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Requests for Proposals

ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS)

Proposal Number: Q1617

Due Date: 11:00 a.m. (Eastern Standard Time) on December 31, 2015

Check KCDC's web page for addenda and changes before submitting your proposal.

Pre-Proposal Meeting: None-submit questions to purchasinginfo@kcdc.org

Deliver Proposals to: Knoxville's Community Development Corporation
Purchasing Division
901 Broadway N.E.
Knoxville, Tennessee 37917

Faxed/Emailed Responses are acceptable: **Yes** **No**

Award Results: KCDC posts both a summary of the quotes received and the award decision to its web page at:

<http://www.kcdc.org/en/DoingBusiness/SolicitationResults.aspx>

Electronic Copies: Vendors are encouraged to use the MS Word version of this document. If you need an electronic copy, send an email requesting it to purchasinginfo@kcdc.org.

1. **BACKGROUND AND INTENT**

- a. Knoxville's Community Development Corporation (KCDC) is the public housing and redevelopment agency for the City of Knoxville and for the County of Knox in Tennessee. KCDC's public housing property portfolio includes seventeen housing properties with approximately 3,500 dwelling units. KCDC also administers approximately 3,700 vouchers through our Section 8 department and has three tax credit properties.
- b. KCDC wants a vendor to provide and install an electronic document management system (EDMS). KCDC'S goals and objectives include but are not limited to:
 - 1. Efficiency
 - 2. Reducing paper consumption
 - 3. Replacing existing manual storing and archiving of hard copy case files
 - 4. Depositing existing electronic records from all KCDC systems
 - 5. Providing effective controls for access and manipulation of data
 - 6. More rapid searching for data
 - 7. Securing archived materials in an electronic format
 - 8. Enhancing computer assisted workflow management throughout KCDC
 - 9. Utilizing data collection devices where it is more productive to do on-the-spot, or remotely, in order to reduce processing steps
 - 10. Versioning
 - 11. Retention policies with option of auto-purge
 - 12. eSignature
 - 13. Sharing/Export (pdf option; ability to send via email)
 - 14. Encryption
 - 15. OCR/Full Text Indexing
 - 16. Cloud Storage
 - 17. Multiple Print options (page or full document)
 - 18. User friendly and easy to understand and organize, intuitive
 - 19. Extensive storage capability
- c. KCDC maintains a variety of documents including standard correspondence, electronic forms and documents, faxes, digital images, scanned documents, drawings, word processor and html web applications. Documents flowing into the EDMS will come from desktop environments such as Microsoft Office, computer aided drawing, scan captured images, e-mails, managed inbound faxes, and computer generated data and reports such as those coming from KCDC's ERP system.
- d. The interface for the management of the new EDMS and for the clients who use it is to be simple, ubiquitous and easily configured. Internal clients do not wish to navigate a complex process in order for their documents to become part of a document repository nor do they want a complex interface to do searching, retrieval and printing. Clients may be accessing the system as application clients, inter/intranet browsers or via another application interface.

- e. KCDC manages a records retention policy for records mandated by the United States Department of Housing and Urban Development (HUD) and the State of Tennessee. This is an integral part of its document management environment.
- f. Records are also shared between certain KCDC departments and federal, state and local agencies. The selected EDMS shall provide an easy method for sharing documents between these entities and KCDC.
- g. A complete and comprehensive selection of security features is essential for KCDC. Security may be required within a document through redaction. Some security may be obtained via access control, while other security may best be obtained via document categories or templates.
- h. KCDC presently holds about 4 million archived documents without electronic record or backup. KCDC maintains a software package called "Application Extender" which currently stores 10,000,000 documents and generates approximately 350,000 documents annually. These remain retrievable in an electronic format.
- i. KCDC has its main office complex and 17 remote sites. There will be scanning at all sites but the primary users are located at KCDC's Main Office and Section 8 office.

2. **CHANGES AFTER AWARD**

It is possible that after award KCDC will need to revise the service needs or requirements specified in this document. KCDC reserves the right to make such changes after consultation with the vendor. Should additional costs arise, KCDC reserves the right to accept these charges provided the vendor can document the increased costs. KCDC reserves the right to add or delete sites (properties) as needs change.

3. **CONTACT POLICY**

The vendor may not contact anyone other than the KCDC's Purchasing Division from the issuance of this solicitation until award about matters pertaining to this solicitation. Information obtained from an unauthorized officer, agent, or employee of KCDC will not affect the risks or obligations assumed by the vendor or relieve the vendor from fulfilling any of the conditions of the resulting award for the purpose of this project. Additionally, such contact can disqualify the vendor from participation in the solicitation process.

4. **CONTACT PERSONNEL**

A good working relationship must develop between KCDC and the successful vendor. The vendor will not have more than two persons to handle billing inquiries and service related issues. In the event one or both contacts leave the KCDC account, the successful vendor will introduce the new contacts to KCDC personnel.

