM.47. Access to queues is dependent upon LDAP (AD) group membership.**

### **Security Model**

**BPM.48. Solution supports security model that controls ability to create process instances at a process level.**

**BPM.49. Solution supports security model that controls ability to delete process instances at a process level.**

**BPM.50. Solution supports security model that controls ability to ad-hoc route process instances to Event or User.**

**BPM.51. Solution supports security model that controls ability to search for process instances.**

**BPM.52. Solution supports security model that controls access to execute predefined search profiles.**

**BPM.53. Solution supports security model that controls ability to lock process instances.**

## EXHIBIT B-1

**BPM.54. Solution supports security model that controls ability to unlock process instances.**

**BPM.55. Solution supports security model that controls ability to view attachments to process instances.**

**BPM.56. Solution supports security model that controls ability to add attachments to process instances.**

**BPM.57. Solution supports security model that controls ability to delete attachments from process instances.**

**BPM.58. Solution supports security model that controls ability to access history of process instances.**

**BPM.59. Solution supports security model that controls ability to add comments to process instances.**

**BPM.60. Solution supports security model that controls ability to view tasks of process instances.**

**BPM.61. Solution supports security model that controls ability to view forms/UIs associated with process instances.**

**BPM.62. Solution supports security model that controls ability to view metadata of process instances.**

### **Infrastructure**

**BPM.63. Solution supports MS SQL databases.**

**BPM.64. Solution supports MS Windows based servers.**

**BPM.65. Solution supports virtualized host servers.**

**BPM.66. Solution supports multiple applications or web servers in a load-balanced configuration for redundancy and scalability.**

### **Integration**

**BPM.67. Solution has SDK or APIs for accessing and managing process instances from external programs.**

## EXHIBIT B-1

**BPM.68. Solution SDK/API supports retrieving process instance by metadata (unique ID, custom metadata value, custom search, etc.).**

**BPM.69. Solution SDK/API supports listing defined searches.**

**BPM.70. Solution SDK/API supports listing defined process definitions.**

**BPM.71. Solution SDK/API supports listing system users.**

**BPM.72. Solution SDK/API supports listing process instances locked by user.**

**BPM.73. Solution SDK/API supports completing or routing process instances.**

**BPM.74. Solution SDK/API supports creating new process instances.**

**BPM.75. Solution SDK/API supports updating process instance metadata values.**

**BPM.76. Solution SDK/API supports listing process definition metadata fields.**

### **Reporting**

**BPM.77. Solution supports built in reporting interface.**

**BPM.78. Solution supports custom report creation.**

**BPM.79. Solution supports 3rd party reporting solutions such as SQL Reporting.**

**BPM.80. Solution supports custom metadata values to be written to reporting database.**

**BPM.81. Solution tracks location of process instances that are in-flight.**

**BPM.82. Solution tracks time in queue, time to completion, user processing time, etc.**

**BPM.83. Solution supports reporting based on user throughput.**

**BPM.84. Solution supports reporting based on process throughput.**

**BPM.85. Solution tracks when events occur for process instance.**

**BPM.86. Solution tracks when routing occur for process instance along with the sending and receiving events or queues.**

**BPM.87. Solution tracks when thresholds/timers are executed.**

**BPM.88. Solution tracks when process instance is locked/unlocked or completed by user.**

**BPM.89. Solution tracks when process instance is created or deleted.**

**BPM.90. Solution tracks when metadata values are updated. Both before and after values are stored.**

## **Records Management Requirements**

### **Functionality**

**RM.1. Solution has the ability for a user to manually declare a document as a record.**

**RM.2. Solution has ability to classify document files as protected or locked in order to prevent modification of the file by any user. For example, this would be used for documents that are subject to regulatory concerns.**

**RM.3. Solution has ability to configure retention for documents according to Colorado State Archive Guideline (trigger dates and retention durations).**

**RM.4. Solution has ability to properly eliminate or dispose of records that exceed their retention periods.**

**RM.5. Solution has ability to retrieve original content file in its original format at any time prior to purge or hard deletion of content file.**

**RM.6. Solution has ability to place legal holds (freeze) on documents or groups of documents, suspending any scheduled deletion (purge) of these documents until the matter is resolved.**

**RM.7. Solution supports manual or rules based enforcement of document cutoff.**

**RM.8. Solution supports multi-stage review of records prior to disposition.**

**RM.9. Solution supports disposition as a batch based process.**

**RM.10. Solution supports linking to Active Directory groups for records management roles (reviewers, approvers, etc.).**

**RM.11. Solution supports the ability to select records and unfreeze/undeclared them. Use case would be for records pertaining to an employee that is rehired or seasonal employees.**

**RM.12. Solution supports auditing and reporting on dispositions, freezes, categories, series, etc.**

## **Content Capture**

### **Infrastructure**

**CC.1. Solution supports Solution supports MS SQL databases.**

**CC.2. Solution supports MS Windows based servers.**

**CC.3. Solution supports virtualized host servers.**

**CC.4. Solution supports multiple applications or web servers in a load-balanced configuration for redundancy and scalability.**

