# Request for Proposal (RFP)

# RFP No. 070313
# Replacement of emVision360 Document Management System

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| **PROPOSAL RELEASE DATE:** | **07/03/2013** |
| **MANDATORY PRE-PROPOSAL TELE-CONFERENCE:** | **07/18/2013** <br> **10:30AM – 12:00PM CST** |
| **USA Toll - Free:** | **888-330-1716** |
| **USA Caller Paid/International Toll:** | **713-353-7024** |
| **Access Code:** | **8772440** |
| **PROPOSAL DUE DATE:** | **07/30/2013** |
| **PROPOSAL DUE TIME:** | **2:30 PM CST** |
| **SUBMIT ALL PROPOSALS TO:** | **University of Arkansas** <br> **Purchasing Division** <br> **Administration Building, Room 321** <br> **1125 W Maple St** <br> **Fayetteville, AR  72701** |

# 1 INTRODUCTION

## 1.1 DESCRIPTION OF PROPOSAL

The University of Arkansas, Fayetteville, is releasing this Request for Proposal to vendors who provide integrated document capture and management solutions.

The University of Arkansas seeks to replace its legacy document capture and management system based on OpenText emVision360 technology. The solution would replace and enhance document processing and data capture from image capabilities, and expand current eForm and workflow capabilities. We are looking for a simple user interface and integration primarily with our Student Information System (ISIS – based on PeopleSoft Campus Solutions).

The appropriate solution should allow the University of Arkansas to develop, manage and deliver batch scanning capabilities with forms recognition and data extraction, web-based electronic forms, workflow and document storage to users both on campus and at other locations.

This solution should provide the capabilities listed in section 5 "Requirements".

## 1.2 OVERVIEW

The intent of this RFP is to acquire, as much as practicable, a fully integrated product set that will be seamless to the end users. The current system runs with 100 concurrent user licenses supporting approximately 800 users. We would expect the user base to increase significantly with the implementation of a new system. There are approximately 10M documents (2.5Tb) currently stored.

For bulk scanning applications we currently use Kofax Capture (@ v10.0.2 – 25 licenses) and are implementing Kofax Front Office Server to provide web-based document capture across campus. The solution we seek can either include or replace Kofax as the batch scanning interface. Retaining Kofax products would require the successful vendor to assume first line support for the product set.

Document capture and storage with a local client or web-based user interface and single page or batch scanning. Also direct upload of existing electronic documents and files. We have 50+ different offices scanning documents into the system (c 50k per month total) and another 50k documents per month auto-loaded from various sources.

Document data extraction – We require the capability to do forms recognition and full data extraction from College and High School Transcripts, Invoices and other semi-structured formats.

eForms – The solution should have an easy to use forms designer. The forms capability should include some type of digital signature. Data validation from various external database tables will be required.

Workflows – The solution must have an easy to use workflow designer and be capable of interrogating/updating external database tables. The user interface must be able to present multiple work items in a single, summary list view to allow for user selection.

Systems integration – our current implementation has some integration into various systems on campus for document upload and retrieval without using a client interface.

## 1.3  ISSUING AGENCY

This Request for Proposal (RFP) is issued by the Office of Business Affairs, University of Arkansas, Fayetteville, on behalf of the members of the emPower Replacement Project committee. The University Purchasing Official is the sole point of contact for the University of Arkansas, Fayetteville.  Vendor questions regarding all RFP matters should be addressed via email to Whitney Smith, Procurement Agent, Office of Business Affairs, wesmith@uark.edu.

During the time between the bid opening and contract award(s), with the exception regarding vendor questions during this process, any contact concerning this RFP will be initiated by the issuing agency and not the respondent. Specifically, the persons named herein will initiate all contact.

**ADDENDA:** In the event it becomes necessary to revise any part of this RFP, any updates and addenda to this RFP will be available on HogBid, the University of Arkansas bid solicitation web site: http://hogbid.uark.edu/. Respondents shall not rely on any other interpretations, changes, or corrections.

It is the Respondent's responsibility to thoroughly examine and read the entire RFP document and any addenda to this RFP. Failure of Respondents to fully acquaint themselves with existing conditions will not be a basis for requesting extra compensation after the award of a Contract.

## 1.4  TIMETABLE OF ACTIVITIES

- RFP released to prospective respondents:  07/03/2013
- Mandatory pre-proposal meeting:  07/18/2013,  10:30 AM - 12:00 PM CST
- Proposal submission deadline:  07/30/2013,  2:30 PM CST

    Note: No award will be made during the opening of proposal submissions. Only names of respondents and a preliminary determination of proposal responsiveness will be made at this time.

## 1.5  INSTRUCTION TO BIDDERS

**1.5.1**  Respondents must comply with all articles in the Standard Terms and Conditions as attached to the front of this Request for Proposal, and with all articles within this Request for Proposal document.

**1.5.2**  Respondents must respond to each numbered item of the RFP.  This RFP document will be provided to each vendor as an interactive Microsoft Word document and Microsoft Excel questionnaire; the respondent must respond to this RFP by inserting responses into the appropriate places within these documents and include the modified documents as part of the total bid response.  In the event that a detailed response is not necessary, the respondent shall state ACKNOWLEDGED as the response to indicate that the respondent acknowledges, understands, and fully

complies with the specification.  If a description is requested, please insert detailed response accordingly.  Respondents must address each of the requirements of this request.  Vendor's required responses should contain sufficient information and detail for the University to further evaluate the merit of the vendor's response. Failure to respond in this format may result in bid disqualification.

