

**Request for Proposal (RFP)**  
**Software and Implementation Services**  
for  
**Enterprise Document Management System**  
for the  
**City of St. Charles, Illinois**



**RFP # 13-09-03**

<b>Release Date</b>	September 3, 2013
<b>Questions Due</b>	September 17, 2013
<b>Due Date</b>	September 30, 2013, 3:00 PM Central



## Table of Contents

<b>1.0</b>	<b>RFP INTRODUCTION.....</b>	<b>6</b>
1.1	Introduction.....	6
1.2	About this Project.....	6
1.3	Project Scope .....	7
1.4	Notice To Proposers .....	7
1.5	Purpose of Request for Proposal.....	7
1.6	Guidelines.....	8
1.7	Inquiries .....	9
1.8	Discussion of Proposals.....	10
1.9	Assignment.....	10
1.10	Tentative Procurement Schedule .....	10
1.11	Evaluation Criteria.....	11
1.12	Revision to the RFP .....	11
1.13	Project Governance and Evaluation Structure.....	12
1.14	Overview of the Evaluation Process.....	12
<b>2.0</b>	<b>DETAILED SUBMITTAL REQUIREMENTS .....</b>	<b>14</b>
2.1	Proposal Submission Instructions.....	14
2.2	RFP Amendments.....	15
2.3	Proposal Format and Content .....	15
2.4	Introductory Material .....	15
2.5	Executive Summary .....	16
2.6	Scope of Services.....	16
2.7	Company Background .....	17



2.8	Proposed Application Software and Computing Environment.....	17
2.9	Implementation Plan.....	18
2.10	Training Plan.....	19
2.11	Maintenance and Support Program.....	19
2.12	Essay Responses.....	20
2.13	Client References.....	21
2.14	Exceptions to the RFP.....	21
2.15	Sample Documents.....	22
2.16	Price Proposal.....	22
<b>3.0</b>	<b>CURRENT ENVIRONMENT.....</b>	<b>24</b>
3.1	Number of Users.....	24
3.2	Likely Interfaces.....	24
3.3	Data / Document Conversion.....	25
3.4	EMC ApplicationXtender Statistics.....	27
3.5	Technical environment.....	27
3.6	City IT Staff and Skills.....	29
<b>4.0</b>	<b>CONTRACT TERMS AND CONDITIONS.....</b>	<b>31</b>
4.1	Applicability.....	31
4.2	Payment Terms.....	31
4.3	Software License.....	31
4.4	Software Maintenance Fees.....	31
4.5	Additional Users and Modules.....	32
4.6	Delivery of the Project Plan and other Key Deliverables.....	32
4.7	Services and Statement of Work.....	32
4.8	Documentation and Copyright.....	32
4.9	City Property.....	32



4.10	Intellectual Property Rights .....	33
4.11	Covenants Against Contingent Fees .....	33
4.12	Changes .....	33
4.13	Laws and Regulations .....	34
4.14	Disputes .....	34
4.15	Indemnification Agreement.....	34
4.16	Warranty.....	35
4.17	Insurance Requirements .....	35
4.18	Termination for Default or for Convenience of the City.....	36
4.19	Mandatory City Contract Provisions .....	38
4.20	Nonappropriation of Funds.....	38
4.21	Certificate of Compliance .....	38
4.22	Equal Opportunity Employer .....	38
4.23	Certificate of Non-Disqualification .....	38
4.24	Provisions of St. Charles Municipal Code.....	38
4.25	Certificate of Compliance with Safety Standards.....	39
4.26	Certificate of Compliance with Public Act 87-1257 of the Illinois Human Rights Act.....	39
<b>ATTACHMENT 1: RFP SUBMITTAL CHECKLIST .....</b>		<b>40</b>
<b>ATTACHMENT 2: SOFTWARE REFERENCE FORM .....</b>		<b>41</b>
<b>ATTACHMENT 3: IMPLEMENTATION SERVICES REFERENCE FORM .....</b>		<b>42</b>
<b>ATTACHMENT 4: THIRD-PARTY SOFTWARE REFERENCE FORM .....</b>		<b>43</b>
<b>ATTACHMENT 5: COST SPREADSHEETS .....</b>		<b>44</b>
<b>ATTACHMENT 6: STAFFING MATRICES.....</b>		<b>45</b>
<b>ATTACHMENT 7: COMPANY BACKGROUND.....</b>		<b>46</b>



**ATTACHMENT 8: MAINTENANCE AND SUPPORT ..... 48**

**ATTACHMENT 9: TECHNICAL SPECIFICATIONS..... 49**

**ATTACHMENT 10: NOTARIZED SIGNATURE PAGE ..... 50**

**ATTACHMENT 11: CERTIFICATE OF COMPLIANCE OF ILLINOIS COMPILED  
STATUTES, CH. 65, SEC. 11-42.1-1..... 51**

**ATTACHMENT 12: CERTIFICATE OF NON-DISQUALIFICATION UNDER ILLINOIS  
COMPILED STATUTES, CH. 720, SEC. 33E-11 ..... 52**

**ATTACHMENT 13: CERTIFICATE OF COMPLIANCE WITH SAFETY STANDARDS  
..... 53**

**ATTACHMENT 14: CERTIFICATE OF COMPLIANCE WITH PUBLIC ACT 87-1257  
OF THE ILLINOIS HUMAN RIGHTS ACT ..... 54**



## 1.0 RFP Introduction

### 1.1 INTRODUCTION

The City of St. Charles (the “City”) hereby requests proposals from qualified firms for software and implementation services for an Enterprise Document Management System (EDMS) to be provided in accordance with terms, conditions and specifications established herein. The general scope for this project includes: migration of current content, integration with existing enterprise applications, distributed capture with workflow, citizen access to repositories, and records management of stored documents. A detailed listing of project scope is provided in section 1.3 of this RFP.

An internal City project team is overseeing the entire selection process.

### 1.2 ABOUT THIS PROJECT

The City of St. Charles is a home rule municipality with an Aldermanic form of government. St. Charles is located 35 miles west of the City of Chicago in both DuPage and Kane counties with a population of approximately 33,000 residents.

**Table 1.1 – St Charles Background Statistics**

Background Summary	
Population	33,286
Number of Employees	233 full-time 67 part-time
Operating Budget	Total Budget: \$164,825,762 General Corporate Fund - \$41,414,302; Enterprise Funds - \$81,315,172; Capital Projects - \$14,702,067; Other Funds - \$27,394,221
Fiscal Year	May 1 to April 30

The City has been operating its current document management application, EMC ApplicationXtender, since 2001. Its primary use is as an archival system for City historical documents. City staff utilize ‘ApplicationXtender Web Access’ for document retrieval. The majority of the users access the system infrequently, mandating that the system must be simple to use, and intuitive. Scanning and indexing operations are centralized under the Records Management Division and are conducted by 1 – 1.5 FTE employees. Documents vary in size from letter size to ARCH E, and are OCRed and full-text indexed when added to the system.

One of the primary drivers of this project is the recent implementation of several new applications which would benefit from integration with a document management system. Users are currently forced to look for supporting documentation in either a separate application, or in a physical storage location. It is expected that users will have the ability to add and retrieve documents from the EDMS through these applications.



After the completion of a review of functional gaps in the current business systems, the City decided to proceed with the competitive review of enterprise document management solutions.

### 1.3 PROJECT SCOPE

The scope for this procurement is listed in the chart below.

<b>Table 1.2 – Project Scope</b>	
<b>Document Management</b>	
Migrate (convert) current content	Provide public access to select documents
Maintain similar required functionality	Manage retention / destruction of stored documents
Integrate with enterprise applications	Offer options for mobile access
Provide distributed capture with workflow	Utilize LDAP / Active Directory authentication

<b>Application Integration</b>	
Infor Lawson (AP/HR/Activities)	Harris CityView (Permitting/Code)
Drupal	Firehouse
ESRI ArcGIS / Geocortex	Work Order (potential)
Utility Billing (IBM Series i)	

The City seeks to implement a "vanilla" software package, to limit the amount of modification to the base application, and to minimize impact to ongoing operations.

### 1.4 NOTICE TO PROPOSERS

It is necessary for proposers to read the information contained in this RFP to understand how to submit proposals, e.g., what documents must be included and what legal obligations are being agreed to by the author or a successful proposal. Failure to carefully read and understand this RFP may cause the proposal to be out of compliance, rejected by the City, or legally obligate the proposer to more than it may realize. Information obtained by the proposer from any officer, agent or employee of the City shall not affect the risks or obligations assumed by the proposer or relieve the proposer from fulfilling any of the RFP conditions or any subsequent contract conditions. Only the format and documents included with this RFP will be accepted as compliant for the submitted proposal. Failure to completely fill out all required attachments may result in disqualification.

### 1.5 PURPOSE OF REQUEST FOR PROPOSAL

This RFP is for the purpose of procuring a solution to meet the functions of the City as defined in this RFP. The City is open to any type of solution that would meet its needs. This RFP has been compiled for the purpose of providing information, requirements, specifications, guidelines, and other data to be used by proposers who wish to submit a proposal for consideration.



## 1.6 GUIDELINES

By virtue of submitting a proposal, interested parties are acknowledging:

- 1.6.1** This RFP is a request to purchase or otherwise acquire rights to use software and professional services required to implement/train new users on the software. As such, proposals from implementation firms alone or software firms without an implementation mechanism will not be considered.
- 1.6.2** The City will consider only software firms, not their implementation partners or third-party partners, to be the primary point of contact throughout this proposal process. If all products and services are not provided by one firm, firms are expected to partner to submit a joint proposal. Following contract negotiations, the primary implementation firm will be the primary point of contact for the project, and once the document management system is implemented, the City will consider the primary implementation firm the single point of contact for service-related issues.
- 1.6.3** In the event that a software firm submits multiple proposals using different implementation firms, it must keep its pricing and responses to the functional requirements the same across all of the proposals. It is the responsibility of the software firm to ensure that pricing and responses are represented in the exact same manner in all proposals. Proposals with variance among the software vendor's submitted pricing or requirements responses may be eliminated from further consideration at the discretion of the City.
- 1.6.4** The City reserves the right to reconsider any proposal submitted at any stage of the procurement. It also reserves the right to meet with select proposers at any time to gather additional information. Furthermore, the City reserves the right to delete or add functionality (i.e., modules and components) until the final contract signing.
- 1.6.5** All third-party solutions proposed as part of this package are subject to the same guidelines of this RFP, unless otherwise stated. The software firm will serve as the primary contact for all work related to this RFP and the procurement process.
- 1.6.6** Pricing must be submitted on a "not-to-exceed" basis. For implementation services under a not-to-exceed arrangement, the City compensates the vendor on the basis of major deliverables to be identified in the development of the statement of work. If there is a "residual" amount at the end of the project (the difference between total implementation contract amount and actual total costs), the City will retain the difference by not spending the funds. In contrast, if the implementation cost ceiling is exceeded, the vendor is to finish the work with no additional compensation, unless the City does not meet specific assumptions outlined in the proposal. Proposers are to provide all work effort needed to meet the detailed functional requirements as part of their proposal on Attachment 5 (Costs) and Attachment 6 (Staffing Matrix). Finally, the City reserves the right to ask proposers to resubmit proposal pricing on either a fixed fee basis or a combination of fixed and not-to-exceed basis. All firms submitting proposals are encouraged to submit the most competitive proposal



City of St. Charles, IL Request for Proposals  
Enterprise Document Management Software and Implementation Services

possible as the failure to do so may lead to elimination prior to software demonstrations.

