

**Request for Proposal Number *RFP-2014-0219***

**For**

***Enterprise Content Management System***

**By the**

**Washington State**

**Department of Transportation**

**Released on *February 19, 2014***

***Due: April 1, 2014 10:00 AM PST***

The RFP Coordinator is the **SOLE POINT OF CONTACT** at WSDOT for this procurement. All communication between the bidding Vendors and WSDOT shall be with the RFP Coordinator.

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# SECTION 1

## 1.1 INTRODUCTION

The Washington State Department of Transportation (WSDOT) is seeking an Enterprise Content Management (ECM) suite consisting of:

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

The ECM suite will be a central component of the agencies Electronic Document Workflow Management System. Vendors of individual modules are encouraged to form Vendor teams to provide a complete integrated solution. Vendors of individual modules may participate on more than one team.

## 1.2 Background

The agencies current ECM applications are built on the Oracle 10gR3 platform, which is moving to end of life for support, and Kofax Ascent Capture 9.5. Oracle's current release for the ECM/IPM platform (11g) includes a foundational change in its software architecture. Oracle's 10g and its previous versions were developed to run as Windows NT services. With 11g, Oracle has redeveloped their ECM offering on Oracle's JAVA platform. Because of the vast changes to the product offering in 11g moving from Oracle 10g to Oracle 11g would be a complete migration and reimplemention rather than a typical product upgrade. Migrating to the new software will require the complete redevelopment of our current workflow and imaging applications. Because of the investment required to migrate to the Oracle ECM/IPM 11g product stack, WSDOT would like to evaluate other industry leading ECM suites to meet our document imaging and business process management needs.

## 1.3 Acquisition Authority

Chapter 39.26 and Chapter 43.41A of the Revised Code of Washington (RCW) as amended establishes the Washington State Technology Services Board (TSB). While the TSB does not purchase for agencies, it regulates the manner in which state agencies may acquire information technology equipment, software, and services. WSDOT issues this Request for Proposal (RFP) acting under the delegated authority of the Department of Enterprise Services and consistent with the policies and standards of the TSB.

## 1.4 Purpose

WSDOT is initiating this solicitation to acquire *an ECM system* to replace the agencies current Oracle IPM 10g system. The ECM suite must consolidate all significant documents, records, files, and correspondence in a single repository to provide the ability to quickly and easily locate and manage this data. The winning proposal must have the capability, versatility and capacity to address all image, document, business process management, capture and records management requirements with a single manageable implementation.

## 1.5 Contract Term

It is anticipated that the initial term of the resulting Contract will be *1 year* commencing on the effective date of the Contract. WSDOT, at its sole discretion, may initiate extending the Contract for up to 5 (*five*) additional one- (1) year terms.

## 1.6 Definitions

“**Acceptable Alternative**” shall mean a Vendor-proposed option that WSDOT considers satisfactory in meeting a Mandatory requirement. WSDOT, at its sole discretion, will determine if the proposed alternative meets the intent of the original Mandatory requirement.

“**Acceptance Testing**” shall mean the process for ascertaining that the Product meets the standards set forth in the section titled **Technical Requirements**, prior to Acceptance by WSDOT.

“**Apparently Successful Vendor**” (**ASV**) shall mean the Vendor(s) who: (1) meets all the requirements of this RFP, **and** (2) receives the highest number of total points.

“**BPM**” shall mean Business Process Management. This refers to the technology used to manage a set of activities which organizations can perform to either optimize their business processes or adapt them to new organizational needs. This is also referred to as “Workflow”.

“**Business Days**” or “**Business Hours**” shall mean Monday through Friday, 8 AM to 5 PM, local time in Olympia, Washington, excluding Washington State holidays.

“**CM**” shall mean Content Management. This is a set of processes and technologies supporting the evolutionary lifecycle of digital content.

“**Contract**” shall mean the RFP, the Response, Contract document, all schedules and exhibits, all statements of work and all amendments awarded pursuant to this RFP.

“**Delivery Date**” shall mean the date by which the ordered *Enterprise Content Management System* software must be delivered.

“**ECM**” shall mean Enterprise Content Management. This is the technology used to capture, manage, store, preserve and deliver content and documents related to organizational processes.

“**Installation Date**” shall mean the date by which all Products ordered as a result of this RFP shall be in place, in good working order, and ready for Acceptance Testing.

“**License**” shall mean the right granted to Purchaser to use the Software that is the subject of this RFP.

“**Mandatory**” or “**(M)**” shall mean the Vendor must comply with the requirement, and the Response will be evaluated on a pass/fail basis.

“**Mandatory Scored**” or “**(MS)**” shall mean the Vendor must comply with the requirement, and the Response will be scored.

“**Products**” shall mean Software and Services defined in this section.

“**RCW**” means the Revised Code of Washington.

“**Response**” shall mean the written proposal submitted by Vendor to WSDOT in accordance with this RFP. The Response shall include all written material submitted by Vendor as of the date set forth in the RFP schedule or as further requested by WSDOT.

“**RFP**” shall mean the Request for Proposal.

**“Services”** shall mean those Services provided by Vendor relating to the solicitation, deployment, development and/or implementation activities that are appropriate to the scope of this solicitation.

**“State”** shall mean the state of Washington.

**“Subcontractor”** shall mean one not in the employment of Vendor, who is performing all or part of the Services under the resulting Contract under a separate contract with Vendor. The term “Subcontractor” means Subcontractor(s) of any tier.

**“WSDOT”** shall mean the Washington State Department of Transportation.

**“Vendor”** shall mean a company, organization, or entity submitting a Response to this RFP.

## **1.7 Award**

Only one (1) ASV will be identified via this procurement. WSDOT intends to award only one (1) Contract.

## **1.8 Funding**

Any contract awarded as a result of this procurement is contingent upon the availability of funding.

## SECTION 2

### 2 SCHEDULE

This RFP is being issued under the following Schedule. The Response deadlines are mandatory and non-negotiable. Failure to meet any of the required deadlines will result in disqualification from participation. All times are local time, Olympia, WA.

#### RFP PROCUREMENT SCHEDULE

Activity	Due Dates	Time
RFP Issued (post to WEBS)	February 19, 2014	
Vendor's Written First Round of Questions Due	February 26, 2014	10:00 AM
Written Responses to Vendors Questions (post to WEBS)	March 4, 2014	4:00 PM
Vendor's Written Second Round of Questions Due	March 11, 2014	10:00 AM
Written Responses to Vendors Questions (post to WEBS)	March 18, 2014	4:00 PM
Proposals Due	April 1, 2014	10:00 AM
Evaluation of Proposals	April 2 -April 8, 2014	
Notification to Top Vendors for On-Site Demonstrations	April 8, 2014	
Vendors On-Site Demonstrations (exact date and time TBD)	April 14-16, 2014	
Notification of Apparently Successful Vendor	April 21, 2014	4:00 PM
Contract Start Date (estimated)	May 12, 2014	

Times given are for Pacific Standard Time (PST) or Pacific Daylight Time (PDT), as appropriate.