**1.5.3**    Any exceptions to any of the terms, conditions, specifications, protocols, and/or other requirements listed in this RFP must be clearly noted by reference to the page number, section, or other identifying reference in this RFP. All information regarding such exceptions to content or requirements must be noted in the same sequence as its appearance in this RFP.

**1.5.4**    Proposals will be publicly opened in the Purchasing Office, Room 321 Administration Building, The University of Arkansas, Fayetteville, Arkansas, 72701, at 2:30 p.m. CST, on the proposal due date.  All responses must be submitted in a sealed envelope with the response number clearly visible on the <u>OUTSIDE</u> of the envelope/package. No responsibility will be attached to any person for the premature opening of a response not properly identified.

**Agencies must submit one (1) signed original and three (3) signed copies of their response.**  Responses must be received at the following location prior to the time and date specified within the timeline this RFP:

University of Arkansas, Fayetteville
Business Affairs, Purchasing Division
Administration Building, Room 321
1125 W. Maple St
Fayetteville, Arkansas 72701

One (1) copy of referenced or otherwise appropriate descriptive literature must accompany a submitted bid. **All bid documents must also be submitted on a CD-ROM** (labeled with the respondent's name and the Bid Number), readable by the University, with the documents in Microsoft Windows versions of Microsoft Word, Microsoft Excel, Microsoft Visio, Microsoft PowerPoint, or Adobe PDF formats; other formats are acceptable as long as that format's viewer is also included on the CD-ROM or a pointer is provided for downloading it from the Internet. Responses shall be publicly opened and announced at that time, and become public information under the laws of the State of Arkansas.

Respondents may deliver their responses either by hand or through U.S. Mail or other available courier services to the address shown above. **Include the RFP name and number on the outside of each package and/or correspondence related to this RFP.** <u>No call-in, emailed, or faxed responses will be accepted.</u> The Respondent remains solely responsible for insuring that its response is received at the time, date, and location specified. The University of Arkansas assumes no responsibility for any response not so received, regardless of whether the delay is caused by the U.S. Postal Service, University Postal Delivery System, or some other act or circumstance. Responses received after the time specified in this RFP will not be considered. **All responses received after the specified time will be returned unopened.**

**1.5.5** <u>For a bid to be considered, an official authorized to bind the respondent to a resultant contract must have signed the original bid in the blank provided on the bid cover sheet</u>.

**1.5.6** All official documents, including responses to this RFP, and correspondence shall be included as part of the resultant contract.

**1.5.7** The University Purchasing Official reserves the right to award a contract or reject a bid for any or all line items of a bid received as a result of this RFP, if it is in the best interest of the University to do so.  Bids will be rejected for one or more reasons not limited to the following:

1. Failure of the vendor to participate in the mandated pre-proposal teleconference during the time and date specified.
2. Failure of the vendor to submit the bid(s) and bid copies as required in this RFP on or before the deadline established by the issuing agency.
3. Failure of the vendor to respond to a requirement for oral/written clarification, presentation, or demonstration.
4. Failure to provide the bid security or performance security if required.
5. Failure to supply vendor references if required.
6. Failure to sign an Official Bid Document.
7. Failure to complete the Official Bid Price Sheet.
8. Any wording by the respondent in their response to this RFP, or in subsequent correspondence, which conflicts with or takes exception to a bid requirement in this RFP.

## 1.6 CONDITIONS AND TERMS OF BID

If the bidder submits standard terms and conditions with the bid, and if any section of those terms is in conflict with the laws of the State of Arkansas, the State laws shall govern.  Standard terms and conditions submitted may need to be altered to adequately reflect all of the conditions of this RFP, the bidder's responses and Arkansas State law.

## 1.7 TYPE OF CONTRACT - PRICING

Section 6 contains instructions regarding the detailed pricing for this RFP.  Respondents must provide detailed and itemized pricing for each individual component listed on the Official Bid Price Sheet.  Failure to do so may result in rejection of the bid.

## 1.8 PAYMENT AND INVOICE PROVISIONS

All invoices shall be forwarded to the "Bill To" point listed on the official University purchase order and must also include the following additional information where applicable:

**a.** The complete name and address of the vendor
**b.** Invoice Date
**c.** Invoice Number
**d.** Purchase Order Number
**e.** Itemized listing of purchases.  This should include a description of the commodities and/or services, unit price and extended line total.

   **f.** Name and location of department for whom the goods or services were provided
   **g.** Discount payment terms
   **h.** Itemized taxes

The University does not agree to pay interest charges or late fees on any amounts due to vendor.  Payment will be made in accordance with applicable University of Arkansas accounting procedures. The University may not be invoiced in advance of delivery and acceptance of services.

## 1.9 PROPRIETARY INFORMATION

Proprietary information submitted in response to this bid will be processed in accordance with applicable University of Arkansas procurement procedures.  All material submitted in response to this bid becomes the public property of the State of Arkansas and will be a matter of public record and open to public inspection subsequent to bid opening as defined by the Arkansas Freedom of Information Act.  The Respondent is hereby cautioned that any part of its bid that is considered confidential, proprietary, or trade secret, must be labeled as such and submitted in a separate envelope along with the bid, and can only be protected to the extent permitted by Arkansas law.

## 1.10 RESERVATION

This RFP does not commit the University Purchasing Official to award a contract, to pay costs incurred in the preparation of a bid in response to this request, or to procure or contract for services or supplies.