- 1.6.7** This RFP, its general provisions, and the terms and conditions of this contract shall be incorporated in any agreement resulting from this solicitation, and the RFP and its terms and conditions, plus attachments shall control unless the agreement expressly provides otherwise.
- 1.6.8** The City reserves the right to reject any or all proposals and to waive technicalities and informalities when such waiver is determined by the City to be in the City's best interest.
- 1.6.9** When responding to this RFP, please follow all instructions carefully. Please submit proposal contents according to the outline specified and submit all hard copy and /or electronic documents according to the instructions. Failure to follow these instructions may be considered an unresponsive proposal and may result in immediate elimination from further consideration.

## 1.7 INQUIRIES

In an effort to maintain fairness in the process, inquiries concerning this procurement, including questions related to technical issues are to be directed to:

Michael Drake  
Sr. Systems Analyst  
City of St. Charles  
Two East Main Street  
St. Charles, Illinois 60174  
Email: [mdrake@stcharlesil.gov](mailto:mdrake@stcharlesil.gov)  
Phone: 630-762-7001

All questions concerning the RFP must reference the RFP page number, section heading, and paragraph. The question(s) must be concisely stated and numbered in sequential order. All questions regarding this RFP must be received in writing by no later than **September 17, 2013**. Answers will be posted on the City's website on September 20, 2013 upon issue of an addendum at <http://www.stcharlesil.gov>. Any officer, agent or employee of the City will **NOT** accept verbal questions about this RFP. Questions and responses affecting the content of this RFP will be provided to all proposers and posted on the City's website.

If any proposer planning to submit a proposal finds discrepancies in or omissions from the RFP, or is in doubt as to the true meaning of a particular requirement, a request for clarification or correction must be submitted to the contact listed above. Such requests must be delivered, prior to the pre-proposal question deadline as indicated.

Proposers are directed specifically **NOT** to contact City staff other than specified personnel identified in this RFP, for meetings, conferences, or technical discussions related to the RFP. Unauthorized contact of any personnel may be cause for rejection of the proposer's RFP response. The decision to select a proposal is solely that of the City.



The proposer submitting the questions/requests will be responsible for its prompt delivery. Any change in the RFP will be made only by written addendum, duly issued by the City as posted on the website referenced above. It is the proposer's responsibility to ensure that this website is reviewed for RFP changes prior to the deadlines for submission of the RFP. The City will not be responsible for any other explanations or interpretations.

## 1.8 DISCUSSION OF PROPOSALS

The City may conduct discussions with any proposer who submits a proposal. Proposers must be available for a presentation to the City on specific dates if selected for software demonstrations and/or discovery (pre-contract negotiations).

## 1.9 ASSIGNMENT

The proposer may not reassign any award made as the result of this RFP, without prior written consent from the City, whose sole discretion may not be challenged or disputed.

## 1.10 TENTATIVE PROCUREMENT SCHEDULE

September 3, 2013	RFP Released by the City
September 17, 2013	Last day Proposer Questions Accepted Regarding Proposal
September 20, 2013	Responses to Proposer Questions Published on City website
September 30, 2013	Proposals Due – 3:00 PM Central Time
October 2013	Software Demonstration
October / November 2013	Finalist Selected / Council Approval
November 2013	Complete Negotiations and Statement of Work with Finalist

- 1.10.1** Software demonstrations will be held on-site at the city's facilities and cover all functional areas listed in this RFP. Proposer demonstrations are an integral part of the selection process. Proposers that cannot demonstrate their software during the dates prescribed by the City may be eliminated and other proposers elevated. The agenda and software demonstration scripts will be distributed to proposers that have been short-listed for software demonstrations approximately two to three weeks in advance of the demonstrations.



## 1.11 EVALUATION CRITERIA

The City will review all proposals received as part of a documented evaluation process. For each decision point in the process, the City will evaluate proposers according to specific criteria and will then elevate a certain number of proposers to compete in the next level. Proposers not elevated may be elevated at a later date.

The sole purpose of the proposal evaluation process is to determine which solution best meets the City's needs. The evaluation process is not meant to imply that one proposer is superior to any other, but rather that the selected proposer can provide the best solution for the City's current and future needs based on the information available and the City's best efforts of determination.

The proposal evaluation criteria should be viewed as standards that measure how well a proposer's approach meets the desired requirements and needs of the City. The criteria that will be used to evaluate proposals may include, but are not limited to the following:

- 1.11.1 Quality of proposal
- 1.11.2 Conformance with RFP guidelines and submittal requirements
- 1.11.3 Compatibility with the City's desired functional and technical requirements
- 1.11.4 Compatibility with current and future technological infrastructure
- 1.11.5 Proposed implementation strategy and plan
- 1.11.6 Cost (both cost of the project and ongoing costs)
- 1.11.7 Public sector experience and qualifications of proposed staff
- 1.11.8 Software demonstrations and implementation proposer interviews
- 1.11.9 Compatibility with the City's proposed contract terms and conditions
- 1.11.10 References and site visits (If required)

The City reserves the right to determine the suitability of proposals on the basis of any or all of these criteria or other criteria not included in the above list.

## 1.12 REVISION TO THE RFP

The City reserves the right to revise the RFP prior to the date that Proposals are due. Revisions to the RFP shall be emailed to all potential proposers. The City reserves the right to extend the date by which the Proposals are due. This RFP does not commit the City to award a contract, to defray any costs incurred in the preparation of a Proposal pursuant to this RFP, or to procure or contract for work. All Proposals submitted in response to this RFP become the property of the City and public records, and as such, may be subject to public review.

The City reserves the right to cancel, in part or in its entirety, this RFP, including, but not limited to: selection schedule, submittal date, and submittal requirements. If the City cancels or revises this RFP, all proposers will be notified in writing by the City.

The City reserves the right to request additional information and/or clarifications from any or all proposers to this RFP.



### 1.13 PROJECT GOVERNANCE AND EVALUATION STRUCTURE

The City will use the following structure for the evaluation of the software and implementation services proposals received in response to this RFP.

**1.13.1 Project Sponsor:** The City's Project Sponsor will play the main "governance" role on the project and will make a final recommendation to the City Council. The Project Sponsor will base its recommendation(s) on input from the Proposal Evaluation Team, as well as its own assessment of the proposed solutions.

**1.13.2 Proposal Evaluation Team:** The Proposal Evaluation Team (the "Evaluation Team") will be responsible for tasks such as reviewing and evaluating all received proposals, participating in meetings to elevate proposals at each decision point, attending all software demonstrations, and participating in any other evaluation tasks that may be required, such as site visits. The Evaluation Team's objective is to make a recommendation on a final proposer to the Project Sponsor.

### 1.14 OVERVIEW OF THE EVALUATION PROCESS

Submitted proposals will be evaluated by the Evaluation Team. During the evaluation process, the City reserves the right, where it may serve the best interest of the City, to request additional information or clarification from firms submitting proposals. At the discretion of the City, firms submitting proposals may be asked to make oral presentations as part of the evaluation process.

The City will use a competitive process based upon elevating a certain number of proposers to compete against each other at different levels (stages) of the process. The City recognizes that if a proposer fails to meet expectations during any part of the process, the City reserves the right to proceed with the remaining proposers or to elevate a proposer that was not elevated before.

**1.14.1** Selection of proposers at each level will follow the description outlined in the table below. Selection of the final proposer will be based upon this process. The City reserves the right to change the selection process at any time during the procurement process.

**1.14.2** The City reserves the right to reject any or all proposals for any reason and then seek new proposals or take other action.

**1.14.3** The public opening will acknowledge receipt of the Proposals only; details concerning pricing or the offering will not be announced. All proposals submitted shall become public record upon an announcement of a recommended award. To protect any confidential information contained in their Proposals, companies must invoke the exemptions to disclosure provided by law in response to the RFP, and must identify the data and other material to be protected, and must state the reasons why such exclusion from public disclosure is necessary. Failure by the proposer to strictly comply with the requirements of state law on the protection of confidential and/or trade secret information may result in disclosure of such information.



**1.14.4** See Table 1.4 for Proposal Selection Steps

<b>Table 1.4 Proposal Selection Steps</b>		
<b>Level</b>	<b>Description</b>	<b>Maximum Number of Proposers</b>
Level 1	Ability to meet base submittal requirements	NA
Level 2	Detailed proposal evaluation	NA
Level 3	Software demonstrations, reference checks, and implementation proposer interviews	Two (2)
Level 4	Final contract negotiations	One (1)



## 2.0 Detailed Submittal Requirements

### 2.1 PROPOSAL SUBMISSION INSTRUCTIONS

The Proposal must be received **no later than 3:00 p.m. (LOCAL TIME) on September 30, 2013** at the following address:

City of St. Charles  
Information Systems  
Two East Main Street  
St. Charles, Illinois 60174

Proposals are to be submitted in sealed packages with the following information clearly marked on the outside of each package:

- Name of responder
- Project title
- RFP #13-09-03

Failure to comply with the requirements of this RFP may result in disqualification.

Proposals received subsequent to the time and date specified above may not be considered.

Please note the following as part of the submittal process:

- 2.1.1** Signature of the proposal by the proposer constitutes acceptance by the proposer of terms, conditions, and requirements set forth herein.
- 2.1.2** Any exceptions to the specifications established herein shall be listed in detail on a separate sheet and attached hereto. Exceptions to the RFP will not automatically eliminate the proposal.
- 2.1.3** Proposals not conforming to the instructions provided herein will be subject to disqualification at the sole option of the City.
- 2.1.4** Proposers are required to submit two (2) hard copies of the technical and price proposal and two electronic (2) copies of the technical and price proposal. Price proposal (both hard copies and electronic copies) must be in a separate sealed package. Hard copies must include submittal letter signed by authorized agent of the proposer which clearly identifies each firm involved in the proposal and appropriate contact information for each.
- 2.1.5** Use the Submittal Checklist (Attachment 1) to ensure that all required documents, forms, and attachments have been completed and submitted as instructed.
- 2.1.6** The City reserves the right to retain all proposals submitted and to use any ideas in a proposal regardless of whether that proposal is selected.