**WSDOT reserves the right to revise the above schedule.**

## SECTION 3

### ADMINISTRATIVE REQUIREMENTS

COMPLIANCE WITH ALL SECTIONS OF SECTION 3 IS REQUIRED. FAILURE TO FOLLOW THESE ADMINISTRATIVE REQUIREMENTS MAY RESULT IN IMMEDIATE DISQUALIFICATION.

#### 3.1 RFP Coordinator (Proper Communication)

Upon release of this RFP, all Vendor communications concerning this solicitation must be directed to the RFP Coordinator who is the **SOLE POINT OF CONTACT** and listed below. Unauthorized contact regarding this solicitation with other state employees involved with the solicitation may result in disqualification. All oral communications will be considered unofficial and non-binding on WSDOT. Vendors should rely only on written statements issued by the RFP Coordinator.

**RFP Coordinator:**

Tammy Cash  
[cashta@wsdot.wa.gov](mailto:cashta@wsdot.wa.gov)  
360-705-7547

Any other direct or indirect communication with employees or (sub) contractors of our organization regarding this RFP will be treated as misconduct and may result in your response being disqualified.

All RFP Submittals must be addressed to:

If using US Postal Services:  
WSDOT  
Administrative Contracts Office  
Attn: Tammy Cash  
PO Box 47408, 2B1  
Olympia, WA 98504-7408

If using UPS, FedEx, etc.:  
WSDOT  
Administrative Contracts Office  
Attn: Tammy Cash  
310 Maple Park Ave SE, 2B1  
Olympia, WA 98504

#### 3.2 (M) Vendor Questions

Two rounds of Vendor questions regarding this RFP will be allowed consistent with the respective dates and times specified in the *Schedule* (Section 2). All Vendor questions must be submitted in writing (e-mail acceptable) to the RFP Coordinator. Official written WSDOT responses will be provided for Vendor questions received by the respective deadlines. Written responses to Vendor questions will be posted on WEBS and WSDOT's web site at: <http://www.wsdot.wa.gov/Business/Contracts/default.htm>

**First-Round** – First-Round written questions are due to the RFP Coordinator no later than by the First-Round deadline for Vendor Questions and Comments in the *Schedule* (Section 2). WSDOT intends to provide an official written response for First-Round Vendor questions received by this deadline as outlined in the *Schedule* (Section 2).

**Second-Round** – Second-Round written questions are due to the RFP Coordinator no later than the Second-Round deadline for Vendor Questions and Comments in the *Schedule* (Section 2). WSDOT intends to provide an official written response for Second-Round Vendor questions received by this deadline as outlined in the *Schedule* (Section 2).

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 WSDOT web site will be considered official and binding.

### 3.3 (M) Response Contents

The Response should be submitted in two (2) separate volumes containing what is listed below. This separation of documentation protects the integrity of the State's evaluation process. Volumes may be a binder. No mention of the cost response may be made in Volume 1.

Volume 1: One Original and 5 Exact Duplicates

- Vendor's submittal letter explicitly acknowledging receipt of all RFP revisions issued.
- The Response to the items set forth in Section 4, Vendor Requirements
- The Response to the items set forth in Section 5, Technical Requirements

Volume 2: One Original

- The Responses to the items set forth in Section 6, Financial Requirements
- A completed *Price Quotation* (Appendix E)
- Vendor's signed and completed *Certifications and Assurances*(Appendix A)
- Vendor's exceptions and/or proposed revisions to the Contract
- Vendor's *MWBE Certification* (Appendix C) – ***if applicable***
- Completed *Vendor Reference Form* (Appendix F)

Failure to provide any requested information in the prescribed format may result in disqualification of the Vendor.

### 3.4 (M) Number of Response Copies Required

WSDOT prefers that vendors submit the following number of copies of each volume of their response.

One Original and Five (5) duplicate hard copies (6 total) and 1 CDROM of Response Volume 1

One Original hard copies and 1 CDROM of Response Volume 2

1 copy of manuals, brochures, or other printed materials, if submitted.

#### **Response Requirements**

The following requirements are mandatory in responding to this RFP. Failure to follow these requirements may result in Vendor disqualification.

- 3.4.1 The signature block in Appendix A, *Certifications and Assurances*, must be signed by a representative authorized to bind the company to the offer.
- 3.4.2 Vendor must respond to each question/requirement contained in Sections 4 and 5 of this RFP, and complete the Cost Model; Appendix E. Failure to comply with any applicable item may result in the Response being disqualified.
- 3.4.3 Each of the RFP requirements are numbered and titled. In each requirement title is a designation indicating how the Response will be evaluated:

- a) For Mandatory requirements (**M**), the Response must always indicate explicitly whether or not the Vendor's proposed product and services meet the requirement. A statement, "(Vendor Name) has read, understands, and fully complies with this requirement" is acceptable, along with any additional information requested.
  - b) For Mandatory Scored (**MS**) items, the Response must always indicate explicitly whether or not the Vendor's proposed Product and services meet the requirement, and describe how the proposed Vendor's Product and services will accomplish each requirement or are desirable as it relates to the service(s) proposed.
- 3.4.4 Responses must be prepared on standard 8.5 x 11-inch loose-leaf paper and placed in three-ring binders with tabs separating the major sections of the Response. Pages must be numbered consecutively within each section of the Response showing Response section number and page number.
- 3.4.5 Include Vendor name and the name, address, e-mail, facsimile and telephone number of the Vendor's authorized representative at the beginning of each volume of the Response.
- 3.4.6 Figures and tables must be numbered and referenced in the text of the Response by that number. Foldouts containing charts, spreadsheets, and oversize exhibits are permissible.
- 3.4.7 Response prices must be submitted using the Cost Model, Appendix E. Separate price quotes attached to this document or submitted in some other form will not be accepted as a valid Response.
- 3.4.8 The Response, as well as any reference materials presented by Vendor, must be written in English and Vendor must provide all rates in United States dollars.
- 3.4.9 *CDROM Version* must be in [Word, Excel, Visio, or PDF]. Other file formats may be accepted with prior approval of the RFP Coordinator.

### 3.5 Multiple Responses

Multiple Responses from a single Vendor will be permissible; however, each Response must conform fully to the requirements for Response submission. Each such Response must be submitted separately and labeled as Response #1, Response #2, etc. on each page included in the Response.

### 3.6 (M) Delivery of Responses

It is mandatory that Vendors submit all copies of their Responses by the date and time in Section 2, *Schedule*, to the RFP Coordinator at the address specified in *RFP Coordinator* (Section 3).

Responses must be received at WSDOT by the date and time specified. Responses arriving after the deadline will be returned unopened to their senders. A postmark by that time is not acceptable. **Responses sent by facsimile or e-mail will not be accepted.**

Vendors assume all responsibility for the method of delivery and for any delay in the delivery of their Response.

### 3.7 Cost of Response Preparation

WSDOT will not reimburse Vendors for any costs associated with preparing or presenting a Response to this RFP.

### **3.8 Response Property of WSDOT**

All materials submitted in response to this solicitation become the property of WSDOT, unless received after the deadline in which case the Response is returned to the sender. WSDOT has the right to use any of the ideas presented in any material offered. Selection or rejection of a Response does not affect this right.