## 1.11 PRE-PROPOSAL MEETING

A mandatory conference will be held by the University of Arkansas on the date, time, and through means as specified on the cover sheet of this RFP document. The purpose of the conference will be to provide a forum for bidders to obtain clarification about the RFP prior to finalizing their responses. Questions should be submitted to Whitney Smith, wesmith@uark.edu, in advance of the scheduled conference for preparation purposes to make the best use of time during discussion. Vendors who anticipate responding to this RFP are required to participate in this pre-proposal conference to discuss information and clarifications. Proposals will NOT be considered from vendors who have not participated in the mandatory pre-proposal conference.

## 1.12 DISCLOSURE

Disclosure is a condition of this contract and the University of Arkansas cannot enter into any contract for which disclosure is not made.

Arkansas's Executive Order 98-04 requires all potential contractors disclose whether the individual or anyone who owns or controls the business is a member of the Arkansas General Assembly, constitutional officer, state board or commission member, state employee, or the spouse or family member of any of these.  If this applies to the bidder's business, the bidder must state so in writing.

## 1.13  PROPOSAL MODIFICATION

Proposals submitted prior to the Proposal opening date may be modified or withdrawn only by written notice to the University of Arkansas. Such notice must be received by the University Purchasing Official prior to the time designated for opening of the Proposal. Respondent may change or withdraw the Proposal at any time prior to Proposal opening; however, no oral modifications will be allowed. Only letters or other formal written requests for modifications or corrections of a previously submitted Proposal that are addressed in the same manner as the Proposal and that are received prior to the scheduled Proposal opening time will be accepted. The Proposal, when opened, will then be corrected in accordance with such written requests, provided that the written request is contained in a sealed envelope that is clearly marked with the RFP number and "Modification of Proposal". No modifications of the Proposal will be accepted at any time after the Proposal due date and time.

## 1.14  PRIME CONTRACTOR RESPONSIBILITY

Single and joint vendor bids and multiple bids by vendors are acceptable.  However, the selected bidder(s) will be required to assume prime contractor responsibility for the contract and will be the sole point of contact with regard to the award of this RFP.

## 1.15  PERIOD OF FIRM PROPOSAL

Prices for the proposed service must be kept firm for at least 180 days after the Proposal Due Date specified on the cover sheet of this RFP. Firm Proposals for periods of less than this number of days may be considered non-responsive. The Respondent may specify a longer period of firm price than indicated here. If no period is indicated by the Respondent in the Proposal, the price will be firm for 180 days or until written notice to the contrary is received from the Respondent, whichever is longer.

## 1.16  ERRORS AND OMISSIONS

The Respondent is expected to comply with the true intent of this RFP taken as a whole and shall not avail itself of any errors or omissions to the detriment of the services. Should the Respondent suspect any error, omission, or discrepancy in the specifications or instructions, the Respondent shall immediately notify the University Purchasing Official, in writing, and the University of Arkansas shall issue written instructions to be followed. The Respondent is responsible for the contents of its Proposal and for satisfying the requirements set forth in the RFP.

## 1.17  RFP INTERPRETATION

Interpretation of the wording of this document shall be the responsibility of the University of Arkansas and that interpretation shall be final.

## 1.18  CONTRACT INFORMATION

Respondents should note the following regarding the University's contracting authority, and amend any documents accordingly.  Failure to conform to these standards may result in rejection of bid.

**1.18.1** **THE STATE OF ARKANSAS MAY NOT CONTRACT WITH ANOTHER PARTY**

1. To pay any penalties or charges for late payment or any penalties or charges which in fact are penalties for any reason.
2. To indemnify and defend that party for liability and damages. Under Arkansas law the University of Arkansas may not enter into a covenant or agreement to hold a party harmless or to indemnify a party from prospective damages. However, with respect to loss, expense, damage, liability, claims or demands either at law or in equity for actual or alleged injuries to persons or property arising out of any negligent act or omission by the University and its employees or agents in the performance of this Agreement, the University agrees with the successful party that: (a) it will cooperate with the successful party in the defense of any action or claim brought against the successful party seeking the foregoing damages or relief; (b) it will in good faith cooperate with the successful party should the successful party present any claims of the foregoing nature against University to the Claims Commission of the State of Arkansas; (c) it will not take any action to frustrate or delay the prompt hearing on claims of the foregoing nature by the said Claims Commission and will make reasonable efforts to expedite said hearing; provided, however, the University reserves its right to assert in good faith all claims and defenses available to it in any proceedings in said Claims Commission or other appropriate forum. The obligations of this paragraph shall survive the expiration or termination of this agreement.
3. Upon default, to pay all sums to become due under a contract.
4. To pay damages, legal expenses or other costs and expenses of any party.
5. To conduct litigation in a place other than Washington County, Arkansas.
6. To agree to any provision of a contract that violates the laws or constitution of the State of Arkansas.

**1.18.2** **A PARTY WISHING TO CONTRACT WITH THE UNIVERSITY OF ARKANSAS SHOULD:**

1. Remove any language from its contract which grants to it any remedies other than:
   - The right to possession.
   - The right to accrued payments.
   - The right to expenses of de-installation.

2. Include in its contract that the laws of the State of Arkansas govern the contract.
3. Acknowledge in its contract that contracts become effective when awarded by the University Purchasing Official.