- 2.1.7** By submitting a proposal the proposer is providing a guarantee to the City that, if chosen, it will be able to provide the proposed products and services during the period of time specified in Attachment 6 (Staffing Matrix).
- 2.1.8** There is no expressed or implied obligation for the City to reimburse proposers for any expenses incurred in preparing proposals in response to this RFP or any expenses incurred by the proposer in providing a demonstration(s) of its product in a place determined by the City.

## **2.2 RFP AMENDMENTS**

If it becomes evident that this RFP must be amended, the City will issue a formal written amendment and post to the City's Web Site. <http://www.stcharlesil.gov>

## **2.3 PROPOSAL FORMAT AND CONTENT**

So that competing proposals can be compared equally, proposers must assemble their proposals in strict adherence to the layout requirements. Failure to follow all proposal layout requirements may result in disqualification due to non-responsiveness. Each proposer is required to submit the proposal in a sealed package. Proposals should be prepared as simply as possible and provide a straightforward, concise description of the proposed products and services to satisfy the requirements of the RFP. Attention should be given to accuracy, completeness, and clarity of content. All parts, pages, figures, and tables should be numbered and clearly labeled. The proposal should be organized into the following major sections:

- Introductory Material (Title Page, Letter of Transmittal, and Table of Contents)
- 1.0 Executive Summary
- 2.0 Scope of Services
- 3.0 Company Background (including most recent audited financial statements)
- 4.0 Proposed Application Software and Computing Environment
- 5.0 Implementation Plan
- 6.0 Training Plan
- 7.0 Maintenance and Support Program
- 8.0 Essay Responses
- 9.0 Client References
- 10.0 Exceptions to the RFP
- 11.0 Sample Documents
- 12.0 Price Proposal (To be submitted in a separate sealed envelope, see section 2.16)
- 13.0 Required Attachments

## **2.4 INTRODUCTORY MATERIAL**

The Title Page must show the RFP number, subject, name of the proposer, address, telephone number and the date. Letter of Transmittal, executed by an authorized representative, and Table of Contents must also be included.



## 2.5 EXECUTIVE SUMMARY

**(Proposal Section 1.0)** This part of the response to the RFP should be limited to a brief narrative summarizing the proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel.

## 2.6 SCOPE OF SERVICES

**(Proposal Section 2.0)** This section of the proposal should include a general discussion of the proposer's overall understanding of the project and the scope of work proposed.

**2.6.1** List and describe all proposed modules. Proposer must explicitly state the software module name and versions that are proposed as part of this document management solution. All modules should be listed on Attachment 5 (Costs) and included in the price proposal.

- Proposers may indicate some modules as “optional.” Optional modules should not be included in the overall price proposal, however, prices for optional modules (including software license and implementation) should be provided.

**2.6.2** What are the proposed third-party applications? (The proposer shall explicitly state the name of any third-party products that are part of the proposed solution to the City or any third-party firms providing services for implementation, training, or other services. For each third-party product or service provider there should be a statement about whether the proposer's contract will/will not encompass the third-party product/service and/or whether the City will have to contract on its own for the product.

- The proposer should also provide written proof that it has approved access to the third-party software source code (owned or in escrow) and that the proposer has the ability to provide long-term support for the third-party software components of its system.
- Proposers must include the price for any third-party products, including software license, hardware prices (if pertinent), maintenance, implementation, training, and any other related prices in the total price of this proposal. Third-party software included in the proposal must be included in any demonstration of functionality if the proposer is invited to that phase of the evaluation.
- If third-party products or services are proposed, proposers must complete Attachment 4 (Third Party References) for each third-party product or service that is proposed.

**2.6.3** Please confirm the data conversions that have been proposed. The City expects proposers to include all conversions listed in section 3.3 of the RFP



- 2.6.4** Please confirm all interfaces that have been proposed. The City expects proposers to include an interface to all systems listed in section 3.2. If proposers do not include all interfaces, please provide an explanation.
- 2.6.5** Please list all customizations/enhancements to the software that have been proposed as part of scope.
- The City understands that estimating costs and effort required to provide customizations is difficult given the limited amount of information provided in this RFP. The City understands that these numbers may need to be revised at a later stage in the procurement process, but ask the proposer make an effort to identify these customizations now.
- 2.6.6** The City has limited IT staff and may consider pursuing a hosted solution. Please describe options for a hosted solution and how this would impact the scope of services proposed. Also, please discuss any service level commitments the proposer is willing to make as a result of such an arrangement.

## **2.7 COMPANY BACKGROUND**

**(Proposal Section 3.0)** Each proposal must provide information about any firm involved with this proposal including the software vendor, implementation vendor, and/or any third party vendors so that the City can evaluate the proposer's stability and ability to support the commitments set forth in response to the RFP. The City, at its discretion, may require a proposer to provide additional support or clarify requested information.

- 2.7.1** Complete the company background form (Attachment 7)
- 2.7.2** Proposers must provide a copy of the latest audited financial statements

## **2.8 PROPOSED APPLICATION SOFTWARE AND COMPUTING ENVIRONMENT**

**(Proposal Section 4.0)** The proposer must present, in detail, features and capabilities of the proposed application software. In addition to the description, answers to the following questions must be provided in succinct narrative form (at least one paragraph per item):

- 2.8.1** Please describe the level of modular integration that exists between proposed modules of the base software. Are modules fully integrated?
- 2.8.2** Please describe the level of integration that exists between proposed third party products and the base software? For example, do the third-party applications share security definitions and similar menu structures?
- 2.8.3** Please describe workflow tools included in the software



- 2.8.4 Please describe reporting tools that are proposed. Be sure to describe ad-hoc reporting capabilities.
- 2.8.5 Please describe any integration to Microsoft Office Products.
- 2.8.6 Complete Attachment 9 (Technical Specifications)

## 2.9 IMPLEMENTATION PLAN

**(Proposal Section 5.0)** The City expects to provide staffing of 50% of the total implementation hours, but reserves the right to alter the mix upon further discussion with proposers. Pricing should assume 50% implementation work effort by the City and 50% work effort by implementation consultants.

The proposer must provide a detailed plan for implementing the proposed system. This information **MUST** include:

- 2.9.1 Explain in detail the proposed phasing for implementation. Will all modules/functionality be implemented as one phase or multiple phases? Responses should include the following:
  - Advantages to this approach
  - Alternative proposed phasing
  - How will this approach limit the risk that the City is facing during implementation?
- 2.9.2 Provide methodology for implementation. Methodology shall include estimated timeframe, overview of deliverables, assumptions, and assumed responsibilities. Make sure to include:
  - Describe the role of the City and proposer staff for interface development.
  - Describe the role of the City and proposer staff for data conversion and migration.
  - Describe the role of the City and proposer staff for workflow development
  - Describe the role of the City and proposer staff for custom report development.
  - Describe the role of the City and proposer staff for customizations or modifications to the software
- 2.9.3 Explanation of change management activities proposed. Include description of specific roles of proposer and City staff for change management
- 2.9.4 Provide overview of services proposed for changing the City's existing business processes.



- 2.9.5** Complete Attachment 6 (Staffing Matrix) indicating resources that will be required by the project (both consultant hours and City staff hours) by month for each month of the implementation schedule as described above. Attachment 6 (Staffing Matrix) must be consistent with Attachment 5 (Costs) and other sections of this RFP. The purpose of Attachment 6 is to provide the City with an estimate of resources that will be required for implementation and training. Include an estimate for all activities that would be included in the project plan for all resources.

The City reserves the right to alter work effort estimates after further discussion with the vendor. The primary implementation firm will be responsible for providing a project plan and keeping the project plan updated during implementation.

- 2.9.6** Proposers must complete Attachment 5 (Costs) and submit with price proposal detailing work effort for all implementation activities, data conversions, interfaces, and customizations. Work effort estimates must include work done by the City during implementation and must match work effort estimates provided in Attachment 6 (Staffing Matrix).

## **2.10 TRAINING PLAN**

**(Proposal Section 6.0)** The proposer must provide a detailed plan for training. This information **MUST** include:

- 2.10.1** Overview of proposed training plan/strategy, specifying how and when training is to be delivered for both on-site, off-site training, web training services for the core project team, end users, and technology personnel.
- 2.10.2** Describe the role of City and proposer staff for training including the design and implementation of the training plan, development of training materials, and level of assistance with training.
- 2.10.3** Complete Attachment 5 (Costs) with information regarding training courses and price for training.
- 2.10.4** Provide descriptions of classes/courses proposed in the training plan. (The proposer should specify the unit of measure for its training (e.g., units, classes, days, etc.) and define the hours associated with these units of measure.) The proposer must be very clear about exactly what training courses are included in the cost of the proposal.
- 2.10.5** Provide options for ongoing training. Please indicate locations, frequencies, and topics for ongoing training.

## **2.11 MAINTENANCE AND SUPPORT PROGRAM**



**(Proposal Section 7.0)** The proposal must specify the nature of any post-implementation and on-going support provided by the vendor including:

**2.11.1** Complete Attachment 8 (Maintenance and Support)

**2.11.2** Please feel free to expand on any questions asked on Attachment 8 by providing more information in this section.

## **2.12 ESSAY RESPONSES**

**(Proposal Section 8.0)** The City has some unique questions or business process needs that it would like addressed as part of this RFP. Proposers are required to answer the following questions with as much detailed information as possible. Proposers are strongly encouraged to make sure the response answers the questions and is not comprised of marketing material. These questions may appear again during software presentations and during contract negotiations.

**2.12.1** Enterprise Expansion. This enterprise document management project is part of an ongoing effort by the City to expand and upgrade its operations. It is anticipated that a future phase will include addressing the unstructured content on the City's file shares. Please describe the product(s) in this area that you are accustomed to proposing as part of an extended document/content management solution. Identify the solution and whether or not it is a third-party product, provide a brief overview of the product and briefly describe its integration with the core document management system.

**2.12.2** Security and Compliance. The City is concerned about meeting existing security regulations (e.g., HIPAA, PCI, etc.) while also providing e-government (e.g., vendor self-service, customer self-service, etc.) capabilities to its constituents. Explain your methodology for maintaining security at these two levels. Provide examples of where you have implemented similar strategies at other public sector clients. Describe processes or tools that will be used to assess compliance during any changes to the system.