### **3.9 Proprietary or Confidential Information**

Any information contained in the Response that is proprietary or confidential must be clearly designated. Marking of the entire Response or entire sections of the Response as proprietary or confidential will not be accepted nor honored. WSDOT will not accept Responses where pricing is marked proprietary or confidential, and the Response will be rejected.

To the extent consistent with chapter 42.56 RCW, the Public Records Act, WSDOT shall maintain the confidentiality of Vendor's information marked confidential or proprietary. If a request is made to view Vendor's proprietary information, WSDOT will notify Vendor of the request and of the date that the records will be released to the requester unless Vendor obtains a court order enjoining that disclosure. If Vendor fails to obtain the court order enjoining disclosure, WSDOT will release the requested information on the date specified.

The State's sole responsibility shall be limited to maintaining the above data in a secure area and to notify Vendor of any request(s) for disclosure for so long as WSDOT retains Vendor's information in WSDOT records. 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.

### **3.10 Waive Minor Administrative Irregularities**

WSDOT reserves the right to waive minor administrative irregularities contained in any Response. Additionally, WSDOT reserves the right, at its sole option, to make corrections to Vendors' Responses when an obvious arithmetical error has been made in the price quotation. Vendors will not be allowed to make changes to their quoted price after the Response submission deadline.

### **3.11 Errors in Response**

Vendors are liable for all errors or omissions contained in their Responses. Vendors will not be allowed to alter Response documents after the deadline for Response submission. WSDOT is not liable for any errors in Responses. WSDOT reserves the right to contact Vendor for clarification of Response contents.

In those cases where it is unclear to what extent a requirement or price has been addressed, the evaluation team(s) may, at their discretion and acting through the RFP Coordinator, contact a Vendor to clarify specific points in the submitted Response. However, under no circumstances will the responding Vendor be allowed to make changes to the proposed items after the deadline stated for receipt of Responses.

### **3.12 Amendments/Addenda**

WSDOT reserves the right to change the *Schedule* or other portions of this RFP at any time. WSDOT may correct errors in the solicitation document identified by WSDOT or a Vendor. Any changes or corrections will be by one or more written amendment(s), dated, and attached to or incorporated in and made a part of this solicitation document. All changes must be authorized and issued in writing

by the RFP Coordinator. If there is any conflict between amendments, or between an amendment and the RFP, whichever document was issued last in time shall be controlling.

In the event that it is necessary to revise or correct any portion of the RFP, a notice will be posted on the procurement web site at: <https://fortress.wa.gov/ga/webs/>.

### **3.13 Right to Cancel**

With respect to all or part of this RFP, WSDOT reserves the right to cancel or reissue at any time without obligation or liability.

### **3.14 Contract Requirements**

To be responsive, Vendors must indicate a willingness to enter into a Contract substantially the same as the Contract in Appendix B, by signing the *Certifications and Assurances* located in Appendix A. Any specific areas of dispute with the attached terms and conditions must be identified in the Response and may, at the sole discretion of WSDOT, be grounds for disqualification from further consideration in the award of a Contract.

Under no circumstances is a Vendor to submit their own standard contract terms and conditions as a response to this solicitation. Instead, Vendor must review and identify the language in Appendix B that Vendor finds problematic, state the issue, and propose the language or contract modification Vendor is requesting. All of Vendor's exceptions to the contract terms and conditions in Appendix B must be submitted within the Response, attached to Appendix A, *Certification and Assurances*. WSDOT expects the final Contract signed by the ASV to be substantially the same as the contract located in Appendix B.

The foregoing should not be interpreted to prohibit either party from proposing additional contract terms and conditions during negotiation of the final Contract.

The ASV will be expected to execute the Contract within ten (10) Business Days of its receipt of the final Contract. If the selected Vendor fails to sign the Contract within the allotted ten (10) days' time frame, WSDOT may elect to cancel the award, and award the Contract to the next ranked Vendor, or cancel or reissue this solicitation (see Subsection 3.13, *Right to Cancel*). Vendor's submission of a Response to this solicitation constitutes acceptance of these contract requirements.

### **3.15 Incorporation of Documents into Contract**

This solicitation document and the Response will be incorporated into any resulting Contract.

### **3.16 No Costs or Charges**

No costs or charges under the proposed *Contract* may be incurred before the *Contract* is fully executed.

### **3.17 Minority and Women's Business Enterprises (MWBE)**

WSDOT strongly encourages participation of minority and women businesses. Vendors who are MWBE certified or intend on using MWBE certified Subcontractors are encouraged to identify the participating firm on Appendix C. No minimum level of MWBE participation is required as a condition of receiving an award and no preference will be included in the evaluation of Responses in accordance with chapter 39 RCW. For questions regarding the above, contact Office of MWBE at (360) 753-9693.

### **3.18 No Obligation to Contract/Buy**

WSDOT reserves the right to refrain from Contracting with any and all Vendors. Neither the release of this solicitation document nor the execution of a resulting *Contract* obligates WSDOT to make any purchases.

### **3.19 Non-Endorsement and Publicity**

In selecting a Vendor to supply Software and Maintenance to the state of Washington, the State is neither endorsing Vendor's Products, nor suggesting that they are the best or only solution to the State's needs. By submitting a Response, Vendor agrees to make no reference to WSDOT or the state of Washington in any literature, promotional material, brochures, sales presentation or the like, regardless of method of distribution, without the prior review and express written consent of WSDOT.

### **3.20 Withdrawal of Response**

Vendors may withdraw a Response that has been submitted at any time up to the Response due date and time (identified on the *Schedule*, Section 2). To accomplish Response withdrawal, a written request signed by an authorized representative of Vendor must be submitted to the RFP Coordinator. After withdrawing a previously submitted Response, Vendor may submit another Response at any time up to the Response submission deadline.

### **3.21 Optional Vendor Debriefing**

Only Vendors who submit a Response may request an optional debriefing conference to discuss the evaluation of their Response. The request for a debriefing conference must be made in writing and received by the RFP Coordinator within (3) calendar days after notification of the Apparent Successful Vendor. The request must be in writing (fax or e-mail acceptable) addressed to the RFP Coordinator.

The optional debriefing will not include any comparison between the Response and any other Responses submitted. However, WSDOT will discuss the factors considered in the evaluation of the Vendor requesting the Response and address questions and concerns about Vendor's performance with regard to the solicitation requirements.

### **3.22 Protest Procedures**

Vendors who have submitted a Response to this solicitation and have had a debriefing conference may make protests. Upon completion of the debriefing conference, a Vendor is allowed five (5) Business Days to file a formal protest of the solicitation with the RFP Coordinator. Further information regarding the grounds for, filing and resolution of protests is contained in Appendix D, *Protest Procedures*.