## 1.19  CONDITIONS OF CONTRACT

The successful bidder(s) shall at all times observe and comply with federal and Arkansas State laws, local laws, ordinances, orders, and regulations existing at the time of or enacted subsequent to the execution of this contract which in any manner affect the completion of the work. The successful bidder(s) shall indemnify and save harmless the University and all its officers, representatives, agents, and employees against any claim or liability arising from or based upon the violation of any such law, ordinance, regulation, order or decree by an employee, representative, or subcontractor of the successful bidder.

## 1.20 AWARD RESPONSIBILITY

The University Purchasing Official will be responsible for award and administration of any resulting contract(s).

## 1.21 PUBLICITY

News release(s) by a vendor pertaining to this RFP or any portion of the project shall not be made without prior written approval of the University Purchasing Official. Failure to comply with this requirement is deemed to be a valid reason for disqualification of the respondent's bid. The University Purchasing Official will not initiate any publicity relating to this procurement action before the contract award is completed.

## 1.22 CONFIRMATION

The respondent must confirm that any costs not identified but required for a complete system as bid and subsequently incurred by the University must be borne by the respondent.

## 1.23 VENDOR REFERENCES

The University requires assurance the offered products function properly. The University Purchasing Official reserves the right to request or obtain additional information. Respondents must supply, with the bid, at least three (3) reference accounts, in higher education, (including persons to contact, email addresses and telephone numbers) located in the continental United States currently served by respondent. See Appendix I for format.

## 1.24 WARRANTY

The vendor must:

A. Attest that the product and services offered in response to the RFP complies with the intent outlined in Sections 1.1 and 1.2

B. Define the provisions of the warranty regarding response time for service and support during the warranty period.

C. Outline the standard or proposed plan of action for correcting problems during the warranty period.

D. Respondents must itemize any components, services, and labor that are excluded from warranty.

## 1.25 CONFIDENTIALITY

From the date of issuance of the RFP until the opening date, the Respondent must not make available or discuss its Proposal, or any part thereof, with any employee or agent of the University of Arkansas. The Respondent is hereby warned that any part of its Proposal or any other material marked as confidential, proprietary, or trade secret, can only be

protected to the extent permitted by law.  All material submitted in response to this RFP becomes the property of the University of Arkansas.

## 2   PROPOSAL EVALUATION PROCEDURE AND CRITERIA

### 2.1   ACCEPTANCE OF PROPOSAL

The University of Arkansas reserves the right to reject any or all Proposals or any part thereof, to waive informalities, and to accept the Proposal or Proposals deemed most favorable to the University of Arkansas.

### 2.2   RESPONDENT QUALIFICATIONS

The Respondent must demonstrate that it has the operational experience, financial resources and personnel necessary to successfully provide the services specified in this RFP.  A Respondent must be financially solvent.

### 2.3   RESPONDENT PRESENTATIONS

The University of Arkansas reserves the right to, but is not obligated to, request and require that final contenders determined by the Evaluation Committee provide a formal presentation of their Proposal at a date and time to be determined by the Evaluation Committee. Respondents are required to participate in such a request if the University of Arkansas chooses to engage such opportunity.

### 2.4   EVALUATION OF PROPOSALS

An evaluation team will evaluate all Proposals and may take into consideration the skill, facilities, capacity, experience, ability, responsibility, previous work, reputation, financial standing, and quality and content of each respondent.  The inability of any respondent to meet the requirements mentioned above may be cause for rejection of proposal.

The University of Arkansas will award the Contract to the responsible respondent whose proposal is determined to be the most advantageous to the University of Arkansas, taking into consideration price and other evaluation factors as set forth in this RFP.  The University of Arkansas reserves the right to waive specific requirements defined in this document.

The University of Arkansas reserves the right to reject any and all proposals, wholly or in part, and to make an award, which, in the opinion of The University of Arkansas is in its best interests.  Responses will be evaluated using the following criteria, but do not herein limit the methods or factors to be used to those listed.

#### 2.4.1   TECHNICAL & FUNCTIONAL SPECIFICATIONS (90 POINTS)

As listed in Appendix III.

Points shall be assigned based on factors such as the following:

- System Requirements
- Platforms Supported
- Compatibility with Current University of Arkansas systems
- User Interface.
- Device Independence

### 2.4.2 VENDOR HISTORY AND PAST PERFORMANCE (5 POINTS)

Points shall be assigned based on factors such as the following:

- Company Profile/Overview
- Higher Education Focus and References
- Implementation and Support plans

### 2.4.3 COST (5 POINTS)

Points shall be assigned for the cost of the specific components and services, which comprise the overall system, including annual maintenance cost, as follows:

- The bid with the lowest estimated cost for equipment (hardware), software, and service (annual maintenance) of the overall system will receive a maximum of 5 points.
- Inclusive of any additional hardware or software as needed.
- Cost points will be assigned on the specific component basis as reflected on the Official Price Sheet, for comparison and evaluation purposes.
- Remaining bids will receive points in accordance with the following formula:

$$(a/b)(c) = d$$

a = lowest cost bid in dollars
b = second (third, fourth, etc.) lowest cost bid
c = maximum points for Cost category (5)
d = number of points allocated to bid

Failure of the Respondent to provide in his/her proposal any information requested in this RFP may result in disqualification of his/her proposal and shall be the responsibility of the responding individual or firm.

## 3 AWARD OF CONTRACT

The University of Arkansas may award multiple Contracts to the Respondents who have, in the opinion of The University of Arkansas, best demonstrated suitability and qualification for the services required at fair and reasonable prices/compensation and whose Proposal is deemed to be in the best interest of The University of Arkansas.

