Request for Proposals# 2017-004

ATTACHMENT A

Requirements for Centralized Records Management System (CRMS)

OVERVIEW

This document provides the Air District's CRMS requirements – i.e. the specific capabilities and features that the selected solution should provide., as well as requirements of the vendor organization and for solution pricing response. Please use the tables to provide your responses and include them in your Technical Proposal and Cost Proposal, as described in the RFP.

Please note that we recognize that the Air District's CRMS requirements are broad in scope. We do not expect every vendor and product selected for this RFP to address these requirements. Vendors are selected for receipt of this RFP based on their particular strengths in relevant areas.

The following pages present the list of criteria that the proposed systems must address. Vendors must use the following legend when responding to requirements:

- **Yes** – the solution meets the requirement out of the box in the current release
- **P** – the solution partially meets the requirement
- **C** – the solution will meet the requirement with customization
- **TP** – Third Party – the solution meets the requirement with a third-party product
- **No** – the solution does not meet the requirement

Vendors should add an explanation of any line item requiring further clarification or discussion. Such additional information may include:

- A brief description of how the system supports that function
- If customization is required, the resources needed:
    - Programming expertise required (e.g. HTML, Java script programming)
    - Time to completion with or without vendor assistance (e.g. weeks or months)
    - Financial costs associated with the customization
    - Vendor support for the customization
    - Third-party products, if needed
- Any third-party relationships/partners that your product uses/ works with (e.g. OEM products, integrators, etc.) to meet specifications
- Any relevant functions that will be supported in the next release, and estimated time-frame of availability

SECTION 1 – IMPLEMENTATION AND CONSULTING SERVICES

1.1   Services Summary

Provide a brief overview of the proposed relevant consulting services you can provide to meet the indicated requirements.

Requirement	Response
Do you have a standard approach and process for CRMS implementation services? What are the major phases, and what are the key tasks or activities in each stage?	
Does your methodology include development and implementation of a file plan and taxonomy? Please explain your approach.	
Does your methodology include training? What types of training do you provide? Is it provided by you, or a third party?	
Do you have a standard model or structure for your implementation teams? What are your team members' roles, and what are their experience levels?	
Are your implementation team members full-time employees of your company?	
What are your expectations about the level of involvement and effort required of BAAQMD resources during the implementation? What types of resources/roles will need to be involved, and how much time will be required?	

1.2   Project Plan

Please provide a proposed project plan and timeline for the proposed implementation project.

SECTION 2 – FUNCTIONAL REQUIREMENTS

2.1 Solution Overview

Provide a brief overview of the proposed solution and product (including the name of the software vendor and the product/version being proposed), and describe its major design goals, use cases, and benefits.

2.2 Records Capture

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Certification with the US DoD 5015.2 standard, which defines a set of operational, legislative and legal requirements for the management of records		
2.	Ability to capture and manage records and metadata which reside inside and outside of the CRMS component of the records management solution; this will involve format conversion for records that are imported from external information systems		
3.	Ability to capture and manage records and metadata regardless of format or media (e.g. photograph, fax, document, scanned images, web page, email, video, audio file, or paper)		
4.	Ability to perform federated records management, in which the CRMS can link to and control electronic records in other repositories, managing them "in place" without moving them to the CRMS itself		
5.	Ability to capture metadata attributes specific to records management (e.g. vital records indicator, file plan category, date filed, etc.)		
6.	Ability to capture as much metadata automatically as possible (i.e. with minimal user intervention), and reliably link metadata to the records		

2.3   Declaration and Classification

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Ability to declare a record and associate it with file plan category/folder by authorized staff		
2.	Ability to create hierarchical categories based on pre-existing file or master classification plans		
3.	Ability to inherit metadata and file access rights of parent category/folder when declared as a record		
4.	Ability to auto-classify records, including emails, based on business rules		

2.4   Maintenance and User Capabilities

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Ability to link the file plan to records retention schedules, including disposition instructions		
2.	Allow users to select categories in which records are filed and assign records to these categories		
3.	Allow users to assign a status to records that prevents their destruction		
4.	Import information from other sources (e.g. pre-existing file plans and box indexes) which may also manage paper records		
5.	Allow users to specify identifiers for boxes, their contents, locations, and related accession information (for records management systems, which may also manage paper records)		
6.	Support for all search features and options provided in the core CRMS solution		