### **3.23 Vendor Complaints**

Vendors with unresolved issues or concerns that were not addressed or resolved during the question and answer period of the solicitation may make complaints. Vendor complaints must be received, in writing, by the RFP Coordinator not less than five (5) business days prior to the deadline for Responses. Further information regarding the grounds for, filing and resolution of complaints is contained in the Complaint and Protest Procedures (Appendix D)

### **3.24 Electronic Availability**

The contents of this RFP and any amendments/addenda and written answers to questions will be available on the WEBS site at: <https://fortress.wa.gov/ga/webs/home.html>

The document(s) will be available in Portable Document File (pdf) format.

## SECTION 4

### VENDOR REQUIREMENTS

Respond to the following requirements per the instructions in Section 3. Always indicate explicitly whether or not the Vendor's proposed Services meet the requirement. A statement, "(Vendor Name) has read, understands, and fully complies with this requirement" is acceptable, along with any additional information requested.

#### 4.1 (M) Letter of Submittal

The Letter of Submittal shall be on the Vendor's official business letterhead and must be signed and dated by a person authorized to legally bind the Vendor to a contractual relationship. The Letter of Submittal must include the following specific items in the order indicated below:

1. Vendor's name
2. Name and title of the Vendor's authorized representative
3. Address
4. Telephone number
5. Email Address
6. Federal Tax Identification Number (TIN).
7. Washington Uniform Business Identification (UBI) Number

The Vendor must provide its UBI number. A UBI number is a nine-digit number that registers businesses with several state agencies and allows businesses to conduct activities in Washington State. Please visit the Washington State Department of Revenue's website below for more information on business registration requirements.

<http://dor.wa.gov/Content/DoingBusiness/RegisterMyBusiness/Default.asp>

If you do not have a UBI number, you must indicate in your response to this section "<Vendor Name> confirms that we will register for a UBI number within ten (10) business days of notification of contract award."

8. Statewide Vendor Registration

The Apparently Successful Vendor must agree to register with the Washington State Office of Financial Management (OFM) as a Statewide Vendor SWV) within ten (10) Business Days of notification of contract award. If you have a SWV Number, you must provide it in your Response to this section. If you do not have SWV number, you must indicate in your Response to this section "<Vendor Name> confirms that we will register for a Statewide Vendor Number within ten (10) Business Days of notification of contract award"

9. Company Officers

The Vendor must provide the names, addresses, and telephone numbers of principal officers (President, Vice President, Treasurer, Chairperson of the Board of Directors, etc.).

State the name, the title or position, address, email address, and telephone numbers of the individual who would have primary responsibility for the project resulting from this RFP.

10. Legal Status

The Vendor must specify its legal status (sole proprietorship, partnership, corporation, etc.) and the year the entity was organized to do business, as the entity now exists.

11. Previous State Contracts

If the Vendor (or any party named previously) contracted with the State of Washington during the past 24 months, the Vendor must indicate the name of the state agency and contract number with a description of the work (or provide other information available to identify the contract).

12. Contract Terminations

If the Vendor or any of their subcontractor(s) has had a contract terminated for default in the last five (5) years, describe such incident. Termination for default is defined as notice to stop performance due to the Vendor's non-performance or poor performance and the issue of performance was either (a) not litigated due to inaction on the part of the Vendor; or (b) litigated and such litigation determined that the Vendor was in default.

Submit full details of the terms for default. Identify the other party, its name, address, and telephone number. Present the Vendor's position on the matter. WSDOT will evaluate the facts and may, at its sole discretion, reject the proposal on the grounds of the experience.

If the Vendor or any of their subcontractor(s) has experienced no such termination for default in the past five (5) years, indicate accordingly.

13. Insurance

Each Vendor must indicate in the submittal letter and as a condition of contract award, that they will provide proof of insurance from the Vendor's insurance carrier, outlining the extent of the Vendor's liability coverage as required in the lease agreement.

14. Vendor must state specifically whether or not their Response contains any Proprietary or Confidential information and identify where the Proprietary or Confidential information is in Vendor's response. See Section 3.9 in this solicitation document.

15. Vendor may include any other topics, statements or information in the Letter of Submittal that it deems appropriate and wishes to convey to WSDOT.

16. A statement indicating if the Vendor is a Veteran's own firm or Small Business.

## 4.2 (M) Reseller Vendor Certifications

Vendor must provide a Letter from the manufacture of its status as an authorized product reseller in the Response. If this reseller status is discontinued, Vendor may be disqualified. Vendor must maintain its reseller status for the term and any renewals of the resulting Contract.

## 4.3 (M) Staff Certifications

**Certified Installers:** Provide a complete description of the certification required, including but not limited to, date of issuance, date of expiration, to whom issued, for each of the key staff or Subcontractors who will be assigned to the project.

*If vendor allows WSDOT to install, please state how you will train or certify and a schedule for training or certification. Also include the number of WSDOT staff you will train or certify. If there is a cost for this training or certification, please state on the cost model, Appendix E.*

#### 4.4 (M) Vendor Account

Vendor must designate an account manager who will be the principal point of contact for the WSDOT Contract Administrator for the duration of the Contract. Vendor's account manager will serve as the focal point for business matters and administrative activities.

The Vendor Account Manager information is:

Vendor Account Manager:

Address:

Phone:

Fax:

E-mail:

#### 4.5 (MS) Client References (50 Points)

Provide two (2) completed *References Forms* (Appendix F) from customers whom similar products/services have been provided within the last four years. With the submission of the requested *Reference Forms* the Vendor automatically grants permission to WSDOT to contact the references. WSDOT furthermore reserves the right to contact other business clients referenced in the Vendor's promotional materials or identified through WSDOT resources. Do not include current WSDOT staff as references

#### 4.6 (M) Regional Support Location

Upon notification by WSDOT, responding Vendors or their Subcontractor must be able to be onsite within 24 hours at the Olympia, Washington location. The Response must provide the address, phone number, e-mail contact and FAX number of the place of business that meets this requirement. Vendor must acknowledge compliance with this requirement.

#### 4.7 (M) Use of Subcontractors

WSDOT will accept Responses that include third party involvement only if the Vendor submitting the Response agrees to take complete responsibility for all actions of such Subcontractors. Vendors must state whether Subcontractors are/are not being used, and if they are being used, Vendor must list them in response to this subsection. WSDOT reserves the right to approve or reject any and all Subcontractors that Vendor proposes. Any Subcontractors engaged after award of the Contract must be pre-approved, in writing, by WSDOT.

Specific restrictions apply to contracting with current or former state employees pursuant to chapter 42.52 RCW. Vendors should familiarize themselves with the requirements prior to submitting a Response.

## SECTION 5

### Technical Requirements

All technical requirements for the products and/or services that are the subject of this RFP must be included here. The omission of any important requirement may result in a Vendor including a product and/or services that will not meet the State's needs while the inclusion of excessive requirements may restrict competition unnecessarily, cause responses to be overly expensive, or even eliminate all competitors.

Respond to the following requirements per the instructions in Section 3. Additionally, please remember that for Mandatory (M), Mandatory Scored (MS); always indicate explicitly whether or not the Vendor's proposed Services meet the requirement. A statement, "(Vendor Name) has read, understands, and fully complies with this requirement" is acceptable, along with any additional information requested.