Where contract negotiations with a respondent do not proceed to an executed contract within a time deemed reasonable by The University of Arkansas (for whatever reasons), The University of Arkansas may reconsider the Proposals of other respondents and, if appropriate, enter into contract negotiations with one or more of the other respondents. Proposals shall remain valid and current for the period of 180 days after the due date and time for submission of Proposals. <u>The respondent and University agree that time is of the essence in all respects concerning the award of contract and performance hereunder</u>.

## 4    COMPANY OVERVIEW

The supplier shall provide a general overview of the company including the following information:

- Overview of company management and development teams
- Description of company core activities
- Overview of current financial status and revenues

## 5    REQUIREMENTS

Respondent acknowledges this RFP is the foundation component of any subsequent contract and that this document and responses will be incorporated into the Contract.

Respondents should use the associated RFP Questionnaire spreadsheet to provide details of their proposed solution, as listed in Appendix III

## 6    PROPOSAL PRICING

Respondents shall provide detailed proposed pricing for the overall system.  Respondents should use the Official Price Sheet contained in Appendix II.  If pricing is dependent on any assumptions that are not specifically stated on the Official Price Sheet, please list those assumptions accordingly on a separate spreadsheet and show detailed pricing.  Any additional pricing lists should remain attached to the Official Price Sheet for purposes of accurate evaluation.

All charges associated with each category of equipment, software and service must be included on the Official Price Sheet, must be valid for 180 days following bid opening, and shall be included in the costing evaluation.  The University will not be obligated to pay any costs not identified on the Official Price Sheet.  Any cost not identified by the respondent, but subsequently incurred in order to achieve successful operation of the service, will be borne by the respondent.

Describe the pricing model for your software.  Identify any other costs associated with this model.

## 7    BEST AND FINAL OFFER

The University of Arkansas reserves the right to request a Best and Final Offer from finalist Respondents, if it deems such an approach necessary. In general, the Best and Final Offer would consist of updated costs as well as answers to specific questions that were identified during the evaluation of Proposals.

If the University of Arkansas chooses to invoke this option, responses would be re-evaluated by incorporating the information requested in the Best and Final Offer document, including costs, and answers to specific questions presented in the document. The specific format for the Best and Final Offer would be determined during evaluation discussions.

# APPENDIX I
## Bidder Information/Reference

Bidder must provide the following information as part of this proposal:

1.    Respondent Representative
      Contact Name
      Telephone
      Email Address
      Address


2.    References of your current customer(s) as specified in Section 1.23:

      a.    Company/Organization Name:
            Contact Name
            Telephone
            Email Address
            Address

      b.    Company/Organization Name:
            Contact Name
            Telephone
            Email Address
            Address

      c.    Company/Organization Name:
            Contact Name
            Telephone
            Email Address
            Address

# APPENDIX II
## OFFICIAL PRICE SHEET

All charges associated with each category of equipment, software and service must be included on the Official Price Sheet and <u>reflect detailed pricing information</u>. Prices for the proposed service must be kept firm for at least 180 days after the Proposal Due Date specified on the cover sheet of this RFP. This pricing shall be included in the costing evaluation. The University will not be obligated to pay any costs not identified on the Official Price Sheet. Any cost not identified by the bidder, but subsequently incurred in order to achieve successful operation of the service, will be borne by the respondent.

**VENDOR:**
**ADDRESS:**
**CITY/STATE:**
**PHONE:**
**FAX:**
**CONTACT NAME:**
**E-MAIL ADDRESS:**

| ITEM | QTY | DESCRIPTION | PRICE EACH | TOTAL |
|------|-----|-------------|------------|-------|
| 1 | | Hardware | $ | $ |
| 2 | | Application Software | $ | $ |
| 3 | | Training and Support | $ | $ |
| 4 | | Annual Maintenance | $ | $ |
| 6 | | Implementation | $ | $ |
| *Grand Total* | | | | $ |

## emVision360 Replacement Project

### Instructions for Completion of the Questionnaire

below.

| | | |
|---|---|---|
| 0 | Functionality not provided |
| 1 | Functionality provided; requires customized integration with third party |
| 2 | Functionality provided by the vendor but requires customization |
| 3 | Functionality provided seamlessly by third-party product |
| 4 | Functionality provided out-of-the-box |

**0 — Functionality not provided:** Not included in the proposed system.

**1 — Functionality provided; requires customized integration with third party:** Vendor has established a relationship with a business partner to provide this functionality, but it requires customization or workarounds.

**2 — Functionality provided by the vendor, but requires customization:** The functionality can be accomplished with the vendor's product, but requires customizing or working around.

**3 — Functionality provided seamlessly by third-party product:** The vendor has established a relationship (for example, as an OEM) with a business partner to provide this functionality, which is integrated in its database management system (DBMS) and requires no customizing or working around.

**4 — Functionality provided out-of-the-box:** The vendor provides the functionality from its own code base. No customizing or working around is required.

### Additional Notes to the Vendor:

When providing responses, the guide below should be followed. The comments column is provided for clarification when necessary. In the event that a detailed response is not necessary, the respondent shall state ACKNOWLEDGED as the response to indicate that the respondent acknowledges, understands, and fully complies with the specification.

Vendors are cautioned not to indicate functionality as "included in standard offering" when, in fact, that particular function is in development. If this is the case, then vendors should note this fact in the comments column and indicate the expected date such

By responding in the affirmative to a capability item, the vendor agrees to support such capability in its product.