**CC.5. Solution supports distributed capture and isolation of licenses by location and or AD Groups.**

### **Security Model**

**CC.6. Solution provides for administrative access based on AD Group for setting up security for the rest of the security model.**

**CC.7. Solution allows for administrator to turn security on and off.**

**CC.8. Solution supports controlling access to the categories of document being captured by AD Groups.**

**CC.9. Solution supports controlling access to the steps in the capture process so that some users can scan while others can do indexing.**

**CC.10. Solution provides for administrative access based on AD Group for setting up security for the rest of the security model.**

### **Integration**

**CC.11. Solution supports an API that allows for extensions to be built in Microsoft .Net language.**

**CC.12. Solution supports an API, capable of being used by Microsoft .Net languages, that allows for the automation of capture tasks.**

**Administration**

**CC.13. Solution supports centralized administration of all capture processes with access controlled by AD Group membership.**

**Functionality**

**CC.14. Solution supports distributed capture.**

**CC.15. Ability to drag/drop pages to re-sort pages within documents or move pages from one document to another.**

**CC.16. Ability to use “sticky” fields to remember previous index values used.**

**CC.17. Solution supports both scanning of paper documents and the importing of electronic format documents in various file formats (TIFF, pdf, doc/docx, xls/xlsx, ppt/pptx, etc).**

**CC.18. Solution supports the automated importing of documents using an index file with pointers to documents.**

**CC.19. Solution supports the polling of a directory structure to import documents using the names of the folders and portions of the file name as index fields in the documents.**

**CC.20. Solution supports the use of image cleanup and enhancement technology to allow for improving image quality and resolution during the capture process. (i.e. despeckle, deskew, VRS, etc)**

**CC.21. Solution supports batch processing & document separation using Patch Codes, Bar Codes, Fixed Page Count, and Manual.**

**CC.22. Solution supports metadata field definitions that can be associated at the batch and or document level.**

**CC.23. Solution supports use of required index fields, data validation to external databases, and database lookups during the document indexing process.**

**CC.24. Solution supports zonal OCR reading for index fields.**

**CC.25. Solution supports Full Text OCR conversion of scanned documents.**

**CC.26. Solution supports capture of electronic document capture as well as scanning of paper.**

## EXHIBIT B-1

**CC.27. Solution supports import of multiple documents/files at a time from Windows file folders with the ability to allow users to delete the local copy upon successful import.**

**CC.28. Solution supports auto indexing of imported content based on document metadata such as file name, date created, etc.**

**CC.29. Supports integration with Microsoft Office Suite to allow users to check-in/out content directly from within the Office product.**

**CC.30. Solution supports the development of additional release options using a provided API that can be implemented using Microsoft .Net languages.**

**CC.31. Solution provides full auditing of the actions taken by each user during the capture process including all facets of the process including deletion of documents and batches of documents.**

### **Reporting**

**CC.32. Solution provides built in reporting.**

**CC.33. Solution supports use of 3rd party reporting tool such as SQL Reporting Services.**

**CC.34. Solution supports reporting on all facets of the Capture process by user and type of activity.**

### **Software Maintenance:**

**SM.1. Are product upgrades seamless to the client and server. If not, describe what customizations or considerations must occur prior to a product upgrade.**

**SM.2. How is any customization effected by upgrades?**

**SM.3. Describe the general processes for issuing maintenance/fixes or upgrades.**

**SM.4. Describe any forward/backward compatibility.**

**SM.5. Explain how you respond to operating system, application and security patches.**

**SM.6. Provide costs for maintenance and upgrades of the ECM solution.**

EXHIBIT B-2

**Summarized Functionality**

Indicate (with "X") degree to which solution meets requirements

<b>Question</b>	<b>Fully Meets</b>	<b>Partially Meets</b>	<b>Does Not Meet</b>	<b>Not Applicable</b>
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CM. 83				
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BPM. 1				
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<b>Question</b>	<b>Fully Meets</b>	<b>Partially Meets</b>	<b>Does Not Meet</b>	<b>Not Applicable</b>
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<b>Question</b>	<b>Fully Meets</b>	<b>Partially Meets</b>	<b>Does Not Meet</b>	<b>Not Applicable</b>
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BPM. 81				
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<b>Question</b>	<b>Fully Meets</b>	<b>Partially Meets</b>	<b>Does Not Meet</b>	<b>Not Applicable</b>
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CC. 34				
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SM. 6				

## EXHIBIT C

### COST MODEL

NA or 0s are not acceptable, unless (if applicable) is noted

#### Cost Estimate

<b>Enterprise Management System Costs</b>	
Software/License, Warranty (Production System)	\$
Software/License, Warranty (Test System)	\$
Consultation Services (Installation, configuration, travel, etc.)	\$
Training Cost	\$
Other ( <i>If Applicable</i> ): [Describe]	\$
<b>Total:</b>	<b>\$</b>

#### Support & Maintenance Costs

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Maintenance (Prod)	\$	\$	\$	\$	\$	\$
Maintenance (Test)	\$	\$	\$	\$	\$	\$
<b>Total:</b>	\$	\$	\$	\$	\$	\$

Total of Enterprise Management cost plus maintenance for 6 years = Evaluated Cost

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Signature

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Name

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Vendor's Name

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Date