## 5.1 Software Requirements

The Washington State Department of Transportation (WSDOT) is seeking an Enterprise Content Management (ECM) suite consisting of:

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

The ECM suite will be a central component of the agencies Electronic Document Workflow Management System. Vendors of individual modules are encouraged to form Vendor teams to provide a complete integrated solution. Vendors of individual modules may participate on more than one team.

## 5.2 Functional Specifications – Itemized Requirements

Prospective vendors must specify how, and to what extent, they satisfy each of the following requirements to be considered for this award. WSDOT will determine clarity and completeness in the responses to any of the provisions in this RFP. WSDOT reserves the right to require clarification or request supporting documentation of any and all requirements questions. 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.

### 5.2.1 (MS) General requirements (apply to all ECM Modules) (100 Points)

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. WSDOT 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. The ability of the metadata repository and each of the ECM modules to accommodate the application of multiple controlled vocabulary lists (CVL) for the purposes of information aggregation and retrieval.
- Gen.7. Describe your software's complete web browser based interface for all end user functions (only administration functions may require a client installation).

- Gen.8. 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.9. Describe the Application administered group (role) based user permissions / rights.
- Gen.10. Describe the underlying programming language that the solution is developed on (i.e. J2EE, .Net, ASP, PowerBuilder, etc.).
- Gen.11. 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.12. Describe the Software Development Kits (SDK) that facilitates enterprise application integration.
- Gen.13. Describe other software packages or libraries that facilitate configuration and integration.
- Gen.14. Describe the tools that facilitate the migration of documents from other document repositories and from network accessible file folders.
- Gen.15. Describe any facilities, interfaces or methodologies for interfacing with a Microsoft SQL Server data warehouse.
- Gen.16. Specify your products hardware and software dependencies.

### **5.2.2 (MS) Vendor and Product Characteristics (100 Points)**

- 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 an Olympia Washington 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.
- 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. How many employees do you have assigned to your ECM Suite related tasks?
- VPC.12. What was your ECM 2012 R&D spending
- VPC.13. What was your 2012 Cash/equivalents
- VPC.14. What was your 2012 Market Capitalization

- VPC.15. Describe how you can facilitate support of our current system during system migration
- VPC.16. Describe any opportunities for WSDOT to participate in the proposed solutions future product development
- VPC.17. Describe your methodology for partnering with the customers of your proposed solution including the following: configuration panel membership, frequency of meetings, method of requesting and tracking features, feature delivery schedules, etc.

### 5.2.3 (MS) Core Content Management Requirements (100 Points)

#### 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. Users can easily navigate and perform their primary job tasks with little-to-no training.
- CM.3. Client provides the capabilities for users themselves to personalize the user experience (e.g., personalized home page that opens to personal workflow lifecycles, stored favorite retrievals, etc.).
- CM.4. Client provides ability to display the document being indexed in a preview pane during the indexing process.
- CM.5. 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.
- CM.6. Searching across multiple document classifications, including data from external sources.
- CM.7. Solution provides Administrators with the ability to create static and dynamic searches using hidden fields, control lists, prompts, and joins with external data.
- CM.8. 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.
- CM.9. 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.10. Solution provides advanced full text search capabilities that include AND, OR, NOT, NEAR, \*, and FormsOf.
- CM.11. Solution provides ability to utilize full text searching alongside index value search.
- CM.12. Solution offers hit highlighting for content retrieved from full text searching.
- CM.13. Solution provides ability for a user to filter search result list by dragging and dropping attribute fields (index values) on the fly.
- CM.14. Solution provides ability for users to output search results to Excel, printer, email, or print-friendly format.
- CM.15. Solution allows for printing, or saving, of one or multiple documents from search results.
- CM.16. Solution provides ability to link disparate applications via equal values.
- CM.17. Solution provides ability to link searches to external data via equal values.

#### Metadata

- CM.18. Solution allows for custom metadata fields (index fields) to be applied to repositories (applications).
- CM.19. 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.20. Solution supports varchar (string), date, float/currency, and numeric data types.
- CM.21. Solution supports an unlimited number of document types.

- CM.22. Solution supports modification of applications to add or remove metadata fields after creation.
- CM.23. Solution supports update of metadata values for multiple documents at the same time.

### **Viewer**

- CM.24. Solution includes built-in viewer that allows for rendering of many different document formats in a single interface.
- CM.25. Solution viewer does not require additional components to be installed on client.
- CM.26. Solution viewer supports annotation functionality (text, lines, redactions, highlights, stamps, sticky notes).
- CM.27. Solution viewer supports standard functionality such as rotate, sizing (fit width, fit height, fit window, zoom percentage).
- CM.28. Solution viewer supports printing functionality.
- CM.29. Solution allows for control as to whether or not documents are printed with annotations.
- CM.30. Solution supports annotations to be added via SDK or API.

### **Document Management**

- CM.31. Solution provides ability to lock documents so other users cannot make modifications or delete document while locked.
- CM.32. Solution provides ability to version documents through Check-In and Check-Out functionality.
- CM.33. Solution provides ability to associate documents to other documents.
- CM.34. 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.35. Solution provides ability to cut or copy pages from one document to another (TIFF images).
- CM.36. Solution supports COLD ingestion and viewing.
- CM.37. Solution provides ability to email documents out of the system.
- CM.38. Solution provides ability to copy or move documents from one application to another.
- CM.39. Solution provides integration with Microsoft Office products and Windows Explorer

### **Input**

- CM.40. Solution supports method for automatic batch-input of documents via metadata flat-files.
- CM.41. Solution supports API input of documents.
- CM.42. Solution supports user input of documents that controls meta data input.
- CM.43. Authentication and Authorization
- CM.44. Solution integrates with Microsoft Active Directory.
- CM.45. Solution supports Single Sign-On (SSO) functionality.
- CM.46. Access to applications is dependent upon LDAP (AD) group membership.
- CM.47. Access to searches is controlled by LDAP (AD) group membership.

### **Security Model**

- CM.48. Solution Security model is based on application and search access
- CM.49. Solution supports document level security through the design of searches by eliminating or forcing static values.
- CM.50. Solution supports security model that controls create/write rights at an application level.
- CM.51. Solution supports security model that controls delete rights at an application level.
- CM.52. Solution supports security model that controls print rights at an application level.
- CM.53. Solution supports security model that controls download rights at an application level.
- CM.54. Solution supports security model that controls lock rights at an application level.
- CM.55. Solution supports security model that controls unlock rights at an application level.

- CM.56. Solution supports security model that controls annotation rights at an application level.
- CM.57. Solution supports security model with multiple levels of annotation security.
- CM.58. Solution supports granular annotation security model that allows for explicit access to things like redactions, stamps, text.
- CM.59. Solution supports security model that allows for access to create searches.
- CM.60. Solution supports security model that controls access to modify document metadata or content.