## emVision360 Replacement Project

**Document Management Capabilities (capabilities for library services [check-in/check-out, version control and document-level security], cross-repository searching and common system administration)**

| Criterion | Description | Vendor Response (enter only values 0,1,2,3,4) | Comments (enter descriptions and/or clarification) |
|---|---|---|---|
| Library Services | Does the proposed solution provide document check-in/check-out capabilities and document-level security? Describe. | 0 | |
| Version Control | Does the proposed solution provide version control for documents? If yes, does it support both major and minor versions? Explain. | 0 | |
| Document Import | Describe how the solution supports the import of content into the repository. | 0 | |
| Indexing Capabilities | Explain how documents are indexed. | 0 | |
| Metadata Management | Is document metadata automatically captured, is metadata versioned? Describe your proposed solutions capabilities. | 0 | |
| Compound Documents | Does your product support generation of compound documents? Explain how compound documents are assembled and which file types are supported. | 0 | |
| Compound Documents | State if hypertext links are utilized in compound documents, and if so how? | 0 | |
| Renditions | Does your proposed solution provide renditioning capabilities? Explain. | 0 | |
| Organization/Navigation | What foldering/structuring capabilities does your application provide? | 0 | |
| Linking Capabilities | Describe your document linking capabilities (static, dynamic and/or other). | 0 | |
| Offline Capability | Does your product provide an offline capability? If yes, please describe how this works. | 0 | |
| Document Security | Describe how document security is implemented. Explain how security rights are assigned and modified. | 0 | |
| Authentication/Access Control | Describe and list the levels of permission needed for security access. What is support for directory authentication with Lightweight Directory Access Protocol (LDAP), Active Directory (AD) and so on? Are there governance tools to extend identity management and provisioning to various folders/workspaces? | 0 | |
| Authentication/Access Control | Can the system use multiple access control models - ie if LDAP is the primary authentication, can there also be system managed id/password access. | 0 | |
| Rights Management | Does the product/proposed solution provide added rights management capabilities to protect the content once checked-out of the repository? For example, can it prevent documents from being forwarded or printed? Please describe the capabilities. | 0 | |
| Taxonomy | Does your product/proposed solution support taxonomy development? Does it integrate with standard taxonomy tools and approaches, and if so how? Does it support standards such as Darwin Information Typing Architecture (DITA)? | 0 | |
| Scalability | Does your application support a distributed repository architecture? Describe. | 0 | |
| Scalability | Does your application support replication of content across distributed servers? If so, describe how this works. | 0 | |
| | **Total Score** | **0** | |
| | **Total Possible Score** | **72** | |
| | **Standardized Score (normalized to range 0-5)** | **0.00** | |

| Image-Processing Applications (Ability to capture, index, manage and store paper documents ) | | | |
| --- | --- | --- | --- |
| **Criterion** | **Description** | **Vendor Response (enter only values 0,1,2,3,4)** | **Comments (enter descriptions and/or clarification)** |
| Capture | Does your proposed solution provide a document capture component? If so, do you provide your own document capture solution or use a third-party offering? If a third-party solution, please specify which one. | 0 | |
| Capture | If you provide your own document-capture solution, describe its architecture and functionality. | 0 | |
| Capture | Does your solution support distributed document capture? If so, describe how this is accomplished. | 0 | |
| Capture | Does your application support scanning/capture via multifunctional peripheral (MFP) devices? If so, identify which MFP manufacturers you support. | 0 | |
| File Formats | Does your proposed solution support the importing and exporting of images in formats such as XML, TIFF, PDF and MS Office formats? Does the proposed solution allow for the import and export of individual documents, small quantities and bulk quantities? Please explain the process, including how indexing works. | 0 | |
| Fax Integration | Is an interface provided for fax solutions? Does it support fax input and output? Describe the functionality. | 0 | |
| eMail Integration | Is an interface for MS Outlook provided? Please describe the functionality and method of dealing with attachments. | 0 | |
| Indexing Capabilities | Does your proposed solution provide indexing capabilities? Describe indexing features and the process used for indexing documents. | 0 | |
| Indexing Capabilities | Does your solution support forms recognition and line item data capture from semi-structured forms such as college or high schools transcripts and invoices? | 0 | |
| Performance | Do you support features for caching and prefetching of images? | 0 | |
| Scalability | Describe the features that enable your system to scale for high-volume imaging applications. | 0 | |
| Scalability | Describe the product's scalability in terms of typical image volume supported (for example, XXX number of images per day/month captured and stored). | 0 | |
| Recognition Technologies | Describe the recognition engines supported (intelligent character recognition, optical character recognition, bar coding and so on) by your capture offering. | 0 | |
| Image Enhancement | Does your product provide imaging repair, annotation and redaction capabilities? Describe. | 0 | |
| Electronic Signature Support | Does your product/proposed solution have the ability to associate electronic (digital) signatures with any file or event that is managed by the solution? Describe the capabilities of the proposed solution to manage digital signatures. How is this accomplished? If via third-party integration, specify which third-party products you support. | 0 | |
| | **Total Score** | **0** | |
| | **Total Possible Score** | **60** | |
| | **Standardized Score (normalized to range 0-5)** | **0.00** | |