5. **EVALUTION:**

KCDC will determine the responsiveness and responsibility of each submission. Once responsiveness and responsibility are determined, KCDC will evaluate the remaining responses on these criteria:

Item	Points
Costs on Submittal Document G	30
Proposed System/Solution on Submittal Document E	30
References on Submittal Document F	5
Technical Information on Submittal Document D	25
Vendor's Response to KCDC's Expectation Chart on Submittal Document H	
Vendor Capability on Submittal Document C	10
Total Possible Points	100

- a. The evaluation team may choose to first rank the submittals in ordinal order. If so, KCDC will only score the highest ranked submittals in detail.
 - b. If oral presentations are required, the Procurement Director will arrange structured oral presentations by each vendor on the shortlist. KCDC reserves the right to require the vendor to provide a demonstration of the product and all of its options and functions.
 - c. After completion of interviews and negotiations, the evaluation team will recommend an award to the Procurement Director.
 - d. KCDC will consider as "non-responsive" any submission from which required information is lacking or any submission that represents a material deviation from this solicitation.
 - e. KCDC reserves the right to request additional information from any vendor after the submission deadline. KCDC also reserves the right to reject any and all, or part(s) of any and all submission, to select one or more vendors, or to award no award and re-advertise this solicitation; postpone or cancel the process at any time, and to waive any irregularities in this solicitation or in submissions received as a result of this solicitations.
 - f. All materials submitted pursuant to this solicitation become KCDC's property. KCDC does not release information about submittals until the process is complete and a recommendation is ready for the KCDC Board.
 - g. KCDC reserves the right to use all pertinent information whether disclosed in the solicitation process or learned from sources that affect KCDC's judgment as to the appropriateness of an award to the best-evaluated vendor.
6. **GENERAL INSTRUCTIONS**
 KCDC no longer inserts "General Instructions to Vendors" in the solicitation document. Instead, these instructions are at www.kcdc.org. Click on "Doing Business With KCDC" where you will find a link to the instructions. By submitting a response to this solicitation, the vendor accepts the responsibility for downloading, reading and abiding by the terms and conditions set forth in KCDC's "General Instructions to Vendors." Vendors may wish to review certain applicable HUD instructions on KCDC's webpage.

7. **INSURANCE**

The vendor shall maintain, at its sole expense, at all times during the life of the agreement/contract insurance coverages and limits in accordance with the vendor's standard business practices and acceptable to KCDC.

Upon award, the vendor shall provide Certificate(s) of Insurance to KCDC evidencing said insurance coverages.

KCDC reserves the right, but not the obligation, to review or revise any insurance requirement, not limited to limits, coverages and endorsements based on insurance market conditions affecting the availability or affordability of coverage; or changes in the scope of work/specifications affecting the applicability of coverage.

The vendor agrees the insurance requirements herein as well as KCDC's review or acknowledgement, is not intended to and shall not in any manner limit or qualify the liabilities and obligations assumed by the vendor under this agreement/contract.

8. **INVOICING/ORDERING**

- a. Until a purchase order (or formal contract) is in place, work is not to be performed nor are goods to be delivered. As purchase orders (or formal contracts) authorize work and obligate payment, if a vendor performs work without a purchase order in place, KCDC does not have a legal obligation to pay for the work.
- b. Depending upon the nature and volume of the award, vendors may:
 - 1. Bill once per month (or other agreed upon frequency)
 - 2. Provide a monthly statement that recaps all charges for the month
 - 3. Transmit invoices to the ordering official
- c. Invoices must:
 - 1. Be numbered
 - 2. Have a date on them that is after the work is completed or goods delivered
 - 3. Show the purchase order number
 - 4. Breakdown pricing according to the award structure. For instance, if the award is priced by the hour, then the invoice needs to show the hours and rates. This is important so that KCDC can quickly compare the rates charged with the approved rates. For example:

ACME Company 123 Any Street Sometown, TN 37999 865.555.1212			
Invoice Date	05-31-15		
Invoice Number	12345		
Purchase Order Number	123456-123456		
Service/Delivery Date	05-28-15		
Service/Goods Details			
Item	Rate	Quantity	Total
Labor Hours-Laborer (per bid)	\$20.00	6	\$120.00
Labor Hours-Technician (per bid)	\$25.00	4	\$100.00
Rock (per ton with 8% discount)	\$50.00	1	\$50.00
Dumping Fee	\$100.00	1	\$100.00
Boards, 2 x 4, pressure treated (per bid)	\$1.00	75	\$75.00
Grand Total			\$445.00

Note: KCDC strongly encourages vendors to supply computer generated or otherwise typed invoices instead of hand completed invoices.

- d. Invoices must be submitted within 90 days of the date the goods or services were provided. KCDC reserves the right to not pay invoices submitted after the 90-day threshold.
- e. KCDC is exempt from all taxes levied by the State of Tennessee, its cities and counties, as well as most federally imposed taxes. However if vendors purchase goods for KCDC, the vendor must pay sales or “use tax.” Upon the placement of a purchase order or the award of a contract, KCDC will provide a State of Tennessee Sales Tax Exemption form to the vendor. Taxes shown on KCDC’s invoices will not be paid.
- f. KCDC normally pays by electronic transfer (ACH) only. KCDC does not issue checks.
- 9. **LENGTH OF AWARD**
The length of the award will initially be 12 months. The award has four one-year optional renewals that can be exercised upon KCDC's request.
- 10. **QUESTIONS**
Submit questions via email with “Questions about Electronic Document Management System” in the subject line, at least five days prior to the due date to purchasinginfo@KCDC.org.

Scope of Work

1. **KCDC’S EXISTING TECHNICAL ENVIRONMENT**

The following table provides information about KCDC’s current technical environment. KCDC will evaluate and score the proposed EDMS’s compatibility with this environment.