**2.12.3** Document Conversion. As part of this process, the City is evaluating whether to continue using TIFF as our default document archival standard, or move towards using PDF/A. Please identify your organization's knowledge of the PDF/A standard, describe what you've experienced in regards to its adoption, and identify the benefits (and cons, if any) of moving to it.

**2.12.4** System Integration. Please describe how integration between your system and other enterprise applications is initially established, and how this link is maintained as data is modified and the set of supporting documents changes.



- 2.12.5** Searches across systems. In order to avoid requiring users to perform separate searches, please describe how searches performed on the City's Internet and Intranet web sites can also search for relevant content in your system's document repositories.
- 2.12.6** Mobile Devices. Users are growing accustomed to using phones and tablets to access City resources, instead of a traditional workstation. Please specify what product(s) your organization offers, or is developing, to meet these needs.

## 2.13 CLIENT REFERENCES

**(Proposal Section 9.0)** The City considers references for both the software and implementation services to be important in its decision to award a contract. Vendors should supply references that will be available to speak with the City for approximately 30-60 minutes. The City will not call proposers to tell them that their references will be contacted because all references provided will be contacted by the City during the selection process. Similarly, the City will not work through a proposer's reference manager to complete a reference. The names, phone numbers and email addresses of the project manager or person with broad knowledge of the project for each reference must be listed. Failure to provide this information may result in the proposer not being elevated to software demonstrations. The City reserves the right to contact additional clients for references, if deemed necessary.

- 2.13.1 Software Vendors:** Using the forms attached to this RFP in Attachment 2 (Software References), software firms should provide five (5) client references, preferably public sector. Ideally, references should be similar in size to the City and have a similar implementation scope. Additionally references should be utilizing a recent version of the proposed software. Regional clients are preferred, but the City understands this may be difficult and inability to provide regional clients will NOT impact any evaluation of the proposal. Please inform references that they might be contacted by the City.
- 2.13.2 Implementation Firms:** Using the forms attached to this RFP as Attachment 3 (Implementation References) , implementation firms are also expected to provide five (5) references, preferably public sector, (unless already included in the references for software firms) in which they served as the prime implementer (not a sub-contractor) for past clients who were implementing the proposed software with a comparable scope. References should be for fully completed (live) installations. Please inform references that they might be contacted by the City.
- 2.13.3 Third-Party Software Firms:** Using the forms attached to this RFP as Attachment 4 (Third Party References), third-party software vendors or implementation firms providing products or services as part of this RFP should provide (5) client references, preferably public sector. Ideally, references should be similar in size to the City and have a similar implementation scope. Please inform references that they might be contacted by the City.

## 2.14 EXCEPTIONS TO THE RFP



**(Proposal Section 10.0)** All requested information in this RFP must be supplied. Proposers may take exception to certain requirements in this RFP. All exceptions shall be clearly identified in this section and a written explanation shall include the scope of the exceptions, the ramifications of the exceptions for the City, and the description of the advantages or disadvantages to the City as a result of exceptions. The City, at its sole discretion, may reject any exceptions or specifications within the proposal.

## 2.15 SAMPLE DOCUMENTS

**(Proposal Section 11.0)** Proposers should include sample copies of the following documents. Although they are sample forms, the documents must contain all material terms so that the City can fairly evaluate the proposer's forms.

- 2.15.1 Sample software licensing agreement.
- 2.15.2 Sample maintenance agreement.
- 2.15.3 Sample implementation services agreement.
- 2.15.4 Sample standard reports.
- 2.15.5 Sample documentation (user guides, training materials, etc.).
- 2.15.6 Sample implementation project plan.
- 2.15.7 Sample agreements from third party vendors proposed if the City will be required to contract directly.
- 2.15.8 Sample Hosting Agreement and Service Level Commitments

## 2.16 PRICE PROPOSAL

**(Proposal Section 12.0)** Proposers should submit price proposal in a separate and sealed packet according to the format provided in Attachment 5 (Costs) to this RFP. **Do not cite price anywhere else in the proposal in order to prevent evaluators from viewing this information.** The City's Evaluation Team will review price after evaluating the non-price information in the proposal and prior to selecting the three proposers for software evaluations.

- 2.16.1 The City reserves the right to contact proposers on price and scope clarification at any time throughout the selection process and negotiation process.
- 2.16.2 It is important that proposers use the format presented in this RFP even if another format is provided. Attachment 5 (Costs) should include total price for all software, services, and additional costs to acquire all software and services referenced in the proposal including third party prices. If third party products or services are included, do not provide separate versions of Attachment 5 (Costs) for each third-party product.
- 2.16.3 Do **NOT** use "To Be Determined" or similar annotations in the cells for cost estimates. The City is asking proposers to estimate prices and hours for all categories with the understanding that they may have to make assumptions. Such assumptions should be stated. Proposers may submit additional pricing sheets as an addendum to the cost template; however the cost template **MUST** be completed.
- 2.16.4 The City may award a purchase contract, based on initial offers received without discussion of such offers. A proposer's initial offer should, therefore, be based on the



City of St. Charles, IL Request for Proposals  
Enterprise Document Management Software and Implementation Services

most favorable terms available. It may also request revised pricing offers from such proposers, and make an award and/or conduct negotiations thereafter.

**2.16.5** Attachment 5 (Costs) should be consistent with Attachment 6 (Staffing Matrix)



## 3.0 Current Environment

### 3.1 NUMBER OF USERS

While it is difficult for the City to envision exactly who will use the system and in what manner in an enterprise document management environment, proposers should utilize the following initial estimates for pricing purposes. The descriptions below are for reference purposes only and are provided as guidelines. They are not intended to be comprehensive, nor limiting. Please also note that the “named” and “concurrent” user columns are intended to be completely overlapping. In other words, each column describes the same user population in a different way, so the proposer should not add the two columns together when totaling the user count.

Type of User	Description	Estimated Number of Named Users	Estimated Number of Concurrent Users
Administrators	Manage users, licenses, security, and server services	2	2
Scanner Operators	Scan, index, and QC documents	10	5
Inquiry	Query and view documents	100	20

It is highly likely that some users will fall into more than one category as defined above (i.e., neither the rows nor columns are intended to be additive in any way). The breakdowns provided above are intended only to assist Proposers in proposing the correct number of various types of licenses.

### 3.2 LIKELY INTERFACES

Proposers should evaluate the following list of likely interfaces. If the proposer agrees that it is unlikely that the functionality as described in the description column can be provided by the proposer’s software, the cost of an interface to these systems **MUST** be included in the cost of the proposal. If the interface cost does not include all of the following interfaces, proposers must be very specific about which are not included and provide a detailed explanation of how that functionality will be performed

System	Description	Version	Technology
Infor Lawson	Financial/Procurement/HR/Payroll	9.0.1.6	Web-based
ESRI ArcGIS / Geocortex Essentials	Geographic Information Systems	10.2	Web-based
IBM Series i	Utility Billing (custom)	n/a	Server-based
Drupal	Web (Internet – Intranet)	6.28 (version 7 – est. 3/14)	Web-based



**Table 3.2 Likely Interfaces**

System	Description	Version	Technology
Harris CityView	Permitting & Business Licensing	8.31.2134	Server based

This table does not preclude the City from requesting additional interfaces on implementation.

### 3.3 DATA / DOCUMENT CONVERSION

For purposes of determining level of effort for data conversion, Proposers should assume that the City wishes to convert at least the following documents, and associated indexes, indicated in Table 3.3 / 3.3a. The index fields, and respective values, will also need to be reviewed as part of this process and may be expanded.

**Table 3.3 Data Conversion**

Source System	Document Format	Documents / Indexes
EMC ApplicationXtender	BIN (TIFF)	Agendas, Minutes, Agreements, Contracts, Council, Easements, Mayors, Ordinances, Plans, Projects, Standards
Lotus Notes	PDF, TXT	IBM Series i reports

This table does not preclude the City from requesting additional data conversion on implementation.

**Table 3.3a Application Indexes**

Application	Index Field	Field Type	Length
Agendas	Agenda Type	User-Defined List	42
	Date	Date	8
	Comment	Text	132
Agreements	Name of Agreement	Text	132
	Type of Agreement	User-Defined List	22
	Department	User-Defined List	21
	From Date	Date	8
	To Date	Date	8
	Comment	Text	132
Contract	Contract Type	User-Defined List	15
	From Date	Date	8
	To Date	Date	8



City of St. Charles, IL Request for Proposals  
Enterprise Document Management Software and Implementation Services

	Date Signed	Date	8
	Comment	Text	132
Council			
	Date	Date	8
	Comment	Text	132
Easements			
	Grantor	Text	132
	Type of Easement	User-Defined List	43
	Recording Date	Date	8
	General Location	Text	132
	Recording Document #	Text	11
	Easement Log #	Text	132
	Comment	Text	132
Mayors			
	Document Type	User-Defined List	14
	Date	Date	8
	Author	Text	40
	Comment	Text	132
Minutes			
	Document Type	User-Defined List	39
	Date	Date	8
	Author	Text	40
	Comment	Text	132
Ordinance			
	Document Type	User-Defined List	10
	Number	Text	11
	Date	Date	8
	Author	Text	40
	Comment	Text	132
Plans			
	Address / Location	Text	132
	Details	Text	132
	Plan Type	User-Defined List	33
	Date	Date	8
	Lrg Doc	Text	3
	Department	User-Defined List	25
	Doc Loc	Text	20
	Document #	Text	20



**City of St. Charles, IL Request for Proposals  
Enterprise Document Management Software and Implementation Services**

Project	Department	User-Defined List	21
	Project Name	Text	132
	Start Date	Date	8
	Document Type	User-Defined List	30
	Comment	Text	132
Standards	Department	User-Defined List	15
	Document Type	User-Defined List	16
	Year Published	Integer	4
	Standard Number	Text	10
	Description	Text	132
	Comment	Text	132

### 3.4 EMC APPLICATIONXTENDER STATISTICS

Table 3.4 contains data about the City’s ApplicationXtender document repositories by application. All documents are OCRed and full text indexed when they are imported into the system.