### **Administration**

- CM.61. Solution provides the ability to import and export application configurations to ease migration of settings between environments.
- CM.62. 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.63. 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.64. Solution allows the archiving of documents to various media, including:
  - Windows file servers, to allow the leveraging of Share and NTFS permissions
- CM.65. Solutions should provide means to store objects of disparate applications or repositories in separate physical locations.
- CM.66. Solution should provide an export mechanism for mass-exporting of content in a non-proprietary format. This should supply both the document and the index values.
- CM.67. Solution stores pointers in the database to file storage locations, as opposed to a BLOB in the database.
- CM.68. Solution supports means of migrating objects from one storage location to another.
- CM.69. Solution should support system-only access to storage location, users should not require access.
- CM.70. 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.71. Solution stores documents in their original, native file formats, not in a proprietary format.
- CM.72. Solution supports storing files in the database as BLOBs for increased system performance.

### **Infrastructure**

- CM.73. Solution supports MS SQL databases.
- CM.74. Solution supports MS Windows based servers.
- CM.75. Solution supports virtualized host servers.
- CM.76. Solution supports multiple applications or web servers in a load balanced configuration for redundancy and scalability.

### **Integration**

- CM.77. Solution has SDK or APIs for accessing and managing documents from external programs. All Document Management, Workflow, and Administrative functions are supported.
- CM.78. Solution allows for custom tools to be built and added to product.

### **Reporting**

- CM.79. Solution supports built in reporting interface.

- CM.80. Solution supports custom report creation.
- CM.81. Solution supports 3rd party reporting solutions such as SQL Reporting.
- CM.82. Solution tracks user logins/logouts
- CM.83. Solution tracks when documents are accessed by user.
- CM.84. Solution tracks when documents are deleted by user.
- CM.85. Solution tracks when documents are updated/modified by user.
- CM.86. Solution tracks when document metadata is updated/modified by user.
- CM.87. Solution tracks when document is printed by user.
- CM.88. Solution tracks when document is downloaded or emailed by user.
- CM.89. Solution tracks when annotations are added by user.
- CM.90. Solution tracks when annotations are updated/modified by user.
- CM.91. Solution tracks when user executes search.

## **5.2.4 (MS) Core BPM Requirements (200 points)**

### **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 in-flight 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.
- 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 the automatic distribution and sorting of work based on load balancing rules. Rules should include role, availability, order of arrival, metadata values, the size of existing workloads for users, as well as custom- built work distribution rules.
- BPM.32. 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. Ability to force process instances to next stage/section of process if milestone not met.
- BPM.33. 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.34. The workflow configuration environment is integrated with the rest of the ECM solution.
- BPM.35. Solution includes an integrated form-generation tool.
- BPM.36. Solution provides business analyst oriented interface for process design.
- BPM.37. Solution allows for iterative process design with developers and analysts.
- BPM.38. Solution designer can import and export process definitions with standard format such as BPMN, XPDL, or BPEL.
- BPM.39. Solution supports process simulations to determine throughput and bottlenecks.

### **Integration**

- BPM.40. 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.
- BPM.41. 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.42. Solution provides ability to update metadata of document in ECM repository from process event.
- BPM.43. Solution provides ability to delete document in ECM repository from process event.
- BPM.44. Solution provides ability to add document to ECM repository from process event.

### **Authentication and Authorization**

- BPM.45. Solution integrates with Microsoft Active Directory.

- BPM.46. Solution supports Single Sign-On (SSO) functionality.
- BPM.47. Access to processes is dependent upon LDAP (AD) group membership.
- BPM.48. Access to queues is dependent upon LDAP (AD) group membership.

### **Security Model**

- BPM.49. Solution supports security model that controls ability to create process instances at a process level.
- BPM.50. Solution supports security model that controls ability to delete process instances at a process level.
- BPM.51. Solution supports security model that controls ability to ad-hoc route process instances to Event or User.
- BPM.52. Solution supports security model that controls ability to search for process instances.
- BPM.53. Solution supports security model that controls access to execute predefined search profiles.
- BPM.54. Solution supports security model that controls ability to lock process instances.
- BPM.55. Solution supports security model that controls ability to unlock process instances.
- BPM.56. Solution supports security model that controls ability to view attachments to process instances.
- BPM.57. Solution supports security model that controls ability to add attachments to process instances.
- BPM.58. Solution supports security model that controls ability to delete attachments from process instances.
- BPM.59. Solution supports security model that controls ability to access history of process instances.
- BPM.60. Solution supports security model that controls ability to add comments to process instances.
- BPM.61. Solution supports security model that controls ability to view tasks of process instances.
- BPM.62. Solution supports security model that controls ability to view forms/UIs associated with process instances.
- BPM.63. Solution supports security model that controls ability to view metadata of process instances.

### **Infrastructure**

- BPM.64. Solution supports MS SQL databases.
- BPM.65. Solution supports MS Windows based servers.
- BPM.66. Solution supports virtualized host servers.
- BPM.67. Solution supports multiple applications or web servers in a load balanced configuration for redundancy and scalability.

### **Integration**

- BPM.68. Solution has SDK or APIs for accessing and managing process instances from external programs.
- BPM.69. Solution SDK/API supports retrieving process instance by metadata (unique ID, custom metadata value, custom search, etc.).
- BPM.70. Solution SDK/API supports listing defined searches.
- BPM.71. Solution SDK/API supports listing defined process definitions.
- BPM.72. Solution SDK/API supports listing system users.
- BPM.73. Solution SDK/API supports listing process instances locked by user.
- BPM.74. Solution SDK/API supports completing or routing process instances.
- BPM.75. Solution SDK/API supports creating new process instances.
- BPM.76. Solution SDK/API supports updating process instance metadata values.
- BPM.77. Solution SDK/API supports listing process definition metadata fields.

## Reporting

- BPM.78. Solution supports built in reporting interface.
- BPM.79. Solution supports custom report creation.
- BPM.80. Solution supports 3rd party reporting solutions such as SQL Reporting.
- BPM.81. Solution supports custom metadata values to be written to reporting database.
- BPM.82. Solution tracks location of process instances that are in-flight.
- BPM.83. Solution tracks time in queue, time to completion, user processing time, etc.
- BPM.84. Solution supports reporting based on user throughput.
- BPM.85. Solution supports reporting based on process throughput.
- BPM.86. Solution tracks when events occur for process instance.
- BPM.87. Solution tracks when routing occur for process instance along with the sending and receiving events or queues.
- BPM.88. Solution tracks when thresholds/timers are executed.
- BPM.89. Solution tracks when process instance is locked/unlocked or completed by user.
- BPM.90. Solution tracks when process instance is created or deleted.
- BPM.91. Solution tracks when metadata values are updated. Both before and after values are stored.

### 5.2.5 (MS) Records Management Requirements (50)

#### 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 business rules (trigger dates and retention durations).
- RM.4. Solution has ability to properly eliminate or dispose of records that exceed their retention periods as established under RCWs (40.14). All public records must follow a retention schedule.
- RM.5. Solution has ability to retrieve original content file in its original format at any time prior to consensual purge or hard deletion of content file.
- RM.6. Solution has ability to configure metadata for documents that will allow for programmatic tracking and management of document retention, including integration with a separate document management systems.
- RM.7. 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.8. Solution supports manual or rules based enforcement of document cutoff.
- RM.9. Solution supports multi-stage review of records prior to disposition.
- RM.10. Solution supports disposition as a batch based process.
- RM.11. Solution supports linking to Active Directory groups for records management roles (reviewers, approvers, etc.).
- RM.12. 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.13. Solution supports auditing and reporting on dispositions, freezes, categories, series, etc.