KCDC Technical Environment	
Component	Minimum Specifications
Server	<ul style="list-style-type: none"> • Windows – Dell m620 Blades
Operating System	<ul style="list-style-type: none"> • Windows – Server 2008 and 2012 R2
Web Server	<ul style="list-style-type: none"> • IIS V7
DBMS	<ul style="list-style-type: none"> • MS SQL Server 2008 R2 and 2012 R2
Storage	<ul style="list-style-type: none"> • Server attached storage by iSCSI connection EqualLogic PS6100. VessRAID 1840i
Application Architecture	<ul style="list-style-type: none"> • Windows .NET framework 4 • C# or VB ASP.NET
Enterprise Backup	<ul style="list-style-type: none"> • Veeam Backup and Replication
Reporting Services	<ul style="list-style-type: none"> • Crystal Reports 2013
Authentication Services	<ul style="list-style-type: none"> • Active Directory • LDAP • Kerberos
Email Services	<ul style="list-style-type: none"> • MS Exchange 2013
Message and Email Interface	<ul style="list-style-type: none"> • Outlook 2010/2013 and OWA
Network Communication Protocol	<ul style="list-style-type: none"> • TCP/IP
Network Connection	<ul style="list-style-type: none"> • Client to server: 1 Gbps • Server to server: 10 Gbps
Wireless Protocol	<ul style="list-style-type: none"> • 802.11ac
Desktop Web Browser – Internal	<ul style="list-style-type: none"> • MS IE 11
Desktop	<ul style="list-style-type: none"> • OS – Windows 8.1 Enterprise Service Pack 1 • Processor – Intel i5 • Memory – 4GB • Storage – Hybrid 500GB SATA • Monitor Resolution – 1024x768 or higher
Scanners	<ul style="list-style-type: none"> • Fujitsu 4000, 6000 and 7000 series

2. **PRESENT DOCUMENT STORAGE METHODOLOGY**

KCDC presently operates the Application Extender electronic document management system. Electronic records for these are maintained on Windows servers.

3. **OVERALL SYSTEM REQUIREMENTS**

The system needs to perform classical EDMS functionality: versioning, checkout and check-in, security by document, document type, user, and user role. The solution needs to incorporate repository functionality, such as retention scheduling and auditing.

- a. Modularized Functionality:
- An ADMINISTRATION component to allow configuration of the major aspects of the system.
 - A SCANNING module to allow entry of paper documents into the system. This will include the hardware, any on-board image correction in firmware, and controlling software, to include zonal OCR and forms recognition.
 - A REVIEW component to allow entry of metadata not picked up by OCR, and to assure validity of the scanned images and correct those that have failed confidence levels.
 - An IMPORT component for allowing automatic entry of documents from our extant systems.
 - A VIEWING interface that provides basic search, display and document-based functionality such as check-out, check-in and versioning.
 - An EDITING component to allow functions such as document assembly, redaction and annotation.
 - A WORKFLOW module which shepherds documents through predefined work processes routed through other modules.
 - An EXPORT facility which allows search results or predefined document sets to be exported via paper, disc or online.
- b. Document Assembly: The system must allow document assembly, including selection and export of single or multiple pages, page reorder, annotation, ability to print as well as printing restriction, document export, and manual archiving.
- c. Retrieval: Paper and electronic documents must be easy and intuitive to route and retrieve from the EDMS. There must be more than one way to perform either activity.
- d. Search: Documents must be locatable through a full text search engine as well as a folder-based, hierarchical organization.
- e. Access: Access to repository data must be available on all points of the network, including VPN access.
- f. Scanning: The scanning component must include batch scanning, color scanning, document and form recognition, zonal OCR, and an interface for manually correcting documents that fail scanning confidence level. Scanning is only required in English.

4. **TECHNICAL AND INFRASTRUCTURE REQUIREMENTS**

- a. Application Integration: The solution must integrate with Microsoft Office, which is responsible for the bulk of KCDC document generation. Repository functionality must be available from within the applications. The solution must provide for integration with KCDC's current ERP system (Emphasys) to facilitate the automatic entry of computer-generated documents into the repository.
- b. Network Integration: Client interface must be web based. The system must integrate with the current user directory service and provide a single-sign on to the system. The system must retain full functionality in Citrix sessions.
- c. Media: All media types must be storable in the repository.

5. **IMPLEMENTATION**

- a. KCDC wants full support in its implementation of this EDMS. The following are included, where applicable to the proposed EDMS:
 - Table and system set-up and configuration
 - Best practices for DMS usage
 - Security design and set-up
 - Configuration of interfaces with other extant software applications
 - Installing custom features and data structures required by KCDC
- b. Integration Interface Development: The vendor will work with KCDC's IT staff and its vendors to interface the proposed EDMS with certain software applications including Emphasys and Microsoft Office Suite.
- c. The following reflects the types of training KCDC expects:
 - 1. End-user training to include:
 - General application design, screen navigation, tool bar use
 - Individual user customization for personal preferences
 - 2. System administration training to include:
 - Knowledge transfer of schema, system configuration and set-up
 - Operations and maintenance systems programming
 - Sustaining support functions for custom interfaces, if any, created for extant KCDC software applications

6. **SYSTEM CONSIDERATIONS**

Solutions will accommodate the following system considerations:

- a. Accommodate the Microsoft Windows desktop environment and operate in KCDC's network.
- b. Be designed using server(s), data storage and an application platform sufficient to allow for significant growth of electronic records from both scanned and electronic documents.
- c. Support an open-interface environment.

