C I T Y O F A U S T I N, T E X A S

Purchasing Office

REQUEST FOR PROPOSAL (RFP)

SOLICITATION NO: SMW0120

DATE ISSUED: February 3, 2014

COMMODITY/SERVICE DESCRIPTION: Purchase of Electronic Plan Review Software Solution including Implementation and Maintenance

REQUISITION NO.: RQM 5600 14012900176

COMMODITY CODE: 20811

PRE-PROPOSAL CONFERENCE TIME AND DATE: February 21, 2014 at 10:30 AM

LOCATION: One Texas Center, 505 Barton Springs Road Room #325

FOR CONTRACTUAL AND TECHNICAL ISSUES CONTACT THE FOLLOWING AUTHORIZED CONTACT PERSON:

Ms. Shawn M. Willett
Senior Business Process Consultant

Phone: (512) 974-2554
E-Mail: Shawn.Willett@austintexas.gov

PROPOSAL DUE PRIOR TO: 3:00 PM on March 20, 2014

PROPOSAL CLOSING TIME & DATE: 3:00 PM on March 20, 2014

LOCATION: MUNICIPAL BUILDING, 124 W 8th STREET
RM 310, AUSTIN, TEXAS 78701

When submitting a sealed Offer and/or Compliance Plan, use the address below:

City of Austin, Purchasing Office
Municipal Building
124 W 8th Street, Rm 310
Austin, Texas 78701
Reception Phone: (512) 974-2500

All Offers (including Compliance Plans) that are not submitted in a sealed envelope or container will not be considered.

SUBMIT 1 ORIGINAL MARKED AS "ORIGINAL", 6 COPIES MARKED AS "COPY", AND 2 ELECTRONIC COPIES OF YOUR RESPONSE

*****SIGNATURE FOR SUBMITTAL REQUIRED ON PAGE 3 OF THIS DOCUMENT*****

This solicitation is comprised of the following required sections. Please ensure to carefully read each section including those incorporated by reference. By signing this document, you are agreeing to all the items contained herein and will be bound to all terms.

SECTION NO.	TITLE	PAGES
0100	STANDARD PURCHASE DEFINITIONS	*
0200	STANDARD SOLICITATION INSTRUCTIONS	*
0300	STANDARD PURCHASE TERMS AND CONDITIONS	*
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APPA	APPENDIX A, CURRENT STATE SUBDIVISIONS WORKFLOW	2
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0600	PROPOSAL PREPARATION INSTRUCTIONS & EVALUATION FACTORS	7
ATTA	ATTACHMENT A, COST PROPOSAL SHEET	2
0605	LOCAL BUSINESS PRESENCE IDENTIFICATION FORM – Complete and return	1
0800	NON-DISCRIMINATION CERTIFICATION	*
0805	NON-SUSPENSION OR DEBARMENT CERTIFICATION	*
0810	NON-COLLUSION, NON-CONFLICT OF INTEREST, AND ANTI-LOBBYING CERTIFICATION	*
0815	LIVING WAGES AND BENEFITS CONTRACTOR CERTIFICATION–Complete and return	1
0835	NONRESIDENT BIDDER PROVISIONS – Complete and return	1

*** Documents are hereby incorporated into this Solicitation by reference, with the same force and effect as if they were incorporated in full text. The full text versions of these Sections are available, on the Internet at the following online address:**

http://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS

If you do not have access to the Internet, you may obtain a copy of these Sections from the City of Austin Purchasing Office located in the Municipal Building, 124 West 8th Street, Room #310 Austin, Texas 78701; phone (512) 974-2500. Please have the Solicitation number available so that the staff can select the proper documents. These documents can be mailed, expressed mailed, or faxed to you.

I agree to abide by the City's MBE/WBE Procurement Program Ordinance and Rules. In cases where the City has established that there are no M/WBE subcontracting goals for a solicitation, I agree that by submitting this offer my firm is completing all the work for the project and not subcontracting any portion. If any service is needed to perform the contract that my firm does not perform with its own workforce or supplies, I agree to contact the Small and Minority Business Resources Department (SMBR) at (512) 974-7600 to obtain a list of MBE and WBE firms available to

perform the service and am including the completed No Goals Utilization Plan with my submittal. This form can be found Under the Standard Bid Document Tab on the Vendor Connection Website:

http://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS

If I am awarded the contract I agree to continue complying with the City's MBE/WBE Procurement Program Ordinance and Rules including contacting SMBR if any subcontracting is later identified.

The undersigned, by his/her signature, represents that he/she is submitting a binding offer and is authorized to bind the respondent to fully comply with the solicitation document contained herein. The Respondent, by submitting and signing below, acknowledges that he/she has received and read the entire document packet sections defined above including all documents incorporated by reference, and agrees to be bound by the terms therein.

Company Name:____

Federal Tax ID No.: ____

Printed Name of Officer or Authorized Representative:_____________________________

Title:____

Signature of Officer or Authorized Representative:________________________________

Email Address : ____

Phone Number : ____

*** Proposal response must be submitted with this Offer sheet to be considered for award**

CITY OF AUSTIN
PURCHASING OFFICE
SUPPLEMENTAL PURCHASE PROVISIONS
RFP SMW0120

The following Supplemental Purchasing Provisions apply to this solicitation:

1. **EXPLANATIONS OR CLARIFICATIONS:** (reference paragraph 5 in Section 0200)

   All requests for explanations or clarifications must be submitted in writing to the Purchasing Office no later than 5:00 pm on March 3, 2014 either via fax at (512) 974-2388 or email at shawn.willett@austintexas.gov.

2. **PRE-PROPOSAL MEETING**

   A pre-proposal meeting will be held on February 21, 2014 at 10:30 AM

   Location: One Texas Center
   505 Barton Springs Road, Room #325
   Austin, Texas 78704

   *This meeting is not mandatory however attendance is strongly suggested

3. **INSURANCE:** Insurance is required for this solicitation.

   A. **General Requirements:** See Section 0300, Standard Purchase Terms and Conditions, paragraph 32, entitled Insurance, for general insurance requirements.

      i. The Contractor shall provide a Certificate of Insurance as verification of coverages required below to the City at the below address prior to contract execution and within 14 calendar days after written request from the City. Failure to provide the required Certificate of Insurance may subject the Offer to disqualification from consideration for award
      ii. The Contractor shall not commence work until the required insurance is obtained and until such insurance has been reviewed by the City. Approval of insurance by the City shall not relieve or decrease the liability of the Contractor hereunder and shall not be construed to be a limitation of liability on the part of the Contractor.
      iii. The Contractor must also forward a Certificate of Insurance to the City whenever a previously identified policy period has expired, or an extension option or holdover period is exercised, as verification of continuing coverage.
      iv. The Certificate of Insurance, and updates, shall be mailed to the following address:

         City of Austin Purchasing Office
         P. O. Box 1088
         Austin, Texas 78767

   B. **Specific Coverage Requirements:** The Contractor shall at a minimum carry insurance in the types and amounts indicated below for the duration of the Contract, including extension options and hold over periods, and during any warranty period. These insurance coverages are required minimums and are not intended to limit the responsibility or liability of the Contractor.

      i. **Worker's Compensation and Employers' Liability Insurance:** Coverage shall be consistent with statutory benefits outlined in the Texas Worker's Compensation Act (Section 401). The minimum policy limits for Employer's Liability are $100,000 bodily injury each accident, $500,000 bodily injury by disease policy limit and $100,000 bodily injury by disease each employee.
         (1) The Contractor's policy shall apply to the State of Texas and include these endorsements in favor of the City of Austin:
            (a) Waiver of Subrogation, Form WC420304, or equivalent coverage

(b) Thirty (30) days Notice of Cancellation, Form WC420601, or equivalent coverage

ii. **Commercial General Liability Insurance:** The minimum bodily injury and property damage per occurrence are $500,000 for coverages A (Bodily Injury and Property Damage) and B (Personal and Advertising Injury).

(1) The policy shall contain the following provisions:

(a) Contractual liability coverage for liability assumed under the Contract and all other Contracts related to the project.

(b) Contractor/Subcontracted Work.

(c) Products/Completed Operations Liability for the duration of the warranty period.

(d) If the project involves digging or drilling provisions must be included that provide Explosion, Collapse, and/or Underground Coverage.

(2) The policy shall also include these endorsements in favor of the City of Austin:

(a) Waiver of Subrogation, Endorsement CG 2404, or equivalent coverage

(b) Thirty (30) days Notice of Cancellation, Endorsement CG 0205, or equivalent coverage

(c) The City of Austin listed as an additional insured, Endorsement CG 2010, or equivalent coverage

iii. **Business Automobile Liability Insurance:** The Contractor shall provide coverage for all owned, non-owned and hired vehicles with a minimum combined single limit of $500,000 per occurrence for bodily injury and property damage. Alternate acceptable limits are $250,000 bodily injury per person, $500,000 bodily injury per occurrence and at least $100,000 property damage liability per accident.

(1) The policy shall include these endorsements in favor of the City of Austin:

(a) Waiver of Subrogation, Endorsement CA0444, or equivalent coverage

(b) Thirty (30) days Notice of Cancellation, Endorsement CA0244, or equivalent coverage

(c) The City of Austin listed as an additional insured, Endorsement CA2048, or equivalent coverage.

iv. **Professional Liability Insurance.** The Contractor shall provide coverage, at a minimum limit of $1,000,000 per claim, to pay on behalf of the assured all sums which the assured shall become legally obligated to pay as damages by reason of any negligent act, error, or omission, or breach of security (including but not limited to any confidential or private information) arising out of the performance of professional services under this Agreement. The required coverage shall extend to technology licensed and/or purchased, including any Software licensed or Hardware purchased under this Contract.

If coverage is written on a claims-made basis, the retroactive date shall be prior to or coincident with the date of the Contract and the certificate of insurance shall state that the coverage is claims-made and indicate the retroactive date. This coverage shall be continuous and will be provided for 24 months following the completion of the contract.

C. **Endorsements:** The specific insurance coverage endorsements specified above, or their equivalents must be provided. In the event that endorsements, which are the equivalent of the required coverage, are proposed to be substituted for the required coverage, copies of the equivalent endorsements must be provided for the City's review and approval.

4. **TERM OF CONTRACT:**

A. The Contract shall be in effect for the initial purchase and implementation and after final acceptance by the City of Austin, may be extended thereafter for up to five additional twelve month periods for maintenance and support, subject to the approval of the Contractor and the City Purchasing Officer or his designee.

B. Upon expiration of the initial term or period of extension, the Contractor agrees to hold over under the terms and conditions of this agreement for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 days unless mutually agreed on in writing).

C. Upon written notice to the Contractor from the City's Purchasing Officer or his designee and acceptance of the Contractor, the term of this contract shall be extended on the same terms and conditions for an additional period as indicated in paragraph A above.

D. Prices are firm and fixed for the first twelve months. Thereafter, price changes are subject to the Economic Price Adjustment provisions of this Contract.

5. **CODE INTEGRITY:** Proposers will warrant that their software does not and will not contain any program routine, device, code or instructions (including any code or instructions provided by third parties) or other undisclosed feature, including, without limitation, a time bomb, virus, software lock, drop-dead device, malicious logic, worm, Trojan horse, bug, error, defect or trap door (including year 2000), that is capable of accessing, modifying, deleting, damaging, disabling, deactivating, interfering with or otherwise harming the City's software, any computers, networks, data or other electronically stored information, or computer programs or systems (collectively, "disabling procedures"). If the solution incorporates into the City's software programs or routines supplied by other Vendors, licensors or contractors, the Proposer shall obtain comparable warranties from such providers or shall take appropriate action to ensure that such programs or routines are free of disabling procedures. Notwithstanding any other limitations in this agreement, the Proposer agrees to notify the City immediately upon discovery of any disabling procedures that are or may be included in the software, and, if disabling procedures are discovered or reasonably suspected to be present in the software, the Proposer agrees to take action immediately, at its own expense, to identify and eradicate such disabling procedures and carry out any recovery necessary to remedy any impact of such disabling procedures.

6. **SOURCE CODE ESCROW AGREEMENT:** At the City of Austin's option, the Contractor's source code shall be placed in escrow deposit with a nationally recognized escrow firm for the benefit of the City of Austin. Escrow deposits by the Contractor shall be kept current with all modifications, releases and fixes throughout the life of the System. Break out this cost separately in your cost proposal.

7. **LOCATIONS:** The work required by this RFP will require the Vendor to perform work and/or visit the following locations:

   One Texas Center - 505 Barton Springs Rd., Austin Texas 78704
   Austin Housing Authority - 1124 Riverside Dr., Austin Texas

   City expects that work related to this RFP will be performed remotely by Vendor and/or On-Site at the locations specified above. All requirements gathering sessions, meetings, prototype sessions, demonstrations, testing will be performed On-Site at City offices in Austin, Texas.

   If Vendor proposes to perform any work remotely that requires access to City network resources, Vendor shall complete City's remote access forms at least 30 days prior to remote access being required.

8. **INVOICES and PAYMENT:** (reference paragraphs 12 and 13 in Section 0300)

A. Invoices shall contain a unique invoice number and the information required in Section 0300, paragraph 12, entitled "Invoices." Invoices received without all required information cannot be processed and will be returned to the vendor.

Invoices shall be mailed to the below address:

	City of Austin
Department	Communications and Technology Management
Attn:	Stacey Wuest
Address	1124 South IH 35, Suite 300
City, State Zip Code	Austin, Texas 78704

B. The Contractor agrees to accept payment by either credit card, check or Electronic Funds Transfer (EFT) for all goods and/or services provided under the Contract. The Contractor shall factor the cost of processing credit card payments into the Offer. There shall be no additional charges, surcharges, or penalties to the City for payments made by credit card.

9. **LIQUIDATED DAMAGES:** Time is of the essence in the performance of the Contract; therefore, the Contractor shall strictly adhere to the Contract delivery schedule. No changes in the delivery schedule shall be effective unless in writing executed by both the City and the Contractor. The parties agree that if, due to no fault of the City, delivery of any material or performance of any service is delayed beyond the time specified in the Contract, the actual damages sustained by the City because of such delay will be uncertain and difficult to determine, and that the reasonable foreseeable damage incurred by the City is hereby stipulated to be $1000 per calendar day. The Contractor therefore agrees to pay, and the City agrees to accept, as liquidated damages, the sum of $1000 per calendar day for each calendar day of delay.

10. **RETAINAGE:** The City will withhold ten percent (10%) retainage until completion of all work required by the Contract. The Contractor's invoice shall indicate the amount due, less the retainage. Upon final acceptance of the work, the Contractor shall submit an invoice for the retainage to the City and payment will be made as specified in the Contract. Payment of the retainage by the City shall not constitute nor be deemed a waiver or release by the City of any of its rights and remedies against the Contractor for recovery of amounts improperly invoiced or for defective, incomplete or non-conforming work under the Contract.

11. **LIVING WAGES**

A. The minimum wage required for any Contractor employee directly assigned to this City Contract is $11.00 per hour, unless Published Wage Rates are included in this solicitation. In addition, the City may stipulate higher wage rates in certain solicitations in order to assure quality and continuity of service.

B. The City requires Contractors submitting Offers on this Contract to provide a certification **(see the Living Wages Contractor Certification included in the Solicitation**) with their Offer certifying that all employees directly assigned to this City Contract will be paid a minimum living wage equal to or greater than $11.00 per hour. The certification shall include a list of all employees directly assigned to providing services under the resultant contract including their name and job title. The list shall be updated and provided to the City as necessary throughout the term of the Contract.

C. The Contractor shall maintain throughout the term of the resultant contract basic employment and wage information for each employee as required by the Fair Labor Standards Act (FLSA).

D. The Contractor shall provide with the first invoice and as requested by the Department's Contract Manager, individual Employee Certifications **(see the Living Wages Employee Certification**

included in the Solicitation) for all employees directly assigned to the contract. Employee Certifications shall be signed by each employee directly assigned to the contract. The Employee Certification form is available on-line at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm.