### 5.2.6 (MS) Content Capture (100 Points)

#### 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 and isolation of licenses by location and or AD Groups.
- CC.15. Solution supports defining groups of documents that will be captured and the processes that they will go through during the capture life cycle.
- CC.16. Solution supports both scanning of paper documents and the importing of electronic format documents.
- CC.17. Solution supports the automated importing of documents using an index file with pointers to documents.
- CC.18. 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.19. Solution supports the use of image cleanup and enhancement technology to allow for improving image quality and resolution during the capture process.
- CC.20. Solution supports document separation using Patch Codes, Bar Codes, Fixed Page Count, Manual, and Forms Feature Recognition.
- CC.21. Solution supports Forms Recognition based on Barcodes and other Forms Recognition techniques.
- CC.22. Solution supports metadata field definitions that can be associated at the batch and or document level.
- CC.23. Solution supports customization of the business logic for each field being capture on a document.
- CC.24. Solution supports a set of events that are fired during the indexing process that allow for custom logic to be inserted when they occur.

- CC.25. Solution supports database lookups that can be triggered from the various events that occur during the document indexing process.
- CC.26. Solution supports page registration for zonal indexing.
- CC.27. Solution supports zonal OCR reading for index fields.
- CC.28. Solution supports OMR Check Boxes for the extraction of index fields
- CC.29. Solution supports Full Text OCR conversion of scanned documents.
- CC.30. Solution supports PDF conversion of scanned documents as Image Only and Image Plus Text PDFs.
- CC.31. Solution supports capture of electronic document capture as well as scanning of paper.
- CC.32. Solution supports the release of documents and meta data to multiple backend systems.
- CC.33. Solution supports the development of additional release options using a provided API that can be implemented using Microsoft .Net languages.
- CC.34. Solution supports the addition of custom processes during the capture that can be specified for groups of documents to use. The creation and integration of these custom processes is supported via the provided API and can be implemented in Microsoft .Net languages. These custom processes will have full access to the documents and meta data for the documents in a batch.
- CC.35. 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.36. Solution provides built in reporting.
- CC.37. Solution supports use of 3<sup>rd</sup> party reporting tool such as SQL Reporting Services.
- CC.38. Solution supports reporting on all facets of the Capture process by user and type of activity.

## **5.3 Acceptance Testing**

WSDOT may, at their sole discretion, require Acceptance Testing for new implementations of Vendor's proposed solution. Vendor must meet a Standard of Performance before Acceptance. This Standard of Performance is also applicable to any additional, replacement, or substitute Products or any Product that is modified by or with the written approval of Purchaser after having been accepted.

### **5.3.1 Testing Methodology**

As a part of this proposal, each Vendor must provide their Acceptance Testing Plan, which details their testing methodology during acceptance testing and detail what criteria they generally have used in the past to signify acceptance at other installations similar to the WSDOT's proposed system. Include examples of forms or documents used by project personnel for acceptance test.

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

## **5.4 (MS) Maintenance Support Plan (40 Points)**

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 a website or phone number, contact person and dates and time available.

## 5.5 (MS) Software Maintenance (20 Points)

Vendors must supply information pertaining to future possible upgrades including:

- How the product upgrades seamlessly to the client and server. If it does not, describe what customizations or considerations must occur prior to a product upgrade.
- How is any customization effected by upgrades?
- Describe the general processes for issuing maintenance/fixes or upgrades.
- Describe any forward/backward compatibility.
- Explain how you respond to operating system, application and security patches.

## 5.6 (M) Software Warranty

The Vendor warrants that all software meets the functional and performance requirements as described in this RFP. The Vendor warrants that all software provided under this contract to be free of defects and faults in material, design and workmanship conditions. If the vendor requires a certified installation for ongoing maintenance and support, the vendor must identify that and provide a proposed cost for the certified installation. WSDOT reserves the right to accept or reject this optional service and utilize other certified installers of the Vendor's software. (M) Deployment

### 5.7 The Vendor must provide information for the deployment and installation process, including upgrades, for the proposed solution. Specify whether it will be manual installation or via remote deployment utilities such as Microsoft SMS (System Management Server) to client workstations. (M) Deployment

The Vendor must provide information for the deployment and installation process, including upgrades, for the proposed solution. Specify whether it will be manual installation or via remote deployment utilities such as Microsoft SMS (System Management Server) to client workstations.

## 5.8 (MS) Software Installation (20 Points)

### 5.8.1 Installation Phase

The purchase and installation of the software will take place over multiple phases. If the Vendor requires a certified installation to provide for ongoing maintenance, the Vendor shall complete the installation within 30 days upon receipt of a field order and allow WSDOT 15 days for acceptance for each phase.

### 5.8.2 Requirements

If the proposed software requires installation certification in order to qualify for software maintenance, then the software vendor shall propose options for certification of the installation on WSDOT designated equipment. WSDOT technical staff will be assigned during the installation period to provide guidance regarding the hosting environment and infrastructure.

If the proposed software requires software maintenance installation certification then the software vendor shall propose options for certification of maintenance installation on WSDOT designated equipment.

If the software requires specific hardware requirements (e.g. server brand, models, configuration, and supporting software), they must be specified within the proposal for the initial and the expanded user base. 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.

**5.9 (MS) Training (20 Points)**

Vendor must specify what training is included in the package and any additional training options that are available, including, their cost, location and scope.

## SECTION 6

### FINANCIAL PROPOSAL

Respond to the following requirements per the instructions in Section 7. Additionally, please remember that for Mandatory (M) and Mandatory scored requirements (MS), always indicate explicitly whether or not its proposed Services meet the requirement. A statement, “(Vendor Name) has read, understands, and fully complies with this requirement” is acceptable, along with any additional information necessary to satisfy the requirement.

#### 6.1 Overview

WSDOT seeks to acquire the Software/Services that best meet the State’s needs at the lowest cost and best value.

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 WSDOT when acquired by WSDOT.

#### 6.2 Financial Grounds for Disqualification

Failure to identify all costs in a manner consistent with the instructions in this RFP is sufficient grounds for disqualification.

#### 6.3 Taxes

Vendor must collect and report all applicable state taxes as set forth in Section 4.8, *Vendor Licensed to do Business in Washington*. Vendor must not include taxes on the *Price List* or in the *Cost Model* form.

#### 6.4 Presentation of All Cost Components

All elements of recurring and non-recurring costs must be identified and included in the Cost Model (Appendix E). This 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.

#### 6.5 Shipping and Handling Charges

All items are to be quoted FOB destination, Tumwater Washington. All anticipated shipping costs necessary to meet the delivery schedule must be included in the line item price quote of each item. No additional charges for shipping or handling will be allowed.

#### 6.6 Software Licensing

The License(s) must be perpetual.

