
I. Introduction

A. Overview

The LOTT Clean Water Alliance is a non-profit corporation responsible for wastewater management services for the urban area of north Thurston County, Washington. Its services include wastewater treatment, reclaimed water production, and long-range planning. Functioning as a local government, LOTT is governed by a Board of four elected officials appointed from its partner jurisdictions and operates under the authority of an intergovernmental agreement.

LOTT is looking for an electronic records management system (ERMS) that meets both legal and regulatory requirements. Additionally, LOTT is looking for a system to aid in the retrieval and management of their photographs and assorted digital objects – a Digital Asset Management (DAM) tool. This can be two systems that integrate with one another, or one system that can satisfy both sets of functional requirements. The ERMS will be the primary system and interface for the end solution. You may submit a proposal for solely records management functionality, solely DAM functionality, or both. LOTT may select a different solution for each part. Selected vendors must be willing to participate in the contractual arrangement, which may be a sub-consultant role, determined to be in the best interest of LOTT.

II. Instructions and Procedures

A. Complete the Questionnaire

The answers to the topics noted in Appendices A, B, C, D, E, and F are a key component of the product evaluation. Please answer these questions as completely as possible. If any clarification or further details are required, please contact Brent Gatewood of consultIG at 262/436.1171 or bgatewood@consultig.com.

If your proposal includes multiple products, please answer the applicable questions for each component of the solution.

If your proposal involves the cooperation of multiple vendors or partners in the products offered, or implementation services required – please identify all participants and relevant offerings.

B. RFP Submission

Deadline for submission of completed RFP questionnaire is 8/3/2015.

C. RFP Response Delivery

Please submit one hard copy of your RFP response along with an electronic copy in both editable Word, Excel, and PDF file formats. Electronic version is due on the submission deadline and the hardcopy can be mailed that same day. Additional materials such as supporting documentation and a copy of your contract templates in editable Word format should be included with the RFP response.

Failure to meet the RFP requirements as defined herein may require you to resubmit your proposal or result in your product not being considered for selection.

All costs incurred in the preparation and presentation of the RFP response shall be wholly absorbed by your organization.

The LOTT Clean Water Alliance is a public agency and we cannot guarantee confidentiality. This RFP and related work products are subject to Washington State Public Records Act requirements.

LOTT reserves the right to issue addenda at any time. All such addenda will become part of the Request for Proposals. Addenda will be posted on LOTT's website at www.lottcleanwater.org. It is the vendor's responsibility to confirm as to whether any addenda have been issued.

Send the RFP response to:

bgatewood@consultig.com

Brent Gatewood
consultIG
S57W23123 Marcelle Dr.
Waukesha, WI 53189

D. RFP Response Inquiries Contact

Questions regarding this document or response procedures should be directed to:

Brent Gatewood
bgatewood@consultig.com
262/436.1171

E. Acceptance and Rejection

LOTT reserves the right to accept or reject any and/or all submitted RFP responses and to request additional information from all prospective service providers. At the discretion of LOTT, a third-party institution or consulting team may be included in contract negotiations. The basis for selecting an organization and product will include the response, all applicable criteria including product licensing and implementation costs, oral interviews, products demonstrations, an evaluation of your organization's ability to support the product, and a successful proof of concept of software/solutions in a LOTT development or production environment.

Valid Period of Offer – Any pricing, terms, and conditions stated in the response must remain valid through implementation of the solution. LOTT anticipates selecting a vendor by October 2015 with implementation beginning by January 2016.

Right of Rejection – LOTT reserves the right to accept or reject any or all responses to the RFP and to enter into discussions and/or negotiations with one or more qualified vendors at the same time, if such action is in the best interest of LOTT.