| Information Access/Search | | | |
|---|---|---|---|
| **Criterion** | **Description** | **Vendor Response (enter only values 0,1,2,3,4)** | **Comments (enter descriptions and/or clarification)** |
| Basic Search | Does your product/proposed solution include a search engine for searching document properties/metadata and content? Describe. | 0 | |
| Basic Search | Can a search be saved for later use? | 0 | |
| Basic Search | Can relevancy measures be "tuned," such that different elements of data and metadata are given different weightings in determining how to respond to a query? Indicate what factors may be used, including factors that are the product of document analysis. | 0 | |
| Basic Search | Do you offer thesauruses particularly intended to support Higher Education? | 0 | |
| Basic Search | May users employ Boolean operators? List such operators. | 0 | |
| Basic Search | May users employ operators that address nearness of terms (for example, "in the same paragraph," "within 10 words distance")? Explain, and detail such operators. | 0 | |
| Basic Search | Are results highlighted so that users can see why a document was selected? | 0 | |
| Classification | Does your product support summarization and automatic content classification? (Yes/No). If yes, please describe how this is accomplished. | 0 | |
| Metadata retrieval | Does your soulution support external database queries to report on document metadata? If so, how would this be accomplished | 0 | |
| Document retrieval | Does you solution support external system retrieval of stored documents without access through a client interface? If so, how would this be achieved. | 0 | |
| | **Total Score** | **0** | |
| | **Total Possible Score** | **40** | |
| | **Standardized Score (normalized to range 0-5)** | **0.00** | |

| Records Management | | | |
|---|---|---|---|
| **Criterion** | **Description** | **Vendor Response (enter only values 0,1,2,3,4)** | **Comments (enter descriptions and/or clarification)** |
| Records Declaration | Does your product/proposed solution support manual and automatic records declaration? Is rules/policy-based or workflow-based records declaration supported? Describe how records are declared and indexed. | 0 | |
| Classification | Does your product support semiautomatic classification and/or automatic classification of records? Describe the classification process. | 0 | |
| Records Repository | Do you have a separate repository for records management? Or, does our records management solution use your core document management repository? | 0 | |
| Physical Records | Is the management of physical records supported? Do you partner with another provider for physical records management? Please describe. | 0 | |
| Physical Records: Bar Codes/Labels | Are bar codes and label printing supported (for managing physical documents)? | 0 | |
| Standards Support | Is your solution compliant with the Department of Defense (DoD) 5015.2 standard? | 0 | |
| File Plan | Describe the file plan creation and maintenance features (including retention schedule administration). Does your product/proposed solution allow a file plan to be imported? | 0 | |
| Legal Holds | Does your product/proposed solution support retention holds for records? Describe how these are applied. | 0 | |
| Alerts | Are records review cycles and alerts provided? | 0 | |
| Document Storage | Are documents stored in an encrypted format. Can this be selectable based on classification or metadata? | 0 | |
| | **Total Score** | **0** | |
| | **Total Possible Score** | **40** | |
| | **Standardized Score (normalized to range 0-5)** | **0.00** | |

## Workflow/BPM

| Criterion | Description | Vendor Response (enter only values 0,1,2,3,4) | Comments (enter descriptions and/or clarification) |
|---|---|---|---|
| General | Does your proposed solution include capabilities for document/content routing? | 0 | |
| Routing | Explain how "work" and/or content is routed through the workflow. What are the different methods of routing — for example, rules-based routing, sequential routing and parallel routing? | 0 | |
| Routing | Can documents be routed through a multilevel hierarchy for authorization? Are there limits to the depth of such a hierarchy? Can the level of detail included for authorization at each level be modified on an exception basis? | 0 | |
| Routing | Explain the "rule-based triggers" that can be used in the workflow — for example, time, event, volume and user-defined. | 0 | |
| Routing | Which data can be used by the logic of the workflow routing processes? | 0 | |
| Routing | Can the content be routed by email and the Web? Describe the process and exactly what is routed — for example, files, indexes, links and URLs. | 0 | |
| Process Design | Can the workflow be graphically defined? Describe how workflow processes can be defined and built. | 0 | |
| Process Design | Explain the workflow development tools provided — for example, library of starter objects, workflow templates and a test environment. | 0 | |
| User Environment | Describe the "inbox" functionality provided. How is "work" received and distributed? | 0 | |
| User Environment | Explain how documents can be reviewed and approved — for example, annotation capabilities, group review and approval, and electronic signatures. | 0 | |
| E-Forms | Do you have an e-forms application or integrate with a third-party e-forms application? Please provide details. | 0 | |
| Analysis and Modeling | Do you provide or have partnerships for business rules, process modeling analytics and reporting? | 0 | |
| Analysis and Modeling | Can the workflow be simulated prior to implementation? Describe the capabilities. | 0 | |
| Reporting | Can the product integrate with external reporting tools? | 0 | |
| Audit Trails | Is it possible to create an audit trail of all actions carried out on the workflow package? | 0 | |
| Solution Accelerators | Do you provide examples of templates and processes to accelerate the design and deployment of business solutions? | 0 | |
| | **Total Score** | **0** | |
| | **Total Possible Score** | **64** | |
| | **Standardized Score (normalized to range 0-5)** | **0.00** | |