E. Contractor shall submit employee certifications quarterly with the respective invoice to verify that employees are paid the Living Wage throughout the term of the contract. The quarterly Employee Certification Forms shall be submitted for employees added to the contract and/or to report any employee changes in that quarter. If no changes, submit a Contractor's Certification Form indicating no change.

F. The Department's Contract Manager will periodically review the employee data submitted by the Contractor to verify compliance with this Living Wage provision. The City retains the right to review employee records required in paragraph C above to verify compliance with this provision.

12. **NON-COLLUSION, NON-CONFLICT OF INTEREST, AND ANTI-LOBBYING:**

A. On November 10, 2011, the Austin City Council adopted Ordinance No. 20111110-052 amending Chapter 2.7, Article 6 of the City Code relating to Anti-Lobbying and Procurement. The policy defined in this Code applies to Solicitations for goods and/or services requiring City Council approval under City Charter Article VII, Section 15 (Purchase Procedures). During the No-Contact Period, Offerors or potential Offerors are prohibited from making a representation to anyone other than the Authorized Contact Person in the Solicitation as the contact for questions and comments regarding the Solicitation.

B. If during the No-Contact Period an Offeror makes a representation to anyone other than the Authorized Contact Person for the Solicitation, the Offeror's Offer is disqualified from further consideration except as permitted in the Ordinance.

C. If an Offeror has been disqualified under this article more than two times in a sixty (60) month period, the Purchasing Officer shall debar the Offeror from doing business with the City for a period not to exceed three (3) years, provided the Offeror is given written notice and a hearing in advance of the debarment.

D. The City requires Offerors submitting Offers on this Solicitation to certify that the Offeror has not in any way directly or indirectly made representations to anyone other than the Authorized Contact Person during the No-Contact Period as defined in the Ordinance. The text of the City Ordinance is posted on the Internet at: http://www.ci.austin.tx.us/edims/document.cfm?id=161145

13. **NON-SOLICITATION:**

A. During the term of the Contract, and for a period of six (6) months following termination of the Contract, the Contractor, its affiliate, or its agent shall not hire, employ, or solicit for employment or consulting services, a City employee employed in a technical job classification in a City department that engages or uses the services of a Contractor employee.

B. In the event that a breach of Paragraph A occurs the Contractor shall pay liquidated damages to the City in an amount equal to the greater of: (i) one (1) year of the employee's annual compensation; or (ii) 100 percent of the employee's annual compensation while employed by the City. The Contractor shall reimburse the City for any fees and expenses incurred in the enforcement of this provision.

C. During the term of the Contract, and for a period of six (6) months following termination of the Contract, a department that engages the services of the Contractor or uses the services of a

Contractor employee will not hire a Contractor employee while the employee is performing work under a Contract with the City unless the City first obtains the Contractor's approval.

D. In the event that a breach of Paragraph C occurs, the City shall pay liquidated damages to the Contractor in an amount equal to the greater of: (i) one (1) year of the employee's annual compensation or (ii) 100 percent of the employee's annual compensation while employed by the Contractor.

14. **WORKFORCE SECURITY CLEARANCE AND IDENTIFICATION (ID):**

A. Contractors are required to obtain a certified criminal background report with fingerprinting (referred to as the "report") for all persons performing on the contract, including all Contractor, Subcontractor, and Supplier personnel (for convenience referred to as "Contractor's personnel").

B. The report may be obtained by reporting to one of the below governmental entities, submitting to fingerprinting and requesting the report [requestors may anticipate a two-week delay for State reports and up to a four to six week delay for receipt of a Federal report.].

i. Texas Department of Public Safety for any person currently residing in the State of Texas and having a valid Texas driver's license or photo ID card;
ii. The appropriate governmental agency from either the U.S. state or foreign nation in which the person resides and holds either a valid U.S. state-issued or foreign national driver's license or photo ID card; or
iii. A Federal Agency. A current Federal security clearance obtained from and certified by a Federal agency may be substituted.

C. Contractor shall obtain the reports at least 30 days prior to any onsite work commencement. Contractor also shall attach to each report the project name, Contractor's personnel name(s), current address(es), and a copy of the U.S. state-issued or foreign national driver's license or photo ID card.

D. Contractor shall provide the City a Certified Criminal Background Report affirming that Contractor has conducted required security screening of Contractor's personnel to determine those appropriate for execution of the work and for presence on the City's property. A list of all Contractor Personnel requiring access to the City's site shall be attached to the affidavit.

E. Upon receipt by the City of Contractor's affidavit described in (D) above and the list of the Contractor's personnel, the City will provide each of Contractor's personnel a contractor ID badge that is required for access to City property that shall be worn at all times by Contractor's personnel during the execution of the work.

F. The City reserves the right to deny an ID badge to any Contractor personnel for reasonable cause, including failure of a Criminal History background check. The City will notify the Contractor of any such denial no more than twenty (20) days after receipt of the Contractor's reports. Where denial of access by a particular person may cause the Contractor to be unable to perform any portion of the work of the contract, the Contractor shall so notify the City's Contract Manager, in writing, within ten (10) calendar days of the receipt of notification of denial.

G. Contractor's personnel will be required to wear the ID badge at all times while on the work site. Failure to wear or produce the ID badge may be cause for removal of an individual from the work site, without regard to Contractor's schedule. Lost ID badges shall be reported to the City's Contract Manager. Contractor shall reimburse the City for all costs incurred in providing additional ID badges to Contractor Personnel.

H. ID badges to enter and/or work on the City property may be revoked by the City at any time. ID badges must be returned to the City at the time of project completion and acceptance or upon removal of an individual from the work site.

I. Contractor is not required to obtain reports for delivery personnel, including but not limited to FedEx, UPS, Roadway, or other materials delivery persons, however all delivery personnel must present company/employer-issued photo ID and be accompanied by at least one of Contractor's personnel at all times while at the work site.

J. The Contractor shall retain the reports and make them available for audit by the City during regular business hours (reference paragraph 17 in Section 0300, entitled Right to Audit).

15. **MONTHLY SUBCONTRACT AWARDS AND EXPENDITURES REPORT:** (reference paragraph 18 in Section 0300)

A. The Contractor must submit a monthly Subcontract Awards and Expenditures Report to the Contract Manager specified herein and to the Purchasing Office Contract Compliance Manager no later than the tenth calendar day of each month.

B. Mail the Purchasing Office Copy of the report to the following address:

City of Austin
Purchasing Office
Attn: Contract Compliance Manager
P. O. Box 1088
Austin, Texas 78767

16. **ECONOMIC PRICE ADJUSTMENT:**

A. **Price Adjustments:** Prices shown in this Contract for maintenance and support and hourly wages shall remain firm for the first twelve month option period of the Contract. After that, in recognition of the potential for fluctuation of the Contractor's cost, a price adjustment (increase or decrease) may be requested by either the City or the Contractor on the anniversary date of the Contract or as may otherwise be specified herein. The percentage change between the contract price and the requested price shall not exceed the percentage change between the specified index in effect on the date the solicitation closed and the most recent, non-preliminary data at the time the price adjustment is requested. The requested price adjustment shall not exceed five percent (5%) for any single line item and in no event shall the total amount of the contract be automatically adjusted as a result of the change in one or more line items made pursuant to this provision. Prices for products or services unaffected by verifiable cost trends shall not be subject to adjustment.

B. **Effective Date:** Approved price adjustments will go into effect on the first day of the upcoming renewal period or anniversary date of contract award and remain in effect until contract expiration unless changed by subsequent amendment.

C. **Adjustments:** A request for price adjustment must be made in writing and submitted to the other Party prior to the yearly anniversary date of the Contract; adjustments may only be considered at that time unless otherwise specified herein. Requested adjustments must be solely for the purpose of accommodating changes in the Contractor's direct costs. Contractor shall provide an updated price listing once agreed to adjustment(s) have been approved by the parties.

D. **Indexes:** In most cases an index from the Bureau of Labor Standards (BLS) will be utilized; however, if there is more appropriate, industry recognized standard then that index may be selected.

i. The following definitions apply:
   (1) **Base Period:** Month and year of the original contracted price (the solicitation close date).
   (2) **Base Price:** Initial price quoted, proposed and/or contracted per unit of measure.
   (3) **Adjusted Price:** Base Price after it has been adjusted in accordance with the applicable index change and instructions provided.
   (4) **Change Factor:** The multiplier utilized to adjust the Base Price to the Adjusted Price.
   (5) **Weight %:** The percent of the Base Price subject to adjustment based on an index change.

ii. **Adjustment-Request Review:** Each adjustment-request received will be reviewed and compared to changes in the index(es) identified below. Where applicable:

   (1) Utilize final Compilation data instead of Preliminary data
   (2) If the referenced index is no longer available shift up to the next higher category index.

iii. **Index Identification:**

Weight % or $ of Base Price: 100%	
Database Name: Producer Price Index	
Series ID: WPU34	
X Not Seasonally Adjusted	☐ Seasonally Adjusted
Group: Software Publishing	
Item: Software Publishing Base Date : 200906	
This Index shall apply to the following items of the Bid Sheet / Cost Proposal: Maintenance Fees/Hourly rates	

E. **Calculation:** Price adjustment will be calculated as follows:

Single Index: Adjust the Base Price by the same factor calculated for the index change.

Index at time of calculation
Divided by index on solicitation close date
Equals Change Factor
Multiplied by the Base Rate
Equals the Adjusted Price

F. If the requested adjustment is not supported by the referenced index, the City, as its sole discretion, may consider approving an adjustment on fully documented market increases.

17. **INTERLOCAL PURCHASING AGREEMENTS:**

A. The City has entered into Interlocal Purchasing Agreements with other governmental entities, pursuant to the Interlocal Cooperation Act, Chapter 791 of the Texas Government Code. The Contractor agrees to offer the same prices and terms and conditions to other eligible governmental agencies that have an interlocal agreement with the City.

B. The City does not accept any responsibility or liability for the purchases by other governmental agencies through an interlocal cooperative agreement.

18. **CONTRACT MANAGER:** The following person is designated as Contract Manager, and will act as the contact point between the City and the Contractor during the term of the Contract:

Stacey Wuest

IT Project Manager

(512) 974-2584

*Note: The above listed Contract Manager is not the authorized Contact Person for purposes of the **NON-COLLUSION, NON-CONFLICT OF INTEREST, AND ANTI-LOBBYING Provision** of this Section; and therefore, contact with the Contract Manager is prohibited during the no contact period.

0500 SCOPE OF WORK TABLE OF CONTENTS

1.0 INTRODUCTION

1.1 Purpose of Request for Proposal

The City of Austin, Planning and Development Review Department (PDRD), invites sealed proposals for the purchase of Electronic Plan Review Solution (EPRS) including software licensing and implementation services for in accordance with the specifications and provisions contained herein.

The objective is to secure a world class solution that enables customers to upload plans and supporting documents through a secure channel, pay any associated fees, and enable staff to review, markup and manage submitted documentation electronically. At the end of the process, the final plans would be archived and saved for future reference by customers and staff. The City prefers that the solution offered by the proposing party support and integrate with record retention guidelines, permitting/case management systems and portals, content management systems, geospatial systems and public facing web sites. The solution should also operate as a standalone tool, independent of one or all system integrations.

All plans would be processed electronically for required and suggested changes to meet engineering, technical, and City code specifications. The EPRS would manage version control independently or as an integrated component of the City's Electronic Document and Information Management System (EDIMS). The EPRS would enforce security roles to ensure access to documents is limited to appropriate users. The EPRS could be used as a standalone system and/or seamlessly interface with the case management system to support business processes.

The purpose of this RFP is to procure a solution either hosted and managed by the City or by the selected Vendor. The winning Proposer will provide the software application, training, and successful configuration and implementation of the solution.

1.2 Business Goals

Internal Business Goals (City Facing):

- Reduce the space required to store, recycle or archive (on and offsite) paper copies of site/building plans
- Reduce the need for staff to physically manage paper copies of site/building plans
- Improve communication between and amongst reviewers and case managers, who may be in different departments in various locations
- Reduce the cycle time and/or number of cycles to submit and review plans
- Efficient collaboration, scalability and accessibility by multiple City departments and external partners
- Minimize costs for maintaining and configuring the system over the long term as new and changing requirements emerge

External Business Goals (Citizen Facing):

- Ability to "Be Green" by interacting with City departments remotely
- Ability for applicants to securely and electronically submit plans in association with a permit and/or plan review application and pay online for plan review and/or permitting services
- Improve communication between applicant and City staff
- Reduce the cycle time and/or number of cycles to submit and review plans

2.0 DESCRIPTION OF CURRENT STATE

2.1 Current Business Process and Environment

Organizational Structure and Geography: PDRD's Land Use Review (LUR) division is responsible for the intake, tracking, and review process of site and subdivision plans. Review tasks are typically completed in an office environment. Reviewers are spread across multiple City building locations, although a majority reside at One Texas Center (OTC) as part of the cross functional "One Stop Shop (OSS)". Some reviewers conduct site visits and are currently using paper in the field to complete their tasks.

Key Stakeholders and Users: Key stakeholders impacted by a shift from paper to electronic based site and subdivision plan review include builders, reviewers across City departments*, PDRD Inspections, the Development Assistance Center (DAC) at OTC, and PDRD management. External stakeholders include county government, school districts, local businesses, citizens and professional associations.

> **Departments of the plan review process include PDRD, Austin Energy (AE), Parks and Recreation (PARD), Fire (AFD), Transportation (ATD), Austin Water (AWU), Health and Human Services (HHSD), Public Works (PWD) and the Watershed Department (WPD).*

See Appendix B for a description of the primary roles which expect to be impacted by the EPRS.

Current Business Process: Applicants schedule appointments with LUR Intake at One Texas Center (OTC) to submit their application, initial set of plans, documentation and pay a review deposit fee. Submitted plans go through a cursory "Completeness Check" paper based review process by multiple disciplines. If approved, applicants schedule a formal submittal appointment to submit numerous copies of plan sets, resubmit any updated documents and pay the estimated review fee. Plans go through a complicated routing process to the different disciplines such as structural engineering, traffic, and fire. PDRD staff is responsible for making sure each plan is reviewed and approved by the authority of each pertinent discipline. Depending on complexity of the plans they may be routed to different review staff prior to completing the review cycle.

See Appendix A for the paper –based end-to-end business workflow.

In the last five years, PDR plan review case load has increased by approximately 1,000 cases per year. In FY2013, PDR processed approximately 14,000 plan review cases and issued over 63,000 permits. PDR plan review case types include Subdivision, Subdivision Joint City/County, Site Plan, Zoning, Commercial and Residential.

2.2 Current System Environment

Case Management: PDRD currently uses AMANDA v4/v5/v6 as the system of record for most core business functions. There are approximately 400+ active, and 500+ read only users. It is relied on heavily by PDRD and other departments for business workflow and data reporting. All staffing assignments, plan review statuses, review comments, permitting, legal data, holds, flags, Certification of Occupancy, historic data and payment information are managed using the AMANDA system.

Document Management: Applications and final plan sets are currently scanned and stored electronically in a network shared drive. As part of the site plan and subdivision workflow, applicants submit electronic files via thumb drive to Intake staff. All files are linked to the applicable case within AMANDA. The business goal is to integrate AMANDA with the City's electronic document management system. Paper files are currently archived offsite.

GIS: Most PDRD reviews rely on GIS information. The Communications and Technology Management (CTM) department provides addresses and creates polygons for subdivision, site plan, and zoning cases. Other City departments produce elements such as service area boundaries, watershed boundaries, etc. Staff are using ArcGIS desktop, and two internally developed web maps (Jurisdiction and Development). The business goal is to reduce the use of ArcGIS Desktop in favor of the web maps and specialty maps in ArcGIS Online. AMANDA uses GIS data to autofill some data points, and Reviewers use GIS as an important source of information during the review process.

Merchant Processor: Chase Bank, N.A. is the citywide bank for the City of Austin. Chase Paymentech interfaces between PayConnexion and the card holders' bank to facilitate credit card transactions.

Web Portal: AMANDA Portal I is available from the City's website to authenticated users doing business with the City. Users (primarily contractors or their designated agents) can look up permit details, request inspections, view inspection status, review escrow account balances, and self-assign trade permits to active building permits. The City is currently upgrading to AMANDA Portal II and is planning to expand functionality online, including the ability to apply for permits and pay for services via credit card.