2.5 Retention and Disposition

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Ability to associate record with retention rule when record is declared		
2.	Ability to apply retention rules at individual record or item level (as opposed to only at a folder level)		
3.	Ability to create disposition rules and apply disposition actions to identified record categories based on date or event or combination of both		
4.	Ability to notify administrators or managers when disposition or migration is due		
5.	Ability to track all transfer and disposition actions taken in relation to a record		
6.	Identify records eligible to be destroyed or transferred, based on records retention schedules and disposition instructions		
7.	Ability to provide certifiable proof of destruction		
8.	Ability to apply retention periods to email		

2.6 Hold and Release

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Ability to define legal holds, the custodians and records associated with such holds, and the length of time that such holds should be applied to records		
2.	Ability to apply legal holds to records while they are "in place" in their native repositories or in the records repository, without needing creating additional copies in a separate preservation repository		
3.	Ability to maintain existing legal holds when a new hold is applied and when any holds are released		
4.	Ability to clearly identify which hold the documents are held under, so content can be searched for, identified, and released – particularly when multiple holds are in effect		
5.	Ability to allow authorized users to create, apply, view or remove holds for individual or multiple records, in a single step		
6.	Ability to enable multiple holds to be assigned to selected records		
7.	Ability to ensure records cannot be deleted from the system until the hold has been removed		
8.	Ability to automatically resume assigned retention and disposition cycle for records once holds have been removed		
9.	Ability to maintain a complete audit trail of who assigned and removed holds		
10.	Enable the creation of collections of records, and ability to apply holds to the entire collection		

2.7   Physical Records Management

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Ability to assign access rights at the box level as well as the folder level		
2.	Ability to print, both individually and in batch, labels for boxes and/or folders		
3.	Ability to provide auto-barcode feature for identifying boxes		
4.	Supports submission process for dept. staff to enter box/folder information and submit to central records administrator for review and approval		
5.	Ability to define multiple onsite storage locations and track physical files in multiple locations		
6.	Ability to manage and track the check-in and check-out of files and boxes		

2.8   Records Auditing and Reporting

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Create and maintain a comprehensive audit trail for all records activity and system functions		
2.	Provide summary reports of audit trail information (e.g. number of accesses)		
3.	Ability to create ad hoc reports by any search criteria and field selection		

SECTION 3 – TECHNICAL REQUIREMENTS

3.1 Security and Access Control

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Support for single-sign-on environments		
2.	Support for integration with BAAQMD's directory services (Microsoft Active Directory)		
3.	Support for user access through VPN		
4.	Support for user access via Citrix		
5.	Support for hierarchical security structures (i.e. role-, group-, and user-level)		
6.	Support for security access control down to the document and annotation levels		
7.	Ability to set user access start and end dates		
8.	Provide an audit trail of all user actions		

3.2 Integration

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Integration with Microsoft Office; productized, proven integrations highly desirable		
2.	Integration with Microsoft Exchange, Outlook, and Outlook Web Access; productized, proven integrations highly desirable		
3.	Integration with SharePoint; productized, proven integrations highly desirable		
4.	Ability to monitor file directories for capture of documents into the system		

3.3 Scalability, Reliability, and Performance

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Ability to support remote/distributed capture, index, image, workflow, and storage servers		
2.	Ability to support cloud-based storage		
3.	Provide fail-over features for ensuring maximum uptime in the event of failure		
4.	Ability to recover from system failure within three hours or within one day if failure occurs due to natural disaster		
5.	Provide automated features for distributing loads across available resources (e.g. servers)		

3.4   Development

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Support for standard development languages		
2.	Documented, standards-based application programming interfaces (APIs)		
3.	Support for fully-functional development and test environment, separate from the production environment (and indicate if there is additional cost)		

3.5   Administration and Reporting

Number	Requirement	Yes, P, C, TP, No	Comments
1.	Provide a single interface for completing admin functions including setting up users, user profiles, security controls, and application configuration		
2.	Any thick client applications that are installed on users' workstations should support silent installs (installation without user interaction)		
3.	Web client should not need users to install additional software from CRMS solution		
4.	Provide decentralized administration, ability to integrate with central monitoring and administration utilities, and detailed auditing/logging		
5.	Support for browser-based interface for administration functions		
6.	Volume reporting by business area and document type		

3.6   Conceptual Architecture

Please provide a graphic or schematic that depicts the architecture of your proposed solution, identifying the components involved and where they fit within an IT infrastructure.

SECTION 4 – VENDOR REQUIREMENTS

This section includes vendor-specific requirements. Please include details on both the software vendor of the solution being proposed *and* the partner/reseller firm.