F. Response Evaluation

Your response will be evaluated using the following general criteria:

1. The extent to which the proposed solution(s) meets the features documented in this RFP.
2. Flexibility of the application package to meet LOTT's growth projections and new application requirements.
3. Overall product licensing and implementation costs and 5-year cost of ownership for hardware (estimated), software, and ongoing maintenance.
4. Reputation of the vendor in the marketplace for successfully implementing systems similar to the one defined in this document.
5. Demonstrated ability and willingness to work with clients and users to achieve their objective, within their constraints, and in a creative and flexible environment.
6. Willingness to participate in a proof of concept exercise, pre-sale, which would include installation of the proposed solution in a LOTT production environment for a limited period of time that could be utilized for demonstration and evaluation purposes.
7. Demonstrated vendor financial stability.
8. Vendor references.

III. RFP Appendices and Response Format

You are requested to provide an RFP response to all inquiries and statements noted in the Appendices listed below. If your proposed solution requires multiple components, modules, products or versions of such components, modules, or products, please provide a separate response for each.

A. Appendices Index

Appendix A is a questionnaire designed to collect background information on your company.

Appendix B is a questionnaire designed to collect product information applicable to your software solution.

Appendix C is a questionnaire designed to assess the functionality of your company's products and solutions.

Appendix D is a cost overview questionnaire designed to assess the licensing, implementation and ongoing support and expansion costs associated with your system solution.

Appendix E is a request to provide client references.

Appendix F is a request to provide standard legal agreements, product documentation, project methodology, and any other materials you feel may be persuasive to LOTT and have influence on a final product selection.

B. Exceptions to the RFP

You may find instances where your services are not offered in a manner consistent with the specification in this RFP. In such cases, it is permissible to take exception to portions of the RFP. The exceptions should be clearly identified and your preferred solution clearly explained. If necessary, attach additional information describing the scope of the exceptions and a summary of any advantages these exceptions represent to LOTT.

APPENDIX A: COMPANY INFORMATION

1. Corporation:
 - 1.1 Name
 - 1.2 Address
 - 1.3 Telephone (Main)
 - 1.4 Web Address (Main)
 - 1.5 Web Address (Product Specific)
2. Primary Contact
 - 2.1 Name
 - 2.2 Address
 - 2.3 Telephone
 - 2.4 Email
3. What year was your company founded?
4. If you are a wholly owned subsidiary, please list the holding company, including its name, address, website address, and telephone and fax numbers.
5. If there have been mergers or acquisitions in the past 5 years relevant to your proposed offering, please identify the company(s) and year(s) the acquisition took place.
6. Provide the number of total clients using similar solutions as proposed in the previous 2 years. Please use a definable metric associated with this number. Example, "customers paying maintenance on the Records Management module" is more relevant than "seats sold."
 - 6.1 Please note installations specific to government entities.
7. Provide the number of new clients implementing your suggested solution over the past 2 years.
8. List all major partnerships or alliances relevant to this proposal that you are currently a member of or are involved with (e.g. Microsoft [Office & SharePoint], PeopleSoft, etc.).
9. Is records management software or DAM solutions your main source of revenue generation? If not, list the products generating more revenue in descending order.
10. What percentage of your revenue is reinvested in R & D for the products (note specifically Records Management and/or DAM solutions) we are evaluating?
11. What percentage of your revenue does support and maintenance account for?

12. Describe your customer base.
13. Briefly state the corporate strategy as it pertains to records management and/or DAM solutions.
14. What are the key factors that separate you from your competitors?
15. If applicable, list the date of your last DoD 5015.2 certification (DoD certification is required for records management solutions).
 - 15.1 If scheduled, please list the date of your next certification testing.
 - 15.2 Are you also certified with other solutions (DMS, SharePoint, etc.)?
 - 15.3 A waiver for certification is possible if you are currently in process or scheduled. Penalties (up to and including cancelation of order) apply if your product is selected and you are not certified prior to implementation.
16. If applicable, detail your strategy concerning other standards (e.g. MoReq) and regulations (e.g. HIPAA).

APPENDIX B: PRODUCT INFORMATION

1. Product Overview

- 1.1 Provide a brief description of your proposed solution.
- 1.2 Provide the total number of clients running (implemented & paying maintenance) the version in production that you are proposing.
- 1.3 Is your solution nonproprietary – can other tools / vendors access and use content managed by your solution?