<b>Table 3.4 Current Statistics</b>				
<b>Repository:</b>				
Application	Description	Documents	Pages	Size (GB)
Agendas	Meeting Agendas	2864	84556	14.7
Agreements	Miscellaneous Agreements	1149	24578	1.41
Contract	Union Contracts	88	1754	.11
Council	Council Update/Weekly Wire	688	2429	.33
Easements	Easements / ROW	763	3908	.87
Mayors	Speech, Press Release, Correspondence	65	506	.19
Minutes	All Minutes/Minute Resolutions	11442	72256	2.89
Ordinance	Ordinance/Resolution	6859	54879	4.06
Plans	Large Format (E-size) Documents	7122	92997	163
Plans_PDF	PDF Version of Plans	7119	-----	56.4
Project	Special Project Files	1498	126783	8.05
Standards	Standards and Policies	1328	63250	3.46

### 3.5 TECHNICAL ENVIRONMENT

#### Servers

#### Operating Systems



City of St. Charles, IL Request for Proposals  
Enterprise Document Management Software and Implementation Services

Microsoft Windows Server 64 bit 2008 or higher

Mail Server

Lotus Domino V8.5.3 Windows

Web Server

Microsoft Internet Information Server 7

Microsoft Internet Explorer 8.0

Backup and Recovery Software

Symantec Backup Exec 2010

Storage

HP P2000 6 X MSA500G2 SAN SCSI connected

Workstation (new)

HP z420

Xeon E5-1603

6 GB RAM

500 GB hard drive

Nvidia Quadro NVS295 256MB PCIe Video

Windows XP Professional SP 3 / Windows 7 Professional

Network

TCP/IP

Fiber 10Gbit WAN connection between City buildings

Cisco 3750G 24/48 Ports PoE (Power Over Ethernet) Gigabit switches in server room closets

Cisco 3750 48 Ports PoE 10/100 Gigabit IDF closets for workstations and printers

Cisco 2960 24/48 Ports PoE/Non PoE Gigabit switches for small IDF's and remote sites

Cisco 2820 Routers for Internet and remote sites, Cisco 7206 Routers for Public Safety,

Scanners

Kodak i260

Fujitsu fi-6770A

Contex HD Ultra 4250i+

Capture Software

Kofax Capture 8.00.461 (w/VRS 4.5.032)

Fujitsu ScandAll Pro 1.8.1

Nextimage Scan+

Database

SQL Server 2008 R2 or higher

Office Applications

MS Office 2010 Pro

Report Writer



Crystal Reports 2008  
Microsoft SQL Server Reporting Services

Web Development Tools  
Microsoft Visual Studio

In regard to the City's technology architecture as it relates to this project, Proposers should take into consideration the following preferences:

<b>Table 3.5 Technical Environment Preferences</b>	
<b>Technical Function</b>	<b>Preferred Technology/Platform</b>
Server Operating Systems	Windows
Client Operating Systems	Windows
Database Software	MS SQL Server
Web Browser	MS Internet Explorer
Mail Server Software	Lotus Domino
Office Applications	MS Office 2010

The City prefers software that is standards-based and does not lock the City into proprietary technology. In addition, the City preference is for GUI-based applications running in a Web-based environment. Applications should be user-friendly and table-driven, and able to utilize the City's installed Ethernet TCP/IP network.

The technology standards and preference information is provided for informational purposes only. Proposers are encouraged to recommend the optimal enterprise technology environment to support its proposed solution.

### **3.6 CITY IT STAFF AND SKILLS**

#### Application Development Staff

Staff of 4 including Director:

- 1 Senior Systems Analyst with configuration experience in City View and ApplicationXtender
- 1 Senior Systems Analyst/Programmer with extensive experience in Lawson configuration, security, and user exits.
- 1 Web administrator with experience using Drupal, FrontPage and Photoshop
- 1 GIS manager with experience in ArcGIS (ArcINFO, ArcEditor, and ArcView), ArcIMS and ArcSDE
- Staff experienced with a variety of different programming languages.
- SQL Server and Microsoft Access database experience
- Experience with multiple system development methodologies.
- Staff experienced with multiple query and reporting tools.
- Familiarity with Java and HTML programming



- Staff experienced with data modeling and data base design
- Staff possessing project management experience on projects with different durations and scopes.

#### Networking staff

##### 3 Networking and microcomputer support staff

- 2 Network Specialist II's - Experience with server, infrastructure and enterprise level project installation and support.
- 1 Network Manager - Experience with server, infrastructure; enterprise level project installation and support; network infrastructure (Cisco) experience

All members of the network team/staff are trained in the basic use and maintenance of the following software (with varying degrees of experience):

- Lotus Notes V8
- Cisco switches and VPN
- Microsoft Windows Active Directory with Windows 2003 R2 scheme support
- Websense content filtering
- Symantec BackupExec 10.d for Windows
- Experience with hardware, software and printer maintenance.



## **4.0 Contract Terms and Conditions**

Below are standard contract terms and conditions that the City expects to be part of any agreement with the finalist vendor(s). Please indicate your willingness to comply with each condition by noting any exceptions per the instructions in section 2.14 of this RFP. Contract terms in the final agreement should include but will not be limited to those listed below.

### **4.1 APPLICABILITY**

In accordance with Section 1.7.10 the provisions of this RFP, including but not limited to these terms and conditions, shall be made part of each agreement resulting from this solicitation.

### **4.2 PAYMENT TERMS**

Payment for the document management system and for the implementation services rendered pursuant to any agreement resulting from this RFP shall be made in amounts and at times set forth in the resulting agreement (the "Agreement"). A purchase order will be issued, and all invoices must reference the purchase order number. Payment shall be made upon receipt of original invoice(s) in accordance and in conformity with payment dates for bills and claims as established by the City. Prior to payment, the proposer must submit an original dated itemized invoice of services rendered. (Photographs or facsimiles of invoices will not be accepted.) Any reimbursement for expenses, as allowed in the Agreement and that are included in the invoice(s), must be supported with attached original billings for such expenses.

Implementation services will be paid on a not-to-exceed basis as described, only on a deliverable completion basis, meaning the City will pay only when the proposer has satisfactorily completed mutually agreed upon payment deliverable, as will be defined in the Statement of Work as part of the Implementation Services Agreement (the "Implementation Services Agreement"). In addition, the City will apply a retention rate of fifteen percent (15%) to all service payments, with such retention being released on final acceptance of the entire system, which will be defined during the contract negotiation phase.

### **4.3 SOFTWARE LICENSE**

The proposer shall grant the City a perpetual, nontransferable, nonexclusive license under the terms of the Agreement to use the document management system on its network, (or on an externally (third party) hosted network, or as part of a software as a service model). The City shall have the absolute right to upgrade or replace any equipment in the network and continue to use the document management system on the network. The City shall not be required to pay the proposer any additional licensing fee or other fees as a result of using the document management system in conjunction with the upgraded or replacement equipment on the network.

### **4.4 SOFTWARE MAINTENANCE FEES**

The City will require fixed maintenance fees for ten (10) years following implementation for budgeting purposes.



#### **4.5 ADDITIONAL USERS AND MODULES**

The City will require “price protection” for a minimum of two (2) years from the effective date of the software license for additional the City users and modules that are listed in the RFP but are not initially purchased.

#### **4.6 DELIVERY OF THE PROJECT PLAN AND OTHER KEY DELIVERABLES**

The project plan is to be delivered within a contractually specified timeframe after contract signing. Delay or failure to complete in a timely manner in this regard will result in the assessment of liquidated damages up to \$1,000 per day. Other key deliverables (Design Document, Go-Live Date, and any other deliverable that can be deemed substantially the responsibility of the vendor) will also be subject to the assessment of liquidated damages up to \$1,000 per day if the vendor misses these key timeframes.

#### **4.7 SERVICES AND STATEMENT OF WORK**

The intent of the Implementation Services Agreement is for the services to be completed in the detail described in the Statement of Work (“SOW”), which is attached to, and part of the Implementation Services Agreement. Except as otherwise explicitly stated in the Implementation Services Agreement, the proposer will furnish all labor, materials, equipment, products, tools, transportation, and supplies required to complete the services. The proposer will provide services to the City as required in the Implementation Services Agreement and the SOW. Any additional services will be mutually agreed to in writing by each party through a change order process.

#### **4.8 DOCUMENTATION AND COPYRIGHT**

Collected data, analyses, and any analytical processes, programs and files developed as a contractual requirement are the sole property of the City. Programs shall be completely documented, including the file layouts. The City may, at its sole discretion, waive title to any portion or to all data and analyses. The City has the sole right to copyright any process or program and may license its use by others for a fee or without charge.

#### **4.9 CITY PROPERTY**

The use of City property must be approved in advance by the City’s project manager. If the City has agreed to provide City owned property, the following special provisions shall apply:

- 4.9.1** The amount of City property to be furnished to the contractor may be increased or decreased by written direction of the City’s project manager and the contract price shall be adjusted to reflect the change pursuant to the stipulations of the "changes" article.
- 4.9.2** The proposer shall insure all City property in their possession or control and shall be liable to the City for the fair market value of any damage or loss to City property, aside from that incurred by normal wear and tear. The proposer shall maintain the property in operating condition, with the cost being chargeable to the contract.



- 4.9.3** All City property shall be returned promptly upon completion of the contract or otherwise disposed of, as directed in writing by the City. All costs of shipment or disposal are a contract cost.
- 4.9.4** Unless specifically stated otherwise in writing, City property may be used only for the performance of this contract.
- 4.9.5** Title to all City property shall remain in the hands of the City at all times. Title to the property acquired by the contractor for use under the contract shall vest in the City upon delivery to the contractor.
- 4.9.6** Any dispute concerning interpretation of the provisions of this article shall be subject to the stipulations of the "Disputes" article.

#### **4.10 INTELLECTUAL PROPERTY RIGHTS**

The proposer will indemnify and hold harmless the City from liability of any kind, including costs and expenses for or on account of any copyrighted service marked, trademarked, patented or un-patented invention, process, article or work manufactured or used in the performance of the contract, including its use by the City. If the proposer uses any design, device, materials or works covered by letters, service mark, trademark, patent, copyright or any other intellectual property right, it is mutually agreed and understood without exception that the proposal prices will include all royalties or costs arising from the use of such design, device, or materials in any way involved in the work.

#### **4.11 COVENANTS AGAINST CONTINGENT FEES**

The proposer warrants that no person or selling agency has been employed or retained to solicit or secure this contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. For breach or violation of this warranty, the City shall have the right to annul this contract without liability or in its discretion to deduct from the contract price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

#### **4.12 CHANGES**

The City's project manager may, at any time, by a written order and without notice to the insurers make changes within the general scope of the contract in any one or more of the following: a) specifications or statement of work and b) place of performance or delivery. If any such changes cause an increase or decrease in the cost of or the time required for the performance of this contract, whether changed or not changed by any such order, an equitable adjustment shall be made a) in the contract price or time of performance or both and b) in such other provisions of the contract as may be so affected; and the contract shall be modified in writing accordingly. Any claim by the proposer for adjustment under this article must be asserted within 30 days from the date of receipt by the proposer of the notification of change, provided, however, that the City's project manager decides that the facts justify such action, may receive and act upon any such claim asserted at any time prior to final payment under this contract. Failure to agree to any adjustment shall be a dispute concerning a question of fact within the meaning of



the clause of this contract entitled "disputes". However, nothing in this article shall excuse the contractor from proceeding with the contract as changed.