Website: There are approximately 100 applications available online. About 20% are fillable and printable. The remainder are printed and manually completed, and must be scanned for transmission via email. The PDR website contains a substantial amount of information for the public and is currently being re-organized and indexed.

3.0 PROJECT SCOPE

3.1 Summary

The Vendor's proposal should include an explanation of all services and products necessary to implement a customer centric system that meets the business objectives and conforms to the requirements and constraints as described in this RFP including, but not limited to:

- Project management
- World class /best practice process use cases
- Definitions of roles, responsibilities, and skillsets required to implement and maintain solution
- Architecture assessment, capacity planning and recommendations
- Software licensing
- Hardware recommendations
- Development, Test and Production environments
- Solution customization and configuration
- Technical Design documentation
- Integration with City enterprise systems as appropriate
- Test Plan and testing
- Performance testing and tuning
- Defect resolution
- User acceptance testing support
- Implementation and stabilization
- Maintenance and support
- Training
- Knowledge transfer
- Product documentation
- Disaster Recovery plan
- Archiving and records retention procedures
- Change management processes

The EPRS must be implemented in phases. The successful Proposer will be responsible for the implementation process for both phases. Phase one will encompass Site Plan and Subdivision Review processes; Phase two will address Zoning, Commercial and Residential review processes. The City prefers solutions that are innovative, world class, and employ supportable industry best practices and tools. Additional expansion is anticipated across City departments for other review processes.

Vendors that have a mature set of configurable features are preferred. The City prefers solutions that can meet all objectives and requirements while minimizing the number of integration points. However, Vendor solution should be scalable and includes a robust set of APIs to support any needed systems integration (preferably through IBM Integration Bus (IIB)) required to meet solution objectives. Potential integrations could include, but not limited to:

- Permitting and case management tool (currently AMANDA)
- Portal accessible by authenticated users doing business with the City (currently AMANDA Portal)

- Chase PayConnexions for online payment processing
- OpenText eDocs electronic document and information management system (EDIMS)

The Buyer will provide network infrastructure and facilities to support the solution (unless Vendor hosted). The Vendor must furnish and install a fully functional system that meets the objectives specified in a negotiated contract. Buyer and Vendor responsibilities are noted below. The final contract will dictate specifics of the Scope of Work (SOW) for both Buyer and Vendor.

3.2 Vendor's Responsibilities

The Vendor will be responsible for all set-up, configuration and testing of the solution to meet the needs of the City's functional and technical requirements as described in this RFP. The Vendor will review existing use case models and identify suggested improvements or process changes based on industry standards that would allow implementing the software with standard configuration.

The Vendor will be responsible for designing, configuring, constructing and testing all interfaces between systems. Upon the completion of each interface, the Vendor will provide the City with documented dependencies between the systems along with specific guidelines for maintaining connectivity and up time.

The Vendor shall:

1. Submit a detailed statement of work prior to proceeding with system implementation. The statement of work will outline each phase of the implementation process through post go-live support. Provide clearly defined payment milestones with associated deliverables and acceptance criteria for each. The statement of work must be approved and signed by the City of Austin project sponsor prior to beginning the system implementation.
2. Provide a project manager that will report to the designated project manager of the City of Austin. The Vendor's project manager will be the point of contact for all communication with the system provider and be responsible for updating/communicating scheduling issues, change requests and risk assessments.
3. Develop and maintain a project schedule for the duration of the project. The schedule must be submitted with the statement of work and must be approved by the City of Austin project sponsor. The schedule will include detailed steps of the project through post go-live support. Milestones and project risks should be outlined in the schedule.
4. Review existing use case models and identify suggested improvements or process changes based on industry standards that would allow implementing the software with standard configuration.
5. Assist the City in determining standardized reporting needs and lead the development/configuration of the reports necessary to support business functions as determined by the Planning and Development Review Department.
6. Install any software necessary to support design, configuration, and testing. Vendor's personnel that will be responsible for installing the software must have the appropriate certifications.
7. Plan, lead and staff data mapping and application programming efforts associated with integrating the EPRS with existing City systems.
8. Recommend to City system specifications required to perform the Services requested in this RFP in a virtualized environment. Vendor shall provide a recommended system sizing and architecture that considers:
    - Initial system for configuration, design, and development;

- System for testing in a production equivalent environment;
- Automated processes for migrating configurations and appropriate data from one environment to another, e.g. from development to test and to test to production; and
- Complete system sizing and architecture to address environment for release updates, training, development, testing and production with the test and production environments being equivalent or practically equivalent for testing purposes

9. Assess City's WAN and LAN capacity as it relates to the implementation of the EPRS and make specific recommendations concerning any needed upgrades. In conducting its assessment, Vendor must provide average per session bandwidth requirements which shall be calculated and provided to the City so that network bandwidth requirements may be determined. Example: 100Kbps per session; therefore 25 users require 2,500Kbps.
10. Recommend and perform performance tuning of databases, application servers, web servers, and other software and devices deployed as part of the proposed solution. This includes batch and online software tuning, as well as data conversion software tuning, upgrade script tuning, server tuning, database tuning, and any tuning required as a result of Load and Stress Test results or deployment methodology.
11. Provide detailed architecture diagrams depicting the components of the solution, an entity relationship diagram (ERD) and data dictionary that clearly describe integration points between the Vendor system and City applications.
12. Conduct unit, system, integration, performance, security, disaster recovery and regression testing. Take corrective actions on problems identified during testing.
13. Provide testing support to assist the City to define and meet the Requirements and provide recommendations for testing.
14. Provide comprehensive training, including but not limited to system administration, system configuration, plan review processes, workflow, report writing, and any other process necessary to effectively administer and utilize the system. The contractor provided training material must be specific to the City of Austin and illustrate Austin scenarios. Materials will be provided in hard copy format for classroom training sessions and soft copy format for future reproduction and/or modification by the City of Austin. All training material becomes the property of City of Austin for future implementation phases.
15. Rectify any deficiencies noted by the Communications and Technology Management (CTM) Security Officer prior to system operation.
16. Provide comprehensive post-implementation support, including any recommendations for system stabilization, for a period of ninety (90) days after production turnover is complete and stable, live use of the EPRS has commenced. The system shall meet agreed upon service levels during the Deployment and Go Live support phase.
17. Capacity planning with an assessment of the sizing of production infrastructure hardware and systems software.
18. Specify disk-sizing requirements for databases, code, and any necessary work areas and temporary storage for at least ten (10) years of online data storage.
19. Demonstrate that the configured software meets the project requirements so that City may review and approve it.

3.3 City of Austin's Responsibilities

The City's personnel will be responsible for connecting the selected Vendor to appropriate resources within the various City departments in order to implement the solution. The City's project team will be comprised of a project manager, as well as technical and functional resources from the City's Planning and Development Review department (PDRD), Communications and Technology Department (CTM), and other individual departments as necessary.

The City will provide the following:

- Project prioritization and scheduling with the selected Vendor's project manager
- Access to office sites during normal business hours, based on approved Criminal Background Investigation and formal badging process.
- Related documentation and/or access to appropriate technical resources
- Issue identification, prioritization, communication to Vendor support staff
- Scheduling and coordinating of regular project team meetings and work sessions as needed
- Office space for Vendor project management or technical resource staff, if needed
- Facilities, including telephones, personal computer hookups, and access to copy and fax machines
- Facilities for all meetings, work sessions, and training classes, including any necessary audio-visual equipment
- Conduct acceptance testing with assistance, if necessary, by Vendor
- Review and approval of milestones, deliverables, status reports and invoices

4.0 TECHNICAL REQUIREMENTS

Req#	Requirement Description	Required Response
4.1	**System Administration Model:** System should be managed with minimal City resources and/or support decentralized, role based administration.	Provide detailed staffing requirement chart indicating positions and skill level necessary to support the system post go-live. Include daily time commitment of each staff member. Describe how/if the proposed system can be utilized and administered by multiple departments independently.
4.2	**System Upgrades:** The system should maintain the integrity of data at all times including implementation of changes.	Describe how system upgrades or patches impact any customized code, configurations or data (including archived data). Describe technical infrastructure configuration and change management methodology activities, procedures, tools and templates. Describe how system upgrades or patch changes are documented and communicated.
4.3	**Configuration Management:** Solution should be configuration oriented and include procedures/tools for ensuring the integrity of programs and configuration settings.	Describe how system configuration changes would be documented and controlled in all environments (Development, Testing, Production, Disaster Recovery, etc.).

4.4	**Solution Scalability:** The solution should be scalable for future growth.	Provide the number of concurrent users the proposed system can support, and explain the software and hardware changes required to allow growth. Include the licensing structure and the cost levels.
4.5	**Recovery Plan:** The Vendor should provide (and maintain, if Vendor hosted) a recovery test plan and recovery test procedures that result in a full recovery of the system and data following full and partial system failures.	Provide a copy of your recovery test plan and procedures, and provide documentation of periodic tests performed. Specify, where possible, the Recovery Point Objectives (RPO) and Recovery Time Objectives (RTO) supported by the proposed solution and the proposed outage notification process and tools used.
4.6	**Performance:** The proposed system should be capable of meeting service performance targets by modifying, adding capacity, increasing bandwidth, etc.	Explain expected performance of the proposed system components and how the system may be modified to meet expected performance with expanded or long term use. Provide any file size restrictions or recommendations.
4.7	**Availability:** The proposed solution shall be capable of providing 99.9% uptime if the City chooses to require it. This level of availability may be directly supported by the proposed solution, or may use third-party tools and methods to achieve 99.9% uptime.	If the proposed solution provides high availability level of service, specify the components required (such as Oracle RAC or Data Guard), and indicate if such components are included in the proposal. Indicate the Availability metric proposed based on the City's objectives.
4.8	**Security Auditing:** The system shall provide the ability to log, based on user-defined criteria, each authorized and/or unauthorized access attempt. Log information includes, but is not limited to, user identification, IP address, date, time, transaction type, and type of access (e.g. read, modify).	Describe how the proposed system provides for monitoring and auditing of transactions for confidentiality and integrity. Indicate the format in which the logs are stored. Provide a sample report/set of log entries.
4.9	**Security Monitoring:** System access shall be able to be monitored regularly to thwart attempts at unauthorized access and to confirm that access control standards are effective.	Describe how authorized users monitor (in near real-time) and report on activities performed by or to a particular user, group, application, device, or file.
4.10	**Interfaces/Integration:** Solution shall be able to operate separately or interface/integrate with one or more systems.*	Describe how the recommended solution will interface/integrate with existing systems and how the solution will be open and flexible enough to interface/integrate with systems (including SaaS) in the reasonably foreseeable future. Include any exceptions or limitations, explanation of real-time or near real-time data interchanges, and how data is

		made available to other modules or external applications.
4.11	**Technical and Solution Architecture:** The system must conform to the City's Technical Reference Model and Standards. Refer to Appendix D.	Provide a detailed system architecture drawing that fully describes the technical environment envisioned for the City in order to achieve its stated objectives. Describe any deviations or gaps between the City's technical specifications and the proposed solution. Identify any technical standard that is not supported by the proposed solution. Highlight any licenses that may be required (ex: Oracle clients).
4.12	**Plan Review Workstations:** The plan review process can be conducted while simultaneously running other business applications such as email, word processing, spreadsheet and permitting tools without system degradation or performance issues due to memory, CPU or video card capabilities.	Describe the preferred workstations specifications to effectively complete the plan review process while running other business applications without system degradation or performance issues.
4.13	**Record Management:** The system shall provide the ability to maintain and enforce the City record retention policy.	Describe how the system enables the City to purge or archive data in compliance with retention policies, while ensuring data integrity is intact.
4.14	**File Management:** The solution shall provide the ability to organize and retrieve electronic files.	Describe how the solution enables users to manage, organize, search, retrieve and download electronic files. List the file types fully supported by the proposed solution.
4.15	**Mobile Compatibility:** The system shall be compatible with multiple mobile operating systems, devices and touch screen devices.	Describe any special features and/or limitations of the system with regard to use on multiple operating systems, devices or touch screen devices.
4.16	**Collaboration Compatibility:** The system shall be compatible with collaboration tools such as Adobe Connect or SharePoint.	Describe any special features and/or limitations of the system with regard to its use in conjunction with collaboration tools. Describe collaboration features, if any, included in the proposed solution.
4.17	**User Management:** The system shall provide role-based security access to constrain features and functions based on business role.	Describe supported authentication models, including user account creation and management. Describe how user roles are managed in both integrated and non-integrated environments.
4.18	**Reports:** The system shall provide status and trending reports to analyze and facilitate workload management, performance measurement and resource	Describe the reports and/or dashboards available as part of the proposed solution and the intended value of each.

	allocation.	
4.19	**Workflow Use and Configuration:** Implementation of workflow is an optional feature of the solution. The City prefers solutions that do not duplicate functionality of existing systems. Workflow configuration tables are easily created/modified using a GUI process and do not require programming or scripting to maintain.	If the solution includes a workflow component, describe how the workflows are configured as both a standalone tool or as part of an integrated environment with a permitting system which also manages workflow.
4.20	**User Help:** The system shall provide online, interactive help.	Describe how end users are supported with online, interactive help features in the system. Highlight ways in which the help feature can be configured or customized for organization specific needs.
4.21	**System Monitoring:** The system shall provide the ability to monitor, track and log system uptime and transaction response times in order to provide information for SLA monitoring.	Describe how the proposed solution will be monitored to meet Service Level agreements or objectives.

*The Proposer is responsible for carefully reading and recognizing any Functional requirement which (viewed in light of the Proposer's system capabilities) will require an interface. It is critical that prospective Proposers demonstrate an understanding of the general nature of the interface requirements and make a good faith attempt to account for and describe the planned approach to accomplish the task.

5.0 FUNCTIONAL REQUIREMENTS

The following specification provides a holistic picture of the City of Austin's process to Perform Regulatory Review of specifications and design submittals requiring city regulatory review prior to implementation. Figure 1 provides an overview of the participating roles and Figure 2 provides an overview of the process. Each activity on Figure 2 has a corresponding sequence diagram providing an interface description of the process and an adjoining table providing a description of the user experience for each interface.

The sequence diagrams employ the Unified Modeling Language (UML) 2.0 to capture the process and certain business rules such as opt (for optional) and loop (for reoccurring patterns of usage). Each opt or loop contain a guard condition such as [while performing intake] indicate the condition of the process to execute the function (UML message).

Use Case Specification for Perform Regulatory Review

The following content describes the desired city process and functions of the system desired for an optimal process to perform regulatory review of electronic document submittals.

Precondition: A Submittal Applicant is prepared to create and/or maintain information related to design documentation requiring regulatory review, comment, and approval by identified city staff. It is also presumed the Submittal Applicant is already logged into the system using approved identity techniques.