7. **MAINTENANCE AND SUPPORT CONSIDERATIONS**

Solutions will accommodate the following maintenance considerations:

- a. The vendor will support all software proposed for at least five years and for at least four years following declaration of product version's end of life.
- b. Correct program errors found in the software system within a timely fashion and at no cost to KCDC for a period of one year from the date of final KCDC certified implementation.

Submittal Instructions

Follow these steps and guidelines when preparing your proposal.











1. Submit your qualifications statement in the order and format indicated on the following pages. **Solicitation Document A is to be the first page of your submittal**, followed by Solicitation Document B and so on.
2. Place your company's name on each page.
3. Number all pages consecutively. Indicate on all pages the section that you are responding to as shown on the following pages.
4. Be thorough yet succinct in responding to this document. The use of tables in presenting information, where appropriate, will facilitate the evaluation team's review.
5. Submit one original (with all pages marked "original") and one electronic copy (email or flash drive /CD) of your submittal.
6. Fancy brochures and advertisements are not necessary.
7. ***Do not*** use phrases such as "See the attached" or "Will be provided upon award."
8. If you have attachments, mark them (on the cover) with the vendor's name.
9. Bind proposals simply since KCDC ultimately scans documents into electronic format. Acceptable binding methods include paper clips, staples and three ring binders.
10. This document is available in MS WORD format and ***vendors are encouraged*** to use the Word version for their responses. If you are interested in obtaining the Word document, please email purchasinginfo@kcdc.org. Note that KCDC's Adobe copy of the document will remain the "official" version of the document. The Word version will not have some forms which are only available in Adobe format.

THIS AND THE PREVIOUS PAGES DO NOT NEED TO BE RETURNED

ELECTRONIC DOCUMENT MANAGEMENT SYSTEM Q1617

Solicitation Document A General Response and Vendor Information

General Information about the Vendor

Sign Your Name to the Right of the Arrow  Your signature indicates that you have read and agree to "KCDC's General Instructions to Vendors" on www.kcdc.org .	
Printed Name and Title 	
Company Name 	
Street Address 	
City/State/Zip 	
Contact Person (Please Print Clearly) 	
Telephone Number 	
Fax Number 	
Cell Number 	
Vendor's e-mail address (Please Print Clearly) 	

Addenda

Addenda are posted at www.kcdc.org. Click on "Doing Business With KCDC" and then on "Open Solicitations" to find addenda. Please check for addenda prior to submitting a quote.

Acknowledge addenda have been issued by checking below as appropriate:

None <input type="checkbox"/>	Addendum 1 <input type="checkbox"/>	Addendum 2 <input type="checkbox"/>	Addendum 3 <input type="checkbox"/>	Addendum 4 <input type="checkbox"/>	Addendum 5 <input type="checkbox"/>
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Statistical Information

This business is owned & operated by persons at least 51% of the following ethnic background:

Asian/Pacific <input type="checkbox"/>	Black <input type="checkbox"/>	Hasidic Jew <input type="checkbox"/>	Hispanic <input type="checkbox"/>	Native <input type="checkbox"/> Americans	White <input type="checkbox"/>
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As defined on KCDC's webpage (see the "General Instructions to Vendors"), this business qualifies as being:

Section 3 <input type="checkbox"/>	Small Business <input type="checkbox"/>	Woman Owned <input type="checkbox"/>
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Vendor: _____

1. Vendor fully understands the preparation and contents of the attached offer and of all pertinent circumstances respecting such offer;
2. Such offer is genuine and is not a collusive or sham offer;
3. Neither the said vendor nor any of its officers, partners, owners, agents, representatives, employees or parties interest, including this affiant, has in any way colluded conspired, connived or agreed, directly or indirectly, with any other responder, firm, or person to submit a collusive or sham offer in connection with the award or agreement for which the attached offer has been submitted or to refrain from making an offer in connection with such award or agreement, or collusion or communication or conference with any other firm, or, to fix any overhead, profit, or cost element of the offer price or the offer price of any other firm, or to secure through any collusion, conspiracy, connivance, or unlawful agreement any advantage against KCDC or any person interested in the proposed award or agreement; and
4. The price or prices quoted in the attached offer are fair, proper and not tainted by any collusion, conspiracy, connivance, or unlawful agreement on the part of the firm or any of its agents, representatives, owners, employees, or parties in interest, including this affiant.
5. The vendor is not ineligible for employment on public contracts because of a conviction or guilty plea or a plea of nolo contendere to violations of the Sherman Anti-Trust Act, mail fraud or state criminal violations with an award let by the State of Tennessee or any political subdivision thereof.
6. No commissioner or officer of KCDC or other person whose duty it is to vote for, let out, overlook or in any manner superintend any of the work for KCDC has a direct interest in the responder.
7. No employee, officer or agent of the grantee or subgrantee will participate in selection, or in the award or administration of an award supported by Federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when the employee, officer or agent, any member of his immediate family, his or her partner, or an organization, which employs, or is about to employ, any of the above, has a financial or other interest in the firm selected for award.
8. The grantee's or sub-grantee's officers, employees or agents will neither solicit nor accept gratuities, favors or anything of monetary value from vendors, potential vendors, or parties to sub-agreements.
9. By submission of this form, the vendor is certifying that no conflicts of interest exist.