## User Experience

| Criterion | Description | Vendor Response (enter only values 0,1,2,3,4) | Comments (enter descriptions and/or clarification) |
|---|---|---|---|
| Web based user interface | For web based access to information, describe browser compatibility and how it is maintained. | 0 | |
| Web based user interface | Can the web-presence be customized to our University standards? | 0 | |
| Desktop user interface | Does your product have a desktop client? If so, what platforms are supported? | 0 | |
| Virtual Desktop | Can your product work within a virtual desktop environment? | 0 | |
| System Updates | Please explain the process of system upgrades, service packs and patch/fix delilvery. | 0 | |
| Foreign Language support | Does your product have any foreign language support? If yes, please describe. | 0 | |
| Public forms | Does your product allow for non-system users to interact with eForms to submit and/or update them once in the workflow? | 0 | |
| Batch creation of forms | Does your product support the bulk creation of forms to feed into a workflow process based on data supplied from an external database? | 0 | |
| Delegation  of Authority | Does your product have a process for delagation of authority to cover, for example, vacation periods? | 0 | |
| Training | Please describe what training materials are available and what training will be delivered as part of the implementation. | 0 | |
| Legacy System Migration | Please describe your approach to system migration and the process to move us from our current emVision360 implementation. | 0 | |
| | **Total Score** | **0** | |
| | **Total Possible Score** | **44** | |
| | **Standardized Score (normalized to range 0-5)** | **0.00** | |

| Architecture and Platforms | | | |
|---|---|---|---|
| **Criterion** | **Description** | **Vendor Response (enter only values 0,1,2,3,4)** | **Comments (enter descriptions and/or clarification)** |
| Architecture | Does your product support Java Platform, Enterprise Edition (Java EE) and .NET architectures/standards? Describe. | 0 | |
| Architecture | Describe how your product supports Web services or service-oriented architecture (SOA). If this is planned for a future release, please provide a timeframe for availability. | 0 | |
| Architecture | What platforms do you support for database and repository operations and which is your preferred platform? | 0 | |
| Disaster Recovery | Does your product support a DR configuration? Please describe how this is achieved, and if so, can it be applied to a sub-set of documents based on classification or meta-data? | 0 | |
| Standards | Does your product support the JSR 170/JSR 283 standard? If yes, please describe how. | 0 | |
| Standards | Does your product/proposed solution support industry standards such as XACML, WEBDAV or CMIS? If yes, please describe its support. | 0 | |
| Standards | Describe the steps taken to ensure the core product stays up-to-date with current W3C web standards and Federal 508 Accessibility law. | 0 | |
| Security Management | Describe your security architecture and how your application handles security/access to content — definition, authentication and implementation. | 0 | |
| Security Management | Does your application support authentication (LDAP, NT Domains, Active Directory, please specify)? Describe how it supports this. | 0 | |
| Integration | Describe how suite integration is accomplished and what makes your product suite unique in terms of suite integration. | 0 | |
| Integration | Describe how integration with other systems can be achieved. | 0 | |
| Application Development | Describe the application development tools, programming languages, and APIs that enables the user to develop and customize their ECM applications. | 0 | |
| APIs | Describe your APIs. For example, do you provide a .NET API, a Java API and/or a Web services API? | 0 | |
| Portal Integration | Does your product provide integration with portals? If so, describe how your product integrates with the portal products (API, Web services or custom code). List which portals your product currently integrates with. | 0 | |
| Microsoft Office Integration | Does your product integrate with Microsoft Office 2007 or 2010? If yes, please describe how this integration is accomplished. If yes, do you have customers with production deployments? | 0 | |
| PeopleSoft Integration | Would your product integrate with our Student Information System (PeopleSoft)? If yes, please describe how that integration is accomplished (native Web parts, API, third party). | 0 | |
| Application Integration | Does your product provide any off-the-shelf (open API) integration capabilities with major ERP, HRM and CRM applications? Describe the specific APIs that you support for each system. | 0 | |
| Application Integration | Does your solution have any integration capabilities specifically with Ellucian Advance (Donor management software), SciQuest (eProcurement) or SEVIS (Student & Exchange Visitor Information System - for International students)? Please explain. | 0 | |

# APPENDIX III
# RFP Questionnaire

| | | | |
|---|---|---|---|
| Application Development | Which scripting languages does the system support or require? | 0 | |
| Application Development | What language is your underlying source code written in? | 0 | |
| Mobile Device Support | Does the product/proposed solution support mobile devices (e.g., smartphones, tablets) for browsing the content repository, participating in review/approval workflows and/or capture images? | 0 | |
| Reporting | Does the product/proposed solution provide reporting capabilities? Describe these reporting capabilities, including, but not limited to, third-party reporting tool interfacing, types of reports (for example, preconfigured vs. ad hoc), statistical reports and exportation of reports. | 0 | |
| Reporting | Describe the available system and user audit reporting capabilities. | 0 | |
| Licensing | Please describe the licensing structure - do you have an enterprise license model? How would a test system or DR site be included. | 0 | |
| Test System | Does your product provide a separate test system? If not, does it have any 'test before you make publilc' options for forms and workflow processes? | 0 | |
| | **Total Score** | **0** | |
| | **Total Possible Score** | **100** | |
| | **Standardized Score (normalized to range 0-5)** | **0.00** | |

## emVision360 Replacement Project

**RFP Questionnaire Evaluation Summary**

| Criterion | Standard Score | Criteria Weighting | Weighted Average |
|---|---|---|---|
| Document Management | 0.00 | 15% | 0.00 |
| Image-Processing Applications | 0.00 | 15% | 0.00 |
| Information Access/Search | 0.00 | 10% | 0.00 |
| Records Management | 0.00 | 15% | 0.00 |
| Workflow/BPM | 0.00 | 17% | 0.00 |
| User Experience | 0.00 | 20% | 0.00 |
| Architecture and Platforms | 0.00 | 8% | 0.00 |
| | | | |
| **Overall Standardized Average Score** | | | **0.00** |

**Notes:**

100%