2. Product History

- 2.1 When was the product first released?
- 2.2 If you acquired the proposed product, when did the acquisition occur?
 - 2.2.1 If acquired, what was the original vendor/product name?
 - 2.2.2 Since product acquisition, has the product/code been re-written?
- 2.3 What is the current release number of the product?
- 2.4 When is the next scheduled major release or upgrade of your software? Please include any release notes.
- 2.5 Describe your standard release schedule.
- 2.6 What markets/industries do you primarily serve with this software?
- 2.7 Provide a forward-looking product roadmap of the proposed solution.

3. Product Architecture

- 3.1 Describe the architecture of the product. What are the layers/components/modules?
- 3.2 Describe any third party software or hardware components integrated with and/or required for your product to be fully functional.
- 3.3 What limitations may exist with the scalability of your proposed solution?
- 3.4 Following is an overview of the LOTT environment. Please confirm your ability to integrate into this environment. Identify any concerns you have as it relates to the specific item below.
 - 3.4.1 Operating Environments
 - 3.4.1.1 Servers – Microsoft Windows Server 2012 R2
 - 3.4.1.2 Desktop – Microsoft Windows 7/8.1 (Plans for 10)
 - 3.4.1.3 Database – Microsoft SQL
 - 3.4.1.4 Microsoft Exchange 2010

- 3.4.1.5 Microsoft SharePoint 2010 (Plans for 2013)
- 3.4.1.6 Microsoft Office 2010/2013
- 3.4.1.7 Microsoft Outlook 2010/2013
- 3.4.1.8 Microsoft Active Directory
- 3.4.2 Virtualization – VMware vSphere
- 3.4.3 Mobile Access
 - 3.4.3.1 Tablets (Windows Surface & iPad)
 - 3.4.3.2 Remote Access
 - 3.4.3.3 Solution data repository to be resident on a SAN (Nimble).
- 3.5 What is your first tier development/deployment architecture?
- 3.6 Describe any components and features that will not work in a thin client environment.
- 3.7 What is the recommended number of objects per container/store? What is the recommended architecture for multiple containers/stores?
- 3.8 Describe how your product integrates with content stored in SharePoint. Please include content in the form of documents, list items, and pages.

4. Extensibility

- 4.1 How can the user interface be modified/extended? Do you have a methodology, best practices document?
 - 4.1.1 Is the end user interface web-based?
 - 4.1.2 Does the end user interface require a client plug-in or software installation?
 - 4.1.3 Is any functionality lost in the web-based interface?
- 4.2 Does the database contain/allow user customized fields for information specific to LOTT?
- 4.3 How can interfaces to external systems be modified/extended?
- 4.4 Does the product provide published program interfaces between layers/components of the system? If yes, provide documentation about the program interface specifications.
- 4.5 Describe the methods to customize the application/interface.
- 4.6 Describe the skill sets required to customize the application/interface.
- 4.7 How much time is involved in applying upgrades to the system? Please explain.
- 4.8 Describe your organization's approach to the interoperability and XML schema requirements of MoReq2010 (may only be applicable to records management solutions).

5. Installation and Implementation

- 5.1 Describe your product's software distribution capabilities as they relate to desktop rollout (MSI/MST).
- 5.2 Describe your system/implementation planning process.
- 5.3 Describe your installation/implementation procedures.
- 5.4 Provide a typical implementation plan with timeframes, preferably in a standard project management format.
- 5.5 What role would your company play in the implementation?
 - 5.5.1 Does your organization typically manage the entire process?
 - 5.5.2 Do you recommend the use of 3rd party implementers (full/partial involvement)?
- 5.6 What role would LOTT play in the implementation?
 - 5.6.1 What skill sets will LOTT staff need to provide?
- 5.7 What is the recommended FTE requirement for day-forward management of the system?