The undersigned hereby acknowledges receipt of the above applicable laws and verifies that the proposal submitted in response to this solicitation is in full compliance with the listed requirements.

Signed by _____	
Printed Name _____	
Title _____	
Subscribed and sworn to before me this date	
By (Notary Public) _____	
My Commission Expires on _____	

Vendors are to provide the information requested below so that KCDC can determine their capacity to perform the required work. Vendors may provide additional relevant information as they desire.

1. A narrative of the firm's history
2. Years in business
3. Number of clients with the proposed software (the specific release proposed for KCDC). Indicate if you have any public housing authority clients. If so, provide their contact points.
4. The firm's revenues in 2014 and 2015
5. Has your firm ever failed to complete an award?
6. Has your firm been involved in bankruptcy or reorganization?
7. Are there pending judgments for suits against your firm?
8. Staff Size
 - Total Staff Size
 - Clerical Staff Size
 - Management Staff Size
 - Installers
 - Support
 - Other
9. Describe your firm's experience with Electronic Document Management System development and implementations.
10. Attach a recent audited financial statement. In lieu of audited financial statements, vendors may substitute a copy of a review report prepared by an independent Certified Public Accountant for the most recent, completed year. If neither is available, please provide a Balance Sheet and Income Statement for the most recent, completed year, prepared in accordance with generally accepted accounting principles (GAAP), including all required informative disclosures.
11. Provide a high-level overview of your company and its products and services. This summary should focus on the proposed solution and the experience brought to the project.
12. Identify your company's contributions to the EDMS industry through its participation in national associations, trade groups or standards making bodies.
13. Provide a description of your current on-going industry partnerships, specifically any that relate to platforms, application environments, or developer partners. If you are a designated partner with a ranking such as "Gold Reseller" or other designation that identifies the level of your partnership please indicate as such.

Provide the information requested below so that KCDC can determine their technical capacity to perform the required work. Vendors may provide additional relevant information if desired.

1. Describe the qualifications of your Project Team who will be assigned to this project and demonstrate that this team has a track record of successful outcomes in similar engagements. List the names, experience and qualifications of the staff proposed for this project, including your own staff and the staff of any sub-contractors utilized hereunder.
 - a. If this proposal is a joint venture, affiliation or consortium of two or more companies or independent contractors, provide the names, addresses, and responsibilities of each entity.
 - b. If any subcontractors are used to provide the products and/or services, identify the names, addresses, related work experience, and responsibilities of each such sub-contractor.
2. Describe how your firm would work with KCDC's IT Staff, along with techniques to provide knowledge transfer.
3. Describe, in detail, the methodology that your firm expects to use and explain its approach to conducting this project; include a timeline for development and implementation.
4. In your experience, what were the major factors that contributed to your most successful project?
5. What were the key factors that contributed to major problems in establishing EDMS projects?
6. Describe how your clients transitioned to the new services as goals and objectives were reached. Include methods of addressing any resistance to change.
7. Describe the support that is available from your firm, post-implementation. Provide concrete, detailed information.
8. Describe the minimal specifications for the servers, the number of servers needed and the software/hardware configuration of each that will be required to support the proposed EDMS. Describe how these will allow for growth and expansion.
9. Describe your approach to backups and list all regularly scheduled down times.
10. List your recommendations for network specifications in order to insure that response times for users will be as quick as possible.
11. How much bandwidth is required from the server to the backbone and then to desktop is necessary to achieve this response time?
12. Describe the minimum specifications for workstations, scanners and printers.
13. This system will reside behind a corporate firewall, but will be shared by branch offices over a high-speed WAN. Address possible problems and, through your experience, your resolution to any firewall related issues.
14. Automatic email archival is not required. The ability to export email from Outlook into the repository is definitely a requirement.

Provide a complete description of the EDMS and your proposed approach to the project as it relates to the KCDC's needs and desires as specified herein.

1. Describe how your system provides each of the following functions of an EDMS:
 - a. Scanning and importing tools to bring documents into the system.
 - b. Methods and capacities for archiving and storing documents.
 - c. Indexing systems to organize documents.
 - d. Search and/or retrieval tools to find documents.
 - e. Security and access control to provide documents or portions of documents only to authorized people.
 - f. Methods and tools for systems integration such as API's, toolkits, programming languages used and/or services provided.
 - g. Exporting tools getting documents out of the system.
2. Include a timeline that identifies and shows the duration of each major component of the work and the time required to develop, install, and fully implement the pilot projects, including time for training the KCDC's trainers.
3. Identify any special cabling, server, computer terminals, or power requirements required for installation and operation of the system that will be KCDC's responsibility.
4. List and briefly describe all software documentation that is to be provided, when it will be made available, in what format(s), (e.g., printed, electronic), and the number of copies of each format that will be delivered and included as part of your proposal.
5. Describe what services you perform that are included in your software price. Examples might include installing the software on the server, configuring parameters and other system tables, modifying screen layouts, modifying report layouts, and "go-live" support. If a certain number of hours is available to perform certain tasks (e.g., project management, screen and/or report changes), indicate the number of hours for each type of activity included.
6. The EDMS must allow users to send and receive information, subject to varying security levels. Describe whether your system has this functionality, or how you could provide it if it does not.