4.1   Vendor Stability and Relevant Focus

Requirement	Response
Provide company financial data for past 3 years	
Provide company insurance information and certifications	
Current number of people employed	
Overview of management organization and organization structure	
Is the vendor located in the nine (9) county District area?	
Is the vendor minority, veteran, or women owned?	
Provide references for three customers with installed systems (with a preference for customers in local government and environmental verticals, with similar functional requirements). For each reference please provide: • Name of customer and individual contact information • Description of system and the business benefits delivered • Contract award date	
How many employees are in research and development (versus sales and administration)?	
Describe your professional services organization. Specify number of employees, current experience level, and availability for long-term projects.	
Do you propose to support the system installation, configuration, and integration effort using your own professional services staff, or a third-party integration partner?	
What is your quality assurance methodology for implementations? What is your issue escalation process?	

4.2.   Solution Maintenance

Requirement	Response
Do you provide software maintenance?	
Detail specifically what is included in the standard maintenance contract	
Is maintenance provided by your own personnel? By third parties?	
What is the frequency of updates and upgrades? How long are previous releases supported? Are releases backward/forward compatible?	

4.3   Support

Provide the following information pertinent to support.

Technical Support

Requirement	Response
What is your customer support model?	
What are the normal support hours?	
What are the normal response times?	
Do you provide off-hours support?	
What are the off-hours response times?	
Where are your support teams located?	
Describe problem isolation and identification procedures.	
Describe problem escalation procedures.	

Software Support

Requirement	Response
How will new software version updates be released or installed? What is the typical release cycle?	
Is third-party software included in the integrated CRMS solution proposed?	
If vendor is not the original supplier, who is responsible for first-, second-, and third-level support?	
Will third-party software be supported?	

Training

Requirement	Response
Do you provide customer training?	
Please provide a detailed description of all education and training required for this project, including on-site and off-site options.	

User Groups

Requirement	Response
Do you have a user group?	
What are the user group's objectives?	
How often does the user group meet?	
What benefit or value is provided to user group participants?	

SECTION 5 – PRICING

It is the intention of BAAQMD to procure an integrated solution and related services that fulfill the proposed system requirements above.

In its Cost Proposal, the vendor shall provide pricing data for the proposed system and implementation services, addressing the components listed in the following subsections. Specifically, provide pricing information to address the following:

- Per user pricing for up to **300 total records management users** (note: the Air District intends to implement the solution in an on-premises model, not a hosted or cloud-based model)

- Concurrent license costs in whatever usage bands you offer (i.e. 50 – 500; 501 – 1,000; 1,001 – 2,000; etc.), up to unlimited enterprise usage

- Pricing for unlimited enterprise usage

- Given your understanding of the system requirements, include in the pricing all additional components that are required.

- Clearly list all server and client components included in the per-user and enterprise prices.

- Clearly list any third-party product licenses required, and whether those are included in the pricing or separate.

- List all products you market and clearly identify those which are not included in the enterprise agreement and those that are.

- List all related services (e.g. implementation, training, ongoing support) and the fees associated with them.

5.1   Software and Maintenance Pricing

Provide pricing as described above, for all components of your proposed solution. Responses should be provided in a format similar to the table below. The table below includes samples of component categories to indicate the minimum amount of detail expected in this section. *Please edit this table to indicate the specific modules or line-items included in your proposed solution, and the quantities and costs for each.*

Cost Component	Quantity	Cost
Server Software		
Records Management Server		
Database Server (if provided)		
User Software		
Records Management Clients		
Administration Utilities		
Peripheral Software		
Other Utilities or Software Components (either provided by you or a third party)		
SUBTOTAL		
Annual Software Maintenance Please indicate percentage of purchase price		
Other Please add line items for any other charges not listed above		
TOTAL		

5.2   Design and Implementation Services and Support

Provide pricing for all implementation services, including the items shown in the table below. Please provide estimated hours and billing rates, along with total fee (not to exceed).

We understand that it is difficult to estimate costs for application development, customization, and integration where many relevant variables are open-ended. But simply providing hourly rate breakdowns of the likely required roles is not acceptable. The Total All Services and Expenses Cost is an amount that will not be exceeded for services rendered and expenses incurred under the contract awarded under this RFP.

Cost Component	Hours (estimated)	Billing Rate	Cost
Implementation Services			
Requirements validation and design			
Site preparation and installation			
Migration of documents from existing systems			
Development of a file plan, taxonomy, and metadata definition			
System configuration			
Application development, customization, and integration (if required)			
Testing and production implementation			
Documentation and Training			
Documentation (please indicate the documentation that will be provided)			
Training (please specify recommended training)			
Travel and expenses (estimate in Cost column)			
TOTAL All Services and Expenses Cost (not to exceed)			