

City of Albuquerque

Request for Proposals

Solicitation Number: P2014000025

Image Management System
Sunday, May 04, 2014



Deadline for Receipt of Offers: May 30, 2014: 4:00 p.m. (Mountain Time)

The City eProcurement System will not allow proposals to be submitted after this date and time.

City of Albuquerque
Department of Finance and Administrative Services
Purchasing Division
(Revised 9/19/12 - SCN Version)

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INTRODUCTION

Purpose

The City of Albuquerque (City) is issuing this Request for Proposals (RFP) for the purpose of selecting a qualified contractor to provide an image management system or systems as a first phase of a wider Enterprise Content Management initiative, implementation and training services, and ongoing support. Such a system will include hardware and storage, image acquisition and public online availability.

The City may elect, at its sole authority and discretion, to implement the system and services identified in this proposal in phases, immediate and future, by component or module, or via multiple vendors, resellers and sub-contract consultancy.

Background

The FileNet System+ (which in this RFP refers to multiple software programs and hardware components beyond IBM FileNet Software) is the City's current and primary electronic storage and retrieval Enterprise Content Management system. FileNet was purchased by the City of Albuquerque in 1996, prior to its acquisition by IBM. Softech & Associates, Inc. has been providing licensing and IT support.

Software

The primary current modules used are:

Module	Function
FileNet Capture (v.5.2)	Scan (acquire) documents and index these documents.
FileNet IDM (v. 4.0.3)	Retrieve the documents for viewing, edit/redacting as needed, printing, emailing, faxing and deleting, depending on a given user's department, position (role within FileNet) and security level.
Other modules employed to support these functions include Images Services Server, FileNet Print, FileNet Fax and FileNet Web Service and Softech's Data Transfer Facility (also known as DataTran+ or DTF)	Provides high-speed, high-volume export and import of data from and to IBM FileNet Image Manager and IBM FileNet Content Manager.

Table 1: FileNet Modules Currently in Use

A number of administrative and user applications have also been written to accommodate functionality requests by business units. These are shown in Table 2. Although these programs were written by City FileNet system administrators, they are considered to have reached the limits of cost effective maintenance.

Custom Code	Function
Semi-automated+1 scanner and pc install programs	Install Capture and IDM programs on usersq desktops
Script to run large file conversion to compressed versions	Primarily for the Planning Department, script flattens and compresses large documents for emailing to the customer.
Scripts to ease resets of hung processes and printers	On Print-Fax Server; entangled with Water Authority script to transfer data nightly
Web viewing of Retrieve functions	Web viewing from Imaging server of documents by index search calls: imaging.cabq.gov/filenet
Web Licensing and user administration	Tied to Xapex on Optico, update user profiles and access levels by department
Linked view to images within PeopleSoft ERP and IBM Cognos Reporting	Primarily for Accounting, invoice viewing for multiple departments and APD Tiburon links called Instant View.

Table 2: Custom Visual Basic and ASP.NET Web form programs

Hardware

In addition to various scanners and PC's throughout the City, the FileNet System also currently includes the following six legacy hardware servers shown in Illustration 1 and Table 3:

¹ Some manual input and knowledge required.

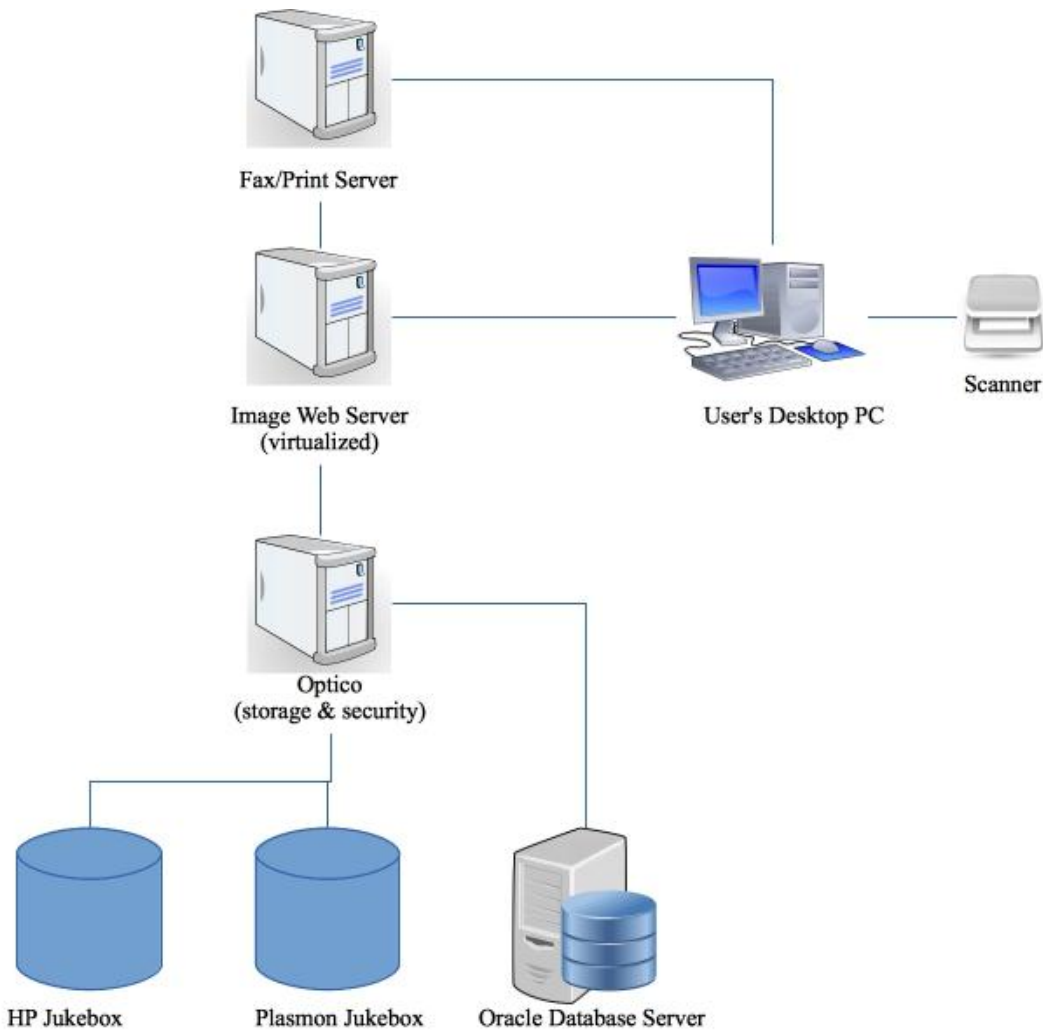


Illustration 1: FileNet Server Architecture

Server	Function	Hardware	Operating System	Software
Print/Fax Server . also known as %remote fax-print+ or %ax-print+	The Document Image Services product utilizes remote printing and faxing via a dedicated print/fax server. This server handles printing to licensed printers, faxing to any fax machine, and is capable of storing incoming faxes into the FileNet system. It also serves software for general phone faxing.	IBM X336 blade, 2048 MB Memory	Windows Server 2003	FileNet Print & FileNet Fax

Image Services Web Server (Virtual) - %imaging+	The document Image Services product is accessed by clients through a Web Server, utilizing Microsoft Internet Information Services.	6 IBM HX5 Blades in a VMware cluster (coavcntr); 4GB Memory allocation for FileNet; (original 2 GB HS20 blade hardware purchased in 2005 was replaced by VM August 2013)	Windows Server 2003	FileNet Web Services and FileNet IDM Desktop
Images Services Server - %optico+	The current software utilized from FileNet is the Document Image Services product. This serves the main application to facilitate requests of the optical storage jukeboxes to read and write on HP and UDO platters, as well as maintain security access levels (Xapex).	HP 9000 rp3410 dual process server	HPUX B.11.11	Image Services Software
Optical Storage Jukebox, 1 of 2, %HP Optical Library A+	The document Image Services product stores the imaged documents in an optical juke box. The images are then readily available to be viewed by client machines that have the FileNet IDM viewer.	HP ST1200 Juke Box	Platters: 5GB Drives: Six (6) read/write Storage Bays: 238	Image Formats Currently Being Stored: TIFF4, JPG, and PDF
Optical Storage Jukebox, 2 of 2, %Plasmon Optical Library B+	The document Image Services product stores the imaged documents in an optical juke box. The images are then readily available to be viewed by client machines that have the FileNet IDM viewer.	UDO Plasmon G80 Juke Box	Platters: 60GB Drives: Four (4) read/write Storage Bays: 80	Image Formats Currently Being Stored: TIFF4, JPG, and PDF
Oracle Services Server - %loki+ - connection to Optico	The document Image Services product, the FileNet application and the customized applications utilize a 10g Oracle database named IDB on the server called Loki. Loki has other functions beyond FileNet.			

Table 3: City of Albuquerque FileNet Architecture Description

Volume and Usage

Usage by business unit is shown in Illustration 2. The following volume information was obtained from IDB data:

- Number of documents 1996-March 2013: 9,229,867 (9.2 million). For perspective, this number was 6.5 million in 2008.
- Number of pages, 1996-March 2013: 24,230,626 (24 million); between 1 and 2 million pages have been added each year since 1998.
- In 2012 alone, nearly 600,000 documents were emailed, faxed, printed, or viewed.

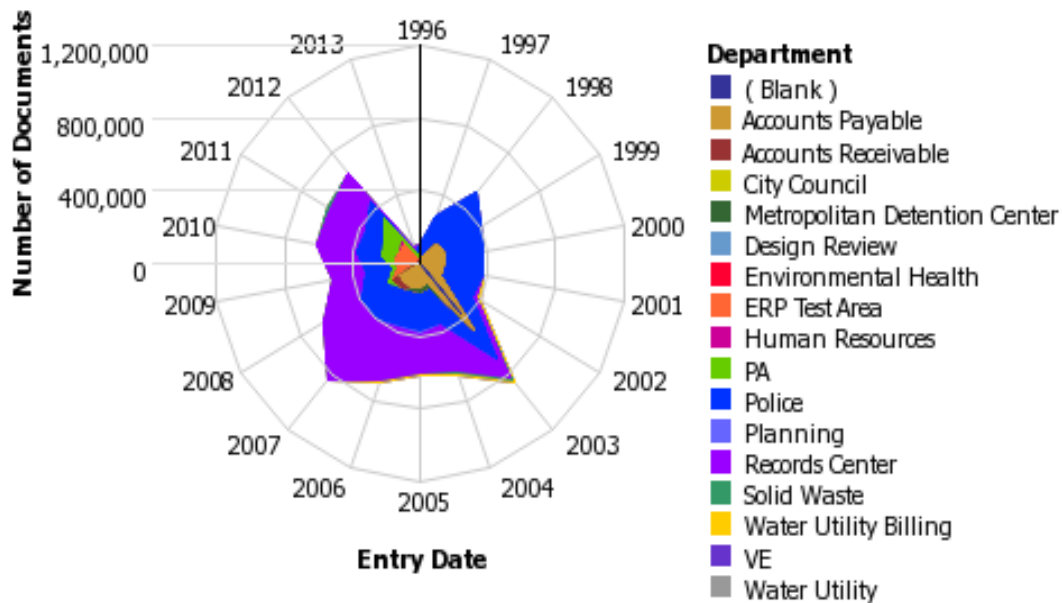


Illustration 1: FileNet Usage (source: IDB)

Summary of Department General Considerations and Use Cases

Most of the departments and their multiple divisions at the City of Albuquerque access documents stored in FileNet (see Appendices B and C). Some simply access the system to resolve specific financial issues (e.g. Transit or Planning) or for auditing purposes. Other departments actively store and retrieve their own data. In terms of volume, Albuquerque Police Department (APD), Accounting and Payroll are the largest users.

A number of documents are contained in FileNet but owned by organizations that no longer use FileNet. ITSD assumes that documents for the following organizations will be migrated as a separate effort and should, therefore, be considered outside the scope of this RFP:

- Albuquerque and Bernalillo Water Authority (which includes documents created by Public Works/Water Authority)
- Metropolitan County Detention Center

General Usage

FileNet can be considered as ubiquitous across the City in that it is used by all departments as part of the Accounts Receivable and Accounts Payable process (implemented as an interface with the City's Oracle ERP system). For other business processes, however, departments may use alternative image repositories specific to their needs and processes (e.g. Environmental Health, Real Property and Albuquerque Police Department). A list of alternative electronic repositories can be found in Appendix D.

Other divisions have not yet converted most of their documents to an electronic content management system, but would like to do so. Examples of these are the Fire Marshall's Office, Risk, and Albuquerque Art Museum. Many of these documents are still in paper or microfiche form, or electronic files stored on shared hard or virtual drives. Several departments or divisions are in the process of converting paper documents through different methods such as:

- Performing the scanning themselves,
- Requesting the Records Management Department to scan document for them,
- Requesting that the City's IT Systems Division (ITSD) perform CD and DVD uploads of documents scanned and indexed by a third party vendor.

General Architecture Considerations

ITSD currently supports both cloud-based (hosted) and on premise environments. In either case, proposals should contain a detailed breakdown of costs where applicable.

General Content Management Considerations

- The System (winning provider of software, hardware and/or support maintenance of one or more system solutions), must be able to convert content previously stored in, or previously indexed for near future storage on, FileNet Storage platters, or CDs ready for upload. These images must continue to be linked by URL or API within PeopleSoft ERP system and in Cognos reporting. Therefore the system must be able to reuse references previously created in FileNet to ensure consistent access by these systems to images migrated from FileNet. ITSD supports City Departments in finding solutions that meet the

dreams, hopes and expectations of business units. To meet this goal, end users should be empowered to perform their own configuration and maintenance (e.g. user maintenance, permissions, minor workflow changes) with minimal intervention by ITSD.

- Because of the number and complexity of processes currently using FileNet, ITSD anticipates that a trouble free, single step migration of all business processes at the same time will not be practicable. Vendors must describe their strategies to accommodate an effective, phased migration over an extended period of time. Vendors must also detail the minimum go-live functionality to ensure success.
- The City uses a number of high and low volume scanner models from a number of different vendors. The City does not anticipate standardizing on a single vendor or model in the near future. However, the System must integrate with existing City-owned scanners.
- Some business units use a third party to scan documents onto a CD or similar media. Data from the CD is then imported into FileNet. ITSD anticipates that this process will continue in the future.
- System must allow for integration connections (links for display of documents related to Human Resource, Payroll, Accounts Payable and Receivable and APD), with:
 - PeopleSoft ERP (currently implemented using Instant Viewer and in-house developed program ERP Stay Alive)
 - Accounts Payable, both through ERP and Cognos
 - SharePoint URL links to documents within other content management systems
 - APD Tiburon connections and LexisNexis upload of cases (nightly fax-print service).
- Metadata and changes to the systems must be audited, reportable and include statistics on who and when changes were made and to what document(s).
- Some documents will be required to be available to the public online (e.g. Council decisions, invoices or building plans). Where appropriate data security must be enforced to ensure that information deemed by the City as secure (e.g. social security numbers) is not publicly available.
- The City and its departments must continue to own their data, even in the event that the chosen System is hosted by a third party. In the event that a department or group decides to discontinue use of the system, such data must be considered as owned by the City and should be available for removal from the system at the City's discretion.
- The City pursues an active Open Data strategy in which data is freely available to the public without charge as datasets. The determination of suitability and subsequent creation of such datasets will be an activity carried out by the City at its sole discretion and is outside the scope of this RFP. Vendors must describe how their solution will support this strategy (particularly in establishing an ongoing determination of the return of investment) and specifically note any licensing or technical restrictions that would limit, impede or otherwise negatively influence efforts to follow this strategy. In particular, vendors must indicate any licensing costs associated with public availability.
- City does not require the use of one browser over another. Instead, the City allows employees to use the current version of any modern browser. At a minimum, Internet Explorer and Firefox must be supported.

- When addressing scalability criteria, vendors must provide case-study examples and metrics covering:
 - Peak number of users in a single instance at one time
 - Peak number of retrievals per hour
 - Peak number of documents loaded or imported per day
 - Peak number of documents stored in the content management repository

General Security and Privacy Considerations

Unless otherwise considered as personally identifiable information belonging to citizens or otherwise exempted by law, documents are treated as public information. As such, this means that social security numbers and other such information must be redacted before being made available to the general public.

Existing security roles implemented in FileNet are shown in Table 4. Of special consideration is the Admin User Support role. This is intended to allow minor access issues, such as password resets, to be handled by a helpdesk function instead of by the Administrator. As already noted, ITSD will support and empower users to, wherever feasible and so desired by the business units, take ownership for minor support issues such as user maintenance. Solutions must, therefore, support a security model that is role-based and easily delegated.

The City has implemented an extensive Active Directory infrastructure. Authentication using Active Directory for single sign-on (SSO) is preferred but not required.

Role	Description
Scan and index only	Access to scan and index only. Active Directory log in to both scan servers.
View only	View only . redaction by supervisor may be required.
Supervisor	Redaction, delete and archive in addition to view and scan.
Admin User Support	Setting up user access, resetting passwords, limited technical support
Admin	Full administrator access

Table 4: FileNet Security Roles

Use Case Introduction

A full list of use cases may be found in Appendix F. These use cases were based on the following sources:

- Division interviews and experiences by the current FileNet Administrators/Analysts and management in ITSD
- Observations and issues documented in SharePoint by previous ITSD administrators
- Interviews and analysis conducted as part of a 2008 Oracle Insight review
- A 2008 FileNet Technical Document with use descriptions
- Data from the 2010 Enterprise Content Management Strategy document.

Invitation to Propose

The City is seeking offerors who have Enterprise Content Management systems and implementation experience or specialized software development and implementation experience and are deemed most qualified to provide the desired solution. Extra consideration will be given to offerors who demonstrate local government experience. If the offeror was involved in the development or testing of any Enterprise Content Management system in general and an image management system in particular, this should be noted for the City's review and consideration. Offerors are encouraged to initiate preparation of proposals immediately upon receipt of this RFP so that all relevant questions and information needs can be identified and answered in a manner that provides adequate time to prepare a comprehensive and complete response. The cost expectation of the City for these services (covering hardware, initial deployment of image management services and first round of business units fully converted and operational) is approximately \$400,000. The City will accept proposals outside of this range but reserves the right to request a Best and Final Offer from the vendor after the evaluation process.

Prime Contractor Responsibility

The City will contract with a single contractor. If you propose a multi-vendor or subcontracted approach, provide previous working relationships with the proposed subcontractors, and then clearly identify the responsibilities of each party and the assurances of performance you offer for this project. The prime contractor must take responsibility for the entire contract performance and will ensure that all subcontractors are aware of the prime contractor's approach to the project prior to beginning any work. The prime contractor will also be responsible for documenting all aspects of the proposal.

The selected offeror will be required to assume responsibility for delivery, installation and maintenance of all supplemental software and support services offered in its proposal. The City will consider the selected offeror to be the **sole point** of contact with regard to contractual matters including the performance of services and the payment of any and all charges resulting from services performed.

Addenda to Request for Proposals

In the event that it becomes necessary to revise any part of this RFP due to inquiries raised, an addendum, supplement or amendment to this RFP will be issued.

Background Information – City of Albuquerque

Governance	Elected Mayor, Nine-Member City Council
Population	515,000 local 850,000 MSA
Number of Employees	5,926 full-time
Accounting Division	32 Employees
General Fund Budget	\$455 million

Other Funds Budget	\$489 million
Number of Budgeted Operating Funds	44
Fiscal Year	July 1 st . June 30 th
City IT Standards	http://mesa.cabq.gov/policy.nsf/WebPoliciesX?OpenForm

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PART 1
INSTRUCTIONS TO OFFERORS

1.1 RFP Number and Title: P2014000025, "Image Management System"

1.2 Proposal Due Date: May 30, 2014 - NLT 4:00 PM (Local Time)

The time and date proposals are due shall be strictly observed.

1.3 Purchasing Division: This RFP is issued on behalf of the City of Albuquerque by its Purchasing Division, which is the sole point of contact during the entire procurement process.

1.4 Authority: Chapter 5, Article 5 of the Revised Ordinances of the City of Albuquerque, 1994, (the "Public Purchases Ordinance"). The City Council, pursuant to Article 1 of the Charter of the City of Albuquerque and Article X, Section 6 of the Constitution of New Mexico, has enacted this Public Purchases Ordinance as authorized by such provisions and for the purpose of providing maximum local self-government. To that end, it is intended that this Public Purchases Ordinance shall govern all purchasing transactions of the City and shall serve to exempt the City from all provisions of the New Mexico Procurement Code, as provided in Section 13-1-98K, NMSA 1978.

1.5 Acceptance of Offer: Acceptance of Offer is contingent upon Offeror's certification and agreement by submittal of its offer, to comply and act in accordance with all provisions of the following:

1.5.1 City Public Purchases Ordinance

1.5.2 City Purchasing Rules and Regulations: City of Albuquerque Purchasing Rules and Regulations: These Rules and Regulations (the "Regulations") are written to clarify and implement the provisions of the Public Purchases Ordinance. These Regulations establish policies, procedures, and guidelines relating to the procurement, management, control, and disposal of goods, services, and construction, as applicable, under the authority of the Ordinance.

1.5.3 Civil Rights Compliance: Acceptance of offer is contingent upon the Offeror's certification and agreement by submittal of its offer, to comply and act in accordance with all provisions of the Albuquerque Human Rights Ordinance, the New Mexico Human Rights Act, Title VII of the U.S. Civil Rights Act of 1964, as amended, and all federal statutes and executive orders, New Mexico statutes and City of Albuquerque ordinances and resolutions relating to the enforcement of civil rights and affirmative action. Questions regarding civil rights or affirmative action compliance requirements should be directed to the City of Albuquerque Human Rights Office.

1.5.4 Americans with Disabilities Act Compliance: Offeror certifies and agrees, by submittal of its offer, to comply and act in accordance with all applicable provisions of the Americans With Disabilities Act of 1990 and federal regulations promulgated thereunder.

1.5.5 Insurance and Bonding Compliance: Acceptance of offer is contingent upon Offeror's ability to comply with the insurance requirements as stated herein. Please include a certificate or statement of compliance in your proposal and bonds as required.

1.5.6 Ethics:

1.5.6.1 Fair Dealing. The Offeror warrants that its proposal is submitted and entered into without collusion on the part of the Offeror with any person or firm, without fraud and in good faith. Offeror also warrants that no gratuities, in the form of entertainment, gifts or otherwise, were, or will be offered or given by the Offeror, or any agent or representative of the Offeror to any officer or employee of the City with a view toward securing a recommendation of award or subsequent contract or for securing more favorable treatment with respect to making a recommendation of award.

1.5.6.2 Conflict of Interest. The Offeror warrants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under the contract resulting from this RFP. The Offeror also warrants that, to the best of its knowledge, no officer, agent or employee of the City who shall participate in any decision relating to this RFP and the resulting contract, currently has, or will have in the future, a personal or pecuniary interest in the Offeror's business.

1.5.7 Participation/Offeror Preparation: Offeror may not use the consultation or assistance of any person, firm company who has participated in whole or in part in the writing of these specifications or the Scope of Services, for the preparation of its offer or in the management of its business if awarded the contract resulting from this RFP.

1.5.8 Debarment or Ineligibility Compliance: By submitting its offer in response to this RFP, the Offeror certifies that (i) it has not been debarred or otherwise found ineligible to receive funds by any agency of the federal government, the State of New Mexico, any local public body of the State, or any state of the United States; and (ii) should any notice of debarment, suspension, ineligibility or exclusion be received by the Offeror, the Offeror will notify the City immediately.

Any proposal received from an Offeror that is, at the time of submitting its proposal or prior to receipt of award of a contract, debarred by or otherwise ineligible to receive funds from any agency of the federal government, the State of New Mexico, any local public body of the State, or any state of the United States, shall be rejected.

Upon receipt of notice of debarment of an Offeror awarded a contract as a result of this RFP (the "Contractor"), or other ineligibility of the Contractor to receive funds from any agency of the federal government, the State of New Mexico, any local public body of the State, or any state of the United States, the City shall have the right to cancel the contract with the Contractor resulting from this RFP for cause in accordance with the terms of said contract.

1.5.9 Goods Produced Under Decent Working Conditions: It is the policy of the City not to purchase, lease, or rent goods for use or for resale at City owned enterprises that were produced under sweatshop conditions. The Offeror certifies, by submittal of its offer in response to this solicitation, that the goods offered to the City were produced under decent working conditions. The City defines "under decent working conditions" as production in a factory in which child labor and forced labor are not employed; in which adequate wages and benefits are paid to workers; in which workers are not required to work more than 48 hours per week (or less if a shorter workweek applies); in which employees are free from physical, sexual or verbal harassment; and in which employees can speak freely about working conditions and can participate in and form unions. [*Council Bill No. M-8, Enactment No. 9-1998*]

1.5.10 Graffiti Free: When required, the Contractor will be required to furnish equipment, facilities, or other items required to complete these services, that are graffiti-free. Failure of Contractor to comply with this requirement may result in cancellation of the contract resulting from this RFP.

1.6 City Contact: The sole point of contact for this Request for Proposals is the City of Albuquerque Purchasing Division. Questions regarding this RFP should be directed to the following Purchasing representative for this solicitation through the online eProcurement system unless otherwise specified in the solicitation:

- Cheryl Vigil, Senior Buyer, Department of Finance and Administrative Services, Purchasing Division
- Phone: (505) 768-4945 or E-Mail: crvigil@cabq.gov
- Post Office Box 1293, Albuquerque, New Mexico 87103

1.7 Contract Management: The contract resulting from this RFP will be managed by the Department of Financial and Administrative Services, Information technology Services Division.

1.8 Clarification: Any explanation desired by an Offeror regarding the meaning or interpretation of this Request For Proposals must be requested in writing not less than ten (10) working days prior to the deadline for the receipt of offers to allow sufficient time for a reply to reach all Offerors before the submission of their offers. No extension of time will be granted based on submission of inquiries subsequent to the required date nor will such inquiries be answered. All inquiries must be directed to the Purchasing Division as stated herein. Oral explanations or instructions given before the award of the contract or at any time will not be binding. All answers will be posted to the online eProcurement System and will constitute Addenda to this Request for Proposals.

1.9 Submission of Offers. The Offeror's sealed proposal **must be submitted both in hard copy (see Sections 1.9.5 through 1.9.7) as well as electronically through the eProcurement system (see Section 1.9.1)** in the format outlined in Part 2 of this RFP and mailed or delivered pursuant to the following requirements:

1.9.1 Electronic Copy. Submit your complete Proposal including all forms, attachments, exhibits, Technical Proposal, Cost Proposal, etc. using the eProcurement System at <http://www.cabq.gov/dfa/purchasing/solicitations/solicitations>. If you do not have a username and password, please register as this is the only method to submit electronically on Sicomm.net. For assistance, please contact the Sicomm.net technical support at (800) 614-0563 or (505) 341-9201.

1.9.2 Hard Copy. In addition to the electronic submittal, Offeror must also submit one (1) original and four (4) copies of its Technical Proposal. The original Proposal shall be clearly marked as "Original" on the cover of the Proposal. In addition, in a separate envelope, clearly marked as "Cost Proposal," submit one (1) original and four (4) copies of your Cost Proposal for this RFP.

1.9.3 Soft Copy. In addition to the electronic copy, include with your original hard copy Proposal submission, on a CD, DVD, or other media compatible with the City's system, an electronic file of your Technical and Cost Proposals as well as all forms, attachments, exhibits, etc.

1.9.4 Proposal Package Preparation. Offers and modifications thereof shall be enclosed in sealed envelopes and have the following identifying information on the outside:

- Name and Address of Offeror
- Closing Date and Time of RFP
- RFP Number
- RFP Title

1.9.5 Ship, Deliver, or Hand-Carry Sealed Offers to: Office of the City Clerk, 600 Second St. NW, Plaza Del Sol, 7th Floor Room 720, Albuquerque, New Mexico 87102. **Mark all packages as stated above.** Use this address for packages sent via non United States Postal Service carriers.

1.9.6 Mail Sealed Proposals to: Office of the City Clerk, Post Office Box 1293, Albuquerque, New Mexico 87103. (Certified Mail is recommended). The City shall not be responsible for the failure of mailed offers to actually be received by the Office of the City Clerk by 4:00 PM (Mountain Time) of the day of closing.

ALL SEALED PROPOSALS MUST BE RECEIVED BY THE OFFICE OF THE CITY CLERK AS SPECIFIED HEREIN.

1.9.7 No other methods of offer delivery. Neither telephone, facsimile, nor telegraphic offers shall be accepted.

1.9.8 Modification. Offers may be modified or withdrawn only by written notice, provided such notice is received prior to the Proposal Due Date.

1.9.9 Receipt of Proposals. The only acceptable evidence to establish the time of receipt of Proposals at the City Clerk's Office is the time-date stamp of that Office on the Proposal wrapper or other documentary evidence of receipt maintained by that Office. Since both electronic and hard copy submission is required, the City will treat the time-stamp of the later of the two receipts as the official documentary evidence of receipt.

1.9.10 Acknowledgment of Addenda to the Request for Proposals. Receipt of Addenda to this RFP by an Offeror must be acknowledged a) by signing and returning the Addenda, or b) by letter. Such acknowledgment may be submitted with the offer. Such acknowledgment must be received prior to the hour and date specified for receipt of offers.

1.10 Modifications to Scope of Services: In the event that sufficient funds do not become available to complete each task in the Scope of Services, the Scope of Services may be amended, based upon the cost breakdown required in the Cost Proposal.

1.11 Draft Agreement: A copy of the Draft Agreement to be entered into is included in the RFP. Please state that you accept the terms and conditions of the Draft Agreement, or note exceptions. The Draft Agreement may differ from the final Agreement.

1.12 Contract Term: The contract resulting from this solicitation is anticipated to have a term of one (1) year with three (3) possible one (1) year extensions. Maintenance contracts will be separate.

1.13 Evaluation Period: The City reserves the right to analyze, examine and interpret any offer for a period of ninety (90) days after the hour and date specified for the receipt of offers.

1.14 Evaluation Assistance: The City of Albuquerque, in evaluating proposals, reserves the right to use any assistance deemed advisable, including City contractors and consultants.

1.15 Rejection and Waiver: The City reserves the right to reject any or all offers and to waive informalities and minor irregularities in offers received.

1.16 Award of Contract:

1.16.1 When Award Occurs: Award of contract occurs when a Purchase Order is issued or other evidence of acceptance by the City is provided to the Offeror. A Recommendation of Award does not constitute award of contract.

1.16.2 Award: If a contract is awarded, it shall be awarded to the responsive and responsible Offeror whose offer conforming to the Request for Proposals will be most advantageous to the City as set forth in the Evaluation Criteria.

1.17 Cancellation: This Request for Proposals may be canceled for any reasons and any and all proposals may be rejected in whole or in part when it is in the best interests of the City.

1.18 Negotiations: Negotiations may be conducted with the Offeror(s) recommended for award of contract.

1.19 City-Furnished Property: No material, labor, or facilities will be furnished by the City unless otherwise provided for in this Request for Proposals.

1.20 Proprietary Data: The file and any documents relating to this RFP, including the proposals submitted by Offerors, shall be open to public inspection after the recommendation of award of a contract has been signed by the Mayor, or his designee. An Offeror may designate trade secrets or other proprietary data to be confidential by separating that material from the Offeror's main proposal, marking it as "Confidential" and uploading it separately from its main proposal submitted in response to this RFP. **Pricing and makes and models or catalog numbers of items offered, delivery terms, and terms of payment should not be so designated.** The City of Albuquerque will endeavor to restrict distribution of material separated, designated as "Confidential" and provided separately to only those individuals involved in the review and analysis of the proposals. If a request for inspection of records under the New Mexico Inspection of Public Records Act (Sections 14-2-1 et seq, NMSA 1978) is received, however, which request encompasses such materials, they will be disclosed. The City assumes no responsibility to maintain the confidentiality of any materials submitted in response to this RFP. Any proposal in which a majority of pages are marked as confidential without an apparent justification shall be deemed nonresponsive.

1.21 Preferences: Preferences for local, small and resident or Veterans (state) businesses may be available under the City of Albuquerque Public Purchases Ordinance, for this procurement. See Part 5 of this Request for Proposals for additional information.

1.22 REQUEST FOR PROPOSALS (RFP) PROTEST PROCESS:

1.22.1 When: If the protest concerns the specifications for a competitive solicitation or other matters pertaining to the solicitation documents, it must be received by the Chief Procurement Officer no later than 5:00 p.m. of the tenth business day prior to the deadline for the receipt of offers.

1.22.2 Recommendation of Award: If the protest concerns other matters relating to this solicitation, the protest must be filed with the Chief Procurement Officer no later than 5:00 p.m. of the tenth business day after the receipt of notice of the Recommendation of Award.

1.22.3 Timely Protests: Protests must be received by the Chief Procurement Officer prior to the appropriate deadline as set out herein, or they will not be considered valid. The Chief Procurement Officer may waive the deadline for good cause, including a delay caused by the fault of the City. Late delivery by the U.S. Postal Service or other carrier shall not be considered good cause.

1.22.4 How to File: Any Offeror who is aggrieved in connection with a competitive solicitation or recommendation of award of a contract may protest to the City Chief Procurement Officer. The protest shall be addressed to the Chief Procurement Officer, must be submitted in written form and must be legible. Protests may be hand-delivered or mailed. Facsimile, telephonic, telegraphic or electronic protests will not be accepted.

1.22.5 Required Information: The protest shall contain at a minimum the following;

- The name and address of the protesting party;
- The number of the competitive solicitation;
- A clear statement of the reason(s) for the protest detailing the provisions believed to have been violated;
- Details concerning the facts, which support the protest;
- Attachments of any written evidence available to substantiate the claims of the protest; and
- A statement specifying the ruling requested.

1.22.6 Address Letters and Envelopes as Follows:

- City of Albuquerque
 - Purchasing Division
 - Attn: Chief Procurement Officer
 - PO Box 1293
 - Albuquerque, New Mexico 87103
- RFP Number
PROTEST

1.22.7 Protest Response by Chief Procurement Officer: The Chief Procurement Officer will, after evaluation of a protest, issue a response. Only the issues outlined in the written protest will be considered by the Chief Procurement Officer.

1.22.8 Protest Hearing: If a hearing is requested, the request must be included in the protest and received within the time limit. The filing fee of twenty dollars (\$20.00) must accompany the request for hearing. Only the issues outlined in the protest will be considered by the Chief Procurement Officer, or may be raised at a protest hearing. The granting of a hearing shall be at the discretion of the Chief Procurement Officer following review of the request.

1.23 INSURANCE:

1.23.1 General Conditions: The City will require the successful Offeror, referred to as the Contractor, to procure and maintain at its expense during the term of the contract resulting from the RFP, insurance in the kinds and amounts hereinafter provided with insurance companies authorized to do business in the State of New Mexico, covering all operations of the Contractor under the contract. Upon execution of the contract and on the renewal of all coverages, the Contractor shall furnish to the City a certificate or certificates in form satisfactory to the City as well as the rider or endorsement showing that it has complied with these insurance requirements. All certificates of insurance shall provide that thirty (30) days written notice be given to the Risk Manager, Department of Finance and Administrative Services, City of Albuquerque, P.O. Box 470, Albuquerque, New Mexico, 87103, before a policy is canceled, materially changed, or not renewed. Various types of required insurance may be written in one or more policies. With respect to all coverages required other than professional liability or workers' compensation, the City shall be named an additional insured. All coverages afforded shall be primary with respect to operations provided.

1.23.2 Approval of Insurance: Even though the Contractor may have been given notice to proceed, it shall not begin any work under the contract resulting from this RFP until the required insurance has been obtained and the proper certificates (or policies) filed with the City. Neither approval nor failure to disapprove certificates, policies, or the insurance by the City shall relieve the Contractor of full responsibility to maintain the required insurance in full force and effect. If part of the contract is sublet, the Contractor shall include any or all subcontractors in its insurance policies, or require the subcontractor to secure insurance to protect itself against all hazards enumerated herein, which are not covered by the Contractor's insurance policies.

1.23.3 Coverage Required: The kinds and amounts of insurance required are as follows:

1.23.3.1 Commercial General Liability Insurance. A commercial general liability insurance policy with combined limits of liability for bodily injury or property damage as follows:

\$1,000,000	Per Occurrence
\$1,000,000	Policy Aggregate
\$1,000,000	Products Liability/Completed Operations
\$1,000,000	Personal and Advertising Injury
\$ 50,000	Fire Legal
\$ 5,000	Medical Payments

Said policy of insurance must include coverage for all operations performed for the City by the Contractor and contractual liability coverage shall specifically insure the hold harmless provisions of the contract resulting from this RFP.

1.23.3.2 Automobile Liability Insurance. A comprehensive automobile liability insurance policy with liability limits in amounts not less than \$1,000,000 combined single limit of liability for bodily injury, including death, and property damage in any one occurrence. The policy must include coverage for the use of all owned, non-owned, hired automobiles, vehicles and other equipment both on and off work.

1.23.3.3 Workers' Compensation Insurance. Workers' compensation insurance policy for the Contractor's employees, in accordance with the provisions of the Workers' Compensation Act of the State of New Mexico, (the "Act"). If the Contractor employs fewer than three employees and has determined that it is not subject to the Act, it will certify, in a signed statement, that it is not subject to the Act. The Contractor will notify the City and comply with the Act should it employ three or more persons during the term of the contract resulting from this RFP.

1.23.4 Increased Limits: During the life of the contract the City may require the Contractor to increase the maximum limits of any insurance required herein. In the event that the Contractor is so required to increase the limits of such insurance, an appropriate adjustment in the contract amount will be made.

1.23.5 Additional Insurance: The City may, as a condition of award of a contract, require a successful Offeror to carry additional types of insurance. The type and limit of additional insurance is dependent upon the type of services provided via the contract by the successful Offeror.

1.24 Pay Equity Documentation: All proposals shall include a completed Pay Equity Reporting Form, PE-10-249 as provided by the New Mexico General Services Department, Purchasing Division and which can be accessed in the Solicitation Instructions. Offerors with less than ten (10) employees are not required to report data, but must submit a statement certifying that it employs less than ten (10) employees. **Any response that does not include a completed form shall be deemed nonresponsive.**

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PART 2 PROPOSAL FORMAT

2.1 Technical Proposal Format, Section One

2.1.1 Offeror Identification: State name and address of your organization or office and nature of organization (individual, partnership or corporation, private or public, profit or non-profit). Subcontractors, if any, must be identified in a similar manner. Include name and telephone number of person(s) in your organization authorized to execute the Draft Agreement. Submit a statement of compliance with all laws stated herein. Submit a statement of agreement of the terms and conditions of the Draft Agreement; state exceptions. Show receipt of Addenda if applicable. Provide a statement or show ability to carry the insurance specified.

2.1.2 Experience: Provide previous Image Management system implementation experience particularly with state or local governments. For each incident of relevant experience, state for whom the work was performed, year completed, and a reference person who can be contacted regarding the work. References should be for work performed within the previous five (5) years. Be sure to include a description of the outcome of engagement and the organization's self-sufficiency after the engagement. Experience for individuals should be in the form of bios or resumes. Upon award, the City reserves the right to approve or disapprove any changes in personnel.

2.1.2.1 Current Experience. State relevant experience of the company and person(s) who will be actively engaged in the proposed project, including experience of subcontractors. Submit resumes for the individuals who will be performing the services for the City.

2.1.2.2 Past Experience. Describe a minimum of three (3) projects of similar scope and size, which are now complete; state for whom the work was performed, year completed, and a reference person who can be contacted regarding the work. References must be for work performed in the past three to five (3 to 5) years. State relevant experience with other municipalities or government entities.

2.1.2.3 Provide relevant experience of the company and person(s) who will be actively engaged in the proposed project in knowledge transfer to technical and functional support personnel. It is the City's intent to operate the Image Management system on the date of Go-Live, and the Offeror's competence in knowledge transfer and training is essential to make that happen

2.1.2.4 Provide the offeror's expectation of dedicated City resources for this project. The City intends to provide both fully dedicated technical and functional staff as well as a project manager. Other functional staff will be involved with the project and can be committed if needed. The offeror should clearly identify the type and level of support by the City required to make this a successful project. The offeror should also identify any equipment, software or other needs the City will need to make this a successful project.

2.1.3 Proposed Approach to Tasks: Discuss fully your proposed approach to each of the tasks described in Part 3, Scope of Services. Use charts to illustrate the number of hours dedicated to each task and who will be performing each task [individual(s)/firm(s)]. Reference Appendix A, attached hereto, without stating the price structure.

2.1.4 Management Summary: Describe individual staff and subcontractor's responsibilities with lines of authority and interface with the City of Albuquerque staff. Describe resources to be drawn from in order to complete tasks.

2.1.5 System Background and Requirements: The introduction includes a background of the current image management system. Describe how the Offeror will incorporate the current practices and requirements. Based on your experience in implementing Content Management Systems in state or local governments, identify the software challenges and/or gaps you could encounter and your approach to resolving them. Provide a listing specifying those requirements that cannot be incorporated without revisiting or validating the current practices and comment on the concern. Specify the time and cost required to revisit and validate those practices. Using the format and contents of Appendix A, specify those requirements that you propose to implement in this project and those you propose are out of scope for this project. For convenience, Appendix A has been duplicated in Microsoft Word format and attached to this RFP. The requirements in Appendix A are not intended as a substitute for requirements gathering and analysis. Through the course of this process, requirements may change and/or additional requirements may surface.

2.1.6 Proprietary Products and Tools: Please describe any proprietary products or tools provided by the Offeror to its governmental customers and the value of these tools. Please specify the cost to the City for the use and/or ownership or license of these products or tools and provide a reference for each product or tool. Describe how the product or tool will be used and state whether the City will retain the right to use the product or tool after the contract is completed.

2.1.7 Administrative Summary: Identify office space needs for the project, the work schedule of the vendor's staff, payment milestones (do not include actual costs in this section) or any other items that should be disclosed.

2.1.8 Request for Additional Information: If a vendor is chosen to solicit a Best and Final Offer (BAFO), the City reserves the right to request additional information, such as financial statements, company size and description or other relevant information that the City deems appropriate.

2.2 Cost Proposal Format, Section Two

2.2.1 Total Cost: Submit your Cost Proposal separately from your technical proposal. If provided, follow the sample format attached to this RFP.

2.2.2 The cost proposal should, at a minimum, contain the following information:

- The cost for the entire project broken down by the activities or steps shown on a project schedule in the proposal.
- Estimated periodic billing to the City based on the cost of the deliverable items.
- Cost or pricing details should be shown by task. This might include, but is not limited to:
 - Hours by category, hourly rates, and total labor broken out by professional and other labor. Rates are to include all overhead and profit.
 - Purchased materials, unit costs, and quantities.
 - Travel, lodging, and other direct expenses.
 - Subcontract costs if applicable, and additional consulting beyond the scope of the described tasks (if requested).
- The City requires that a portion of the costs for the implementation phase (all activities up to and including Go-Live) be payable after the City has formally accepted the implemented system after experience using the system in production. The vendor should propose the duration of use in production for such acceptance period, criteria for acceptance by the City and the portion of costs associated with the implementation phase that will be remitted to the vendor upon successful completion of this milestone.

2.2.3 Offerors should show detailed costs by task and number of hours dedicated to each task as listed in the specifications.

2.2.4 All Costs: All costs to be incurred and billed to the City should be described by the Offeror for each item, to allow for a clear evaluation and comparison, relative to other offers received. All costs should include any applicable gross receipts taxes. The Offeror should understand that the City will not pay for any amounts not included in the cost proposal -- for example, insurance or taxes -- and that liability for items not included remains with the Offeror.

2.2.5 An example of the preferred format is attached to this RFP. Your response to this section will be used in performing a cost/price analysis.

2.3 Option of City to Request Best and Final Offer (BAFO)

Based upon the initial scores the City may select one or more vendors from whom to solicit BAFOs. In the event the City chooses to solicit BAFOs, the City will develop and distribute BAFO request documents with the applicable due dates.

2.4 Rate Schedule for Additional Work

The vendor should provide a maximum rate schedule the City can use in the event there is an expansion of scope or the length of the engagement is extended. The maximum rate schedule should be broken out by labor category and clearly state for what period of time these rates are in effect.

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PART 3

SCOPE OF SERVICES

3.1 It is the desire of the City of Albuquerque to implement the proposed Image Management System with a minimum of product customizations yet meet key business requirements that are identified in Appendix A. The expectation for the chosen vendor is as follows:

- 3.1.1** Design the configuration of the proposed Image Management System necessary, (including hardware, storage and reporting capability), to accommodate the business requirements of the City of Albuquerque. If proposing a custom-written solution, design the Image Management system necessary, (including hardware, storage and reporting capability), to accommodate the business requirements of the City of Albuquerque.
- 3.1.2** Design the business process improvements that will be required to meet the City's business requirements given the out-of-the-box or custom-written functionality of the proposed Image Management system.
- 3.1.3** Design the data conversion strategy from the existing FileNet system to the proposed Image Management system necessary to accommodate the City's business requirements.
- 3.1.4** Design the security, access rights, and permissions of the different functional roles required to perform business tasks in the proposed Image Management System.
- 3.1.5** Provide City resources with on-site pre-implementation training to include product knowledge, project expectations and mechanisms to maximize the productivity of the engagement.
- 3.1.6** If provided solution is a custom designed system, the implementation vendor will provide maintenance support for all aspects of system functionality going forward.
- 3.1.7** Provide guidance and assist with design and development of the end user training materials and delivery strategy for each stakeholder group prior to Go-live.
- 3.1.8** Provide the City with some predefined reports and show a subset of users how to use the delivered reporting tool to create reports and data extracts. If no reporting tool is proposed, the report definition and creation will be implemented using Cognos reporting which is the City's enterprise reporting tool. The data schema for the new Image Management system must be available to City resources and City-owned or licensed tools.
- 3.1.9** Guide and assist with design of the testing strategy and scripts necessary to confirm the successful configuration, build, and implementation the proposed Image Management system, the interfaces, the business process improvements, the security, access rights, and permissions, and the training delivery.
- 3.1.10** Guide and assist the City resources in organizational change management activities.
- 3.1.11** Guide and assist the City resources in performance and teaching/training City resources to perform the tasks listed above.
- 3.1.12** Configure and build and implement the designs outlined in the sections above
- 3.1.13** Test the implementations outlined in the sections above.
- 3.1.14** Orchestrate and conduct the cutover from the City's current FileNet system to the proposed Image Management system.

3.1.15 Develop and maintain documentation of system design and configuration to be

provided to and accepted by the City.

3.1.16 Work with or provide status updates to other City employees or outside consultants assigned to the project for the purposes of [Independent Verification and Validation \(IV&V\)](#), governance boards or system evaluations.

3.1.17 Develop and follow an agreement with the City on project management protocol and procedures for design update, changes to the project plan and deliverable review.

3.2 The City will provide reasonable workspace as necessary for each resource directly involved in the sections above. The City will make its computer systems available to the Contractor as necessary through Virtual Private Network (VPN) connection or through City-provided computers for the duration of the project. In order to connect to the City network through VPN, Contractor agrees to subject the accessing computer to minimum security requirements and scanning technology and agents imposed by the City to confirm compliance with those security requirements.

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PART 4 EVALUATION OF OFFERS

4.1 Selection Process. The Mayor of Albuquerque shall name, for the purpose of evaluating the proposals, an Ad Hoc Advisory Committee. On the basis of the evaluation criteria established in this RFP, the committee shall submit to the Mayor a list of qualified firms in the order in which they are recommended. Proposal documentation requirements set forth in this RFP are designed to provide guidance to the Offeror concerning the type of documentation that will be used by the Ad Hoc Advisory Committee. Offerors should be prepared to respond to requests by the Purchasing Office on behalf of the Ad Hoc Advisory Committee for oral presentations, facility surveys, demonstrations or other areas deemed necessary to assist in the detailed evaluation process. Offerors are advised that the City, at its option, may award this request on the basis of the initial offers.

4.2 Evaluation Criteria. The following general criteria, not listed in order of significance, will be used by the Ad Hoc Advisory Committee in recommending contract award to the Mayor. The proposal factors will be rated on a scale of **0-1000** with weight relationships as stated below.

4.2.1 Evaluation Factors:

200 -- The Offeror's general approach and plans to meet the requirements of the RFP.

200 --The Offeror's detailed plans to meet the objectives of each task, activity, etc. on the required schedule that is proposed as requested in section 2.2.2.

200 -- Experience and qualifications of the Offeror and personnel as shown on staff resumes to perform tasks described in Part 3, Scope of Services.

100 -- Adequacy of proposed project management and resources to be utilized by the Offeror.

100 --The Offeror's past performance on projects of similar scope and size.

100 -- The overall ability of the Offeror, as judged by the evaluation committee, to successfully complete the project within the proposed schedule. This judgment will be based upon factors such as the project management plan and availability of staff and resources.

100 -- Cost Proposal ó The costs proposed by the Contractor as described in Section 2.2 of this RFP to perform the tasks listed in Part 3, Scope of Services. The evaluation of this section will occur after the technical evaluation, based on a cost/price analysis.

4.2.2 Cost/Price Factors: The evaluation of cost factors in the selection will be determined by a cost/price analysis using your proposed figures. Please note that the lowest cost is not the sole criterion for recommending contract award.

4.2.3 Cost Evaluation. The cost/price evaluation will be performed by the City Purchasing Division or designee. A preliminary cost review will ensure that each Offeror has complied with all cost instructions and requirements. In addition, proposals will be examined to ensure that all proposed elements are priced and clearly presented. Cost proposals that are incomplete or reflect significant inconsistencies or inaccuracies will be scored accordingly or may be rejected by the Ad Hoc Advisory Committee if lacking in information to determine the value/price/cost relative to the services proposed.

4.3 Preferences. Preferences for local, small and resident (state) businesses may be available under the City of Albuquerque Public Purchases Ordinance, for this procurement. See Part 5 of this Request for Proposals for additional information. For those Offerors qualifying for a preference, a 1.05 or 1.10 multiplier, whichever applies, will be applied to the total raw score assigned to its proposal by the ad hoc evaluation committee.

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PART 5 - Instructions for PREFERENCE CERTIFICATION FORM
For Local, Small or Resident Business Preferences
(Goods & Services)

1. ALL INFORMATION MUST BE PROVIDED. A 5% small business preference, a 5% local preference or resident business preference and Veterans preference are available for this procurement. To qualify, an Offeror **MUST** complete and submit this Form **WITH ITS OFFER**. For a Veterans preference the New Mexico State certification of eligibility **MUST** be attached. If an offer is received without the Forms attached, completed, signed and certified, or if the Form is received without the required information, the preference will not be applied. **THE FORM OR A CORRECTED FORM WILL NOT BE ACCEPTED AFTER THE DEADLINE FOR RECEIPT OF BIDS OR PROPOSALS.**

2. PHYSICAL LOCATION MUST BE STATED. To qualify for the small business or local preference, a business must have its principal office and place of business in the Greater Albuquerque Metropolitan Area. The business location inserted on the Form must be a physical location, street address or such. **DO NOT** use a post office box or other postal address.

3. FORM MUST BE COMPLETED BY PRINCIPAL OFFEROR. This Form must be completed for the Principal Offeror, or one of the Principal Offerors if the Offeror is a joint venture or partnership, or by an individual authorized to sign for the Offeror. Subcontractors of the Offeror may not be used to qualify an offer for a preference and should not complete or submit the Form.


4. APPLICATION OF PREFERENCES. The small business preference and the local business preference will be applied to all offers submitted by eligible small businesses. The local preference only will be applied to all offers submitted by eligible local businesses which are not small businesses. If there are no offers submitted in response to a solicitation that are eligible for the local preference, then the Resident Business Preference will be applied to any offers submitted which have provided a valid, State of New Mexico-issued, Resident Business or Resident Manufacturer Certification Number.

5. DEFINITIONS. The following definitions apply:

- The Greater Albuquerque Metropolitan Area includes all locations within the City of Albuquerque and Bernalillo County.
- A local business is a business with its principal office and place of business in the Greater Albuquerque Metropolitan Area.
- A small business is a local business which employs an average of fewer than 50 full-time employees in a calendar year. The calendar year immediately prior to the request for the preference should be used.
- A principal office is the main or home office of the business as identified in tax returns, business licenses and other official business documents.
- A place of business is a location where the business conducts its daily operations, for the general public, if applicable.
- A full-time employee is an employee of the business who is hired to work at least forty (40) hours per week, whether in a permanent, temporary or seasonal status. If all full-time employees of the business are hired to work a shorter work week, the City's Chief Procurement Officer may reduce this requirement, upon receipt of adequate documentation.

6. ADDITIONAL DOCUMENTATION. If requested, a business will be required to provide, within three working days of receipt of the request, documentation to substantiate the information provided on the Form.

The City's Chief Procurement Officer shall determine the sufficiency of such documentation.

	LOCAL and SMALL VENDOR PREFERENCE AFFIDAVIT OF ELIGIBILITY	
	City of Albuquerque Purchasing Division	One Civic Plaza 6 th Floor P.O. Box 1293 Room 7012 Albuquerque, NM 87103 Phone: (505) 768-3320 Fax: (505) 768-3355
Preference Type: (Check applicable preference/s) <input type="checkbox"/> Local-City Business <input type="checkbox"/> Small Business		
Legal Name of Firm:		
Contact Person:		Telephone:
E-mail Address:		Fax:
Mailing Address:		Physical Address (if Different):
Number of <u>full-time</u> employees working in the city of Albuquerque:		Attach 941 Tax Form
<p>I certify my company meets the following qualifications to be eligible for local business preference: Maintains its principal office and place of business within the Greater Albuquerque Metropolitan Area (City of Albuquerque or Bernalillo County)</p> <ol style="list-style-type: none"> 1. Such location is staffed with full-time employees. 2. Such location is open to the public on a regular basis. 3. The vendor is operating or performing its business from this location. 4. Note: A post office box shall not be considered a physical business address. <p>I certify my company meets the following qualifications to be eligible for Small business preference:</p> <ol style="list-style-type: none"> 1. Meets the requirements for a Local Business Preference (see above). 2. Employs fewer than fifty (50) full-time employees in a calendar year as demonstrated by the attached 941 I.R.S. Tax Form <p>I certify that I am attaching the New Mexico State certification of Resident Veteran's Business preference.</p> <p>I certify that under the penalty of perjury, the foregoing statements are true and correct. I also acknowledge that any person, firm, corporation or entity intentionally submitting false information to the city in an attempt to qualify for a local or small preference shall be prohibited from bidding on City of Albuquerque products and/or services for a period of up to three (3) years.</p> <p>Authorized Signature: _____ Date: _____</p> <p>Printed Name: _____ Title: _____</p> <p style="text-align: center;">ACKNOWLEDGMENT</p> <p>State of New Mexico County of _____</p>		

Signed and sworn to before me on _____ by _____.

Notary
My Commission expires on _____

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PART 6
DRAFT AGREEMENT

THIS AGREEMENT is made and entered into this ____ day of _____, 20__ by and between the City of Albuquerque, New Mexico a municipal corporation, (hereinafter referred to as the "City"), and _____, hereinafter referred to as the "Contractor"), a _____, whose address is _____.

RECITALS

WHEREAS, the City issued a Request For Proposals for the _____ Department, P_____, titled ð_____, which is Exhibit A to this Agreement; and

WHEREAS, the Contractor submitted its proposal, dated _____, in response to RFP____-____-____, which proposal is Exhibit B to this Agreement; and

WHEREAS, the City desires to engage the Contractor to render certain services in connection therewith, and the Contractor is willing to provide such services.

NOW, THEREFORE, in consideration of the premises and mutual obligations herein, the parties hereto do mutually agree as follows:

1. Scope of Services. The Contractor shall perform the following services (hereinafter the "Services") in a satisfactory and proper manner, as determined by the City:

A. The Contractor will provide design, build, implement, and support services as described in the Statement of Work, attached hereto as Exhibit C and by this reference made a part hereof. In the event of a conflict between this Agreement and Exhibit C, this Agreement shall prevail.

B. The Contractor will provide the City with the deliverables described in the Statement of Work (hereinafter referred to as the 'Deliverables') in a satisfactory and proper manner, as determined by the City and in accordance with the project schedule attached hereto as Exhibit D.

C. Throughout the term of this Agreement, the Contractor shall provide project management as follows:

(1) The Contractor agrees to conduct periodic project status meetings to be held at the City's premises throughout the term of this Agreement. The frequency of these meetings shall be mutually agreed upon but shall be no less often than monthly, unless otherwise agreed to by the parties.

(2) The Contractor agrees to provide to the City bi-weekly status reports using a format mutually agreed upon.

(3) The Contractor will track all changes to the Statement of Work and Deliverables Payment Schedule using a Change Request Log approved by the City. No changes to the Statement of Work or Deliverables Payment Schedule will be made without the prior written approval of the City and the Contractor.

(4) The Contractor will create a Problem Report, in a form agreed to by the City, for any problem found with the System, customization, testing or any project-related activity. The Problem Report will be used to document and track the resolution of the problem. The Contractor's Project Manager will be responsible for ensuring the timely resolution of all System and service problems.

D. The Contractor warrants that it is qualified and duly authorized to provide the Services required pursuant to this Agreement. In addition, the Contractor warrants that it has access to the applications, related materials, and other resources necessary for providing the Services, that all Services will be provided in a professional manner consistent with industry standards and that all deliverables will meet the requirements of the City set out in this Agreement.

E. Each of the parties may from time to time disclose to the other party proprietary or confidential information relating to its business and affairs ("Confidential Information"). Neither party will disclose Confidential Information of the other to any third party without the express written consent of the other party, nor make use of any Confidential Information other than in the performance of this Agreement. Each party will use at least the same degree of care to avoid disclosure of Confidential Information as it uses with respect to its own Confidential Information. Either party may seek injunctive relief to enforce its rights under this section. Confidential Information will be clearly designated in writing as proprietary or confidential. Confidential Information does not include information: (a) generally available to or known to the public; (b) previously known to the recipient; (c) independently developed by the recipient outside the scope of this Agreement; (d) lawfully disclosed by a third party; or (e) disclosed during testimony before any judicial or quasi-judicial court or tribunal. Notwithstanding anything contained herein to the contrary, the City shall not be responsible to the Contractor for any disclosure of Confidential Information which is ordered by a court of competent jurisdiction pursuant to the New Mexico Inspection of Public Records Act (Sections 14-2-1 et seq., NMSA 1978).

F. Upon payment for Services, the City shall have a perpetual, non-exclusive, non-assignable, royalty free license to use for its internal business operations, anything developed by the Contractor and delivered under this Agreement. Ownership and intellectual property rights to any Software-related deliverables developed or delivered under this Agreement shall be governed by the terms of that license.

G. The Contractor shall provide complete, detailed installation, configuration, database definition, security and operating documentation for the System, as required by the RFP and the Statement of Work. Electronic forms of documentation will be provided as available in electronic format. Data base definition documentation must be provided to the City prior to the creation of the data base and should include Entity Relationship Diagrams describing the relationships among tables, dependencies, cardinality and key structures, a data dictionary including a textual description of all tables and fields within those tables, and scripts (in electronic

format) for the creation of all tables, indexes, views, etc.

The Contractor shall provide the City with a presentation of the database design including a description of the logical and physical designs and security considerations. The logical design discussion should include a description of the relationships among tables, dependencies, cardinality and key structures. The physical design discussion should include a description of the indexes, table space usage, constraints, recommended database options, etc. The security considerations discussion should include a description of how security is implemented at the data base level and at the application level.

H. In the event of a disaster or accident that impairs operation of the System, the Contractor shall use its best efforts to help the City resume the project or restore operations as soon as possible. Such services which exceed those included in this Agreement will be provided at the Contractor's prevailing rates.

2. Time of Performance. Services of the Contractor shall commence on the date of final execution of this Agreement and shall be undertaken and completed in such sequence as to assure their expeditious completion in light of the purposes of this Agreement; provided, however, that in any event, all of the Services required hereunder shall be completed within eighteen (12) months of the date of execution of this Agreement. This Agreement may be extended for up to three (3) additional one-year period upon written agreement of the parties.

3. Compensation and Method of Payment.

A. Compensation. For performing the Services specified in Section 1 hereof, the City agrees to pay the Contractor up to the amount of _____ Dollars (\$_____), which amount includes any applicable gross receipts taxes and which amount shall constitute full and complete compensation for the Contractor's Services under this Agreement, including all expenditures made and expenses incurred by the Contractor in performing such Services.

B. Method of Payment. Such amount shall be paid to the Contractor in installments, which include any applicable gross receipts taxes, as follows: TBD. Payments shall be made to the Contractor upon completion of each task, upon receipt by the City of a properly documented requisition for payment as determined by the budgetary and fiscal guidelines of the City and on the condition that the Contractor has accomplished the Services to the satisfaction of the City.

C. Appropriations. Notwithstanding any other provisions in this Agreement, the terms of this Agreement are contingent upon the City Council of the City of Albuquerque making the appropriations necessary for the performance of this Agreement. If sufficient appropriations and authorizations are not made by the City Council, this Agreement may be terminated at the end of the City's then current fiscal year upon written notice given by the City to the Contractor. Such event shall not constitute an event of default. All payment obligations of the City and all of its interest in this Agreement will cease upon the date of termination. The City's decision as to whether sufficient appropriations are available shall be

accepted by the Contractor and shall be final.

4. Independent Contractor. The Contractor is considered as an independent contractor at all times in the performance of the services described in Section 1. The Contractor further agrees that neither it nor its employees are entitled to any benefits from the City under the provisions of the Workers' Compensation Act of the State of New Mexico, or to any of the benefits granted to employees of the City under the provisions of the Merit System Ordinance as now enacted or hereafter amended.

5. Personnel.

A. The Contractor represents that it has, or will secure at its own expense, all personnel required in performing all of the Services required under this Agreement. Such personnel shall not be employees of or have any contractual relationships with the City.

B. All the Services required hereunder will be performed by the Contractor or under its supervision and all personnel engaged in the work shall be fully qualified and shall be authorized or permitted under state and local law to perform such Services.

C. None of the work or Services covered by this Agreement shall be subcontracted without the prior written approval of the City. Any work or Services subcontracted hereunder shall be specified by written contract or agreement and shall be subject to each provision of this Agreement.

6. Indemnity. The Contractor agrees to defend, indemnify and hold harmless the City and its officials, agents and employees from and against any and all claims, actions, suits or proceedings of any kind brought against said parties because of any injury or damage received or sustained by any person, persons or property to the extent arising out of or resulting from the negligent acts, errors, omissions, and performance by the Contractor under this Agreement or by reason of any asserted act or omission, neglect or misconduct of the Contractor or Contractor's agents or employees or any subcontractor or its agents or employees. The indemnity required hereunder shall not be limited by reason of the specification of any particular insurance coverage in this Agreement.

7. Insurance. The Contractor shall not commence any work under this Agreement until the insurances required in Exhibit A, Section 1.23 or the bonds per the attachments to Exhibit A have been obtained and the proper certificates and riders or endorsements (or policies) have been submitted to the City.

8. Discrimination Prohibited. In performing the Services required hereunder, the Contractor shall not discriminate against any person on the basis of race, color, religion, gender, sexual preference, sexual orientation, national origin or ancestry, age, physical handicap or disability, as defined in the Americans With Disabilities Act of 1990, as currently enacted or hereafter amended.

9. **ADA Compliance.** In performing the Services required hereunder, the Contractor agrees to meet all the requirements of the Americans With Disabilities Act of 1990 (the "ADA"), which are imposed directly on the Contractor or which would be imposed on the City as a public entity. The Contractor agrees to be responsible for knowing all applicable rules and requirements of the ADA and to defend, indemnify and hold harmless the City, its officials, agents and employees from and against any and all claims, actions, suits or proceedings of any kind brought against said parties as a result of any acts or omissions of the Contractor or its agents in violation of the ADA.

10. **Reports and Information.** At such times and in such forms as the City may require, there shall be furnished to the City such statements, records, reports, data and information, as the City may request pertaining to matters covered by this Agreement. Unless authorized by the City, the Contractor will not release any information concerning the work product including any reports or other documents prepared pursuant to the Agreement until the final product is submitted to the City.

11. **Open Meetings Requirements.** Any nonprofit organization in the City which receives funds appropriated by the City, or which has as a member of its governing body an elected official, or appointed administrative official, as a representative of the City, is subject to the requirements of §2-5-1 *et seq.* R.O.A. 1994, Public Interest Organizations. The Contractor agrees to comply with all such requirements, if applicable.

12. **Establishment and Maintenance of Records.** Records shall be maintained by the Contractor in accordance with applicable law and requirements prescribed by the City with respect to all matters covered by this Agreement. Except as otherwise authorized by the City, such records shall be maintained for a period of three (3) years after receipt of final payment under this Agreement.

13. **Audits and Inspections.** At any time during normal business hours and as often as the City may deem necessary, there shall be made available to the City for examination all of the Contractor's records with respect to all matters covered by this Agreement. The Contractor shall permit the City to audit, examine, and make excerpts or transcripts from such records, and to make audits of all contracts, invoices, materials, payrolls, records of personnel, conditions of employment and other data relating to all matters covered by this Agreement. The Contractor understands and will comply with the City's Accountability in Government Ordinance, §2-10-1 *et seq.* R.O.A. 1994, and also agrees to provide requested information and records and appear as a witness in hearings for the City's Board of Ethics and Campaign Practices pursuant to Article XII, Section 8 of the Albuquerque City Charter.

14. **Publication, Reproduction and Use of Material.** No material produced in whole or in part under this Agreement shall be subject to copyright in the United States or in any other country. The City shall have unrestricted authority to publish, disclose, distribute and otherwise use, in whole or in part, any reports, data or other materials prepared under this Agreement.

15. **Compliance with Laws.** In providing the Scope of Services outlined herein, the Contractor shall comply with all applicable laws, ordinances, and codes of the federal, State, and local governments.

16. **Changes.** The City may, from time to time, request changes in the Scope of Services of the Contractor to be performed hereunder. Such changes, including any increase or decrease in the amount of the Contractor's compensation, which are mutually agreed upon by and between the City and the Contractor, shall be incorporated in written amendments to this Agreement.

17. **Assignability.** The Contractor shall not assign any interest in this Agreement and shall not transfer any interest in this Agreement (whether by assignment or novation), without the prior written consent of the City thereto.

18. **Termination for Cause.** If, through any cause, the Contractor shall fail to fulfill in a timely and proper manner its obligation under this Agreement or if the Contractor shall violate any of the covenants, agreements, or stipulations of this Agreement, the City shall thereupon have the right to terminate this Agreement by giving five (5) days written notice to the Contractor of such termination and specifying the effective date of such termination. In such event, all finished or unfinished documents, data, and reports prepared by the Contractor under this Agreement shall, at the option of the City, become its property, and the Contractor shall be entitled to receive just and equitable compensation for any work satisfactorily completed hereunder. Notwithstanding the above, the Contractor shall not be relieved of liability to the City for damages sustained by the City by virtue of any breach of this Agreement by the Contractor, and the City may withhold any payments to the Contractor for the purposes of set-off until such time as the exact amount of damages due the City from the Contractor is determined.

19. **Termination for Convenience of City.** The City may terminate this Agreement at any time by giving at least fifteen (15) days notice in writing to the Contractor. If the Contractor is terminated by the City as provided herein, the Contractor will be paid an amount which bears the same ratio to the total compensation as the Services actually performed bear to the total Services of the Contractor covered by this Agreement, less payments of compensation previously made. If this Agreement is terminated due to the fault of the Contractor, the preceding section hereof relative to termination shall apply.

20. **Construction and Severability.** If any part of this Agreement is held to be invalid or unenforceable, such holding will not affect the validity or enforceability of any other part of this Agreement so long as the remainder of the Agreement is reasonably capable of completion.

21. **Enforcement.** The Contractor agrees to pay to the City all costs and expenses including reasonable attorney's fees incurred by the City in exercising any of its rights or remedies in connection with the enforcement of this Agreement.

22. Entire Agreement. This Agreement contains the entire agreement of the parties and supersedes any and all other agreements or understandings, oral or written, whether previous to the execution hereof or contemporaneous herewith. Exhibits A, B, and C attached hereto, are hereby made a part of this Agreement.

24. Applicable Law. This Agreement shall be governed by and construed and enforced in accordance with the laws of the State of New Mexico, and the laws, rules and regulations of the City of Albuquerque.

25. Approval Required. This Agreement shall not become effective or binding until approved by the City's Chief Administrative Officer.

IN WITNESS WHEREOF, the City and the Contractor have executed this Agreement as of the date first above written.

CITY OF ALBUQUERQUE

CONTRACTOR:

Approved By:

By: _____

Chief Administrative Officer

Title: _____

Date: _____

Date: _____

_____, **Director**

Department _____

Date: _____

Appendix A: Detailed Requirements

FUNCTIONAL REQUIREMENTS

User Experience

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
1.	Users can easily navigate and perform their primary job tasks with little or no training. Features such as toolbars and tabs must be based on look and feel of common interfaces such as Microsoft Office, PeopleSoft, Web-based GUI products, Windows etc.	Y			
2.	Client provides the capabilities for users personalize their user experience (e.g., personalized home page showing personal workflows, favorite views, etc.)			Y	
3.	Client displays all associated meta-information alongside the image itself e.g. index values, notes, related documents, revisions, discussion threads, and document history.	Y			
4.	Client provides ability to display a preview of the document in a separate pane during the indexing process.	Y			
5.	Client provides the ability to auto-import camera images and media files directly from a connected device.		Y		
6.	Client enables users to play, stop, and pause multimedia files (audio/video) with the native viewer.		Y		
7.	Web Client provides a central dashboard+component to create and manage personalized views and tasks			Y	
8.	Solution offers full support for modern browsers . regardless of underlying operating system. At a minimum, Internet Explorer and Firefox must be supported.		Y		
9.	Solution enables end users to create their own personalized saved searches		Y		
10.	Solution's search interface accommodates multiple search methods from a single panel.	Y			
11.	Solution provides advanced full text	Y			

	search capabilities including (but not limited to) fuzzy, wild card, advanced search operators, searches against notes, index value searches, searches against defined document types, all file formats, date ranges, etc.				
12.	Solution provides ability to utilize full text searching alongside index value search from a single interface.	Y			
13.	Core search and retrieval client allows users to search for multiple document types (e.g., text/, image, PDF, Word, etc.) in one search.		Y		
14.	Solution provides capabilities to not only retrieve and archive to the image system from the native office toolbar, but also search and retrieve image management stored content from directly inside the native office application.		Y		
15.	Solution provides ability for a user to filter a broad search result list by dragging and dropping attribute fields (index values) on the fly.		Y		
16.	Automatically links related documents of similar or different file types to each other (e.g., a text file to a TIFF image). Solution can also identify hot spots or zones that trigger multiple related documents from the primary document.	Y			
17.	Workflow experience is integrated and provides task buttons and user interaction on a menu available within selected or open documents (i.e., user does not need to enter the Workflow Client).		Y		
18.	Client interacts with other business applications (such as, but not limited to Cognos Reporting, PeopleSoft ERP, MS Office) used to access image management stored content, workflows etc. Electronic forms can be created directly from within the existing business application without any custom or client programming.	Y			
19.	Solution provides interfaces to standard mobile devices such as iPad, iPhone, Windows Phone, and Droid phone/tablets.	Y			
20.	System offers a simple deployable solution for the client interface, minimizing administration overhead and supporting IT policies.		Y		

Capture and Image Management

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
21.	Ability to automatically classify and index images.	Y			
22.	Ability to accept document from a wide variety of source types including but limited to TIFF, PDF and JPG	Y			
23.	Ability to capture and index documents from remote users through either a web-based connection or offline/disconnected method.		Y		
24.	System should provide secure, temporary staging area for document import until ready to index	Y			
25.	Ability to perform quality assurance (QA) /verification of captured image documents. For instance, the solution should provide options to QA image quality and/or index accuracy. It should also provide a simple image re-scan process that automatically replaces the poor images with the newly-scanned images.	Y			
26.	Solution's capture process allows for page separation and retrieval. This should include the separation of image and PDF file types.	Y			
27.	Solution has the ability to allow for email, FTP, drop-box or similar technologies to allow automatic batch upload or import and indexing.		Y		
28.	Ability to save non-image documents as Microsoft Word or Excel into repository.			Y	
29.	Integration between capture engine and workflow engine		Y		
30.	Solution provides defined integrations with other third-party capture products (advanced capture products) and is not limited only to proprietary capture products and therefore a limited range of scanners.	Y			
31.	Solution integrates with a wide range other input devices (such as fax, Multi-Function Product/ Printer/ Peripheral) as a means of importing documents into the system.	Y			
32.	Ability to Scan using Microsoft SharePoint interface component.			Y	
33.	Ability to automatically fill several index values on a document based on a primary index value that triggers the automatic look up of additional index information already contained within the	Y			

	system.				
34.	Ability to natively provide data and text extraction capabilities for scanned image documents (e.g. OCR, ICR, OMR, bar codes, and signature detection) in order to provide hands-off processing of scanned documents directly into the system - without involving third party software applications or add-ons.		Y		
35.	Ability to control and track the modification of documents through multiple revisions (version control), allowing users to view prior revisions and track document history. The solution should allow comments to be added to a revision.			Y	
36.	Solution provides ability to stamp a specific revision of a document as a version, limiting which revisions of a document a certain user can see; ability to turn off versioning after redaction.	Y			
37.	Ability to associate an electronic signature with an event.		Y		
38.	Solution provides one central GUI for administration and deployment of capture products.	Y			
39.	Users can configure scanning interfaces out-of-the box without extensive training or customization	Y			
40.	Capture engine can handle high-volume imaging requirements.	Y			

Integration Technologies

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
41.	Beyond image enabling, solution facilitates bi-directional data and document communication between Financial system and multiple third-party applications (e.g., posting invoice data from a capture process to the invoice entry in Oracle PeopleSoft.)		Y		
42.	Can provide a high-level document describing API and Web Service feature set in response.		Y		
43.	System offers well documented, robust web API and provide publicly available API's for citizen development. Citizens and vendors can freely access public document types	Y			
44.	System supports DCAT XML schema		Y		

Records Management

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
45.	Records management functionality provided by the solution is self-contained and does not require integration with a third-party or external Records & Information Management tool.			Y	
46.	Allow for easy grouping and viewing of related files into %folder+views . see HR use case		Y		
47.	Solution provides the ability for a document(s) to be dragged and dropped into a record (folder of documents) and for the new document to automatically inherit the records management policy of the folder.		Y		
48.	Solution allows users to capture, and store electronic records (documents) in their native formats, including e-mail, electronic forms, physical items, images, text files, and Office documents.		Y		
49.	Solution provides the ability to place a legal hold (or multiple holds) on a record, for the purposes of audit or legal discovery.			Y	
50.	Solution provides a variety of destruction options, including the ability to keep both index values and files permanently, keep only index values, or purge both index values and files with or without a history log (certificate of destruction). Deletion must be based on security and retention period rules for the given document type			Y	
51.	Ability to provide a holistic view of both digitally-stored content and physically-stored content in a single search results list.			Y	
52.	Provides an administrative view of physical record locators either pending check out (requested) or currently checked out with appropriate location information (item name, user in possession, expected return date, identifier, repository, repository name).			Y	
53.	System must allow different retention schedules and archiving processes based on document type and business need.		Y		

E-Mail

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
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P2014000025, "Image Management System"

54.	Solution allows drag-and-drop import of messages into the image system using e-mail client folders in order to automate the classification and indexing of e-mails and attachments (e.g., a user could create a folder for purchase orders, one for invoices, another for resumes, etc.).		Y		
55.	Solution allows e-mails and attachments to be automatically imported and fully indexed into the system without any user intervention or data entry.		Y		
56.	User can access the system's workflow processes from within the e-mail client interface, with the ability to decision items (execute tasks) and view related documents directly from the e-mail message notification.			Y	
57.	Solution provides the ability to search on e-mail index values and/or perform a full-text search on e-mail and attachment content.			Y	

Auditing & Reporting

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
58.	Solution provides the ability to access a document-level audit trail directly from the document.	Y			
59.	Solution allows a system administrator to perform an ad hoc audit on system-related activities from within the client (e.g., identification of all documents accessed by a recently released employee).	Y			
60.	Solution's reporting tool directly integrates with Microsoft Excel, allowing users to build reports natively in Excel utilizing the system attributes.		Y		
61.	Solution provides, within Microsoft Excel, point-and-click data mining and modeling of text-based reports stored within your repository, including metadata if hosted.		Y		
62.	Solution provides a report out-of-the-box (with no custom coding) to identify matched, unmatched, or missing numeric and/or character index values between a primary document and secondary document(s) (i.e., automated reconciliation report).		Y		
63.	Based on the exception identified, solution automatically routes exception items from the exception report to a workflow for proper resolution. This should be accomplished without any additional coding.		Y		

TECHNICAL REQUIREMENTS

System Architecture

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
64.	The system must support at least 10 index values per document. Import of past records from FileNet must capture, make usable past indices.	Y			
65.	Support for different metadata data types (e.g., date, date and time, currency, specific currency, alphanumeric, numeric, floating point, etc.).	Y			
66.	Solution provides point-and-click configuration for index values, with multiple pre-configured formats (e.g., date: dd/mm/yyyy, month/dd/yy, mm-dd-yy).		Y		
67.	Ability to add the same index value to different documents thereby creating a relationship between the documents.		Y		
68.	Allow user to enter a single index value and have all related index values auto populate.		Y		
69.	System can re-index documents, at a global level, without programming. The solution should provide for index values to be updated or replaced on multiple documents at once without custom programming or scripting.	Y			
70.	Solution provides a means of purging, with just a few clicks, those index values that are no longer being used (saving database space and optimizing performance).		Y		
71.	System supplies validation of attribute values, including data sets, masking, etc.		Y		
72.	System allows for content categorization to be user defined.		Y		
73.	Solution supports an unlimited number of document types within the system.	Y			
74.	System supports the organization of documents into folder-type structures.	Y			
75.	Solution provides an underlying ability to easily pre-define document relationships for use in search and retrieval.	Y			

Configuration

Number	Functionality/Task Request	Core	Preferred	Nice to Have	Response: In
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		Requirement			scope Y/N or why not
76.	System provides a single interface for the configuration and administration of all major system components (e.g., import processing, document type configuration, index value configuration, workflow, user groups and rights, storage structure, scanning, records management, foldering, scripting, etc.).		Y		

Infrastructure

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
77.	The database architecture supports more than one database platform. At a minimum this must include Microsoft SQL Server and Oracle.	Y			
78.	Solution supports virtualization, using technology such as IBM VMCluster or equivalent		Y		
79.	System allows Write Once Read Many (WORM) operations	Y			
80.	System is self-contained and has sufficient server and storage hardware	Y			

Security Administration

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
81.	System's security model (rights and privileges), including system's ability to assign security at each of the following levels: <ul style="list-style-type: none"> • User groups • Users • Document Type Groups • Document Types • Index Values • Folders • Notes • Workflow • Scan Queues • Configuration 	Y			
82.	Security options for logging into the system, which should allow help desk support to easily set/reset passwords	Y			
83.	Ability to publish select content onto removable media (CD/DVD) in an encrypted format, allowing access to a self-contained / runtime version of your client.	Y			

84.	Ability to send documents as an encrypted PDF.	Y			
85.	System allows storage of highly-sensitive information and complies with legislation requirements and guidelines such as (but not limited to) HIPAA and PCI-DSS.	Y			
86.	System segregates workflow administration privileges to accommodate multi-departmental enterprise deployments involving numerous administrators.		Y		
87.	Ability for designated power users to perform the following administrative tasks via the web-based client: <ul style="list-style-type: none"> Add new users Change passwords Reset passwords Apply rights to user groups 	Y			
88.	Where appropriate, allow the system administrator to reserve specific licenses for different features (such as logging into the system, importing documents, or using Workflow) for specific user groups that must be guaranteed access to these features regardless of who else is logged into the system.	Y			

Storage: This project will also replace existing hardware. SAAS (Software as a Service) or Cloud Technologies would be considered as a long or short term solution.

Number	Functionality/Task Request	Core Requirement	Preferred	Nice to Have	Response: In scope Y/N or why not
89.	Solution allows the archiving of documents to various media, including (but not limited to): <ul style="list-style-type: none"> Windows file servers, to allow the leveraging of Share and NTFS permissions Linux file servers Unix file servers Plasmon Archive Appliances CD, DVD or Blu-ray Others? 		Y		
90.	Solution stores documents in their original, native file formats. Formats must be non-proprietary and must not be dependent on vendors software or technology for viewing.	Y			
91.	Capabilities for providing high-volume storage for SharePoint content (i.e., SharePoint archiving).			Y	
92.	Solution contains an import/ export tool for massive/batch exporting of content in a non-proprietary format. This tool should supply both the document and the index	Y			

	values. Solution should have the ability to import/ export datasets in formats including, but not limited to JPG, XML and CSV.				
93.	Users have the ability to check documents out of the system for access via a localized copy that can be worked on, checked back in, and processed automatically.			Y	
94.	System's storage architecture incorporates redundancy to facilitate quick recovery and resumption of functionality in the event of a disaster.		Y		
95.	Storage maintenance includes 24 hour SLA to obtain parts and local solution vendor to provide on-site repairs. Even so, the hardware should have low total cost of ownership (TCO).		Y		
96.	Ability to archive or completely remove data based on retention management.	Y			
97.	Storage solution should be scalable by adding additional units. System must start out configured with a minimum of 4 terabytes plus redundancy.	Y			
98.	Storage solution should be green, low wattage, efficient, small foot print.		Y		
99.	System should self-compensate and continue to run in the event of a two or greater disk failure (higher technology than RAID).		Y		
100.	Solution provides the ability to encrypt and secure data at the database level and at the file storage level, as well as content that has been backed up/at rest.	Y			

(End of Specific Requirements)

Appendix B: City of Albuquerque Department Usage

This table represents the Current FileNet Search by Department (and file type) dropdown list menu. Note that this reflects some older Department names, and sub-sections of the same Department, i.e. APD (Albuquerque Police Department) Academy, APD Personnel, (APD's portion of) Payroll, and Police Records are all part of APD, but different roles (different types of documents) are segmented for ease of use.

Current Search by Department and File Type Dropdown List
APD Academy
APD Personnel
Accounts Receivable
BCDC Resident
Building Safety
City Clerk Mylars
City Council
City Council Mylars
Council Official
Environmental Health
Environmental Health Database
Fire Academy
Fire Department
Fire Mylars
HR Employment
HR Employment Through 12/31/2007
HR Insurance
Check Process
Invoices
Payroll
Planning
Police Records
Public Works
Restricted Documents
Unrestricted Documents
Solid Waste
Utility Billing
Water Utility
Zoning & Housing
Customized Search
(Source: Imaging Search Custom ASP Application Menu)

Appendix C: Dept. and Div. Codes - Licensing Custom Application

Departments and Licenses (Dropdown List in Current Licensing System)
COAAVI-Aviation
BERNCO-Bernalillo County
COACCO-City Council
COACNV-Convention Center
COACRS-Cultural & Recreation
CRSZOO-Cultural & Recreation: Zoo
COARAD-Department of Finance and Administration: Radio
COATEL-Department of Finance and Administration: Telecommunications
DFATOU-Department of Finance and Administration: Tourism Department
DFAACT-Department of Finance and Administrative Services: Accounting
DFADIR-Department of Finance and Administrative Services: Directors Office
DFAISD-Department of Finance and Administrative Services: Information Systems
DFAPUR-Department of Finance and Administrative Services: Purchasing
DFARMN-Department of Finance and Administrative Services: Risk Management
DFATRS-Department of Finance and Administrative Services: Treasury
COADMMD-Department of Municipal Development
COAENT-Enterprise: Accounts
COAENV-Environmental Health
COADHS-Family & Community
COAFIR-Fire: Headquarters
COAPER-Human Resources
COAAUD-Internal Audit
COALGL-Legal
CAOBGT-Mayor/CAO: Budget
CAOOED-Mayor/CAO: Economic Development
CAOMAY-Mayor/CAO: Mayor's Office
CAOPOL-Mayor/CAO: Police Oversight
CAOELC-Mayor/CAO: Records Center
COAPAR-Parks & Recreation
COAPLN-Planning
COAPOL-Police
PWDFMD-Public Works: Fleet
COAOSA-Senior Affairs
COASWD-Solid Waste

COASUR-Surplus: Licenses
SUNPRK-Transit: Parking
COAWWU-Water Utilities
(Source: Imaging Licenses Custom ASP Application)

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Appendix D: Depts. and Divisions Using Other Solutions

Business Units Grouped by Current Imaging Solution	
Application	Business Units
Filenet	Accounts Payable
	Accounts Receivable
	APD-Payroll
	APD-Records
	Planning- Building Safety
	Planning - Development
	Records Center- Human Resources
	Records Center - Payroll
	Solid Waste
SharePoint	Bio Park
	DMD
	APD
	Transit
eBridge	EHD
Other Custom Solution	ABCWUA (Water) SunGard
	DMD
	Real Property
	City Council, Boards - Legistar
	APD . Tiburon, QueTel
ePlan	Planning
(Original source [modified]: Enterprise Content Management Strategy 2010, M. Leech and M. Murayama)	
Note that some Business units are missing from this table.	

Appendix E: Retention Schedule Links

<http://mesa.cabq.gov/policy.nsf/72eebd88c7bea20287256e3000179ac9/2d3cba07ea720a538725710100692a57?OpenDocument>

Or

<http://alameda.cabq.gov/cityapps/policy.nsf/449da152733ba22587256f0c006a8cad/2d3cba07ea720a538725710100692a57?OpenDocument>

Information Technology Retention Policies and Standards

Title	Electronic Document Retention
Type	Policy
Category	Web
Status	Approved
Approved	02/11/2004
Revised	02/08/2006
To Be Reviewed	01/09/2015
Scope	Applies to all electronic documents created, stored or transmitted using City information technology assets.
Policy	Electronic documents will be treated the same as paper documents with respect to City Ordinances and Resolutions, Regulations, Administrative and Executive Instructions, and Schedules regarding document retention and disposition. Unless otherwise categorized in accordance with the regulations cited herein, an electronic document is assumed to be a "General Administrative Record" of type "A-3: Routine Control Record" as defined in the City Clerk's retention and disposition schedules.
Rationale	The City intends to maintain a consistent approach to document retention, regardless of the medium. See also: <ul style="list-style-type: none">• Administrative Instruction 1-5, "Records Retention and Disposition Committee," March 9, 2005.• Administrative Instruction 1-7, "Inspection of Public Records Act Regulations," May 7, 2002.• Personnel Rules and Regulations Section 301.13, "City Records and Accounting."• Personnel Rules and Regulations Section 301.16, "Privileged Information."• Office of the City Clerk, "Retention and Disposition Schedule for General Administrative Records," January, 1992.• Office of the City Clerk, "Retention and Disposition Schedule for General Financial Records," January, 1992.

- Office of the City Clerk, "Retention and Disposition Schedule for General Personnel Records," January, 1992.

http://www.amlegal.com/albuquerque_nm/

Albuquerque NM Code of Ordinances, Resolutions, Development Planning Manual for Subdivisions (Planning DPM) and Administrative Instructions.

Page 332-347 of the City of Albuquerque Administrative Instructions through **August 17, 2005**. Includes Office of the City Clerk Retention and Disposition Schedules based on the state record.

NMAC (State) Guidelines as of 2013

Note that the Admin. Instructions are based on the State requirements and can override local requirements:

<http://www.nmcpr.state.nm.us/records/schedules.htm>

General Administrative documents see:

<http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0003.htm>

For records of a general administrative nature, refer to the GRRDS, General Administrative (For Use by Local Government and Educational Institutions), 1.15.3 NMAC.

Financial Records, Invoices, etc., see NM State Retention and Disposition Schedule:

<http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0005.htm>

For records of a financial nature, refer to the GRRDS, General Financial (Interpretive), 1.15.5 NMAC.

Personnel Records see:

<http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0007.htm>

For records of a personnel nature, refer to the GRRDS, General Personnel (Interpretive), 1.15.7 NMAC.

General Local Government (NM Municipalities) Retention and Disposition Schedule, see:

<http://www.nmcpr.state.nm.us/nmac/parts/title01/01.019.0008.htm>

Personnel Rules and Regulations section 301

<http://eweb.cabq.gov/HRforAll/Personnel%20Rules%20%20Regulations/Section%20300%20-%20Conditions%20of%20Employment.pdf>

301.13 City Records and Accounting

All City records, including reports, vouchers, requisitions, payroll and personnel records must be prepared factually and accurately. It is the personal obligation of the employee completing such records as well as the supervisor to ensure that such records are accurate and comply with federal, state, and City record-keeping and accounting requirements.

301.16 Privileged Information Employees shall protect privileged information to which they have access in the course of their official duties. Employees or former employees shall not disclose or use confidential information acquired through their employment with the City for the employees or another's personal gain or profit.

Appendix F: Use Cases

DFAS - Accounting – Accounts Payable (AP) and Accounts Receivable (AR)

Use Case Name	AP and AR billing and invoice processing
Summary	Accounts Payable processes invoices that are received by mail or dropped off in person. Accounts Receivable issues billing documentation and sends out invoices for the City of Albuquerque.
Retention Definition	6 years ²
Systems in use	FileNet, PeopleSoft, Cognos, custom interfaces
Documents per month	30,000 per month for Accounts Payable; 1-2,000 per month for Accounts Receivable
Deployed since	1997 for Accounts Payable; 2007 for Accounts Receivable
Custom components	<ul style="list-style-type: none"> • These invoices are interfaced (linked via a URL address) to display in ERP (using Instant View ASP application). See footnote. • Processing interface for checks • Note that Accounts Payable is also piloting a program to post invoices (via FileNet links) to SharePoint to make them easily available to a few Departments.
General Process Steps	Accounts Payable ³ and Accounts Receivable ⁴

² See Appendix E. Financial Records, Payroll, Invoices, etc., see NM State General Financial (Interpretive) Retention and Disposition Schedule:
<http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0005.htm>

³ AP Process: The invoices are scanned into FileNet and stored in temporary storage on the Optico server until the user is ready to index the information. When the user has completed scanning all of their documents, they go back to their client machine and open the FileNet Indexing Application on their client machine. The user then starts keying in the invoice information. When they have completed keying in the information they go to the Index Application and obtain the correct scanned image related to the invoice. Once found they key in the Invoice Number and the FileNet application automatically indexes the fields for the document. The user then repeats this process until all documents within the batch have been successfully completed. When all documents are indexed and linked in ERP they click commit and that saves all documents and their index fields into FileNet. The next morning checks are cut from the invoices keyed in the previous day. Another person utilizes a customized FileNet application to process the checks. This application will take the current check that the user is looking at and pulls all related invoices for it. The user then verifies that the invoice amounts and the check match. If everything looks proper the user processes the check and this application takes any updated information from the ERP nightly process and updates the FileNet images with the correct information. The check is then sent to the invoice owner and the invoice and related data are stored in FileNet for retrieval in the future.

⁴ AR Process: The documents are scanned into FileNet and stored in temporary storage on the P2014000025, "Image Management System"

Known Issues	See Hopes, Dreams, Expectations below.
Hopes, Dream and Expectations	<ol style="list-style-type: none"> 1. Grants, legal documents, invoices, contracts, lease agreements, and capital assets are all in different systems. These documents should be %warehoused+to be searchable or reportable together . or at least able to display links to related docs even if stored in different content management solutions. Content solution needs to be integrated with ERP and SharePoint links, so that users do not have to have to access multiple systems to see invoices. 2. All these documents are in different departments and viewed as having different retention periods (Accounting is 6 yrs. plus retention of a hard copy, but is 3 yrs. for other departments). 3. Need to be able to store encrypted files such as W-9 forms. 4. Receive and auto-index E-invoices . picked up from mail, drop box/ftp, automatically without a need to print and rescan. 5. Accounting would like to be able to purchase new scanners and have capture software that is agnostic to the scanner type upon install and easily configurable without heavy licensing fees. 6. Open government: need the ability to display invoice and status to vendors via an online portal. 7. Highly accurate Optical Character Recognition (OCR) verification of information is critical. 8. Workflow approval on-line . the existing process requires several hand signatures then rescanning the same document, with signature and/or time stamp 9. True deletion upon removal of a document that has reached the end of its retention period. The current architecture only allows for deletion of pointer. 10. Accounting is using SharePoint, (and considering using other software), in a pilot program to act as workflow to City Council, Fire, Legal and Planning for outstanding invoices. They would prefer workflow be built into the future content management system. 11. Other department analysts, like Transit, must audit their invoices through ERP/Cognos reports with FileNet embedded links.

Optico server until the user is ready to index the information. When the user has completed scanning all of their documents, they go back to their client machine and open the FileNet indexing application and manually key in all information for the documents. The user then repeats the manual entry until all documents within the batch have been successfully completed. When all documents are indexed, they click commit and that saves all documents and their index fields into FileNet.

Office of the City Clerk – Records Management Center

Use Case Name	Payroll and Timesheets, Planning, Other documents as needed
Summary	The Records Center acts as a central clearing house by imaging documents for the entire City. Imaging of payroll documents is a priority for most departments (Transit and APD do their own scanning unless they have a backlog). The Records Center also scans large documents for Planning and Public Safety (new construction for Police and Fire requests).
Retention Definition	Payroll, timesheets: 3 years after close of fiscal year in which the document was created ⁵ Planning . depends on type ⁶ Other retention schedules dependent on department
Systems in use	FileNet
Documents per month	20,000 + per month
Deployed since	1996
Custom components	Two PC's act as local servers, one for scanning and one for indexing. They are mapped to each other as drives.
General Process Steps	There are two processes in which the Records Center scans records into FileNet: <ul style="list-style-type: none"> • Regular (for Payroll primarily) Document Scanning (8.5+X 11+, 11+X 17+)⁷ • Large paper (Planning) Document Scanning (Greater than 11+X 17+)⁸
Known Issues	Records Management has a large amount of back log to be scanned in; past documents to be archived for: APD, City Clerk Legislative, Insurance and Benefits, Public Works (now DMD or Water Authority)

5 See Appendix E. Financial Records, Payroll, Invoices, etc., see NM State General Financial (Interpretive) Retention and Disposition Schedule:

<http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0005.htm>

6 See Appendix E. General Local Government (NM Municipalities) Retention and Disposition Schedule, see: <http://www.nmcpr.state.nm.us/nmac/parts/title01/01.019.0008.htm>

7 The user scans all documents using a low volume scanner into FileNet. The images are stored in awaiting container on the Optico server until the user is ready to index the information.

8 The user scans in all images using a large document scanner. Each image is in JPEG format and is stored on a remote client machine. All images are stored as docxxpxxx.jpg. Once all of the images are scanned the user moves to the remote machine that contains the FileNet Scan Application. This Application is configured to be used as an Import Application. The user then runs the import application. The application searches the folder with the images and combines them into documents from the docxx portion of the filename. Once it has processed the images the documents are stored in a waiting container on the Optico server until the user is ready to index the document. Once all documents are scanned the user then moves to their machine and starts to index the documents. The user then repeats the index process until all documents within the batch have been successfully completed. When all documents are indexed they click Commit and that saves all documents and their index fields into FileNet.

	transmittals, Real Property, Planning Urban Design and Development and EMS reports and records for Fire/Fire Marshal.
Hopes, Dream and Expectations	The City Clerk is a sponsor of this RFP project. In particular, the hope is to reduce the number of calls related to the Inspection of Public Records by making more of this information available through initiatives such as Open Data

City Council – Administration

Use Case Name	Council Session and legislation documents.
Summary	City Council minutes and agendas are created and stored in Granicus Legistar. Other City Council Session documents and legislation attachments are stored in FileNet.
Retention Definition	Depends on the document ⁹
Systems in use	FileNet, Granicus Legistar
Documents per month	Varies by session, entered as time allows from CDs; between 1 and 2k a year entered
Deployed since	2008
Custom components	DTF import script
General Process Steps	Session documents are scanned and indexed by an outside vendor, Source HOV. CDs are sent to ITSD and the documents are imported into FileNet through Softech's Data Transfer Facility (DTF or Data Tran). After the documents have been imported, City Council is then notified and the documents are available through the FileNet Retrieve application.
Known Issues	There is a back log of council session documents to be transferred from CD/DVD into FileNet.
Hopes, Dream and Expectations	Future use includes Liquor license documentation, with new indices.

Cultural Services – Museum (Future Use)

Use Case Name	Albuquerque Museum Images for acquisition management
Summary	
Retention Definition	Equivalent to the life of the acquisition
Systems in use	TMS, mapped drive -> replace storage solution
Documents per month	Future use

⁹ See Appendix E. Retention Period is until the enacted bill is superceded or rescinded. Also see NMAC rules of Retention for Committees or Council Files: five years after close of fiscal year in which created <http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0003.htm> Note Retention: three years after close of fiscal year in which license issued for liquor license files <http://www.nmcpr.state.nm.us/nmac/parts/title01/01.019.0008.htm>

Deployed since	Interface to TMS via URL links
Custom components	Curators load image of inventory stored in mapped drive to TMS database as links within TMS.
General Process Steps	Storage space runs out, is not easily searchable. One single folder causes performance issues. No logical organization
Known Issues	
Hopes, Dream and Expectations	

Environmental Health – Air Quality (EHD)

Use Case Name	Air Quality documents and permits. Records to be extracted, moved, archived, and deleted as appropriate. CHPD . permit documents, inspection reports VPMD certificate/permit documents, financial information UBD . case management documents/correspondence
Summary	Most documents form part of the various permitting and inspection processes
Retention Definition	unknown
Systems in use	Environmental Health uses eBridge for storing current documents. In the past, FileNet was used.
Documents per month	None currently in FileNet; 77 documents in FileNet
Deployed since	2006-2007
Custom components	In the past, a customized .NET application was created so EHD could enter their data into an Oracle table.
General Process Steps	FileNet: After the data is entered the user then scans all documents into FileNet and the images are stored in a waiting container on the Optico server until the user is ready to index the information. The user then opens the FileNet Index Application and uses a key index field to pull the information from the table they entered into prior. The FileNet application then indexes the rest of the fields from that information. The user then repeats the index process until all documents within the batch have been successfully completed. When all documents are indexed they click Commit and that saves all documents and their index fields into FileNet. eBridge: Each division has its own file cabinet+with indices configured for different document types. Users scan documents and load with the appropriate index. Users can access documents through eBridge via web browser and the eBridge Link tool. This allows integration with most software applications.
Known Issues	none
Hopes, Dream and	None indicated. Images currently in FileNet will not be migrated to

Expectations	replacement system.
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Albuquerque Fire Department

Use Case Name	Academy and Fire records, mylars, payroll
Summary	AFD has a few hundred 2003 Academy records and mylars, 50k other records, no heavy uses since 2005. Does continue to enter payroll documents (see City Clerk Records Mgt.).
Retention Definition	Depends on type ¹⁰
Systems in use	FileNet
Documents per month	Payroll on-going: Academy has a few hundred 2003 Records and Mylars, no recent use of FileNet Approx. 50,000 other Fire Records placed in the system between 2002 and 2005, but no activity since then
Deployed since	2002
Custom components	none
General Process Steps	See records management center for payroll records
Known Issues	
Hopes, Dream and Expectations	Fire Marshal (Future Use) to Consider: <ul style="list-style-type: none"> • Ownership of the data (database) is considered important. • Report on the metadata, metrics • Multiple types of documents, different case and index numbers but all the same premise • Fire and Police need access to permanent, (for the duration of the life of a building and also beyond for historical purposes) • Planning documents for building layout designs and codes enforcement by entity.

Human Resources – Insurance & Benefits and Employment Divisions

Use Case Name	Human Resources (HR) Insurance and Benefits Division and HR Employment Division documents
Summary	In the past, HR Employment Termination Documents were scanned in by Records Management. Documents are now scanned and indexed by an outside vendor.

¹⁰ See Appendix E. Retention Periods: General for Fire or building documents, see <http://www.nmcpr.state.nm.us/NMAC/parts/title01/01.019.0008.pdf> ;
Payroll and Timesheets: three years after close of fiscal year in which created; see <http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0005.htm>

Retention Definition	Depends on file type ¹¹
Systems in use	FileNet
Documents per month	Entered as time allows from CDs/DVDs; approx 1-2,000 entered per month although this varies. 20,000 were entered in 2012
Deployed since	2007
Custom components	DTF Script to import; Social Security Number v. employee number lookup script . see Known Issues below
General Process Steps	HR documents are now scanned and indexed by an outside vendor. CDs/DVDs are sent to ITSD and the documents are imported into FileNet through Softech's Data Transfer Facility (DTF or Data Tran). After the documents have been imported, Human Resource groups are notified and the documents are available through the FileNet Retrieve web application.
Known Issues	Benefits records are indexed by social security number (SSN). Some records are stored by employee number only. The custom web retrieval application locates ERP PAYHRS data to translate the employee number to an SSN so that the FileNet document can be retrieved. This is no longer viable since some data has been archived (program needs repair, can use DSS data but not archived ROSSPYHR data). Depending on how the data is searched, (based on a combination of indices), the search may return different result sets of different sizes.
Hopes, Dream and Expectations	<ul style="list-style-type: none"> • HR would like the ability to look up by employee ID (regardless of name changes), date of birth, and/or SSN. • HR would like to be able to easily group into %smart folders+or other similar logical groups those employeesqhistory over many years by those who are, or have been, Active, Re-activated, Retired or Terminated. • It would be nice to have the date the record was entered included on the search results screen to select the correct record without having to open each one. • HR Benefits would like to be able to link scanned documents (such as beneficiary designation forms) to the employee's record in PeopleSoft HRM. • HR Employment would like to be able to scan data themselves once they have caught up with and audited archived files. Benefits would like to continue to use a 3rd party to scan and index.

11 See Appendix E. Retention periods: Personnel Records 55 years after employee terminated or retired; most other documents are 3 years after event; see the following for state specifics: <http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0007.htm>

Planning – Administration and Design Review

Use Case Name	Planning Administration and Design Review Board documents.
Summary	<ul style="list-style-type: none"> The Planning Administration area scans in documents related to Planning. Design Review now uses ePlan to store design documents going forward (April 2013). Previously, Design Review scans in documents related to the Design Review Board into FileNet. Documents are scanned in as time permits and new documents are scanned in when received. (See City Clerk Records Management). It is anticipated that Land Use type documents will loaded into the Land Management System that replaces existing Accela Kiva system (estimated 2014).
Retention Definition	Depends on document type ¹²
Systems in use	FileNet, ePlan, Kiva and its replacement
Documents per month	Peaked in 2007 with 4,000 in one month; since, avg. 100 documents per month
Deployed since	2004
Custom components	DTF Script to upload documents from vendor; large document compression script to email docs to clients
General Process Steps	<p>There are three scanning and indexing processes in which Planning scans records into FileNet:</p> <ul style="list-style-type: none"> Regular Document Scanning (8.5+X 11+, 11+X 17+) ¹³ Large paper (Planning) Document Scanning (Greater than 11+X 17+) ¹⁴

¹² Building plan and design: retention period is permanent. For others documents, see or refer to City Clerk Administrative instructions: <http://www.nmcpr.state.nm.us/NMAC/parts/title01/01.019.0008.pdf>

Three to ten years depending on event.

¹³ Regular Documents: The user scans all documents using a low volume scanner into FileNet.

The images are stored in a waiting container on the Optico server until the user is ready to index the information.

¹⁴ Mylar or Large Paper Documents: The user scans in all images using a large document scanner. Each image is in JPEG format and is stored on the client machine. All images are stored as ocxxpxxx.jpg. Once all of the images are scanned they run the Scan Application that contains the import functionality. The application searches the folder with the images and combines them into document from the docxx portion of the filename. Once it has processed the images the documents are stored in a waiting container on the Optico server until the user is ready to index the document. Once all documents are scanned the user then moves to their machine and starts to index the documents. All documents are keyed in manually by the user. The user then repeats the index process until all documents within the batch have been successfully completed. When all documents are indexed they click Commit and that saves all documents and their index fields into FileNet.

Known Issues	<ul style="list-style-type: none"> • Outsource to a third party vendor to scan and index the back log of documents.¹⁵ <p>Handling of large documents: compression script for clients does not always run consistently for them and they must ask ITSD FileNet Admin. to run</p>
Hopes, Dream and Expectations	<ul style="list-style-type: none"> • Smart PDFs . links within docs? • Using ePlan for design documents now, will still need access to past documents • Need ability to send large compressed documents to businesses, contractors

Albuquerque Police Department (APD) – Academy, Evidence, Human Resources (HR)/Payroll, and Records

Use Case Name	APD and Bernalillo County Sheriff records
Summary	APD Records maintains cases for APD and Bernalillo County Sheriff offices. HR maintains APD HR and payroll documents. Evidence will use QueTel instead of the City solution. APD Academy uses FileNet some now, may use QueTel or ERP . to be determined.
Retention Definition	Depends ¹⁶
Systems in use	FileNet, Tiburon, HR ERP, QueTel
Documents per month	APD Records averages anywhere from 300 - 400 pages/documents per batch and average approximately 5 - 15 batches a day - about 17k per month. Police Academy avg. 30k per month. Payroll unknown, see Accounting.
Deployed since	1996 . Police Records. 2008- Police Academy. Previously, the payroll records were sent to the City's Records Center

¹⁵ Back log documents will be scanned and indexed by an outside vendor (previously Mesa Retrographics). Once the documents are complete CDs/DVDs will be sent to ITSD and the documents will be imported into FileNet through the acquired Software *Data Transfer Facility* (DTF). After the documents have been imported, Planning is notified and the documents are available through the FileNet Retrieve application

¹⁶ See Appendix E. Retention Periods: General records, see <http://www.nmcpr.state.nm.us/NMAC/parts/title01/01.019.0008.pdf>
Payroll and Timesheets: three years after close of fiscal year in which created; see <http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0005.htm>
Personnel and incident Records 55 years after employee terminated or retired; most other documents are 3 years after event; see the following for specifics:
<http://www.nmcpr.state.nm.us/nmac/parts/title01/01.015.0007.htm>

	and imaged for the users in the regular city process. In 2008 APD HR/Payroll area requested to scan in their own documentation and purchased their own scanners.
Custom components	The index application selects the appropriate case information from the CAD table in the Tiburon system; Instant View application ¹⁷
General Process Steps	APD HR/Payroll ¹⁸ , APD Records ¹⁹
Known Issues	Currently, most APD Academy and Police Evidence documents are stored in filing cabinets. Ability to %undo+a delete without search for doc id to recover.
Hopes, Expectations	

Risk Management

Use Case Name	Risk Management documents
Summary	Risk Torts and Workers\$ Compensation Claims
Retention Definition	Retention for Torts is 10 years, but often would like to be able to go

¹⁷ The Instant application (2009) is an application for viewing images in FileNet that are tied into other applications like ERP PeopleSoft and Police Tiburon. When you are in either application, a link will take you to the FileNet documents in your search. Click on the link and a new Internet Explorer window will appear. A message box will ask for your username and password. Use your Active Directory (Outlook) Username and Password to login. If you have a current FileNet license, the application will work normally and display the image or search results. If you do not have a current FileNet license, the application will: **PeopleSoft:** Automatically Email you the document. **Tiburon:** If you have less than 10 documents requested, the system will allow the documents emailed. If more than 10 documents contact a person with a FileNet account to obtain.

¹⁸ HR/payroll documents are scanned into FileNet and stored in a waiting container on the Optico server until the user is ready to index the information. When the user is complete with scanning all of their documents, they open the FileNet indexing application and key in the SSN/EmpID for the document. The index application then selects the appropriate person from the PAYHRS table and indexes the documents for that user. The user then repeats the manual entry until all documents within the batch have been successfully completed. When all documents are indexed they click Commit and that saves all documents and the index fields into FileNet. See the City HR section for issues with this process, dependency on look up tables).

¹⁹ APD Records Center scans in Accident & Offense reports for both the Albuquerque Police Department and Bernalillo County Sherriff's Office. The related documents are scanned into FileNet and stored in a waiting container on the Optico server. The batch of documents is then given to another user to process the index task. The index user opens the FileNet indexing application and keys in the Case Number for the document. The index application selects the appropriate case information from the CAD table in the Tiburon system and indexes the documents for that user. The user then repeats the index process until all documents within the batch have been successfully completed. When all documents are indexed they click commit and that saves all documents and their index fields into FileNet. The user then sends the batch to another user that retrieves the documents to make sure that the documents were processed correctly. If the documents are not processed accurately they are then sent back to the scanning process and go through the scan, index, and verification process. If the documents are accurate and complete they are then placed in a queue to be shredded in 6 monthsqtime.

	back further to hard copies already destroyed; Retention for Worker's Compensation Claims is %Forever.+
Systems in use	FileNet, Claims Vision Software
Documents per month Deployed since	Est. 3500 documents per year retrieved by Claim Number or Claimant 2013
Custom components	Link to documents in their Claims Vision Software
General Process Steps	Risk documents are currently being scanned and indexed by an outside vendor. CDs/DVDs are sent to ITSD and the documents are imported into FileNet through Softech's Data Transfer Facility (DTF or Data Tran). After the documents have been imported, Risk groups are notified and the documents are available through the FileNet Retrieve web application.
Known Issues	Just started catching up past data
Hopes, Dream and Expectations	" Need simple retrieval, view print, fax, email " Stored now by Year closed " Link to documents in their Claims Vision Software

Solid Waste – Administration

Use Case Name	Solid Waste Service agreements and Large Item Pickup documents.
Summary	The Solid Waste department scans in information related to residential accounts.
Retention Definition	Depends ²⁰
Systems in use	FileNet, PeopleSoft CRM, See-Click-Fix for large item pickup
Documents per month	Peaked in 2004 with 11,000 records for the year. It has varied since then; an average number is 1,000 . 2,000 per month.
Deployed since	2003
Custom components	The index application pulls the account information out of the Water Authority/Solid Waste system.
General Process Steps	Scanning and Index ²¹
Known Issues	Retrieve customer account information without interface to Water Authority?

²⁰ See Appendix E. Retention Period for Solid Waste: See <http://www.nmcpr.state.nm.us/NMAC/parts/title01/01.019.0008.pdf>

²¹ Documents are scanned into FileNet and stored in a waiting container on the Optico. When the user has completed scanning all of their documents, they open the FileNet indexing application and manually key in the account number related to the document. The index application pulls the account information out of the Water Authority/Solid Waste system and indexes the documents with the information. The user repeats the index process until all documents within the batch have been successfully completed. When all documents are indexed they click commit and that saves all documents and their index fields into FileNet.

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Appendix G: Additional ECM Requirements

The following tables provide vendors with high level insight into long-term City requirements with regard to Enterprise Content Management (ECM). It will not form part of the evaluation criteria of this RFP.

Business Process Management and Workflow

Functionality/Task Request	Core Requirement	Preferred	Nice to Have
1. The workflow configuration and user interface environments are integrated with the rest of the CM solution (i.e., workflow interface can be accessed from within the client environment).	Y		
2. A number of configurable workflow business rule templates are available out of the box.	Y		
3. Workflow templates should be based on recognized workflow framework such as BPM	Y		
4. A number of configurable workflow actions are available out of the box	Y		
5. Documents can be added to a workflow in several different ways including: <ul style="list-style-type: none"> Scanning Electronic forms processing Document import processing Application Programming Interface (API) E-mail Drag and drop directly from another application Addition of documents already stored within the solution's repository to a workflow process at a specific point-in-time 	Y		
6. Immediately upon import, the solution automatically identifies and initiates the appropriate workflow processes and actions based on document type.	Y		
7. Workflow processes can interact directly with defined web services, allowing external data received to be used as part of a workflow process (e.g. to confirm a delivery date from a website such as ups.com). This is to be accomplished out-of-the-box with point-and-click configuration.	Y		
8. Workflow provides, out-of-the-box, visual indications of any missing documents required before a transaction can proceed.	Y		
9. Workflow can conditionally present a targeted set of user tasks, based on role and step of the process, to assist users with processing decisions.			Y
10. Ability to retrieve or perform activity on related documents that may exist in the solution's repository, outside of the documents that currently exist within various stages of the workflow process.			Y
11. Ability to provide for a document in a workflow to check an attribute (document property or index value) of another, related document and make a processing decision (e.g. how the document is to be routed, based on pre-configured logic and rules).			Y
12. Solution provides the ability to perform parallel	Y		

processing by automatically routing a single document through multiple business processes simultaneously and allowing multiple users to access and work on the same document.			
13. Upon execution of a task within a workflow process, solution provides the ability to automatically present a prompt requesting additional information for downstream processing .This is to be accomplished out-of-the-box with point-and-click configuration.			Y
14. At a minimum, solution provides the ability to present and access workflow from the following: <ul style="list-style-type: none"> • smartphone (Android, iOS) • tablet (Android, iOS) • Email client (e.g. MS Outlook) • Web browser • Business Application • SharePoint • URL string • API This should be accomplished out-of-the-box or through a product offering.			Y
15. Solution provides a native, configurable workflow dashboard to monitor, in real time, the workload of end users via a dashboard based on thresholds.			Y
16. Configure records management events (including Open, Closed, Cutoff, Hold, and Final Disposition) to be automatically posted to a record from within workflow engine.	Y		

Scalability

Functionality/Task Request	Core Requirement	Preferred	Nice to Have
17. System supports simple deployment to ease the use of installation and configuration updates for users.	Y		
18. Solution allows for development, test, and disaster recovery environments with no additional licensing fees.		Y	
19. System must accommodate growth and functionality changes through easy configuration	Y		
20. System supports multiple application and web servers in a load balanced configuration environment for redundancy.		Y	
21. Software and Hardware systems are scalable.	Y		
22. System supports the ability to store multiple values for the same index value instance (e.g., Client Name = Sarah Adams and John Adams). The population of an additional value(s) should be accomplished with a single mouse click or keyboard short cut.		Y	
23. System supports the import of large volumes of transactions during peak processing timeframes.	Y		
24. System preferably utilizes one application server to support all the system processes (i.e., remote scanning, workflow processes, notifications, etc.). Additionally, these processes can be offloaded to different application servers to support scalability needs.		Y	

(End of Additional Long Term Requirements)