#### **4.13 LAWS AND REGULATIONS**

The proposer shall comply with all applicable laws, ordinances, and codes of the State of Illinois, Kane and DuPage Counties, and the City of St. Charles, IL. It shall be the responsibility of the contractor to be knowledgeable of all federal, state, county and local laws, ordinances, rules and regulations that in any manner affect the items covered herein which may apply. Failure to comply with all applicable laws, ordinances and codes may lead to termination of the contract.

#### **4.14 DISPUTES**

In the event of any dispute between the parties arising from this RFP, the Agreement, the Implementation Services Agreement, or the services provided hereunder, each party shall, prior to seeking judicial resolution of such dispute, escalate the dispute to a senior representative of such party, and such senior representatives shall use good faith efforts to resolve the dispute between them. If such senior representatives are unable to resolve the dispute, such dispute shall then be decided by litigation. The proposer and the City shall make good faith efforts to resolve any and all disputes as quickly as possible.

Any litigation between the parties of this Agreement shall be conducted in DuPage or Kane County, Illinois. In the event of any litigation arising out of this contract, the prevailing party shall be entitled to recover from the non-prevailing party reasonable costs and Attorney fees.

#### **4.15 INDEMNIFICATION AGREEMENT**

Awarded proposers shall to the fullest extent permitted by law, protect, defend, indemnify and hold harmless the City, its agents, officers, elected and appointed officials and employees from and against all claims, actions, liabilities, losses (including economic losses and attorney fees), and/or costs arising out of any of the following actual or alleged:

- 4.15.1** Bodily injury, sickness, disease or death, or injury to or destruction of tangible property including the loss of use resulting therefrom, or any other damage or loss arising out of, or claimed to have resulted in whole or in part from any actual or alleged act or omission of the contractor, subcontractor, anyone directly or indirectly employed by any of them, of anyone for whose acts any of them may be liable in the performance of the work
- 4.15.2** Violation of law, statute, ordinance, governmental administration order, rule or regulation by contractor in the performance of the work
- 4.15.3** Liens, claims or actions made by the contractor or any subcontractor or other party performing the work



- 4.15.4** Violation of intellectual property rights of third parties, including, copyright, patent, license agreements, or other claims of ownership and/or infringement made or alleged against the City based on the use of the software and implementation services provided in the Agreement or the Implementation Services Agreement

The City reserves the right to retain its own attorneys in such an event, for which proposers would reimburse the City.

The indemnification obligations hereunder shall not be limited to any limitation on the amount, type of damages, compensation or benefits payable by or for the proposer or any subcontractor under workers' compensation acts; disability benefit acts; other employee benefit acts; or any statutory bar.

If the software program or any part of the materials installed by the proposer is held to infringe upon any third-party intellectual property rights, the proposer shall, at its sole expense, exercise commercially reasonable efforts to either: (a) procure the right to continue using the same idea or process free of any liability for infringement or violation; or (b) replace or modify the same with non-infringing material of substantially equivalent functionality. In the event proposer is unable to implement one of the options set forth in subsection (a) or (b) above within sixty (60) days after the occurrence of any such claim, such failure shall be deemed an event of default under the Agreement or Implementation Services Agreement.

#### **4.16 WARRANTY**

A warranty is sought for both the software and implementation services. It is assumed that proposers have priced their services to recognize these warranty provisions. The extent of the warranty coverage will be evaluated as part of the overall procurement process.

- 4.16.1 Software.** The selected software proposer will warrant that the proposed software will conform in all material respects to the requirements and specifications as stated in this RFP. The selected proposer must warrant that the content of its proposal accurately reflects the software's capability to satisfy the functional/technological requirements as included in this RFP. Furthermore, the warranty, at a minimum, should be valid for the duration of the implementation and until final acceptance (as will be defined during the negotiation process) of all modules/suites/applications included in the implementation.

- 4.16.2 Implementation Services Firm.** the City also requires a warranty for the services (e.g., work products, developed modifications, and system configuration) for a minimum of 24 months after the final acceptance date (as will be defined during the negotiation process) of the respective modules.

#### **4.17 INSURANCE REQUIREMENTS**

- 4.17.1** The contractor, and any subcontractors, shall purchase and maintain such insurance as will protect themselves and the City against all claims arising from the operation of the work or the execution of this contract. The City, its officers, agents and employees shall be named as additional insured on all insurance policies required by the specifications to be purchased by the contractor or subcontractor.



**4.17.2** Minimum requirements for insurance are set forth in the following detailed specifications:

The successful Proposer must carry the following amounts and types of insurance in conjunction with the work performed under this contract.

<i>Coverage</i>	<i>Limits</i>	
Automobile Liability	\$1,000,000	Combined single limit
Commercial General Liability	\$1,000,000	Per occurrence
	\$2,000,000	General aggregate

All Commercial General Liability policies must include Blanket Contractual coverage and Broad Form Vendors' Liability coverage.

Workers' Compensation (Employers' Liability)	\$500,000	Per accident
	\$500,000	Disease limit
	\$500,000	Each Disease
Umbrella Liability	\$5,000,000	Limit

**4.18 TERMINATION FOR DEFAULT OR FOR CONVENIENCE OF THE CITY**

If the City terminates this agreement for cause, the City may, by written notice of default to the proposer, terminate the Agreement and Implementation Services Agreement in whole or in part if the proposer fails to: (i) Maintain the staffing levels as outlined in the SOW, deliver the deliverables or to perform the services within the time specified in the Agreement Implementation Services Agreement or any amendment thereto; (ii) Make progress, so that the lack of progress endangers performance of the Agreement or Implementation Services Agreement; or (iii) Perform or observe any of the other provisions of the Agreement or Implementation Services Agreement. the City's right to terminate the Agreement and Implementation Services Agreement may be exercised if the failure constitutes a material breach of the Agreement or Implementation Services Agreement and if the proposer does not cure such failure within the time frame stated in the City's Notice to Cure, which in no event will be less than fifteen (15) days.

**4.18.1 Party Obligations.** If the Agreement or Implementation Services Agreement is terminated for cause, the City may require the proposer deliver to the City, as directed by the City, any: (i) completed deliverables; (ii) partially completed deliverables related to the terminated portion of the Agreement or Implementation Services Agreement; and (iii) any plans, working papers, forms, documentation formats, etc. necessary for understanding of the deliverables of services. Upon direction of the City, the proposer shall also protect and preserve property in its possession in which the City has an interest. The City shall pay Agreement or Implementation Services Agreement prices for completed deliverables delivered and accepted. Failure to agree will constitute a dispute under the "disputes" clause. The City may withhold from these amounts any sum it determines to be necessary to protect the City against loss because of outstanding liens or claims of former lien holders.



**4.18.2 Remedies.** The rights and remedies of the City in this clause are in addition to any other rights and remedies provided by law or under the Agreement or the Implementation Services Agreement. If, after termination, it is determined by a final ruling in accordance with the “disputes” clause that the proposer was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the City.

**4.18.3 Termination for Convenience.** The Agreement and Implementation Services Agreement may be terminated in whole or in part, by the City whenever it is determined that such termination is in the best interest of the City, which termination shall be effective at 11:59 p.m. on the intended date of termination (the “Termination Date”), after the City shall have delivered to the proposer a notice specifying the extent to which provision of services under the Agreement or Implementation Services Agreement are terminated (“Notice of Termination for Convenience”), and the date upon which such termination will become effective.

- **Obligations.** After receipt of a Notice of Termination for Convenience, and except as directed by the City, the proposer shall immediately proceed with the following obligations, as applicable, regardless of any delay in determining or adjusting any amounts due under this clause. The proposer shall: (i) Stop work as specified in the Notice of Termination for Convenience; and (ii) Place no further subcontracts for materials, Services, or facilities, except as necessary to complete any continuing portion of the Agreement; and (iii) Terminate all subcontracts to the extent they relate to the work terminated; and (iv) Settle all outstanding liabilities and termination settlement proposals arising from the termination of subcontracts.
- **Remedies.** In the event of all or any partial termination of the Agreement or Implementation Services Agreement under this section, as its sole remedy, the proposer shall be entitled to the unpaid compensation for services actually rendered up to and including the applicable Termination Date, on a time and materials basis, at an hourly rate not to exceed the rate set forth in the agreement, for each of the contractor’s personnel that performed the unpaid services in connection with the deliverables that were delivered and the tasks that were performed under the SOW. The City shall retain and pay at the contracted price all deliverables in it’s possession at time of termination for convenience.
- The City shall also return any sums held back as retainage from the compensation previously paid to the contractor within 30 days of the termination date. If within sixty (60) days following the Termination Date, the parties have not agreed upon the amount of Services rendered as of the Termination Date or the amount of such additional payments, then the issue will be treated as a dispute under the Agreement or Implementation Services Agreement.



#### **4.19 MANDATORY CITY CONTRACT PROVISIONS**

The City's contracting practices require all contracts with the City to contain the following provisions:

- 4.19.1** A proposer, through submission of a proposal in response to this RFP, agrees to the incorporation of the above listed terms and conditions in the final contract to be negotiated between the successful proposer and the City. Any attempt to negotiate terms contrary to those listed above will render the Proposal non-conforming to this RFP.

#### **4.20 NONAPPROPRIATION OF FUNDS**

- 4.20.1** The complete installation of the enterprise document management system is contingent on budgetary funding from the annual the City budget. Funding may be allocated in phases over several fiscal years. In the event sufficient funds are not appropriated for the contract payments required to be made in future fiscal years then the City at its sole discretion may terminate the Agreement or Implementation Services Agreement at the end of the then current fiscal year, as the case may be, without penalty or additional expense of any kind whatsoever. If non-appropriation occurs, the City agrees to deliver written notice to proposer of such early termination at least 30 days prior to the end of the then current fiscal year.
- 4.20.2** Notwithstanding anything in the Agreement or Implementation Services Agreement to the contrary, this Non-appropriation provision shall survive termination of the Agreement and the Implementation Services Agreement.

#### **4.21 CERTIFICATE OF COMPLIANCE**

All supplier/contractors are required to complete the Certificate of Compliance (Attachment 12) as per the Illinois Compiled Statutes Ch. 65, Sec. 11-42.1-1, which will be returned with the proposal.

#### **4.22 EQUAL OPPORTUNITY EMPLOYER**

The City of St. Charles is an equal opportunity employer, and all supplier/contractors are required to be equal opportunity supplier/contractors as defined by all applicable state and federal laws and regulations.