6. Documentation

- 6.1 What documentation is available for the package?
 - 6.1.1 How/when is the documentation updated?
 - 6.1.2 Is the documentation available electronically?
- 6.2 Is there separate end-user, administrative, and technical documentation?
 - 6.2.1 Is end-user documentation included in product cost?
 - 6.2.2 Can documentation be customized to replicate the installed look and feel?
 - 6.2.3 As part of your standard implementation process, do you provide additional documentation to support the customizations and extensions of your application?
- 6.3 User Help
 - 6.3.1 Is online help available?
 - 6.3.2 In what format is online help stored (e.g. standard Windows help file)?
 - 6.3.3 How can online help be modified/extended to reflect the installed environment?
 - 6.3.4 Do you have an online knowledgebase?
 - 6.3.5 Describe the availability of telephone/remote support.

7. Hardware and Operating System Support (For all tiers, web server, database server, client, etc.):
 - 7.1 What are the hardware requirements (e.g., memory, disk space, processor, etc.)?
 - 7.1.1 Provide a detailed explanation of how number of CPUs and memory are calculated.
 - 7.1.2 Provide a detailed explanation of how disk space and growth requirements are calculated.
 - 7.2 Operating system support
 - 7.2.1 How do you keep current on OS service packs and hot fixes so that we may stay current?
 - 7.2.2 What is your certification process (including timing of availability of certification) for OS service packs and hot fixes?
 - 7.2.3 How are ongoing updates to the Operating System managed?
 - 7.2.4 What testing and certification procedures are in place to ensure that Operating System service packs and updates required for security or virus protection do not negatively impact the software?
 - 7.2.5 Describe the typical duration of time between availability of Operating System changes (service packs, hot fixes, and upgrades) and availability of your announcement of certification/customer approval to apply.
 - 7.2.6 If you require customers to wait for OS patch certifications, do these certifications apply to both server(s) and workstations?
 - 7.3 What provisions are provided for high availability, partial failures of some part of the infrastructure, etc.?
8. System Administration
 - 8.1 Does your product integrate with Active Directory for authentication (e.g. single sign-on) with both user and group membership?
 - 8.2 How do you ensure system uptime requirements are at 99.9%?
 - 8.3 How do you ensure your system is available to end users on a 24x7 basis?
 - 8.4 Please attach the Service Level Agreement (SLA) for a similarly scoped project.
 - 8.5 Maintenance
 - 8.5.1 What type of system maintenance needs to be performed on a regular basis?
 - 8.5.2 Is the system available to users during this maintenance time period?
9. Security
 - 9.1 What security features are included in the product?
 - 9.2 Describe the security available at the following levels:

- 9.2.1 System level
 - 9.2.2 End user
 - 9.2.3 Role Level
 - 9.2.4 Screen Level
 - 9.2.5 Database level
 - 9.3 How can security be modified/extended?
 - 9.4 How does the product store audit logs? How can these logs be sorted, searched, and sent to other systems?
 - 9.5 What encryption options does the product have available for securing data in its own data store, or in third party data stores?
 - 9.6 Describe the last 24 months of Common Vulnerabilities and Exposures specific to your product. If any, please describe the remediation necessary.
10. Training
- 10.1 What type of training is available for users of the system?
 - 10.2 What type of training is available for administrators of the system?
 - 10.3 What type of training is available for IT personnel?
 - 10.4 What is the expected time required to train end users on the system?
 - 10.5 What is the expected time required to train administrators on the system?
 - 10.6 What is the expected time required to train IT personnel on the system?
 - 10.7 What training is provided by your organization compared to 3rd party organizations?
 - 10.8 User Groups
 - 10.8.1 Does your organization support industry user groups (relevant to LOTT)?
 - 10.8.2 Does your organization sponsor a user conference on a periodic basis?
 - 10.8.3 Are there user groups for your product that are not officially sponsored by your organization, yet your organization participates in them?
11. Licensing
- 11.1 What are the server software licensing requirements?
 - 11.2 What are the client software licensing requirements?
 - 11.3 What other client/server or OS licenses does the product require?
 - 11.4 Include a table showing the licensing structure for your product.
 - 11.5 Do you offer enterprise-based user licensing?
12. Professional Services