7. Describe ongoing application software maintenance and technical support provided by your firm.
 - a. Indicate whether you provide toll-free or other telephone service to a staffed help desk, and whether you provide direct telephone access to your company's technical experts.
 - b. Indicate how frequently you issue upgrades and new releases (versions) of your EDMS software, and specify whether such upgrades or new releases are included either as part of the initial purchase price or as part of any maintenance and/or support fees that may be applicable.
 - c. Include business hours when each type of maintenance or support service is available.
 - d. If a certain number of hours are included for specific tasks (e.g., 20 hours per year for assistance in setting up ad hoc reports), indicate the tasks and number of hours for each.
 - e. Review the software problem situations described below and the KCDC's desired response times for resolution of such problems, and provide a statement of whether you will meet such desired response times. If you cannot resolve such problems within such desired response times, state the response time that you could meet for each situation. KCDC intends to include specific response times (in hours or days) in any resulting contract.
 1. Priority 1 Problem - The system fails and goes down. KCDC desires a 1-hour callback and a 24-hour problem resolution response time.
 2. Priority 2 Problem - The system is up, but KCDC cannot complete a critical function. KCDC desires a 4-hour callback and a 48-hour problem resolution response time.
 3. Priority 3 Problem - The system is up, but there is an annoyance issue (such as not being able to run a non-critical report, even though everything else runs). KCDC desires a 24-hour callback and a 5-day problem resolution response time.
 4. Enhancements - KCDC requests a custom software enhancement or modification. KCDC desires to receive a detailed bid and timeline for completing full implementation of the enhancement within two week after KCDC has provided a full definition of its enhancement need.
 5. Technical questions. KCDC desires a 4-hour callback.
8. Describe the ongoing maintenance (e.g., database administration and database management system maintenance) tasks to be performed by KCDC that are required for your system on a daily, weekly, monthly or annual basis.

9. KCDC may elect to conduct interviews with one or more vendors and/or have such vendors give a product demonstration to KCDC. Describe what options you have for demonstrating your product in Knoxville, Tennessee at KCDC's office. The demonstration will represent the system's capabilities and allow "hands-on" experience by KCDC representatives. This demonstration will be part of the evaluation and scoring process.
10. Provide a complete description of all warranties that apply to the EDMS, including the warranty period and the warranty terms.
11. KCDC wants to either (a) acquire the system's software source code and documentation as part of the system purchase, or (b) have an escrow arrangement set-up whereby KCDC will be provided with such source code and documentation if the vendor should go out of business or, for any reason, stop providing support for the EDMS. State whether (a) KCDC will obtain the system's software source code and documentation as part of the system purchase or (b) an escrow arrangement will be set-up as described above.
12. In addition to the specific services and equipment requested by this RFP, identify and/or recommend any additional services, products, special knowledge or skills provided by your firm that would be beneficial to KCDC in meeting its service and equipment needs. Identify any costs for such services, products, knowledge, or skills. If there is a better way for KCDC to define the services that it has requested herein please provide proposed methods to achieve better pricing and/or service.
13. Provide a proposed schedule for completing the work.
14. Include a complete description of the proposed system's basic technology and software, including application software and/or programming language, and describe how the system will be installed.

Vendors are to provide the reference information requested below. Vendors may provide additional relevant information.

1. Provide five client references using the proposed product (regardless of version) that your company has completed over the last 5 years. You may include projects that are in progress. However KCDC does prefer references with the proposed version.
2. A company is one reference even if you have performed multiple jobs for them.
3. KCDC reserves the right to contact and interview the listed references via electronic survey means and without prior notice. Notify your references in advance that they will be contacted.
4. KCDC assumes no responsibility for reference responses and will not consider any reference who does not reply within three working days.
5. Provide these pieces of information for each reference:
 - Name of the business
 - Contact person
 - Contact person title
 - Contact person's telephone number
 - Contact person's email address
 - Description of the software/hardware used
 - Identify contract issues and explain how they were addressed and resolved
 - Was a conversion included? (i.e. moving from another system to your proposed software).

1. Detail the total cost for the project, listing charges and expenses as fully as possible. Identify the components of the overall cost including:
 - Configuration
 - Hardware
 - Hardware installation
 - On-going maintenance/support costs (indicate how long these costs are valid)
 - Scanning services costs (if desired by KCDC)
 - Software
 - Software installation (including interfaces)
 - Training KCDC personnel on the use of the system
 - Travel
- a. The offered EDMS must include concurrent licensing for at least twenty users and KCDC must be able to add (or delete) users as its needs change. If your software license is limited to a certain number of users or is priced for different blocks of users, or other criteria then state the maximum number of licensed users for the EDMS (as offered), and identify any additional price(s) to license additional users and any price breaks for different numbers or blocks of users.
- b. As part of its obligations in providing such EDMS, it is expected that the vendor shall convert and/or import approximately 30,000 electronic documents from the current database (Application Extender) to the new EDMS. Identify your expected method and timeline.
2. Identify any hardware that is integral to your system that KCDC cannot purchase on its own through arrangements with other vendors.
3. If any recommended brand of hardware or equipment is required because an equivalent or comparable alternative does not exist, please note this in your listing.
4. Identify what hardware and operating systems are compatible with the system or required to install and run the system, but that are not normally provided by you as part of the system and that you would expect to be provided by KCDC.
5. Describe what makes this budget reasonable for the services requested.
6. Provide a statement that all costs/pricing provided in your response will remain valid for possible acceptance by KCDC for 90 days from the proposal due date.
7. When completing any resulting contract, KCDC may require adjustments to the proposed total price to reflect declined optional items and modification of needs defined during or after the evaluation process but prior to contract execution. Provide a statement indicating your willingness to accommodate modifications as described.