#### **4.23 CERTIFICATE OF NON-DISQUALIFICATION**

All supplier/contractors are required to submit a completed Certificate of Non-Disqualification (Attachment 13), as required under Illinois Compiled Statutes, Ch. 720, Sec. 33 E-11.

#### **4.24 PROVISIONS OF ST. CHARLES MUNICIPAL CODE**



All proposals and contracts shall be in accordance with Title 2, Ch. 2.33 of the City of St. Charles Illinois Municipal code, as from time to time amended, which shall take precedence over and control all aspects of this contract, and which are incorporated herein by reference.

#### **4.25 CERTIFICATE OF COMPLIANCE WITH SAFETY STANDARDS**

All supplier/contractors are required to submit a completed Certificate of Compliance with Safety Standards (Attachment 14).

#### **4.26 CERTIFICATE OF COMPLIANCE WITH PUBLIC ACT 87-1257 OF THE ILLINOIS HUMAN RIGHTS ACT**

All supplier/contractors are required to submit a completed Certificate of Compliance with Public Act 87-1257 of the Illinois Human Rights Act (Attachment 15).



## ATTACHMENT 1: RFP SUBMITTAL CHECKLIST

<b>RFP Submittal Checklist</b>		
Task	Reference	Submitted
Introductory Material	2.4	
Executive Summary	2.5	
Scope of Services	2.6	
Company Background (including most recent audited financial statements)	2.7	
Proposed Application Software and Computing	2.8	
Implementation Plan	2.9	
Training Plan	2.10	
Maintenance and Support Program	2.11	
Essay Responses	2.12	
Client References	2.13	
Exceptions to the RFP	2.14	
Sample Documents	2.15	
Price Proposal (To Be Submitted Under Separate Cover)	2.16	
Required Attachments		
Attachment 1 RFP Submittal Checklist	This sheet	
Attachment 2 Software Reference Form		
Attachment 3 Implementation Services Reference Form		
Attachment 4 Third-party Reference Form (if applicable)		
Attachment 5 Cost Schedule To be submitted under separate cover)		
Attachment 6 Staffing		
Attachment 7 Company Background		
Attachment 8 Maintenance and Support		
Attachment 9 Technology Specifications		
Attachment 10 Notarized Signature Page		
Attachment 11 Certificate of Compliance of ILCS 65/11-42.1-1	4.21	
Attachment 12 Certificate of Non-Disqualification under ILCS 720/33E-11	4.23	
Attachment 13 Certificate of Compliance with Safety Standards	4.25	
Attachment 14 Certificate of compliance with Public Act 87-1257 of IHRA	4.26	
(1) Signed Master Copy of Proposal (technical and price, separated out)	2.1.4	
(2) Hard copies of proposal (technical and price, separated out)	2.1.4	
(2) Electronic copies on CD	2.1.4	



## ATTACHMENT 2: SOFTWARE REFERENCE FORM

Please provide five (5) references (preferably public sector) for the software that most closely reflect consulting projects that are similar to the City's scope of work. These references should be sites where the proposed software was installed and has been **FULLY IMPLEMENTED** and is **"live."** Please use the following format in submitting references.

### GENERAL BACKGROUND

Name of Client: \_\_\_\_\_

Address: \_\_\_\_\_

Project Manager/Contact : \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ E-mail address: \_\_\_\_\_

Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Number of Employees: \_\_\_\_\_ Approximate size of operating budget: \_\_\_\_\_

### PROJECT SCOPE

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### PROJECT INFORMATION

Total Project Costs      \$ \_\_\_\_\_      Length of Project (Implementation) (months)      \_\_\_\_\_

Go-Live Date      \_\_\_\_\_      Approximate Number of Consultant Hours      \_\_\_\_\_

\_\_\_\_\_      Approximate Number of Government Hours      \_\_\_\_\_

### TECHNOLOGY INFORMATION

Hardware Platform: \_\_\_\_\_

Database Platform: \_\_\_\_\_

Operating System: \_\_\_\_\_



**ATTACHMENT 3: IMPLEMENTATION SERVICES REFERENCE FORM**

Please provide five (5) references (preferably public sector) for implementation services that most closely reflect consulting projects that are similar to the City’s scope of work. These references should be sites where the proposed software was installed and has been **FULLY IMPLEMENTED** and is **“live.”** Please use the following format in submitting references.

**GENERAL BACKGROUND**

Name of Client: \_\_\_\_\_

Address: \_\_\_\_\_

Project Manager/Contact : \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ E-mail address: \_\_\_\_\_

Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Number of Employees: \_\_\_\_\_ Approximate size of operating budget: \_\_\_\_\_

**PROJECT SCOPE**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**PROJECT INFORMATION**

Total Project Costs \$ \_\_\_\_\_ Length of Project (Implementation) (months) \_\_\_\_\_

Go-Live Date \_\_\_\_\_ Approximate Number of Consultant Hours \_\_\_\_\_

\_\_\_\_\_ Approximate Number of Government Hours \_\_\_\_\_

**TECHNOLOGY INFORMATION**

Hardware Platform: \_\_\_\_\_

Database Platform: \_\_\_\_\_

Operating System: \_\_\_\_\_



**ATTACHMENT 4: THIRD-PARTY SOFTWARE REFERENCE FORM**

Please provide five (5) references (preferably public sector) that most closely reflect consulting projects that are similar to the City’s scope of work. These references should be sites where the proposed software was installed and has been **FULLY IMPLEMENTED** and is **"live."** Please use the following format in submitting references.

**GENERAL BACKGROUND**

Name of Client: \_\_\_\_\_

Address: \_\_\_\_\_

Project Manager/Contact : \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ E-mail address: \_\_\_\_\_

Software Program/Version: \_\_\_\_\_

Summary of Project: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Number of Employees: \_\_\_\_\_ Approximate size of operating budget: \_\_\_\_\_

**PROJECT SCOPE**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**PROJECT INFORMATION**

Total Project Costs \$ \_\_\_\_\_ Length of Project (Implementation) (months) \_\_\_\_\_

Go-Live Date \_\_\_\_\_ Approximate Number of Consultant Hours \_\_\_\_\_

\_\_\_\_\_ Approximate Number of Government Hours \_\_\_\_\_

**TECHNOLOGY INFORMATION**

Hardware Platform: \_\_\_\_\_

Database Platform: \_\_\_\_\_

Operating System: \_\_\_\_\_



## **ATTACHMENT 5: COST SPREADSHEETS**

**(See Attachment 5 Excel Spreadsheet)**



## **ATTACHMENT 6: STAFFING MATRICES**

**(See Attachment 6 Excel Spreadsheet)**



## ATTACHMENT 7: COMPANY BACKGROUND

Complete one form for each software vendor, implementation services firm and third-party vendor identified in your proposal.

<b>Company Background</b>	
<b>Company Name</b> <b>Company Location:</b> <i>Location of corporate headquarters</i>  <i>Location of nearest office/location to the City</i>	
<b>Proposer Experience</b>	
<b>Years of Experience:</b> <i># of years in business:</i> <i># of years providing EDMS systems to public sector:</i>	
<b>Customer Base:</b> <i># of public sector clients</i> <i># of public sector clients using the version of the software application being proposed.</i> <i># of public sector clients in Illinois</i>  <i>Identify by name some of the clients similar to the City (e.g., similar in size, complexity, location, type of organization)</i>	
<b>Market Focus:</b>  <i>Identify other industries serviced</i>	
<b>User Group:</b> <i>Identify national and regional user groups</i> <i>Explain the purpose and function of user groups</i> <i>Identify if there is an annual or biannual user conference</i> <i>Identify next planned national conference (location and date)</i>	
<b>Terminated Projects:</b> <i>List any terminated public sector projects. Please disclose the jurisdiction and explain the reason for the termination.</i>	
<b>Organization Size</b>	
<b>Number of Employees:</b> <i>If Proposer is a subsidiary, identify # of employees in proposing company/division.</i>	



### Company Background

**Total Revenue:**

*If Proposer is a subsidiary, identify revenues of proposing company/division*

*Identify the percentage of revenue used for research & development by the proposing company/division*

### Corporate Notes

**Ownership:** *Privately held? Publicly traded? Parent Company?*

**Certified Partnerships:**

*Identify any certifications held by your firm if you are implementing or reselling another firm's products.*

*If partnering, please identify the amount of time the implementer has worked with the software proposer and how many implementations the two parties have completed together.*

*If using a third party product, please identify the amount of time the implementer has worked with the third party software proposers and how many implementations the two have completed together*



## ATTACHMENT 8: MAINTENANCE AND SUPPORT

<b>Proposed Maintenance and Support</b>	
<b>Post-implementation support</b>	
Days of on-site support after go-live	
Other on-site support after go-live (month end, year end, open enrollment, etc.)	
<b>Support Options</b>	
Support Packages Offered (Bronze, Silver, Gold, etc.)	
Support Package Proposed	
<b>Other Support:</b>	
Remote desktop support	
Additional on-site support	
<b>Telephone Support</b>	
Hours available	
Problem Reporting and Resolution Procedures	
Response time for various levels of severity	
<b>User Groups</b>	
Local User Group	
User Group Members (number)	
<b>Third Parties</b>	
Support provided for third party products?	
<b>Upgrades/Patches</b>	
Upgrade Frequency (major and minor releases)	
How are upgrades delivered?	
Are upgrades required?	
How many versions are currently supported?	



## ATTACHMENT 9: TECHNICAL SPECIFICATIONS

Technical Specifications	
Technology Architecture	
Platforms supported	
Optimal and minimum network requirements	
Optimal and minimum database requirements	
Optimal and minimum server requirements	
Optimal and minimum desktop (client) requirements	
Is content delivered through a web browser (browsers supported?)	
Administration Toolsets/Skills	
What application toolsets are included in software	
What programming languages and skills required to maintain software	
Security	
What security tools are provided in software	
How is security profile defined?	
Does system support active directory?	
Does system support single sign on?	
Workflow	
Does system have workflow tools?	
How are workflows defined?	
How are workflows managed?	
Network Bandwidth	
What are bandwidth requirements?	



## ATTACHMENT 10: NOTARIZED SIGNATURE PAGE

In compliance with this Request for Proposals (RFP) and subject to all conditions imposed therein, and hereby incorporated by reference, the undersigned Officer of \_\_\_\_\_ hereby offers and agrees to furnish the services described in accordance with the attached proposal, or as mutually agreed upon by subsequent negotiation. The signatory hereby certifies that he is an agent authorized to bind the company.