- 12.1 Provide your staffing model and options for professional services required for any product customization and/or additional development.
 - 12.2 Are there other vendors you would recommend to us for professional services related product implementation?
13. Product end-of-life. Please describe your product lifecycle, competing products you sell, and time of support from end-of-life announcement to actual end-of-life.
14. Describe interoperability with a 3rd party DAM solution or repositories outside of the RM system itself.

APPENDIX C: SOLUTION ATTRIBUTES

Describe your product's support for the attributes listed on the provided System Attributes list (separate Excel spreadsheet). If your proposed solution requires multiple components, modules, products or versions of such components, modules, or products, please provide a separate response for each.

System attributes are divided into 2 columns:

1) Records Management (RM) and 2) Digital Asset Management (DAM). Please reply to the items applicable to your solution.

The System Attributes list has a space for "Response." Please utilize the following codes and criteria when completing the "Response" column:

- 0 – This function or feature is not available in the current release and there are no plans to add this functionality to the system.
- 1 – This function or feature is not currently part of the standard application/solution but can be made available through customization at an additional cost.
- 2 – This function or feature is not currently part of the standard application/solution but is planned in a future release. Detail version number and approximate date.
- 3 – This function or feature is not currently part of the standard application/solution but can be made available through customization at no extra cost.
- 4 – This function or feature is a current operating function or feature of the proposed software solution.

Please note – any 3, 2, or 1 response requires additional detail or explanation in the "Comments" column.

APPENDIX D: COST OVERVIEW

1. Implementation Costs

- 1.1 Software costs for approximately 80 users.
- 1.2 Hardware costs.
- 1.3 Any additional hardware or software procurement requirements and associated costs.
- 1.4 Professional Services:
 - 1.4.1 Provide pricing data for any services not included as part of the software, hardware, or support purchase.
 - 1.4.2 Identify preferred vendor scenarios (your organization, 3rd party implementers, or LOTT) for the items above.
 - 1.4.3 Provide typical implementation timeline.
- 1.5 Pricing options:
 - 1.5.1 Provide creative pricing structures and scenarios that represent key influences on pricing. More than one proposed pricing structure per solution is acceptable.
 - 1.5.2 Detail your enterprise pricing structure.
- 1.6 Provide cost of available training and a schedule of courses.

2. Ongoing Costs

- 2.1 Software Maintenance – Standard Schedule.
- 2.2 Software Maintenance – Additional Services
 - 2.2.1 Services Offered
 - 2.2.2 Typical Pricing Structure
 - 2.2.3 Preferred Support Tiers & Pricing
- 2.3 Estimate expected FTE requirement for administration/management of the system configuration as proposed.
- 2.4 Estimate expected ongoing DBA and associated software management costs internal to LOTT.

APPENDIX E: CLIENT REFERENCES

1. Provide a minimum of three (3) client references. The following characteristics are required:
 - 1.1 Similar-scale user audience across a similarly corporate environment;
 - 1.2 Regulated/utility or similar environments; and
 - 1.3 System environments similar in scope to LOTT.

APPENDIX F: EXHIBITS

1. Attach the following information as Exhibits to your RFP Response. Include multiple versions as necessary to support adoption of your product by LOTT.
 - 1.1 Standard vendor contracts, including:
 - 1.1.1 Standard Service Agreements;
 - 1.1.2 Software License Agreement;
 - 1.1.3 Service Level Agreement;
 - 1.1.4 Maintenance and Support Agreement(s); and
 - 1.1.5 Professional Service Agreement(s).
 - 1.2 Project Management Methodology.
 - 1.3 Sample Project Plan and Schedule.
 - 1.4 Other official documents you will deliver to LOTT as part of this agreement.