KCDC has certain expectations regarding features of the EDMS that it will use in evaluating proposals. Vendors must use the Legend below to complete the following evaluation table titled “KCDC’s Expectations for the System”, which contains questions regarding the functionality of the proposed software. Follow the instructions provided.

1. Provide or attach any notes at the end of the evaluation table.
2. Vendors may be required to demonstrate in a formal presentation specific functionality of the software based on the answers to the evaluation table.

LEGEND FOR USE IN EXPECTATIONS EVALUATION TABLE BELOW				
Boxes A-E, when checked in the table of Expectations below, have the following meanings:				
A.	B. *	C. *	D. **	E.
Standard, requires no customization	Available with minimal customization	Available with major customization	Alternate feature to accomplish similar task	Not Available
* For responses in the B or C categories, on a separate sheet, list the item number and provide a complete description of customization required to comply.				
** For responses in the D category, on a separate sheet, list the item number, provide a complete description of alternate feature and why it performs essentially as well or better than the KCDC’s expected feature.				
Compliance responses and associated descriptions will be evaluated and factored as part of the contract selection process.				
Unchecked expectations will be considered “not available” and given a “0” technical score for that feature.				

ELECTRONIC DOCUMENT MANAGEMENT SYSTEM Q1617

Solicitation Document H EXPECTATIONS CHART -Continued

Complete the table below by checking the applicable response codes (A, B, C, D, or E) as described in the legend above:

KCDC's EXPECTATIONS FOR THE SYSTEM		Check the appropriate column				
		A	B	C	D	E
	General System Expectations					
1.	Provides a standard Windows, Windows Explorer "look and feel" user interface for storing, retrieving, deleting and moving documents.					
2.	Provides reports so the Administrator(s) can monitor and manage functional activities of the system for which they are responsible.					
3.	Includes a records management component including a retention scheduling mechanism for documents and other files.					
4.	The system allows a compound document to be captured as a single document. (For example, documents such as web pages with graphics, e-mails with attachments, or CAD drawings with images are composed of more than one component. The system captures all of these components and maintains them as one document, or maintains a link to the other components. This means maintaining the relationships between the components to ensure future retrieval, rendering, management, editing and retention or disposal.)					
5.	Provides real time input and retrieval of documents and drawings as well as the option of batch-controlled input via scanners or file processing.					
6.	Provides an audit trail for additions, updates and deletions.					
7.	Non-technical, easy to use language for user documentation.					
8.	Online help which is searchable.					
9.	Written or electronic documentation manuals.					
10.	Provides a workflow process or access control, for managed check in and checkout of documents, tracking and collaboration.					
11.	Documentation of errors and probable cause for troubleshooting.					
12.	Databases can be accessed with standard report writing, query tools for ad hoc reports and development.					
13.	Uses an industry standard SQL database such as Microsoft SQL server, ORACLE et cetera.					
14.	Includes an Application Program Interface (API) allowing system integration by the vendor or by the customer's IMS staff.					
15.	Database is open database connectivity (ODBC) compliant.					
16.	Storage is managed by the system.					
17.	The actual storage location is transparent to the user whether it is on the server or a mass storage device.					

KCDC's EXPECTATIONS FOR THE SYSTEM		Check the appropriate column				
		A	B	C	D	E
18.	Remote sites (LAN or WAN) can be attached to the imaging system to scan, index, retrieve, archive, and print images regardless of location within the organization.					
19.	Able to direct faxes for archive into the EDMS.					
20.	Able to direct e-mail documents for archive into the EDMS.					
21.	System has intranet and internet capability for accessing and managing documents in the EDMS.					
22.	Includes a robust viewer capable of viewing all industry standard Office file types and all industry standard formats (i.e. AutoCad 2000, 2000i, 2002, .dwg, bak. - Adobe Photoshop 5.5, 6.0, .psd. - Paintshop Pro .psp. - MPEG layer1 & layer2 mpg. - MicroStation v6.0. 1 and higher drawing file .dgn and V8 conversion support. - Seagate Crystal Reports. rpt. - Integration w/Mr.SID Viewer for .sid files used in GIS. - Microsoft Project 2000 files .mpd, .mpx, .mpp .mpt and others .avi, .bmp, tif .pdf, .eps).					
23.	Viewer supports sizing and moving as well as image zooming, panning and cropping, with NO image or data loss. Note: This is used for printing zoomed areas of maps for customers that only want a section of data.					
24.	Ability to store, index and retrieve any document or file type, including scanned images of any type, video and audio files, inbound fax files, and documents created and saved or imported from other software applications such as Microsoft WORD, Excel and E-Mail from Outlook.					
25.	Document versioning.					
26.	E-Mail event notification of collaboration or workflow elements such as: approvals, receipt, completion, status, etc.					
27.	Approval, notification, review, and commit features can be made available to selected users.					
28.	Microsoft Office applications such as Excel, Word can provide documents directly into the EDMS using the toolbar "save as" command and/or document templates or styles.					
29.	The supplied viewer(s) can be rapidly upgraded to support new file types as they emerge.					
30.	The system supports or incorporates seamless and dynamic content management flow to internet and intranet destinations.					
31.	The system presents a clear commitment to XML for web elements and data interchange.					
32.	The system can effectively interact with and store data from KCDC's ERP system-Emphasys Elite.					