#### 6.7 (M) Price Protection

Vendor must provide a statement that the entire term(s) of the Contract, the Vendor must guarantee to provide the Products/Services at the proposed rates or lower. Software Products/Services rates cannot

increase during any term of the Contract. In the event Vendor is providing the products at a lower rate, WSDOT shall be entitled to the lower rate.

After the three year initial term ends, cost increases shall not exceed three (3%) percent increase in any one year above the immediately preceding year's fee.

### 6.8 (M) Price Decrease Guarantee

The ASV, at its discretion, may elect to provide Software Products/Services specified in this RFP at a lower price than originally quoted at any time during the term of the Contract. If the Manufacturer's suggested retail price decreases at any time during the term of the Contract, Vendor must pass on the decrease for all subsequent purchases. The decrease must be proportionate to the percentage decrease of the Manufacturer's suggested retail price.

### 6.9 (M) Cost Model

The *Cost Model* form contained in Appendix E must be completed and included in the vendor's Response. Vendor must include in the *Cost Model* all cost components needed for the provisioning of the Software Products/Services as described in this RFP.

### 6.10 (MS) Completion of Cost Model (200 Points)

The Vendor must follow the instructions set forth below to complete the *Cost Model*, which will be the basis for evaluation of the Financial Response as specified in Section 1.1.3, *Financial Proposal Evaluation*. Use the forms in Appendix E, *Cost Model*, to itemize the costs associated with your proposed *Products/Services*.

## SECTION 7

### EVALUATION PROCESS

#### 7.1 Overview

The Vendor who meets all of the RFP requirements and receives the highest number of total points as described below in Section 7.6, *Vendor Total Score*, will be declared the ASV and enter into contract negotiations with WSDOT.

The process for awarding this RFP may be done in phased sections. The Vendor's proposal will be evaluated based on the process outlined below. The top scoring Vendor(s) will proceed to the next step in this RFP process, if necessary. Proposals with tied scores will be treated equally and the tied Vendor's proposals will be moved forward to the next phase if they are among the top scoring vendors and further process is chosen. Specific Criteria for RFP Evaluation:

Phase 1	Total 1000 point or 100%
5.2.1 General Requirements	100 point or 10%
5.2.2 Vendor and Product Characteristics	100 point or 10%
5.2.3 Core Content Management Requirements	100 point or 10%
5.2.4 Core BPM Requirements	200 point or 20%
5.2.5 Records Management	50 point or 5%

5.2.6 Content Capture	100 point or 10%
4.6 Client References	50 points or 5%
Cost 6.11 Completion of Appendix E	200 points or 20%
Support Requirements 5.4 Maintenance and Support Plan 5.5 Software Maintenance 5.8 Software Installation 5.9 Training	100 points or 10% 40 points 20 points 20 points 20 points
<b>Phase 2 (If Applicable)</b>	<b>Total 200 Points or 20%</b>
Product Demonstration (If Applicable)	200 points or 20%

The total score will determine the Apparently Successful Vendor.

## 7.2 Administrative Screening (Mandatory Requirements)

Responses will be preliminarily reviewed on a pass/fail basis to determine if the Response complies with the Mandatory Requirements marked (M) in Sections 3-4. Only Responses complying with all Mandatory Requirements will be further evaluated. WSDOT reserves the right to determine at its sole discretion whether Vendor's response to a Mandatory Requirement is sufficient to pass. If, however, all responding Vendors fail to meet any single item marked (M), WSDOT reserves the following options: (1) cancel the procurement, or (2) revise or delete the Mandatory item.

## 7.3 Mandatory Requirements

Responses meeting all of the administrative requirements will then be reviewed on a pass/fail basis to determine if the Response meets the Mandatory requirements (see Sections 4, 5, & 6). Only Responses meeting all Mandatory requirements will be further evaluated.

The State reserves the right to determine at its sole discretion whether Vendor's response to a Mandatory requirement is sufficient to pass. If, however, all responding Vendors fail to meet any single Mandatory item, WSDOT reserves the following options: (1) cancel the procurement, or (2) revise or delete the Mandatory item.

## 7.4 Qualitative Review and Scoring

Only Responses that pass the administrative screening and Mandatory requirements review will be evaluated and scored based on responses to the scored requirements in the RFP. Responses receiving a "0" on any Mandatory Scored (MS) element(s) will be disqualified.

### 1. Client References

The RFP Coordinator will calculate the scores for each *Client Reference Form*, Appendix F. The total scores of all the Vendor's Client References will be summed together and an average point score will be calculated as set forth below. This will be used in the calculation of Vendor's total score, as set forth in Section 7.6, *Vendor Total Score*.

$\frac{\text{Client References Total Scores}}{\text{Number of Client References}} = \text{Vendor's Average Score}$
--

Lowest average score among Vendors, and dividing that sum by two (2).

## 2. Technical Requirements Evaluation

Each scored element in the Technical Requirements section of the Response will be given a score by each technical evaluation team evaluator. Then, the scores will be totaled and an average score for each Vendor will be calculated as set forth below. This will be used in the calculation of Vendor's total score, as set forth in Section 7.6, *Vendor Total Score*.

Evaluation points will be assigned based on the effectiveness of the Response to each technical requirement. A scale of zero to four will be used, defined as follows:

Unsatisfactory	Feature or capability is non-responsive or wholly inadequate.
Below Average	Feature or capability is substandard to that which is average or expected as the norm.
Average	The baseline score for each item, with adjustments based on the technical evaluation team's reading of the Response.
Above Average	Feature or capability is better than that which is average or expected as the norm.
Exceptional	Feature or capability is clearly superior to that which is average or expected as the norm.

## 3. Financial Proposal Evaluation

Vendor's Total Score will be calculated as follows:

$$\frac{\text{Lowest Cost}}{\text{Vendor's Cost}} \times 200 = \text{Financial Score}$$

### 7.5 Product Demonstration (Phase 2) (If Applicable)

At its sole discretion, WSDOT may select the top three Vendors to do a 2 (two) hour Product Demonstration. Product Demonstration will take place per schedule in Section 2, in Tumwater, Washington. The [RFP Coordinator](#), will contact the top three (3) finalists per schedule in Section 2.

### 7.6 Vendor Total Score

Vendors will be ranked using the Vendor's Total Score for its Response, with the highest score ranked first and the next highest score ranked second, and so forth. Vendor's Total Score will be calculated as follows:

$$\text{Total Score} = (\text{Client Reference Score}) + (\text{Technical Score}) + (\text{Financial Score})$$

$$\text{(If Applicable) Total Score} = (\text{Client Reference Score}) + (\text{Technical Score}) + (\text{Financial Score}) + (\text{Demonstration Score})$$

### 7.7 Selection of Apparently Successful Vendor

The Vendor with the highest Vendor total score will be declared the ASV. WSDOT will enter into contract negotiations with the ASV. Should contract negotiations fail to be completed within one (1) month after initiation, WSDOT may immediately cease contract negotiations and declare the Vendor with the second highest score as the new ASV and enter into contract negotiations with that Vendor. This process will continue until the Contracts are signed or no qualified Vendors remain.