Name and address of Firm: \_\_\_\_\_ Date: \_\_\_\_\_

\_\_\_\_\_ By: \_\_\_\_\_

Signature

\_\_\_\_\_ Printed Name

\_\_\_\_\_ Title: \_\_\_\_\_

Telephone: \_\_\_\_\_ Federal ID No. \_\_\_\_\_

State of \_\_\_\_\_

County of \_\_\_\_\_

Subscribed and sworn to before me, a Notary Public, in and for said County and State on this \_\_\_\_\_ day of \_\_\_\_\_ 2013.

\_\_\_\_\_  
Notary Public

Commission Expiration Date: \_\_\_\_\_



**ATTACHMENT 11: CERTIFICATE OF COMPLIANCE OF ILLINOIS  
COMPILED STATUTES, CH. 65, SEC. 11-42.1-1**

The undersigned, upon being first duly sworn, hereby certifies to the City of St. Charles, Kane and DuPage Counties, Illinois, that \_\_\_\_\_ (bidder) is not currently delinquent in the payment of any tax administered by or owed to the Illinois Department of Revenue, or otherwise in default upon any such tax as defined under Ch. 65, Sec. 11-42.1-1, Illinois Compiled Statutes.

\_\_\_\_\_  
Name of Bidder

By:

State of \_\_\_\_\_),  
ss.  
County of \_\_\_\_\_)

Subscribed and sworn to  
before me this \_\_\_\_\_ day  
of \_\_\_\_\_, \_\_\_\_\_.

Notary Public





**ATTACHMENT 13: CERTIFICATE OF COMPLIANCE WITH SAFETY  
STANDARDS**

The undersigned, upon being first duly sworn, hereby certifies to the City of St. Charles, Kane and DuPage Counties, Illinois that \_\_\_\_\_ (bidder) shall comply with all local, state and federal safety standards.

\_\_\_\_\_  
Name of Bidder

By:

State of \_\_\_\_\_),  
ss.  
County of \_\_\_\_\_)

Subscribed and sworn to  
before me this \_\_\_\_\_ day  
of \_\_\_\_\_, \_\_\_\_\_.

Notary Public



**ATTACHMENT 14: CERTIFICATE OF COMPLIANCE WITH PUBLIC  
ACT 87-1257 OF THE ILLINOIS HUMAN RIGHTS ACT**

The undersigned, upon being first duly sworn, hereby certifies to the City of St. Charles, Kane and DuPage Counties, Illinois that \_\_\_\_\_ (bidder) complies with the Illinois Human Rights Act as amended by Section 2-105, Public Act 87-1257 in relation to employment and human rights.

\_\_\_\_\_  
Name of Bidder

By:

State of \_\_\_\_\_),  
ss.  
County of \_\_\_\_\_)

Subscribed and sworn to  
before me this \_\_\_\_\_ day  
of \_\_\_\_\_, \_\_\_\_\_.

Notary Public

**Schedule 1: Summary**  
**Summary of Total Software, Professional Services, and Maintenance /Support Costs**

Cost Categories	Proposed Cost	Explanation/Notes (if necessary)**
<b>Software License Fees</b> (Schedule 2)(*)(**)	\$ -	
<b>Professional Services</b> (Schedules 3, 4, & 5):		
Implementation Services (Schedule 3)	\$ -	
Data Conversion and Interfaces Estimate (Schedule 3)	\$ -	
Customizations (Schedule 3)	\$ -	
<b>Training</b> (Schedule 4)	\$ -	
<b>Travel and Other Costs</b> (Schedule 6)	\$ -	
<b>Total Cost During Project Period</b>	\$ -	

<b>Total 10 Year Maintenance &amp; Support Costs</b> (Schedule 5)	\$ -
---	------

<b>Total 10 Year ASP or SaaS Costs</b> (Schedule 7)	\$ -
---	------

<b>10 Year Total Cost of Ownership</b>	\$ -
--	------

<b>10 Year Total Cost of Ownership (With ASP or SaaS)</b>	\$ -
---	------

**\*\*Attach additional notes (if needed) to provide full explanation.**

**Assumptions/Additional Comments**

*Please check all cell formulas!!*

**Schedule 2: Licensing Fees**  
**Detailed Licensing Fees By Module**

Module	Functionality/Description	Proposed Cost	Number of Users/Employees	Explanation/Notes (if necessary)**
Other (Please list)				
<b>Subtotal</b>		\$ -		
<b>Third-Party Software (List Individually)</b>				
<b>Subtotal</b>		\$ -		
<b>Total License Fees</b>		\$ -		

\*\*Attach additional notes (if needed) to provide full explanation.

Optional Software (NOT INCLUDED IN SUMMARY)				
<b>Total Optional License Fees</b>		\$ -		

**Assumptions/Additional Comments**

List all other assumptions here.

Please check all cell formulas!!

**Schedule 3: Professional Services**  
**Estimated Professional Services By Activity**

**1. Estimated Vendor Hours and Cost**

Functional Area	Implementation Services			Data Conversion			Interfaces			Customizations			Total	
	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Cost
													0	\$ -
													0	\$ -
													0	\$ -
													0	\$ -
Other (Please list)													0	\$ -
(add additional cells if needed)													0	\$ -
<b>Total</b>	<b>0</b>		<b>\$ -</b>	<b>0</b>		<b>\$ -</b>	<b>0</b>		<b>\$ -</b>	<b>0</b>		<b>\$ -</b>	<b>0</b>	<b>\$ -</b>

Optional Software (NOT INCLUDED IN SUMMARY)														
VENDOR														
Functional Area	Implementation Services			Data Conversion			Interfaces			Customizations/Custom Reports			Total	
	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Rate*	Cost	Hours	Cost
													0	\$ -
													0	\$ -
													0	\$ -
													0	\$ -

**Schedule 4: Training Costs**  
**Estimated Cost of Training by Phase**

**1. Training Hours and Costs By Trainee**

Functional Area	Training Type (on-site, off-site, web, etc.)	Number of Students	Hours of Training/ Instruction	Cost
<i>Add additional rows if necessary</i>				
<b>Total</b>		<b>0</b>	<b>0</b>	<b>\$0</b>

**2. Additional Training Costs**

Description	Training Type (on-site, off-site, web, etc.)	Number of Students	Hours of Training (Instruction)	Cost
<i>Add additional rows if necessary</i>				
<b>Total</b>		<b>0</b>	<b>0</b>	<b>\$0</b>

**3. Total Training Costs**

			Hours of Training (Instruction)	Cost
<b>Total Cost</b>			<b>0</b>	<b>\$0</b>

**Training Costs for OPTIONAL Software (NOT INCLUDED IN SUMMARY)**

Description	Training Type (on-site, off-site, web, etc.)	Number of Students	Hours of Training/ Instruction	Cost

**Schedule 5: Maintenance and Support**  
**Detailed Licensing Fees By Module**

**Software Maintenance & Support (Years 1-10)**

Period	Proposed Cost	Explanation/Notes (if necessary)
Year One*		*Vendors must state when maintenance and support costs start.
Year Two		
Year Three		
Year Four		
Year Five		
Year Six		
Year Seven		
Year Eight		
Year Nine		
Year Ten		

**Third Party Software Maintenance & Support (Years 1-10)**

Period	Proposed Cost	Explanation/Notes (if necessary)
Year One*		*Vendors must state when maintenance and support costs start.
Year Two		
Year Three		
Year Four		
Year Five		
Year Six		
Year Seven		
Year Eight		
Year Nine		
Year Ten		

**Total 10 Year Maintenance & Support Costs**

--	--	--

**Software Maintenance & Support (Years 1-10) - OPTIONAL SOFTWARE (NOT INCLUDED IN SUMMARY)**

Period	Proposed Cost	Explanation/Notes (if necessary)
Year One*		*Vendors must state when maintenance and support costs start.
Year Two		
Year Three		
Year Four		
Year Five		
Year Six		
Year Seven		
Year Eight		
Year Nine		
Year Ten		

**Total 10 Year OPTIONAL Software Maintenance & Support Costs**

\$	-
----	---

Attachment 6 - Cost Matrices

**Schedule 6: Travel & Other Costs**

Description	Cost
<b>Total</b>	<b>\$ -</b>

Other Costs for OPTIONAL Software	Cost
<b>Total</b>	<b>\$ -</b>

**Assumptions/Additional Comments**

Please check all cell formulas!!

**Schedule 7: ASP/SaaS Costs**

Cost Categories	One-time Costs	Ongoing Costs	Total Annual Cost	Explanation/Notes (if necessary)**
Year 1	\$ -	\$ -	\$ -	
Year 2	\$ -	\$ -	\$ -	
Year 3	\$ -	\$ -	\$ -	
Year 4	\$ -	\$ -	\$ -	
Year 5	\$ -	\$ -	\$ -	
Year 6	\$ -	\$ -	\$ -	
Year 7	\$ -	\$ -	\$ -	
Year 8	\$ -	\$ -	\$ -	
Year 9	\$ -	\$ -	\$ -	
Year 10	\$ -	\$ -	\$ -	
<b>Total Cost</b>	\$ -	\$ -	\$ -	

**\*\*Attach additional notes (if needed) to provide full explanation.**

Additional Questions	Yes/No	Explanation/Notes (if necessary)
Are all software implementation costs included in the SaaS price?		
Are all software license costs included in the SaaS price?		

**Assumptions/Additional Comments**

*List all other assumptions here.*

*Please check all cell formulas!!*

## Attachment 6 - Staffing Matrix

### Instructions:

Proposers are required to complete the following 4 tabs on the staffing matrix:

- 2-Gov Staffing
- 3-Vendor Staffing
- 4-Gov Training
- 5-Vendor Training

### For each tab:

- 1) List the resource that would be required for the project in Column A
- 2) List the number of hours per month that would be required by each resource for the project
- 3) Estimate hours based on prior implementation experience and the information supplied in the RFP. It is expected that proposers will need to make certain assumptions that may need to be corrected during the selection process.
- 4) For tabs 2-Gov Staffing and 3-Vendor staffing, resources should include all individuals who will contribute to the project
- 5)

For tabs 4-Gov Training and 5-Vendor training, resources should include training received by the project team and other key users of the system and those planning or developing training materials and delivering training. Vendors do not need to include time for limited end users to receive training.

**Schedule 1**  
**Estimated Total Project Staffing**

Phase/Activity	Month																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Government Hours	Month 1 =																	
Implementation	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!
Training	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!
Vendor Hours																		
Implementation	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!
Training	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!
Total Hours																		
Implementation	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!
Training	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!
Government % Breakdown																		
Implementation	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!	#REF!

Staffing Level Summary	Vendor Hours	Government Hours	Total Hours	Government %
Implementation Services*	#REF!	#REF!	#REF!	#REF!
Training*	#REF!	#REF!	#REF!	
Total Hours*	#REF!	#REF!	#REF!	