Vendor: _____

Certifications and Representations of Offerors

Non-Construction Contract

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

This form includes clauses required by OMB's common rule on bidding/offering procedures, implemented by HUD in 24 CFR 85.36, and those requirements set forth in Executive Order 11625 for small, minority, women-owned businesses, and certifications for independent price determination, and conflict of interest. The form is required for nonconstruction contracts awarded by Housing Agencies (HAs). The form is used by bidders/offerors to certify to the HA's Contracting Officer for contract compliance. If the form were not used, HAs would be unable to enforce their contracts. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

1. Contingent Fee Representation and Agreement

(a) The bidder/offeror represents and certifies as part of its bid/offer that, except for full-time bona fide employees working solely for the bidder/offeror, the bidder/offeror:

(1) *has*, *has not* employed or retained any person or company to solicit or obtain this contract; and

(2) *has*, *has not paid* or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

(b) If the answer to either (a)(1) or (a)(2) above is affirmative, the bidder/offeror shall make an immediate and full written disclosure to the PHA Contracting Officer.

(c) Any misrepresentation by the bidder/offeror shall give the PHA the right to (1) terminate the resultant contract; (2) at its discretion, to deduct from contract payments the amount of any commission, percentage, brokerage, or other contingent fee; or (3) take other remedy pursuant to the contract.

2. Small, Minority, Women-Owned Business Concern Representation

The bidder/offeror represents and certifies as part of its bid/offer that it:

(a) *is*, *is not a small business concern*. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding, and qualified as a small business under the criteria and size standards in 13 CFR 121.

(b) *is*, *is not a women-owned small business concern*. "Women-owned," as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

(c) *is*, *is not a minority enterprise* which, pursuant to Executive Order 11625, is defined as a business which is at least 51 percent owned by one or more minority group members or, in the case of a publicly owned business, at least 51 percent of its voting stock is owned by one or more minority group members, and whose management and daily operations are controlled by one or more such individuals.

For the purpose of this definition, minority group members are:

(Check the block applicable to you)

- | | |
|---|---|
| <input type="checkbox"/> Black Americans | <input type="checkbox"/> Asian Pacific Americans |
| <input type="checkbox"/> Hispanic Americans | <input type="checkbox"/> Asian Indian Americans |
| <input type="checkbox"/> Native Americans | <input type="checkbox"/> Hasidic Jewish Americans |

3. Certificate of Independent Price Determination

(a) The bidder/offeror certifies that—

(1) The prices in this bid/offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other bidder/offeror or competitor relating to (i) those prices, (ii) the intention to submit a bid/offer, or (iii) the methods or factors used to calculate the prices offered;

(2) The prices in this bid/offer have not been and will not be knowingly disclosed by the bidder/offeror, directly or indirectly, to any other bidder/offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the bidder/offeror to induce any other concern to submit or not to submit a bid/offer for the purpose of restricting competition.

(b) Each signature on the bid/offer is considered to be a certification by the signatory that the signatory:

(1) Is the person in the bidder/offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above; or

(2) (i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above (insert full name of person(s) in the bidder/offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the bidder/offeror's organization);

(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and

(iii) As an agent, has not personally participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above.

(c) If the bidder/offeror deletes or modifies subparagraph (a)2 above, the bidder/offeror must furnish with its bid/offer a signed statement setting forth in detail the circumstances of the disclosure.

4. Organizational Conflicts of Interest Certification

(a) The Contractor warrants that to the best of its knowledge and belief and except as otherwise disclosed, it does not have any organizational conflict of interest which is defined as a situation in which the nature of work under a proposed contract and a prospective contractor's organizational, financial, contractual or other interest are such that:

- (i) Award of the contract may result in an unfair competitive advantage;
- (ii) The Contractor's objectivity in performing the contract work may be impaired; or
- (iii) That the Contractor has disclosed all relevant information and requested the HA to make a determination with respect to this Contract.

(b) The Contractor agrees that if after award he or she discovers an organizational conflict of interest with respect to this contract, he or she shall make an immediate and full disclosure in writing to the HA which shall include a description of the action which the Contractor has taken or intends to eliminate or neutralize the conflict. The HA may, however, terminate the Contract for the convenience of HA if it would be in the best interest of HA.

(c) In the event the Contractor was aware of an organizational conflict of interest before the award of this Contract and intentionally did not disclose the conflict to the HA, the HA may terminate the Contract for default.

(d) The Contractor shall require a disclosure or representation from subcontractors and consultants who may be in a position to influence the advice or assistance rendered to the HA and shall include any necessary provisions to eliminate or neutralize conflicts of interest in consultant agreements or subcontracts involving performance or work under this Contract.

5. Authorized Negotiators (RFPs only)

The offeror represents that the following persons are authorized to negotiate on its behalf with the PHA in connection with this request for proposals: (list names, titles, and telephone numbers of the authorized negotiators):

6. Conflict of Interest

In the absence of any actual or apparent conflict, the offeror, by submission of a proposal, hereby warrants that to the best of its knowledge and belief, no actual or apparent conflict of interest exists with regard to my possible performance of this procurement, as described in the clause in this solicitation titled "Organizational Conflict of Interest."

7. Offeror's Signature

The offeror hereby certifies that the information contained in these certifications and representations is accurate, complete, and current.

Signature & Date:

Typed or Printed Name:

Title:
