

Request for Proposals
Enterprise Content Management Solution
Proposal No.: P16-006
Issue Date: August 7, 2015

Addendum No. 1

The following questions were submitted regarding RFP: P16-006: Enterprise Content Management Solution. The City's responses to the questions are in *Italics*.

1. Cloud-Based or on Premise Hosted Solution Related

Q: You mention a premise-based ECM. Would a Cloud based ECM be of interest?

Q: Will the City of Bangor consider a Cloud hosted environment, utilizing the environment now being developed and installed for the State of Maine, which is a complete and fully configured ECM environment? The City of Bangor and its environment can be added to this project and is acceptable to the State.

Q: What type of deployment method would the City prefer; on premise or Cloud? If no preference, would you like to see estimates on both options?

Q: The RFP presents the existing computer system OS, email and architecture of the City as support to understanding the City's infrastructure. Would the City be open to consider a secure cloud hosted solution in lieu of an on premise solution?

Q: Is on premise or will a Cloud or even a hybrid implementation be considered?

The City is open to considering various hosting options. Vendors that provide cloud hosted and on premise hosted solutions should provide estimates for both.

2. Public Portal Related

Q: Will the public portal require a user name and password?

Q: About how many public users do you anticipate using the portal at one time?

Q: Will all documents be available to the public or will there be any restricted documents?

Q: Portal - will vendor need to design the portal, or does the solution need only to integrate to existing website for customer to maintain front end interface/website with solution as back end database?

Q: For the public portal, will all access to documents be anonymous (everyone has read access to everything) or will there be a secured login required for external constituents

(will have to log into the portal to access secured documents); will this solution replace the existing and presumably paper based system found at <http://www.bangormaine.gov/content/318/326/370/default.aspx>?

- Q: We understand the City of Bangor is requesting a new public portal as part of this RFP. However if the data , created, managed and stored in the ECM could be made available to the existing City of Bangor site, <http://www.bangormaine.gov> would that be considered an viable option for proposal purposes?
- Q: Describe one or two common scenarios of someone from the public accessing the portal and what functionality you expect?
- Q: Do specific members of the public need to see different documents than other members of the public? Ex. Person logs in and sees just their parking ticket? Or are these just public documents for all public to see?
- Q: Do you require an access to portal from mobile devices?
- Q: Should documents be available through anonymous access from internet, or availability only via secure access?

Currently, the City does not provide the public with a way to easily search for and locate public records and documents. Some public information is available via our website at www.bangormaine.gov. The website content management system is limited in how it is able to conduct online searches. Currently, the website content management system search capability is for the entire site content and it is the City's intent to provide the public with an alternate way to search specifically for public records and documents. Given the limitation of the current content management system, the City is not able to build out a search feature to reach into the selected ECM database. The City can integrate the public portal into the existing website via an iFrame or link to an externally hosted website.

One common scenario that illustrates the need for a public portal is appraisers asking for property records from the City's Code Enforcement Office. Currently, in order for appraisers to see a property file, they must go to the Code Enforcement Office during business hours and make an in-person request. Staff then searches for the property folder and either photocopies the contents of it or provides the folder to the appraiser for review.

Much of the information in a property file is considered public and includes, but is not limited to, information regarding permits, inspections and property complaints. It is the City's goal to allow the public to conduct these and similar searches at their own convenience. It is for this reason, and to free up staff time, that the public portal was included as a requirement of the RFP.

The City will make all information deemed appropriate publicly accessible via the public portal. Not all documents and records are public, therefore, staff should be able to determine what documents can be published to the portal and what needs to remain available internal to City staff only. Because the portal will only provide access to public information, the City does not envision requiring a username and/or password in order to access the portal and

anonymous or 'guest' access is acceptable. Should the selected ECM software support individual user profiles and pages, the City is open to exploring alternative options for the public to search for more individualized information (parking tickets, vital records, etc.). However, the ability for individuals to log in is not considered a project requirement.

Estimating the number of portal users at any given time is difficult given the lack of a current portal and, therefore, a lack of current analytics data. Rather than relying on an inaccurate estimate, vendors should provide information regarding how many portal users their solution(s) support at any given time and corresponding pricing information of portal licenses, if applicable.

The portal must, at a minimum, be available to the public online. Mobile access to the public portal is not a requirement.

3. Estimated Number of ECM Users Related

Q: How many Concurrent Seat Licenses required (RFP says 550 +/- end users with read only access, 100-125 users with contributor level access, and 35 admin but roughly how many of these users will need to access to the system at any given time?

Q: Is the 100-125 users with contributor level access inclusive of the 35 users with administrator level access or are these separate and distinct individuals?

Q: You mention the need for 35 users with administrative level access. Could you describe what access/functionality/rights these users would have that the other two categories of users would not have?

Q: Of the total user count – 685, how many of these users would be considered occasional users (accessing the ECM less than 20% of their work day. How many of these users would be considered power users, always needing access to the ECM and spending a considerable amount of their day working in the ECM?

Q: Is the count for “35 users with administrator level access” included in the count for “100-125 users with contributor level access”, or are these groups mutually exclusive?

Q: You included the following information for the user base of the system:

- 550 +/- basic user access
- 100-125 with contributor level access
- 35 users with administrator access

Of the aforementioned numbers, how many users does the City think would be “concurrent”? If a concurrent number is not known, would you be opposed to the proposing vendor estimating using industry averages?

The numbers provided were for estimation purposes and are mutually exclusive (those that need administrative level access were not included in the number that need contributor level access). Therefore, the City encourages vendors to provide pricing information for the various user licenses available, and provide information regarding the access levels that the various user licenses provide. The City prefers solutions that have distinct user access levels and permissions that can be customized. At a minimum, those with administrator level access to the ECM software should be able to provide basic

user management (creating, removing, editing users), the ability to remove documents from the system, import and edit records throughout the system regardless of folder location, have access to basic system analytics information (who is accessing the system and what the storage status is), and the ability to modify document retention policies.

Estimations for concurrent users and those that will be using the system more than 20% of the work day are unknown. Vendors should provide estimates based on municipal government/industry averages, making sure to reference what those industry averages are. User estimates for ECM systems in municipalities similar in size to the City of Bangor would be appropriate.

4. Workflow Management and Collaboration Related

Q: What information, process flow charts are available that defines the workflow management described under the Requirements section. How many occasional workflow users and how many power workflow users do you anticipate working within workflow?

Q: How many workflows are anticipated?

Q: How many workflows are required, and what is their complexity?

Q: Does the city have resources to help build some of the workflows once several are built by the solution provider or is it anticipated that the solution provider will build out all the document types and workflows for the city?

Q: Could you, please, describe more explicitly workflows for a variety of City departments?

Q: How many different workflows will need to be developed?

Q: What are the typical activities in workflows?

Q: Are the workflows between departments similar or unique? Do you have a complete description of the workflows that should be developed for every department? If so, could you please provide?

Q: Please elaborate your definition of inter-departmental collaboration.

The City will rely on the selected vendor to review some of the City's work processes and recommend how these processes could be automated or made more efficient through the use of ECM software. For the purposes of the RFP, vendors should be aware that software that incorporates (or has the capacity to incorporate) workflow management may be desirable but not a requirement. The total number of workflows is unknown; vendors should instead provide how many workflows their software supports and pricing information, if applicable.

City staff oftentimes works on documents that require input and review of other staff. To accomplish this, staff are currently either emailing documents back and forth or placing the file in a mutually accessible network folder and tracking changes through the built-in review functions in Microsoft Word. The

drawback to the current approach is that there is no way for staff to determine if someone else is currently editing the document and staff productivity is hampered if multiple people are adding the same information to the same file. In addition, the only way to provide comments is either to modify the document itself or reference comments in an email. Tracking comments through multiple emails is time consuming. Ideally, the ECM software should provide tools that allow staff to work with one another on a document that will track versions of the file, allow staff to see who is currently editing or has 'checked out' a file, and provide a way for staff to comment on a document without modifying the original file.

5. Project Scope, Timeline, Process and Budget Related

Q: Did the city retain a consultant to help with the scope, or have any outside entity assist them in the discovery process?

Q: Is it the expectation that the hardware will be provided by the solution provider or do you plan to purchase the hardware separately based on the requirements and specifications provided by the chosen vendor?

Q: Does the city have a budget?

Q: What is the anticipated time from the bid opening on August 26th to the Qualification Review phase and subsequently to the Presentation phase?

Q: Is the anticipated award to the selected vendor(s) in 2015 or 2016?

Q: Is this project budgeted? If yes, what is the budgeted amount?

Q: Does the City have a designated project manager for this project?

Q: Is there a time constraint on the completion of the ECM software rollout and training?

Q: Is there a time constraint on the completion of conversion services?

Q: Is the city looking for a turnkey solution, i.e., a vendor to provide s/w, h/w and svcs?

Q: The hardware is not included in the offer – scanners, computers and more.

The City did not hire a consultant for this project nor has a designated project manager been identified at this time. Proposals will be reviewed by a group of City staff beginning August 27th with recommendations for those vendors to participate in the Presentation Phase made as soon as all proposals have been reviewed. The City currently anticipates selecting a vendor in 2015. The City is not requiring vendors to have the ECM software and document conversion completed within a specific timeframe, however, the City is committed to getting the project completed as soon as possible. The City understands that the completion of the conversion services may not coincide with the roll out of the ECM and is flexible in determining a completion date for the conversion services portion of the project.

No hardware has been purchased for this project; the vendor should identify any hardware requirements in their proposals. Vendors should reference whether their proposals include hardware or whether the City will be responsible for purchasing all required hardware and what the costs are.

The City has allocated \$200,000 for this project.

6. Document/ Record Conversion Services Related

Q: Does the City anticipate to have personnel and equipment to import/scan new paper based records once the "documents currently on hand" are digitized and imported into the ECM software?

Q: Is the scanning work of all the documents included in the offer?

Q: Digitalizing the existing documents. Do you mean a vendor should digitalize the documentation and it should be a part of the proposal or vendor should only provide the digitalization mechanism and the documents will be reviewed/digitalized by The City of Bangor employees?

Q: Is the list of departments, stated in "Paper Document Estimates" complete? Are there any other departments that are not stated, but has their own workflows or unique user rights inside the system? As the list of departments in the document and on the website are different <http://www.bangormaine.gov/content/318/default.aspx>

Q: Under paper document estimates, please clarify if the total counts are of sheets of paper or total page scans (includes front and back of page).

Q: What is the end goal of the physical documents after digital conversion? Will physical documents and/or files need to be reconstructed to their original state? Will there be specific destruction and/or storage requirements of the physical document post-conversion?

Q: Is it possible for our staff to view samples of the various physical documents in person prior to submitting a formal pricing quote? It is important to verify current document condition — age, wear & tear, fragility, coloration, bindings, presence of staples/paper clips/binder clips, file type, container type, etc. — to predict preparation and processing time for an accurate quote.

Q: Transportation: What are the locations for pickup? What is the frequency of pickup? How long can documents be offsite for conversion? Do any documents require boxing or special transportation?

Q: Document Preparation: What document preparation is required (pulling staples, paperclips, etc.) for each category? What are the document types within each category in each department? What size/color/condition are the documents in?

Q: Are there existing scanners in place for day-forward scanning once the backfile scanning is completed? If not, how many departments will need scanners and what is their on-going document volume and what is the largest document to be scanned in each department?

Q: Are you anticipating scanning large format documents onsite once the backfile is completed? If yes what is the ongoing volume, per week, per month? How many wide-format scanners to you envision needing?

Q: Regarding video and audio file conversion, what are the estimated file counts and estimated average file size?

Q: Scan/index

- What format do you require? (PDF, TIFF, etc.)
- If PDF do you need searchable PDF? ISO certified format?
- What resolution (DPI) is required?
- What is the indexing requirement for the documents? Please give as much detail as possible
- Is indexing at document level or folder level?
- How many index fields and what is the length of each field?
- Is there a data feed available that contains the index criteria and if so, does that feed contain a unique field?
- Please provide as much detail as possible on the various categories of documents in each department

Q: Delivery

- How would you like the images and metadata delivered? Options include secure FTP transmission, hard drive, CD/DVD, etc.
- Can documents be securely destroyed 60 days after delivery?
- If documents need to be stored longer than 60 days, should we include storage options as part of this RFP response? What would be the longest timeframe boxes would need to be stored?

Q: Document scanning file names:

- Will there be specific file naming conventions? For example: Min/max character counts, special characters, specific/existing numbering systems, etc.
- What is the estimated page scan count per unique file name?
- Are there existing lead sheets with bar codes containing file name contents?

Q: You mention "Include automated file indexing options during the document import process" – What data can the city provide to assist with automated file indexing? Can the city provide a text file that contains the desired index criteria that would include one field that would be unique to that file?

Q: What specifically are you referring to as an "Archival Solution"? Are you referring to specific formats such as PDF-A? Or is this just a general term to describe having the documents in electronic format?

Q: How many departments will be supported by the system?

Q: Are there a minimum or maximum electronic document resolutions?

Q: Please provide the condition, storage, naming convention and preferred formats for the documents in the departments listed in the paper estimates. Are there staples? Paper clips? Sticky notes?

Q: Are the Engineering plans rolled or do they reside in a flat file drawer?

Q: The volumes in the RFP talk about a back file conversion. Please provide a yearly estimate (pages) for the volume of scanning required going forward as well as a total number of documents that need to be captured (non-scanning).

Q: What is the average file size and list of video formats?

The City is seeking assistance digitizing the significant amount of records and documents that are currently in hard-copy form into the selected ECM software; off-site document storage is not within the scope of this RFP, nor is the end goal of the physical documents. If taken off site for conversion, documents will be returned to the City once conversion is complete and will not be destroyed.

To assist vendors, the City put together a rough estimate of the amount of paper documents/records on hand in a few City departments. The paper document estimates represent 6 of the 30 or so departments and divisions in the City of Bangor and are estimated total sheet counts, most are single sided. Not all City departments will have unique documents. The plans listed in the Engineering Department are either rolled or stored flat. In addition to paper, the City maintains an archive of meeting videos. For estimation purposes, in one month, the City recorded 41.55 GB of meeting videos. At this time, it is assumed that the selected ECM software must be compatible with storing a variety of media types, including .mpg video format, but conversion of meeting videos into the ECM software isn't within the scope of the initial conversion. The City does not require microfilm.

Those vendors that wish to view samples of the various physical documents in person can do so on Friday, August 14th at 9:00 AM at Bangor City Hall. Vendors interested in attending should RSVP via email to bids@bangormaine.gov by 4:30 PM Thursday, August 13th.

Most records and documents will not require any special care or preparation, though there are documents that are bound in books that will need to be converted and remain in their bound form once conversion is complete. Most documents are considered to be in good to excellent condition, though there are some older, more fragile records.

The City will be responsible for adding records and documents into the ECM once the initial conversion is complete. Vendors should include hardware requirements (scanners, multi-function printers, etc.) in their responses. City staff currently utilizes a variety of scanners and it is unknown how many devices will need to be purchased, if any, until the ECM software is selected and hardware compatibility can be determined.

It is unknown if the City will require scanning large format documents once the initial conversion is complete and the ECM software is operational, and consideration should not be included in this RFP.

The City has not identified any specific document format requirements, document resolutions, filenames, or indexing requirements other than the documents must be compatible with the selected ECM software, must be accessible, allows staff to search for a variety of document types using a variety of criteria, and the digitized version of a record/document must be as legible as the original file. The City will work with the selected ECM vendor to develop these requirements should they become necessary.

7. ECM Functionality Related

Q: Do you require the ability to redact documents? Or have multiple versions of documents?

Q: Besides scanned documents, are there documents that need to be captured from other sources (fax, email, electronic, DVDs, etc.).

Q: Is the list of departments, stated in "Paper Document Estimates" complete? Are there any other departments that are not stated, but has their own workflows or unique user rights inside the system? As the list of departments in the document and on the website are different <http://www.bangormaine.gov/content/318/default.aspx>

Q: The requirement "System should: Enable import of a variety of document types from text-based documents to video files" Will the system be expected to open such video files in addition to importing them? Should it include just a "reader" or anything else? Could you specify which document and video formats are expected to be imported?

Q: Are there any requirements for physical separation and data protection between departments?

Q: Do you have other specific software that will require integrating with new system? For example, CRM or SQL database with data for migration.

Q: Are interfaces required to other D.B. for data extraction?

Q: Do you require a mobile version of site?

Q: Will Optical Character Recognition (OCR) processing be required? If so, for what percentage of the total scan count?

Q: Is there a requirement to integrate the ECM solution with desktop applications like, MS Office, Outlook and/or Adobe. Basically users would work in these desktop applications that use Alfresco as the repository where they can Open and Save documents.

Q: Is there a requirement to integrate the ECM with Enterprise applications such as Case Management, Financial applications or ERP packages to either gather/validate document metadata or to access the ECM system from these applications?

Q: What type of digital media needs to be stored (pictures, audio, video) and what is the source of this media (internally produced by the City or sent from outside constituents)?

The selected ECM software should provide staff with the ability to redact documents and do so in such a manner that does not modify the original file. In addition, the ECM software should be able to maintain multiple versions of a single document.

The ECM software must provide for unique user rights within the system. Furthermore, users considered 'contributors' would share the same abilities, though not necessarily the same access. For example, a 'contributor' in the Assessing Department may not necessarily be a 'contributor' in the Finance Department.

At this time, the City has not identified any specific software that requires integration into the ECM software; however, vendors should reference what software integrates with their systems in their proposals.

The City requires the ECM software to provide City staff with an easy and reliable way to locate records and documents in the ECM system. It is assumed that OCR is one way to accomplish this goal of making hard-copy documents and records searchable; however, the City does not want to discourage a vendor from responding that incorporates another technology in their software that accomplishes the same goal.

The ECM software should be able to import paper-based documents in various sizes, including faxes, receipts, etc. The ability for the ECM software to import email is not a requirement for this project. Besides paper-based documents, the City has a variety of photographs, audio and video in a variety of media formats that include, but is not limited to the following formats: .mpg, .jpg, .wav, .png, and .wmv.

A mobile version of the ECM system is desirable but is not a requirement.

8. Record Retention Related

Q: Is there a requirement for records management? If so, does the City have a retention/destruction policy in place already?

Q: Could you clarify the requirement "System should: Incorporate various record retention policies for specific record and document types". How many policies should be used? Is there anything like "store forever"?

Q: Does your document retention policy need to be based on an amount of time from when the record came into the system or will there also be events that will trigger the start of the retention period? EX. Dispose 7 years from the EVENTS such as: Employee leaves the employment of the city?

The City's record retention policies are mandated by the Maine Archiving Board and the length of time varies for certain types of documents. The City Clerk is responsible for advising City staff on the City's record retention policies. Given the numerous retention policies, the ECM software should be capable of creating multiple retention policies for a variety of durations. Retention policies

are in effect from an event, not when the record or document is entered into the system.

9. Approximately what percentage of users are on Windows XP and Windows 7 and Windows 8?

30% of City staff use Windows XP, 68% use Windows 7, and 2% use Windows 8. The majority of School Department staff use Windows 7.

10. Will questions and answers from all potential respondents be shared with all vendors submitting questions?

Yes, this file references all questions posed by all vendors.

11. Does the City currently use online forms for the submission of information?

The City does provide fillable PDFs on the City's website. These fillable PDF forms are provided as a convenience to the Public but do not integrate with the software used to generate any permits, vital records, etc.

12. How many employees will need to be trained? What are their roles in the system?

Vendors should provide a pricing breakdown for training and include the number of days and the training location (on site or via a webinar) in the training estimate. For estimation purposes, vendors should assume that at least 35 City staff with administrator level access should be trained. More or less training may be negotiated based on the training cost.

13. What is the current version of MS Office used?

City staff use Microsoft Office 2007, 2010 or 2013.

14. How many Scanners does the City have installed? How many Multi-Function Devices (MFDs) does the City have installed?

The total number of scanners and multi-function devices (MFDs) is unknown, but City staff use a variety of scanners and MFDs. Vendors should submit hardware requirements and compatibility information in their proposals.

All other terms, conditions and specifications remain the same.

Please acknowledge this addendum by signing the acknowledgement below and returning this form with you bid. If you have already submitted a bid and would like to make a change reflecting this addendum, you may request in writing your bid be returned to you.

The following Addendum(s) is/are hereby acknowledged:

Addendum No. 1 – Issued August 7, 2015

Business Name

Name (print or type)

Date