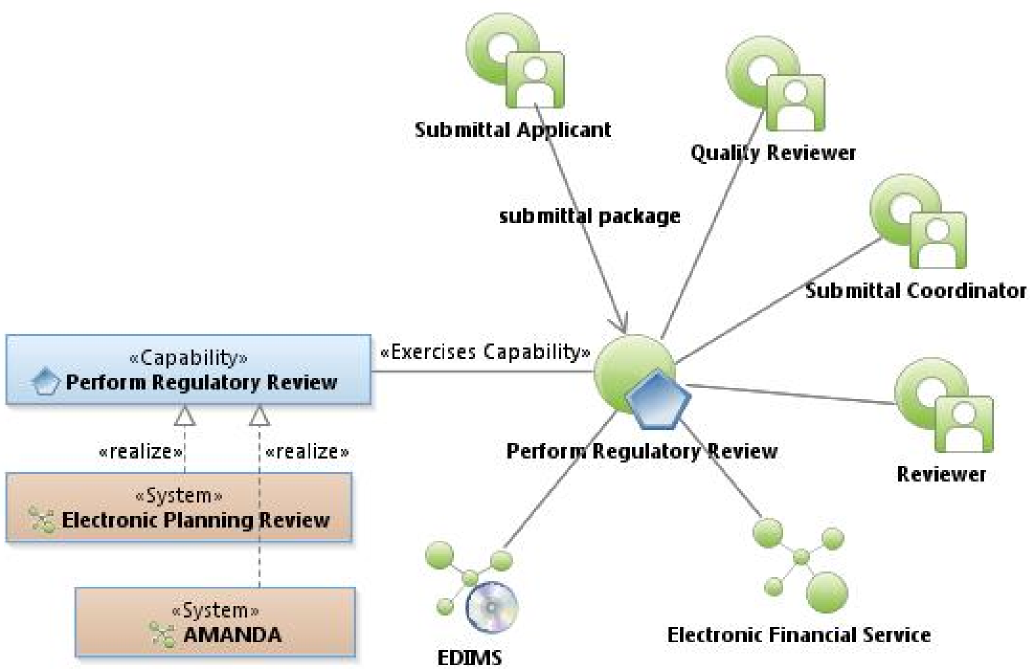


Figure 1: Use Case Diagram - Perform Regulatory Review

Table 1: Role Definitions

Role Name	Description
Submittal Applicant	Anyone required electronically to communicate project information and/or designing related elements to appropriate city staff requiring regulatory review and approval prior to build.
Quality Reviewer	Appropriate city staff member identified to quality review Submittal Package information to ensure completeness prior to formal review.
Submittal Coordinator	Coordinates the review process to ensure appropriate staff review and provide feedback on Submittal Package elements – also responsible for final approval.
Reviewer	Reviews for area of responsibility and comment (i.e., constructability, code compliance, program elements, cost estimate, etc.).
Electronic Financial Service	City of Austin's approved financial service provider to process online financial transactions such as credit cards, automated clearing house (ACH), debit card, etc. - currently, Chase Paymentech/PayConnexions.
EDIMS	City of Austin's enterprise document and imaging management system (EDIMS).

See Appendix B for further contextual information for each user role.

Use Case Scope

The Submittal Applicant inputs information and documents representing a Submittal Package and processes a Remittance with the city approved Electronic Financial Service provider if required. The Submittal Package is reviewed by a Quality Reviewer for acceptance or rejection for non-compliance and subsequent resubmission. Accepted Submittal Packages are added to a Group Review Queue managed by a Submittal Coordinator. The system provides a means to manage the Group Review Queue and provides feedback to the Submittal Applicant based on Reviewer comments until Submittal Package approval.

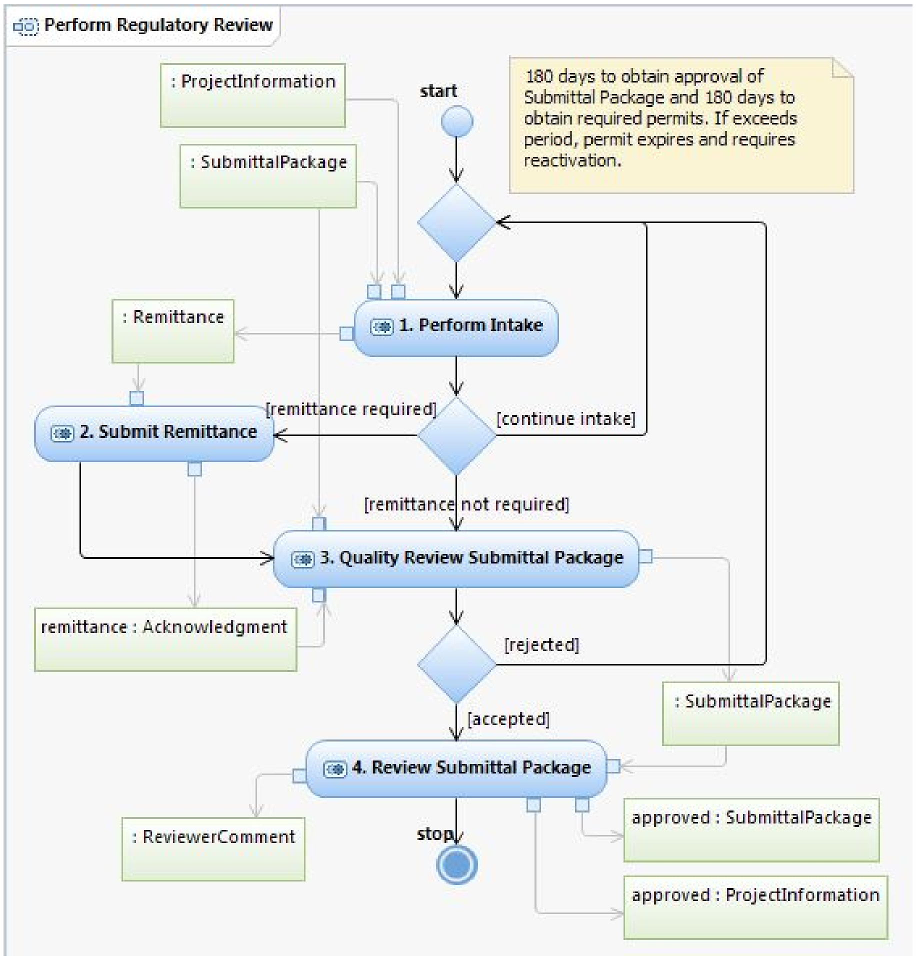


Figure 2: Perform Regulatory Review - Interaction Overview

5.1 1. Perform Intake

The Submittal Applicant inputs information and documents that represent a Submittal Package. For certain types of Submittal Packages, there's a fee required. The system provides a method for the Submittal Applicant to research related geographical information. Based on address information entered, the system automatically establishes geographical references. Because a Submittal Applicant might intake more than one submittal during any given session, Remittance (fees) are stored in a Remittance Queue until the Submittal Applicant session ends.

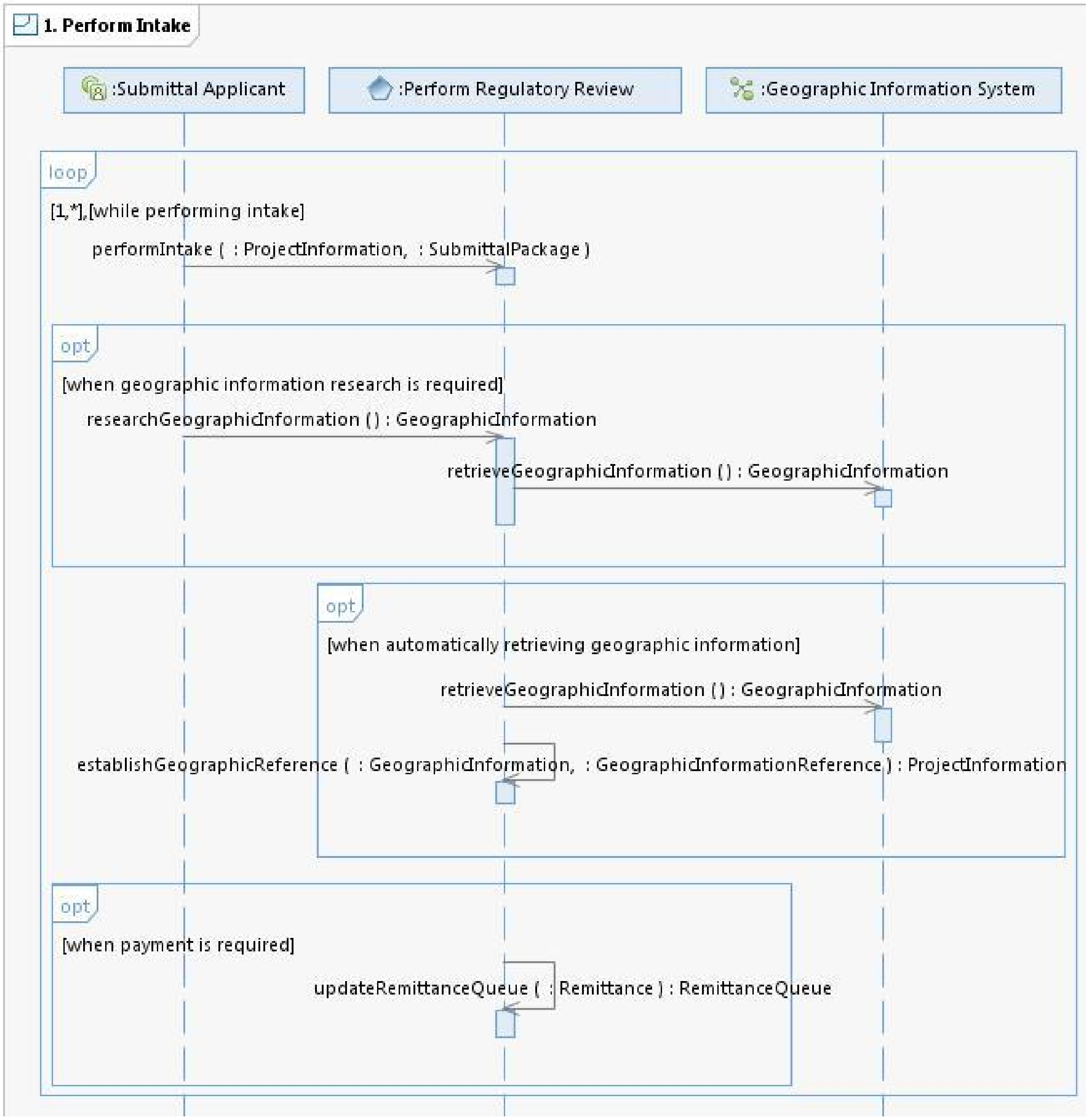


Figure 3: UML Sequence Diagram - 1. Perform Intake

Table 2: Interface Descriptions - 1. Perform Intake

Req #	Description	Required Response
Perform Regulatory Review/ performIntake		
5.1	The Submittal Applicant uses the system to complete a Web-based application form to setup Project Information and securely sign submittal. The system guides the Submittal Applicant through a series of questions leading to the correct application to complete. The Submittal Applicant can revisit the intake application during multiple sessions before its completion	It is anticipated that the city's case management system (AMANDA) will perform intake. However, the city

	and save each session prior to submittal. In addition, the Submittal Applicant can provide updated Project Information throughout the approval process; however, the system locks Project Information during the review cycle, which can be released (unlocked) at Submittal Coordinator discretion when required to allow for Submittal Applicant updates. The system provides the ability to withdraw a project submittal as well. Based on location values identified on the application form, location-based information automatically populates relevant form elements. The form contains selectable attributes to identify mechanical, electrical, plumbing, building, driveway, sidewalk, etc. to predetermine initial permit requirements, which can be adjusted during quality review or in the Obtain Permit use case - the application must accommodate multiple structures. The system provides a method to attach relevant design documents and other pertinent Submittal Package items. These required attachments are indicated to the Submittal Applicant on the Web-based form. Each required attached line item provides the ability to browse and upload the file and ensures all required attachments to include approved document format (such as PDF). The required items must be indicated depending on submittal type - required items for any given submittal type must be changeable by approved city staff.	recognizes a direct relationship between the intake documentation and a well-managed workflow for regulatory review. Explain the relationship between intake documentation and how it relates to the proposed design/markup tool.
Perform Regulatory Review/ researchGeographicInformation		
5.2	The system provides the ability to perform geographic information research using city owned Geographic Information System (GIS) information. These features include the ability to overlay plan sheet with one or more GIS layers. The system provides the ability to compare a known list of features in GIS to the Submittal Package plan. These features should include zoning, watershed, and other relevant planning and review information about adjacent properties. When various fragmented pages are stitched in continuous form providing an overall construction footprint, provide ability to overlay footprint on GIS view for GIS administrators to create GIS polygon overlay. This information helps conduct the review in the context of the permitted/build environment. Referenced sources are not required to be included as markup back to Submittal Applicant.	Identify the relationship between the proposed solution and how we might use it to overlay or compare against GIS information *as it relates to the intake process.*
Geographic Information System/ retrieveGeographicInformation		
5.3	For certain intake items, the system uses city available Geographic Information System to retrieve and populate Project Information. Can be used to explore and/or research the Geographical Information System.	We believe this function is out of scope. However, the Vendor may provide additional insight as it relates to the recommended solution.
Perform Regulatory Review/ establishGeographicReference		
5.4	When geographic information is retrieved from the Geographic Information System, the system creates a Geographic Information Reference and stores it with the Project Information for future reference.	Out of scope – provided for completeness.
Perform Regulatory Review/ updateRemittanceQueue		
5.5	Depending on the type of submittal, there may be fees required during	Out of scope – provided

	intake. The system adds the required fee to a Remittance Queue for close out processing based on the submittal type. City staff must be able to change the submittal type attributes, which automatically changes the associated fee. The associated fees must be configurable by approved city staff.	for completeness.

5.2 2. Submit Remittance

The system presents a list of fees (fee breakdown) associated with their related Submittal Package and provides selection to pay Remittance. The system processes the Remittance with a city approved Electronic Financial Service provider.

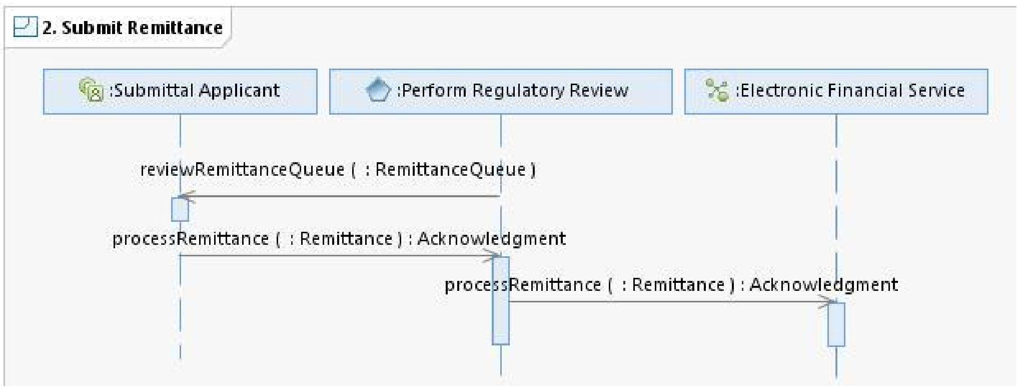


Figure 4: UML Sequence Diagram - 2. Submit Remittance

Table 3: Interface Descriptions - 2. Submit Remittance

Req #	Description	Required Response
Submittal Applicant/ reviewRemittanceQueue		
5.6	When all intake items are complete, the Submittal Applicant is presented with a Remittance Queue listing all Submittal Package(s) ready for submission and the processing fee (completeness check fee) and provides indication of the total fees required and nonrefundable fee indication. The system provides accepted indication of review time start. The system provides ability to adjust fee tables and approved staff may over ride table items - the system records staff that made the override.	Out of scope – provided for completeness.
Perform Regulatory Review/ processRemittance		
5.7	The Submittal Applicant selects to pay required Remittance via electronic form of payment such as credit or debit card. When successfully transacted, the Submittal Applicant receives an Acknowledgment of successful payment.	Out of scope – provided for completeness.
Electronic Financial Service/ processRemittance		
5.8	The system provides an interface to city approved financial vendor to process online electronic transactions.	Out of scope – provided for completeness.

5.3 3. Quality Review Submittal Package

The system provides a list of new or updated Submittal Packages for review by the Quality Reviewer. The Quality Reviewer reviews the Submittal Package and either rejects or accepts the Submittal Package. If accepted, the system adds the Submittal Package to a Group Review Queue and includes the Project Information in Issue Permits system for future permit requirements update, requests and issuance. No matter the state of the Submittal Package, the Submittal Applicant is notified of the status of the submittal to include indications why the Submittal Package was rejected for correction and resubmission.

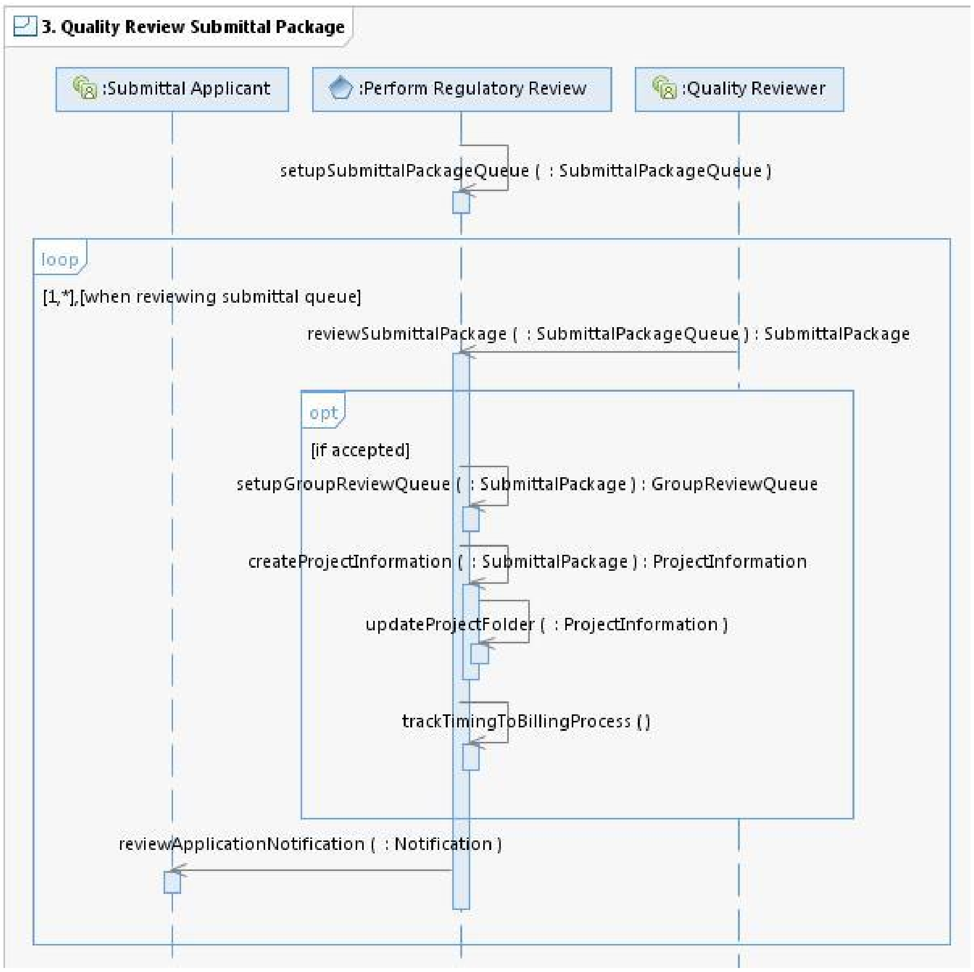


Figure 5: UML Sequence Diagram - 3. Quality Review Submittal Package

Table 4: Interface Descriptions – 3. Quality Review Submittal Package

Req #	Description	Required Response
Perform Regulatory Review/ setupSubmittalPackageQueue		
5.9	Once Acknowledgment is received by the Electronic Financial Service (if required), the system places the submittal into a Submittal Package Queue for review by the Quality Reviewer.	The city recognizes that some solutions may include a workflow queue as part of their offering.

		Even if the offering does not include workflow queuing, please explain how files are managed throughout workflow process and how we might best integrate the solution into our current case management system, AMANDA.
Perform Regulatory Review/ reviewSubmittalPackage		
5.10	The system presents a Submittal Package Queue of updated or new Submittal Packages and provides a means for the Quality Reviewer to perform a quality check on the submitted items. The system provides the ability to accept or reject the Submittal Package to include relevant comments for rejection or further information on Submittal Package status. When accepted, the Submittal Package is moved to the Group Review Queue. Based on the submittal type, the system automatically sets up the Group Review Queue. The Quality Reviewer must be able to override automated template queued items in the Group Review Queue to include adding and removing queued groups or individuals.	The city recognizes that some solutions may include a workflow queue as part of their offering. Even if the offering does not include workflow queuing, please explain how files are managed throughout workflow process and how we might best integrate the solution into our current case management system, AMANDA.
Perform Regulatory Review/ setupGroupReviewQueue		
5.11	After the Submittal Package is quality approved by the Quality Reviewer, the system identifies template Group Review Queue depending on the type of submission and provides the ability for the Quality Reviewer to override Group Review Queue assignments. The Group Review Queue is updated when a Submittal Package is approved or requires additional review based on Reviewer lineage (i.e., requires one Reviewer to review before another or certain groups can review simultaneously). The Group Review Queue is based on area of responsibility (i.e., constructability, code compliance, etc.). The Group Review Queue is per review group (depending on the type of review) and when under review by a Reviewer, the system takes the Submittal Package off the relevant Group Review Queue to prevent multiple reviews by the same area of responsibility. For some reviews, depending on certain attributes identified on the application form, the system provides a priority order of review groups or individuals because some review groups or individuals may be required to review the Submittal Package and approve or comment before others perform their review. The business rules for review group order and review cycle must be modifiable by the Submittal Coordinator. For example, some groups may need to sign off (approve or comment) before the Submittal Package shows up in another Group Review Queue. The Submittal Coordinator or Reviewer may return a Submittal Package to the Group Review Queue indicating further review by selected groups or selected Reviewers during the review cycle to include Submittal Coordinator	The city recognizes that some solutions may include a workflow queue as part of their offering. Even if the offering does not include workflow queuing, please explain how files are managed throughout workflow process and how we might best integrate the solution into our current case management system, AMANDA.

	or Reviewer comments when necessary. Certain Reviewers can be set as required without holding up the review cycle; however, these reviews are still essential for final approval - allows for Submittal Applicant to receive Reviewer Comments prior to final approval.	
Perform Regulatory Review/ createProjectInformation		
5.12	Once a Submittal Package is accepted, the system generates the necessary Project Information compatible with the Issue Permits capability (currently AMANDA). The Project Information intakes all relevant attributes of the Submittal Package to include diagrams, project information, contact information, personal identification number (PIN), contractor, compliance comments and markups, identified permit requirements, etc. to automatically populate the Issue Permits portion of the system.	Explain the relationship (if any) between the proposed markup solution and project information stored with the case file.
Perform Regulatory Review/ updateProjectFolder		
5.13	The system updates (or creates if new) the Project Folder to include any relevant updates to the Project Information as well as the reference links to documents stored in the enterprise document and imaging management system (EDIMS).	We believe this to be out of scope; however, the Vendor may provide additional insight if relevant.
Perform Regulatory Review/ trackTimingToBillingProcess		
5.14	The system provides the ability to track time to the billing process, i.e., clock starts once remittance is issued for Submittal Package. The system tracks relevant timing (adjustable by staff) and provides feedback to Submittal Applicant on timing indications (i.e., where in the process). Time lines are automatically setup but adjustable.	We believe this to be out of scope; however, the Vendor may provide additional insight if relevant.
Submittal Applicant/ reviewApplicationNotification		
5.15	The system provides an automated email or text message (depending on intake setup) to the Submittal Applicant for accepted and rejected Submittal Packages (with rejection comment - i.e., reason for rejection and recommended guidance for future submissions). For accepted submissions, the system provides a summary of the submission process and estimation of anticipated review time. During the Reviewer process, the system provides the Submittal Applicant markup diagrams including associated comments, links to references and city codes, other general comments, among other traditional markup indications to effectively communicate to the Submittal Applicant the required changes to Submittal Package items. Once corrected, the Submittal Applicant must address each comment and resubmit relevant portions of their Submittal Package. These notifications may include high-priority out of cycle comments from Reviewers. Throughout the Submittal Package review process, the system provides continuous automatic updates to the Submittal Applicant as it moves through the Group Review Queue. Finally, the Submittal Applicant is provided a means to print any necessary approved documentation.	We believe this to be out of scope; however, the Vendor may provide additional insight if relevant.

5.4 4. Review Submittal Package

The system provides a means for a Reviewer to observe the Group Review Queue and select a Submittal Package for review. Once selected for comment, the Group Review Queue is updated to remove the Submittal Package from the review queue to prevent simultaneous reviews from the same group type. The Submittal Applicant is notified of the particular group reviewing the Submittal Package. Throughout the review cycle, a Submittal Coordinator may quality review the Reviewer comment and provide feedback to the Reviewer by returning the Submittal Package back to the Group Review Queue to be addressed. On completion of all areas of responsibility in the Group Review Queue, the Submittal Coordinator approves the Reviewer comments for Submittal Applicant update or approves the Submittal Package to allow for permitting. Relevant Submittal Package documents are stored in the enterprise document and imaging management system (EDIMS) for future retrieval.

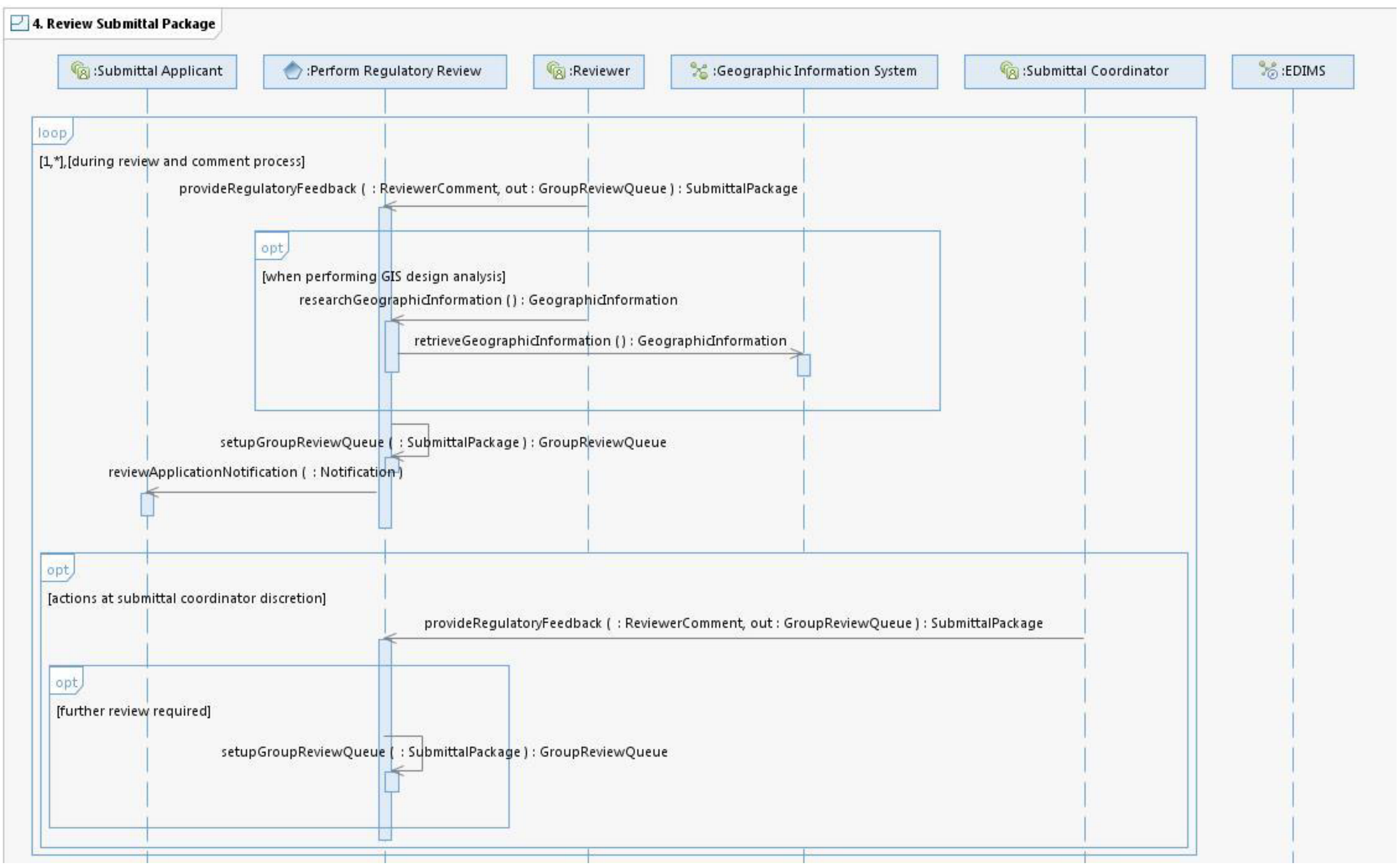


Figure 6: UML Sequence Diagram – 4. Review Submittal Package

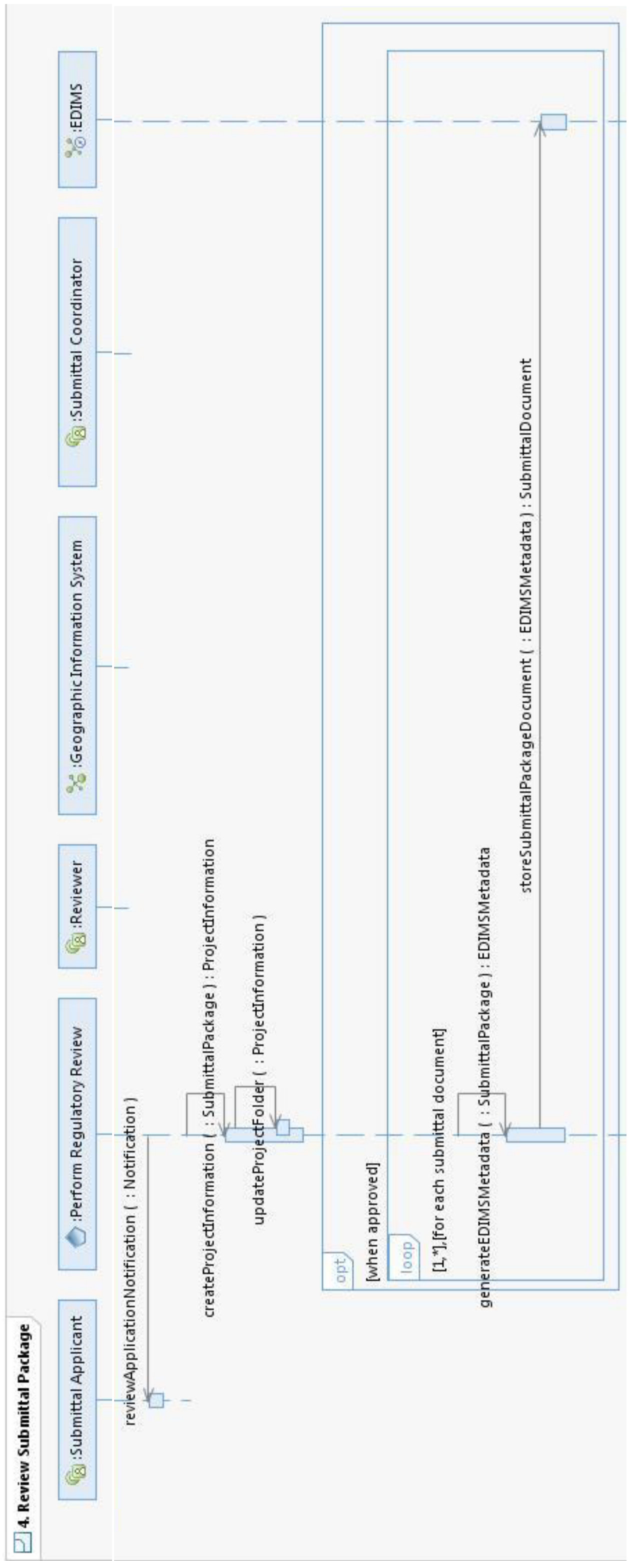


Figure 6 (cont.): UML Sequence Diagram – 4.Review Submittal Package

Table 5: Interface Descriptions - 4. Review Submittal Package

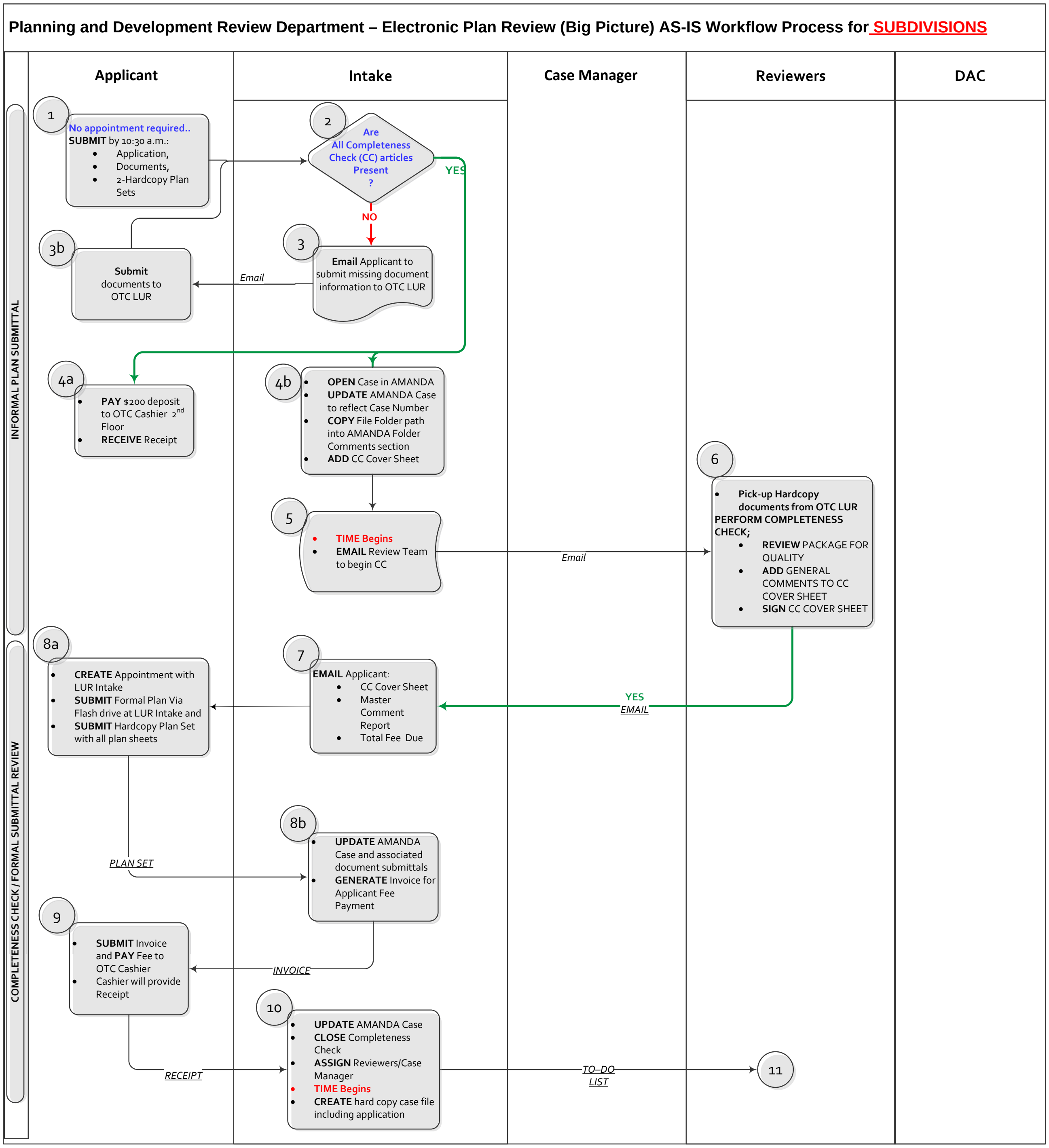
Req #	Description	Required Response
Perform Regulatory Review/ provideRegulatoryFeedback		
5.16	Reviewers in a particular review group (by order of responsibility area setup in the Group Review Queue) checks the Group Review Queue (listed in date/time order) for assigned reviews and submits Submittal Package Reviewer comments. The key features include: a) For complex structures submitted in appropriate format, the system provides a means to view diagrams using layering techniques to show/hide various elements. b) The system provides automated tools for the Reviewer to markup diagrams (words, pictures, sketches, highlights, etc.) including associated comments, links to references and city codes, administrative/general comments, among other traditional markup indications to effectively communicate to the Submittal Applicant the required changes to Submittal Package items to include ability sort and/or rank comments. c) The Reviewer needs to dynamically share comments with other Reviewers and view other Reviewer's comments prior to generation reports. d) The system provides the ability to identify changes (deltas) for resubmitted design plans when submitted using standardized formats such as PDF and engineering computer aided design (CAD) files. e) The system provides the able to easily calculate volumes, measure areas (to include acreage), distances (via poly-line or path), angles and radii. f) The system provides the ability for multiple page document submissions to be viewed in continuous, unbroken fashion providing a seamlessly adjoined view of the design plans - within a given plan set, provide ability to navigate between section/sheet dynamically, combine files, separate sheets, etc. g) The system provides a common, frequently used comment library to include images, text, technical specifications, etc. configurable by the Reviewer. h) All markups indicate the particular Reviewer layer for identification by the Submittal Coordinator and Submittal Applicant. i) The Submittal Coordinator may review Group Review Queue items and provide feedback to the Reviewer. j) The system provides reporting of group comments and general administrative comments by topic for each discipline. If no comments, the system allows the Reviewer to approve the submittal by providing a group level or individual secure approval stamp indication on relevant Submittal Package items and the Submittal Coordinator approves the Reviewer Comments or the entire Submittal Package when no comments require updates by the Submittal Applicant.	This is the key functional requirement for the desired solution. The vendor must explain how the solution achieves the desired functionality and may include additional functionality not expressed.

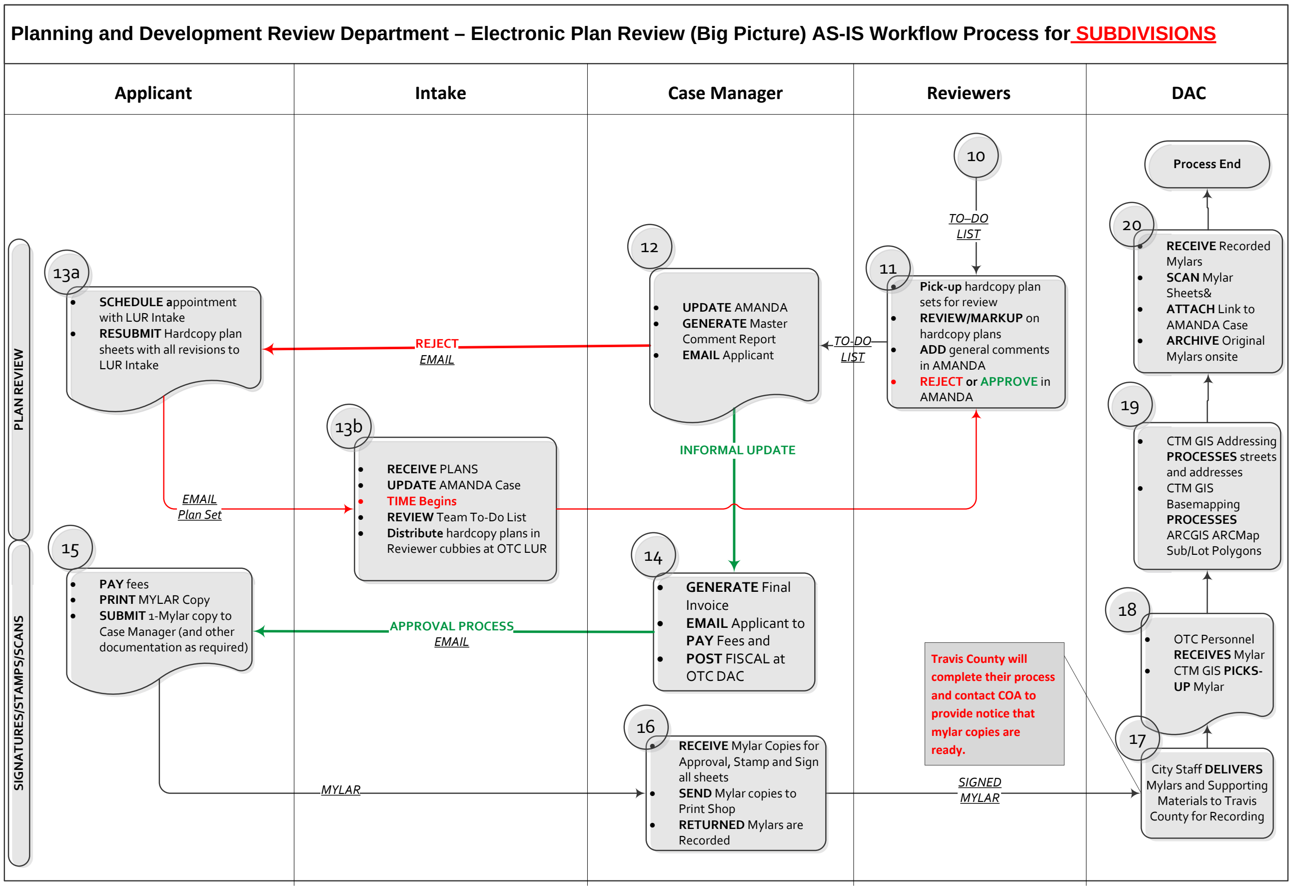
	k) Once a Review Group approves a Submittal Package, the record must be locked preventing any additional changes except by approved city staff.	
Perform Regulatory Review/ researchGeographicInformation		
5.17	The system provides the ability to perform geographic information research using city owned Geographic Information System (GIS) information. These features include the ability to overlay plan sheet with one or more GIS layers. The system provides the ability to compare a known list of features in GIS to the Submittal Package plan. These features should include zoning, watershed, and other relevant planning and review information about adjacent properties. When various fragmented pages are stitched in continuous form providing an overall construction footprint, provide ability to overlay footprint on GIS view for GIS administrators to create GIS polygon overlay. This information helps conduct the review in the context of the permitted/build environment. Referenced sources are not required to be included as markup back to Submittal Applicant.	Identify the relationship between the proposed solution and how we might use it to overlay or compare against GIS information *as it relates to the review process.*
Geographic Information System/ retrieveGeographicInformation		
5.18	For certain intake items, the system uses city available Geographic Information System to retrieve and populate Project Information. Can be used to explore and/or research the Geographical Information System.	We believe this function is out of scope. However, the Vendor may provide additional insight as it relates to the recommended solution.
Perform Regulatory Review/ setupGroupReviewQueue		
5.19	After the Submittal Package is quality approved by the Quality Reviewer, the system identifies template Group Review Queue depending on the type of submission and provides the ability for the Quality Reviewer to override Group Review Queue assignments. The Group Review Queue is updated when a Submittal Package is approved or requires additional review based on Reviewer lineage (i.e., requires one Reviewer to review before another or certain groups can review simultaneously). The Group Review Queue is based on area of responsibility (i.e., constructability, code compliance, etc.). The Group Review Queue is per review group (depending on the type of review) and when under review by a Reviewer, the system takes the Submittal Package off the relevant Group Review Queue to prevent multiple reviews by the same area of responsibility. For some reviews, depending on certain attributes identified on the application form, the system provides a priority order of review groups or individuals because some review groups or individuals may be required to review the Submittal Package and approve or comment before others perform their review. The business rules for review group order and review cycle must be modifiable by the Submittal Coordinator. For example, some groups may need to sign off (approve or comment) before the Submittal Package shows up in another Group Review Queue. The Submittal Coordinator or Reviewer may return a Submittal Package to the Group Review Queue indicating further review by selected groups or	The city recognizes that some solutions may include a workflow queue as part of their offering. Even if the offering does not include workflow queuing, explain how files are managed throughout workflow process and how we might best integrate the solution into our current case management system, AMANDA.

	selected Reviewers during the review cycle to include Submittal Coordinator or Reviewer comments when necessary. Certain Reviewers can be set as required without holding up the review cycle; however, these reviews are still essential for final approval - allows for Submittal Applicant to receive Reviewer Comments prior to final approval.	
Submittal Applicant/ reviewApplicationNotification		
5.20	The system provides an automated email to the Submittal Applicant for accepted and rejected Submittal Packages (with rejection comment - i.e., reason for rejection and recommended guidance for future submissions). For accepted submissions, the system provides a summary of the submission process and estimation of anticipated review time. During the Reviewer process, the system provides the Submittal Applicant markup diagrams including associated comments, links to references and city codes, other general comments, among other traditional markup indications to effectively communicate to the Submittal Applicant the required changes to Submittal Package items. Once corrected, the Submittal Applicant must address each comment and resubmit relevant portions of their Submittal Package. These notifications may include high-priority out of cycle comments from Reviewers. Throughout the Submittal Package review process, the system provides continuous automatic updates to the Submittal Applicant as it moves through the Group Review Queue. Finally, the Submittal Applicant is provided a means to print any necessary approved documentation.	Although we believe this to be a function of our case management system AMANDA, the Vendor may explain how the solution integrates to provide the Submittal Applicant with all the markup/comment information by the Reviewer.
Perform Regulatory Review/ createProjectInformation		
5.21	Once a Submittal Package is accepted, the system generates the necessary Project Information compatible with the Issue Permits capability (currently AMANDA). The Project Information intakes all relevant attributes of the Submittal Package to include diagrams, project information, contact information, personal identification number (PIN), contractor, compliance comments and markups, identified permit requirements, etc. to automatically populate the Issue Permits system.	Explain the relationship (if any) between the proposed markup solution and project information stored with the case files.
Perform Regulatory Review/ updateProjectFolder		
5.22	The system updates (or creates if new) the Project Folder to include any relevant updates to the Project Information as well as the reference links to documents stored in the enterprise document and imaging management system (EDIMS).	Explain the relationship (if any) between the proposed markup solution and project information stored with the case files.
Perform Regulatory Review/ generateEDIMSMetadata		
5.23	Using attributes of the Submittal Package entered during Perform Intake, the system automatically generates the proper EDIMS (enterprise document and imaging management system) meta-data for inclusion with the relevant Submittal Document stored in EDIMS.	We believe this to be out of scope; however, Vendor may provide additional insight if relevant.
EDIMS/ storeSubmittalPackageDocument		
5.24	The system uses the automatically generated meta-data and stores the Submittal Document in EDIMS (electronic document information management system).	We believe this to be out of scope; however, Vendor may provide additional

		insight if relevant.

Appendix A Current State Subdivisions Workflow





Planning and Development Review Department – Electronic Plan Review (Big Picture) AS-IS Workflow Process for SUBDIVISIONS
Applicant
Intake
Case Manager
Reviewers
DAC
PLAN REVIEW
SIGNATURES/STAMPS/SCANS
10
TO-DO LIST
11
Pick-up hardcopy plan sets for review
REVIEW/MARKUP on hardcopy plans
ADD general comments in AMANDA
REJECT or APPROVE in AMANDA
12
UPDATE AMANDA
GENERATE Master Comment Report
EMAIL Applicant
TO-DO LIST
REJECT EMAIL
13a
SCHEDULE appointment with LUR Intake
RESUBMIT Hardcopy plan sheets with all revisions to LUR Intake
EMAIL Plan Set
13b
RECEIVE PLANS
UPDATE AMANDA Case
TIME Begins
REVIEW Team To-Do List
Distribute hardcopy plans in Reviewer cubbies at OTC LUR
INFORMAL UPDATE
14
GENERATE Final Invoice
EMAIL Applicant to PAY Fees and
POST FISCAL at OTC DAC
APPROVAL PROCESS EMAIL
15
PAY fees
PRINT MYLAR Copy
SUBMIT 1-Mylar copy to Case Manager (and other documentation as required)
MYLAR
16
RECEIVE Mylar Copies for Approval, Stamp and Sign all sheets
SEND Mylar copies to Print Shop
RETURNED Mylars are Recorded
SIGNED MYLAR
Travis County will complete their process and contact COA to provide notice that mylar copies are ready.
17
City Staff DELIVERS Mylars and Supporting Materials to Travis County for Recording
18
OTC Personnel RECEIVES Mylar
CTM GIS PICKS-UP Mylar
19
CTM GIS Addressing PROCESSES streets and addresses
CTM GIS Basemapping PROCESSES ARCGIS ARCMap Sub/Lot Polygons
20
RECEIVE Recorded Mylars
SCAN Mylar Sheets&
ATTACH Link to AMANDA Case
ARCHIVE Original Mylars onsite
Process End

Appendix B User Profiles

The user profiles below are a conglomerate of user stories and business needs as expressed by City staff. They are provided here only for context when preparing responses to Sections 4.0 and 5.0.

Submittal Applicant

Types of Applicants include property owners, contractors, contractors subcontracted by a design professional, the sealing engineer of record, or City employee design professional (Public Works Department).

I need my application to be in the City queue as quickly as possible. Depending on my level of expertise on City processes, I need to know what to expect up front - How do I schedule a meeting? When will I be contacted? It is important that I submit all items correctly the first time. I may want to meet with staff to review the application packet prior to submittal to ensure my submittal will be accepted into the queue. I may need to update or add documentation to my submitted case based on feedback from the City. If Reviewers have comments or markups on my submitted plans, I must address each comment through the resubmittal process. I may need to discuss narrative comments and markups with the Reviewer for clarifications.

I need a printed copy of the official approved plan set to take into the field so that construction crews know what to build. I may need to provide the electronic plan set file to a print company.

To apply for a site plan correction, I need access to the approved plans (which may have been processed with a different Applicant) so that I can submit my corrections.

To avoid parking congestion and time consuming trips downtown, I need to do all of this online from anywhere, including a self-help kiosk or my own computer or device.

Examples of Applicant activities:

- Submit an application packet
- Pay fees
- Respond to review results (comments and markups)
- Submit updates
- Track the status of a case
- Get clarifications from the City
- Request draft comments
- Obtain printed copy of the official approved plan set
- Apply for a site plan correction

Case Manager (Submittal Coordinator)

Case Managers in Land Use Review (LUR) are the primary point of contact for the Applicant once a plan has been accepted for formal review. Case Managers are also Reviewers and produce the "Master Comment Report", which captures review comments from all disciplines for each review cycle.

I need to organize (label, move, group, etc.) the documents in the electronic file. Every case has different organizational styles and needs (and that's okay and good). I also need to add documents to the case file as the case progresses. While we generally want things organized chronologically in a case file, there may be a series of meetings with related documents (letters/emails), and regardless of chronology, I group those items together as I see fit each unique case. A Manager or Director may need to access the case file during a meeting (without Case Manager).

I control the release of comments and applicant submissions. I allow an Applicant to submit something that was inadvertently left out, or update something in the event of a team meeting. During the review cycle, I may need to provide draft comments with the Applicant.

I add Reviewers on an as-needed basis that may not have been included in the original review assignment. I need to identify conflicting and similar comments, coordinate these conflicts/similarities efficiently, and choose the appropriate comments to keep. It is the Case Manager that will coordinate meetings to address some of these issues.

> Example: Unified development agreements are legal documents that are used procedurally in site plan, transportation, drainage/water quality, and potentially other disciplines. Many times these comments are repeated in a report.
>
> Example: Comments regarding certain issues may be in conflict.

At the end of each review cycle, I send consolidated comments as a Master Comment Report to the Applicant and Interested Parties, and have available for General Public viewing.
I need to know when all review comments have been cleared so I can process final approval and sign-off. I need to stamp and/or provide a signature on the plan sheet(s) upon approval. Sometimes I stamp specific sheets, no sheets, or all sheets in a plan.

Examples of Case Manager activities:
- Organize the case file
- Release the Master Comment Report
- Review comments for conflicts/overlap and facilitate resolution
- Add Reviewers to a case
- Stamp plans as approved

Development Assistance Center (DAC)

The Development Assistance Center (DAC) Planners consult with customers on all aspects of the development process and applicable development regulations to evaluate development proposals and guide customers to the appropriate permitting processes. Planners meet with walk-in customers each morning and by appointment in the afternoons. Customers may also schedule a development assessment meeting with the entire consulting team.

DAC reviews and processes corrections to approved site plans and site plan exemption determinations for minor development that is exempt from the site plan requirements. They provide copies of approved site and subdivision plans to customers for corrections and archives those approved plan changes to the original file.

DAC reviews and processes Land Status Determination requests by which a property owner or developer can determine if a parcel of land is exempt from the requirement to subdivide based on certain provisions of State and local regulations.

Services include: Process corrections; small plans changes; determinations; stamping approvals. Responds to questions from external Applicants. Limited review processes.

GIS Analyst

Proposed plans, approved plans, and/or as-builts (completed plans) are brought into GIS by various departments to serve a unique discipline or set of stakeholders. The GIS community is in interested in electronic file format(s) that are compatible with GIS.

GIS Base Mapping group creates polygons of boundaries (ideally) early in process to be available for Reviewers. They issue approvals in AMANDA only to move the workflow process forward.

Inspector

Inspectors make site visits to construction locations. They use site plans/plan sheets as part of the process and in some cases they coordinate with the developer to initiate the correction process. The constructing party is responsible for having a set of site plans on site. After construction is complete, the submission of final corrections should match as-built conditions. Information collected from the field should be available as part of the case file.

Unlike EV inspectors (that inspect the site for compliance with an approved site plan), a building inspector concentrates on a particular field: Building code, Electrical, Plumbing, and Mechanical (examples). A builder schedules an inspection through the system, and inspectors attend the inspections for which they are scheduled.
Reviewers and Inspectors want the capability to print 24" x 36" sheets (or sections of sheets) for use in the field. Current business practice is to use paper site plans for field visits to make notes & verify physical locations.

I may have a question about what was approved (oversight in review, or a waiver that might have conditions), or to just better understand what was expected during the review process. If a change to the plans or permit is required, I may contact the Reviewer to explain why and what needs to change.

During monthly inspections, I may see a deviation from the site plan. It may or may not be a deviation from code. I direct customer to go to DAC to make a correction if needed before the inspection can be approved. I will also call DAC if there is a significant correction to explain the situation.

Intake (Quality Review)

Intake reviews the application submittal packet for completeness, appropriateness and accuracy as the "gatekeeper" of minimum standards. There is a checklist used to double check completeness. If the package is complete, Intake creates a case "folder" in the case management system, verifies the Applicant has paid fees due, and starts the review clock. If the package is not complete, Intake works with the Applicant of what is missing so that it can be rectified.

I need the Applicant to submit updates in a controlled environment so that all Reviewers are looking at the same version during a single review cycle. Once a given review cycle is completed by staff, the door opens and the Applicant can update their case with a new updated plan set and supporting documents.
Site and subdivision applications go through a "completeness check" review process by Reviewers before the Applicant is cleared to submit a formal submittal packet. In the paper world, I coordinate the results of the completeness check back to the Applicant.

I need to assign Reviewers to the case during formal intake submittal. If possible, I'd like to assign the same Reviewers to all related cases (same order of process line; specialized disciplines, overlapping cases geographically; project resubmittals.)

Reviewer

Reviewers span disciplines, departments and locations across the City. While throughput requirements may vary, in general any delays to operational output creates risk of missing regulatory deadlines. Significant time needed to learn a new tool, too many clicks to complete a task or slow system response time would be looked upon unfavorably at best.

I need to markup a plan sheet with words, pictures, sketches, references, highlights, etc. that will communicate to the Applicant the elements of the plans that do not comply with City code. I need to review

the same set of plans as other Reviewers, sometimes concurrently. I conduct reviews in the office either as an individual or in a group setting. The use of GIS data and representations is integral to my review process.
If I'm using a tablet in the field, it is more challenging to view the 24"x36" plan sheet due to the screen size limitation of the tablet. It is important that I am able to navigate and see sections of the page as needed.
I need to make comments about the case to the Applicant that may not be best relayed as a markup. Comments are about comparing the submitted application form to the plans and land development code. Documented comments can be lengthy narratives, and are just as important as plan markups.
I need to see plan sheets in various configurations and clearly identify the elements in the plans that are relevant to my review. Sometimes it may be necessary to layout multiple sheets side by side, overlapped, etc. Typically I need to see a segment of a sheet in context of the whole project and/or the rest of a particular sheet or set of sheets. By seeing both the "big picture" and the area of interest simultaneously I can be more efficient and effective with my review comments. It is important that I understand where I am in the plan set at all times and can quickly move to another section/sheet dynamically. The system needs to make seeing everything easy to avoid rejecting an application in error.

I want to be able to calculate volumes, measure areas (acreage), distances (via poly-line or path), angles and RADii in the easiest way possible. To quickly compare and assess acceptable standards to sections of the plan sheet, I use a scalable tool to move around the page and measure. Measurement assessment could be for geometric shapes, diagrammatical details or figures.

I need to determine the applicant's scale is accurate and their example measurements are accurate.

> Example: I need to determine if calculations on the plan set match the application submittal. The plan set shows the site area to be 55 acres, but the Applicant filled out 42 acres on the application.

Interdisciplinary review items sometimes have overlapping concerns/issues. I need to dynamically share comments with other Reviewers and view other Reviewers' comments prior to generation of the Master Comment Report. This gives me an opportunity to identify potential conflicts and obtain clarifications before comments are sent to the Case Manager and Applicant. Ideally, I could see newly posted comments in real-time. In addition, the ability sort and/or rank comments (my own or other Reviewers) would highlight important issues to all parties reading the Master Comment Report.

I need to group comments on a single document based on topic for each discipline regardless of which system is capturing the markup/comment. The organization of comments helps the Applicant understand my review and respond accordingly.

I want to get notified that my review is needed on a case that has been formally submitted so that I can be included in the review process for applicable scenarios in order to provide comments to the Applicant. I may or may not be part of the AMANDA case management system workflow.

Examples of Reviewer activities:

- Markup plans
- Make general/narrative comments
- Print plans or segments of plans
- Advise Applicants
- Compare plans to GIS information
- Identify discrepancies between the submittal packet and site visit observations
- Group all comments in a document
- Compare plans
- Identify adjacent properties and its uses
- Measure features
- Collaborate with other Reviewers (internal and external)
- Approve or reject a plan submittal
- Clear comments

- Access and add case related information

Contributors are code experts and contribute to the design review process. They view application information, documentation and plans and may or may not markup plan sheet(s). Contributors may produce exemption or conditional approval letters which are either issued directly to the applicant and/or entered as comments (by either the Contributor or another Reviewer or Case Manager) into AMANDA.

Currently, several Contributing Reviewers "subscribe" to a weekly email that lists the new formal submittals for the week. They can look at the address column and see if there are any applications in their area of interest.

APPENDIX C: DEFINITIONS

Include the following definition of terms and any additional definitions needed for clarity during the life of the contract:

Term	Definition
Acceptance	Acceptance of the relevant Deliverable of this Statement of Work for the EPRS by the City, all at the discretion of the City under this Agreement. Acceptance can only occur after Vendor's successful completion of the relevant Acceptance Criteria listed in this Agreement and upon written statement of same to Vendor by the City Project Manager or otherwise authorized City staff. "Final Acceptance" of the System can only occur after successful Acceptance of all Deliverables, correction of all Defects, provision of all documentation, and written statement by the City Project Manager that the EPRS has met all Acceptance Criteria and is Fully Operational, at the sole discretion of the City.
Acceptance Criteria	The specific, required criteria stated within this Statement of Work (including, but not limited to, functional requirements, performance levels and processing times) that must be successfully met before a Deliverable is considered by the City to be satisfactorily and successfully delivered and functioning and ready for Acceptance (or Final Acceptance, as may be applicable), all as set forth in the Agreement.
Agreed Service Times (AST)	The service hours during which the EPRS is available.
Availability	EPRS has the ability to fully perform its agreed functionality as stated in the proposal. The calculation of "Availability" is the quotient of the time the EPRS is accessible to all users divided by the total possible time. Such calculation does not remove or discount planned outages time from total possible time.
Business Day	A day other than a Saturday, Sunday or other day on which the City is closed.
Commercial Off The Shelf (COTS)	A non-developmental item of supply that is both commercial and sold in substantial quantities in the commercial marketplace, and that can be procured or utilized under contract. For example, technology related items, such as computer software, hardware systems or free software with commercial support qualify. COTS purchases are alternatives to in-house developments. COTS typically requires configuration that is tailored for specific uses.
Confidential Information	Includes any information determined to be confidential or proprietary under Federal and State of Texas laws including, but not limited to the Licensed Software and Documentation, marketing and business plans, and technical information of either party.
Criminal Background Investigation (CBI)	The process of looking up and compiling criminal records, commercial records and financial records (in certain instances such as employment screening) of an individual. Results of a background check typically include past employment verification, credit score, and criminal history.
Defect	An error, flaw, mistake, failure, or fault in a computer program or system that produces an incorrect or unexpected result, or causes it to behave in unintended ways.
Design	To make a detailed plan of the form or structure of something, emphasizing features such as its appearance, and efficient functioning.
Deployment Plan	All of the activities that make a system available for use. The general deployment process consists of several interrelated activities with possible transitions between them. These activities can occur at Vendor's site or at the City's site or both. "Deployment" should be interpreted as a general process that has to be customized according to specific requirements or characteristics.
Development	The lowest environment where initial code is implemented and tested.
Documentation	The written descriptions, plans or training provided by Vendor to the City regarding the EPRS's functionalities and operation, including, but not limited to, documentation for the EPRS which describes the structure, operation, interfaces and maintenance of the EPRS.
Excused Removal	Removal of a Key Person in the event the individual designated as a Key Person is terminated

	from or leaves the employment of the Vendor or is unable to perform services due to death, disability, an extended absence resulting from illness, jury duty or other unforeseen emergency, grave personal circumstances, or there are other circumstances that the parties agree precluded the Vendor from complying with this section.
Fully Operational	Meeting all requirements listed herein and having been accepted by the City.
Integration Testing	The execution of predefined business flows, or scenarios, that emulate how the System shall run the City business.
Key Personnel / Key Person	Individual who the Vendor will not remove from providing their assigned services under the SOW until their completion without CITY's prior approval, except in the event of an Excused Removal.
Load and Stress Testing	Testing that shall be conducted to ensure the System has the appropriate resources and can handle the expected volumes of transactions and data.
On-Site	Taking place or provided at the location where work or some other activity is being carried out. Specifically, on-site means a City designated physical location.
Performance Testing	Testing that is performed to determine how fast some aspect of the System performs under a particular workload. It can also serve to validate and verify other quality attributes of the System, such as scalability, reliability and resource usage.
Production	The environment used for live production City business transactions.
Project Manager	City appointed project manager for the project.
Recovery Point Objective (RPO)	The acceptable amount of data loss measured in time. The recovery point objective is the point in time to which Vendor must recover data as defined by the City. This generally defines what the City determines is an "acceptable loss" in a disaster situation. RPO is independent of the time it takes to get a non-functional system back on-line (the Recovery Time Objective). If the RPO is two hours, then when a system is brought back on-line after a disaster, all data must be restored to a point no longer than two hours before the disaster.
Recovery Time Objective (RTO)	The duration of time and a service level within which a business process must be restored to fully operational after a disaster (or disruption) in order to avoid unacceptable consequences associated with a break in business continuity. It includes the time for trying to fix the problem without a recovery, the recovery itself, tests and the communication to the users.
Services	All work or labor performed for the City on an independent Contractor basis other than construction.
System(s)	All goods and services, including, but not limited to, hardware, software, documentation, data, communications devices, consultation, implementation and training services and components delivered by Vendor to the City.
Test	The environment to which code is migrated after it has passed the testing completed in the Development environment.
Training	The environment which is used for EPRS end user training.
Unit Testing	The process in which configuration components and programs are validated to ensure they operate correctly according to the City's business requirements herein.
User Acceptance Testing (UAT)	Testing performed by a predefined set of end users. The test data should be as close to "live" data as possible.
Vendor	A person, firm, or entity that sells Goods and/or Services.

Communications and Technology Management Technical Reference Model and Standards
Appendix D

TECHNICAL REFERENCE MODEL		
Area	**Category**	**Standard**
Application Technology		
Development Tools	Analysis, Design and Modeling	UML
	Requirements Management	RSA (Rational Software Architect)
	Software Change and Configuration Management Tools	GIT CVS MS Team Foundation Server Subversion GIT
	Web Authoring Tools	Drupal (outward) Plone (Inward)
Software Engines	Search Engines	Solr
	Geographic Information System (GIS) Engines	ESRI ArcGIS for Desktop ArcGIS for Server ArcGIS Online Smallworld Electronic Office ArcSDE FME
	Business Rules Engines	BPM BPMN
	Business Process Management Engines	Websplore
Application and Web Server Software	Application Server Software	ASP.NET ArcGIS Server (includes server extensions) FME Server
	Web Server Software	Apache

		Internet Information Services (IIS) Cold Fusion IBM Websphere Oracle WebLogic
Integration Software	Enterprise Service Bus (ESB)	
	Service Registry	
	SOA Governance	
	Messaging Oriented Middleware (MOM)	
	Device Integration	
Application Testing Software	Debugging Test Tools	Visual Studio PL/SQL Developer Fiddler Chrome Developer Tools Firebug (Firefox plugin) IE Developer Tools
	Function Testing Tools	PL/SQL Developer
	Load and Performance Testing Tools	PL/SQL Developer Visual Studio
	System Testing Tools	Visual Studio PL/SQL Developer
	Unit Testing Tools	Visual Studio PL/SQL Developer
Information Management Technologies		
Business Intelligence & Data Warehouse Platforms	Business Intelligence Platforms	Microstrategies Qlikview Cognos
	Web Reporting Tools	Google Analytics Crystal Reports

		DBNetGrid Birt CADReports Microcall
	Dashboard/Scorecard Tools	Microstrategies
	Data Mining Tools	Oracle Discoverer PL/SQL Developer
	Data Warehouses	Oracle SQL Server
	Geospatial Tools	ArcGIS Desktop
	Data Analytics (Statistical Analytics, Prediction, and Modeling)	ERWin Visio
	Unstructured Data/ Natural Language Processing	EDIMS OS File CIFS
Data Management	Database Connectivity	PL/SQL Developer Oracle SQL Developer Oracle SQL *Net ODBC/OLE DB
	Object Oriented DBMS	Oracle
	Relational DBMS	Oracle SQL Server My SQL
	Columnar DBMS	Oracle SQL Server
	Database Related Management Tools	Oracle Enterprise Manager IDERA PL/SQL Developer
Data Integration	Database Replication and Clustering	PL/SQL Developer FME Oracle Real Applications Cluster (RAC)

		SQL Server Cluster
	Data at Rest	EMC NetApp Storage
	Data Synchronization	GeoWorx Sync DFS
	Extract, Transform, Load (ETL)	SQL Server Integration Server PL/SQL Developer FME Server FME Desktop SQLLoader Microsoft SSIS Oracle
	Data in Motion (Common Message Terminology and Semantics)	SQL *Net TCP/IP BigIP
Collaboration and Electronic Workplace		
Collaboration Software	Content Management	Sharepoint GIT Subversion Drupal CMS Plone CMS
	Electronic Messaging	Microsoft Exchange
	Unified Messaging	
	E-Mail and Calendaring	Microsoft Outlook
	Real Time and Team Collaboration	Sharepoint GOTOMYPC GoToMeeting Cisco VPN NetMotion Citrix Adobe Connect Vidyo

		tWiki FTP
	Shared Whiteboard	SmartBoard BMC Service Desk Express
	Process and Schedule Synchronization	Tivoli Windows Mobile Device Center
	Computer Based Training (CBT)	Adobe Connect
Productivity Software	Accounting and Finance	AIMS
	Desktop Publishing	Microsoft Publisher
	File Manager and Viewer	EIDMS (Opentext) Adobe Acrobat
	Enterprise Faxing	Captaris Rightfax
	Graphics Design Software	
	Health Care	ePCR
	Multimedia Software	Adobe Createsuites
	Standard Office Suite	Microsoft Office 2010
	Miscellaneous Productivity Tools and Utilities	HTML – RIT SnagIt
	Web Browsers	Internet Explorer (Internal staff) Firefox (Internal Staff) Safari (not patched) Chrome (not patched)
	Case Management	AMANDA BMC Magic Service Desk Express FDM Versadex LIMS
	Surveys	Survey Monkey Survey Builder Sharepoint
Systems Management		
Systems Management Tools	Alert management	Nagios

		Orion Solarwinds Puppet Microsoft SCCM Ideara Tivoli Trend IWSVA Netbotz ISX Environmental Monitoring Avaya ASA Avaya Session Manager ADV NMS
	Application Management	Tivoli
	Data Center Automation Software	Appsense Idera Microsoft SCCM EMC Networker APC Structureware Prologics Active Directory
	Disaster Recovery	NetApp VSC Replistor
	Monitoring	Nagios Orion Solarwinds
	System Change and Configuration Management	Puppet Microsoft SCCM
Network Infrastructure	Switching and Routing	CISCO ADVA
	Load Balancing and Failover	F5 Big IP
	Network Name and Address	Windows DHCP Windows DNS IP IPv6 (not used yet)

		IPsec WINS BIND DNS
Network and Telecommunications		
Transport	Local /Campus Area Network (LAN/CAN)	Cisco Brocade
	Wide Area Network (WAN)	Cisco ADVA
	Telecommunications	GAATN Fiber COATN Fiber AT&T Connections Avaya equipment Nortel equipment
	Cabling	BICSI
Wireless and Mobile Networks	Cellular Networks	AT&T (Public Safety) Verizon (Public Safety) AT&T (AVL- Public Safety) Verizon (AVL) Sprint (AVL)
	Secure WiFi	Cisco WAP
	Public WiFi	Cisco WAP
	Radio	P25 Motorola
	Satellite	
	Pagers	USA Mobility
	Aircards	Sprint Verizon AT&T
End User Computer Devices	Personal Computers (PCs)	Dell Optiplex Dell T3500 Dell T5500 Dell Latitude 6520

	Mobile Hardware	Win Mobile ipad iphone android smartphones
	Hardened laptops	Panasonic Dell
Platforms and Storage		
Operating Systems	OS - Desktop/Laptop	Win 7 Win 8
	OS – Mainframe	AIX
	OS – Mobile Device	Android Windows IOS
	OS – Server	Windows Server AIX Redhat CentOS
	OS – Cluster and Availability	VMWare HAEMP
	Application and OS Deployment	Puppet SCCM WDS
	OS Tools	Hyena
Cloud Services / Virtualization	Cloud Technologies	ArcGIS Online
	Virtualization Software	VMWare Citrix Xen Server Cisco VPN Client VirtualBox
Storage	Long Term Back-up	EMC Networker

		NetApp Avamar Legato
	Operational Recovery	EMC Networker NetApp Avamar
	Production	EMC Networker NetApp
System Management Tools	Network Performance Optimization	Microsoft SCCM Trend Antivirus Puppet GitHub PKI GPO Squid (caching) IBM HMC
	Logging	Splunk
	Patch Management	WSUS

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TECHNICAL STANDARDS				
ID#	**Topic**	**Description**	**Priority - City Hosted**	**Priority - SaaS Only**
Technical Architecture				
1	General	The system shall have web-enabled components of the application that meet the Rehabilitation Act of 1973 Section 503, W3C and industry standards for graphics and design; speed; reliability; and security for dynamic content and user interaction.	Mandatory	Mandatory
2	Application Architecture	The system shall provide all screens, reports and transactions through a web browser.	Preferred	Preferred
2.1	Application Architecture	No requirement to deploy application code to client workstations (Note: Java Runtime Environment (JRE) is an exception)	Mandatory	Mandatory
3	Application Architecture	The system shall provide the ability to automate the deployment of software and updates to user workstations including, but not limited to web-based deployment tools, push/pull software to the desktop. (Note: Applicable only to run-time environment, like Java)	Mandatory	Mandatory
4	Application Architecture	The system shall provide built-in application and system configuration tables accessible by all modules	Mandatory	Mandatory
5	Application Architecture	The system shall provide customizable user portals including, but not limited to the ability to customize menus and forms, by user without modification of program code.	Preferred	__
6	Application Architecture	The system shall provide (if needed) the ability to manage automatic job scheduling (i.e. batch jobs, billing) including, but not limited to the interface with external job schedulers and automatic notification capabilities when a job abnormally terminates. The City currently support UNIX CRON, Tivoli work Scheduler, Oracle DBMS_JOBS, and MS SQL DTS.	Mandatory	__
7	Application Architecture	The system shall provide forms-based data validation (field level validation) and display error messages when validation fails (i.e., user enters text in a numeric field).	Mandatory	Mandatory
7.1	Application Architecture	Copy, cut, paste, and undo capability from data fields and screens to other applications	Mandatory	Mandatory

8	Application Architecture	The system shall provide the ability to perform mass changes to a defined group of transactions, with appropriate selection criteria.	Mandatory	Mandatory
9	Application Architecture	The system shall provide the ability to effective date transactions and table updates including, but not limited to future and retroactive changes, based on user-defined criteria.	Mandatory	Mandatory
10	Application Architecture	The system shall provide the ability to drill down from a transaction view to the supporting source document or record, regardless of the module source	Mandatory	Mandatory
11	Database Architecture	The system shall provide standard data extraction Application Program Interface (API) to allow import and export of data to other systems.	Mandatory	Mandatory
12	Database Architecture	The system shall provide the ability to import and export information to/from external applications and formats including but not limited to the following:	Preferred	Preferred
12.1	Database Architecture	MS Word	Preferred	Preferred
12.2	Database Architecture	MS Excel	Preferred	Preferred
12.3	Database Architecture	MS Access	Preferred	Preferred
12.4	Database Architecture	PDF	Preferred	Preferred
12.5	Database Architecture	XML	Preferred	Preferred
12.6	Database Architecture	Comma delimited	Preferred	Preferred
12.7	Database Architecture	Tab delimited	Preferred	Preferred
12.8	Database Architecture	Space delimited	Preferred	Preferred
12.9	Database Architecture	Quotation delimited	Preferred	Preferred
12.10	Database Architecture	ASCII	Preferred	Preferred
12.11	Database Architecture	HTML	Preferred	Preferred
13	Database Architecture	The system shall provide the ability to encrypt sensitive data by column.	Preferred	Preferred
14	Database Architecture	The system shall provide the ability to encrypt sensitive data by row.	Preferred	Preferred
15	Database Architecture	The system shall provide Structured Query Language (SQL) capabilities for database queries.	Mandatory	__

16	Database Architecture	The system shall provide the ability to exchange database information using industry accepted standards and formats including the following:	Mandatory	Mandatory
16.1	Database Architecture	XML	Mandatory	Mandatory
16.2	Database Architecture	JSON	Mandatory	Mandatory
17	Database Architecture	The system shall provide the ability to utilize enterprise-defined naming conventions and standards including, but not limited to data elements, entities, tables, programs, report names, etc.	__	Preferred
18	Database Architecture	The system shall provide the ability to copy, archive and retrieve data to external storage media (e.g. tape, DVD, SAN) based on user-defined selection criteria.	Mandatory	Mandatory
19	Database Architecture	The system shall provide the ability to perform database maintenance including, but not limited to backup and upgrades without requiring system downtime during core business hours.	Mandatory	Mandatory
20	Infrastructure	Utilizes industry standard virtualization infrastructure capabilities to support load balancing.	Mandatory	Mandatory
21	Integration Architecture	The system shall provide the ability to set up appropriate approval, audit trail, and reconciliation procedures for all inbound and outbound interfaces.	Mandatory	Mandatory
22	System Administration Toolkit	If the proposed system is Simple Network Management Protocol (SNMP) compliant, the Vendor shall provide standard Management Information Base (MIB) files for all SNMP-enabled components.	Mandatory	__
23	Application Architecture	The system shall provide the ability to apply future upgrades and patches without impacting existing application user interface customizations (e.g., user-defined forms/fields, web interface, etc.).	Mandatory	Mandatory
24	Infrastructure	If the proposed solution includes electronic hardware such as servers or network devices, all network-enabled hardware must support auto-negotiation of network speeds and duplex settings, including 10 mbps, 100 mpbs and Gigabit Ethernet, if applicable.	Mandatory	__
25	Infrastructure	The proposed application should NOT require static network routes.	Mandatory	__

26	Infrastructure	The proposed solution must be capable of operating over routed subnetworks (does not require components to be co-located on the same subnetwork).	Mandatory	—
27	Database Architecture	The proposed solution shall include a method of purging record data from the database(s) ensuring referential integrity with master/ child records.	Mandatory	Mandatory
28	Application Architecture	The proposed solution shall support Distributed File System (DFS) shares for file access.	Mandatory	Mandatory
29	Database Architecture	The proposed solution shall use the same data validation criteria for bulk data loads as it does for manual data entry.	Mandatory	Mandatory
30	Infrastructure	If applicable, all supplied portable devices (laptops, hand-held units, etc.) shall have display screens that are readable in conditions ranging from darkness to direct sunlight.	Mandatory	Mandatory
31	Infrastructure	If applicable, all supplied portable devices (laptops, hand-held units, etc.) shall be resistant to heat, cold, moisture, dust and shock.	Mandatory	Mandatory
32	Infrastructure	If applicable, all supplied portable devices (laptops, hand-held units, etc.) shall be capable of receiving program or firmware updates via network connections.	Mandatory	Mandatory
33	Infrastructure	The Vendor shall use standard Domain Name Services (DNS) for identifying all server components in the system.	Mandatory	Mandatory
34	Infrastructure	The proposed solution shall use an accurate, NIST time source for a traceable time stamp, which is applied to various transactions or key events.	Mandatory	Mandatory
35	Infrastructure	If the solution back-end components use date/time stamping, the client-side components shall be synchronized with the back-end servers.	Mandatory	Mandatory
Solution Architecture				
36	System Flexibility	The system shall provide highly configurable screens including, but not limited to repositioning fields, renaming fields, removing or inactivating unused fields, and allowing the addition of custom-defined fields.	Preferred	Preferred

37	System Flexibility	The system shall provide the ability to accommodate long fields (e.g. long names, unicode, hyphenated names).	Preferred	Preferred
38	System Flexibility	The system shall provide the ability to define business rules based on user-defined criteria (e.g. organizational level, account code, bargaining unit, location, program, grant).	Mandatory	Mandatory
39	System Flexibility	The system shall provide the ability to create and/or modify user-defined business rules to validate data at the at the time of entry.	Preferred	Preferred
40	Security & Authentication	The system shall provide the ability to restrict access to the application for remote, by client IP address or network address range.	-	Mandatory
41	Security & Authentication	The system shall comply with all applicable City mandated security protocols and standards.	Mandatory	Mandatory
42	Security & Authentication	The system shall provide adequate protection of data covered by regulatory or other compliance requirements (e.g. U.S. Health Insurance Portability and Accountability Act (HIPAA), Family Educational Rights and Privacy Act (FERPA)).	Mandatory	Mandatory
43	Security & Authentication	The system shall provide the ability to use a single user sign-on for all modules with security configured for each module (i.e. user to gain access to the database associated with the application without re-entering the user ID and password). The single sign-on capability shall be compatible with the user's operating system sign-on.	Preferred	Preferred
44	Security & Authentication	The system shall provide the ability to create user IDs with an expiration date and time and link the user logon ID to the employee or contractor Information including, but not limited to identification number, assigned locations, etc.	Preferred	Preferred
45	Security & Authentication	The system shall provide the ability to support 128-bit SSL or higher or TLS, between the client browser and all application modules.	Mandatory	Mandatory
46	Security & Authentication	Provide encryption capability for application data exchanged between the front-end user system and the back-end servers.	Mandatory	Mandatory
47	Security & Authentication	The system shall provide protection against authorized access to data by persons and other software programs.	Mandatory	Mandatory

48	Security & Authentication	The system shall provide the ability to display, at logon, the last date and time the user accessed the system.	Preferred	Preferred
49	Security & Authentication	The system shall allow an administrator to inactivate user access	Mandatory	Mandatory
50	Security & Authentication	The system shall provide the ability to suspend user access based on a table-driven parameter (i.e. employment status).	Preferred	Preferred
51	Security & Authentication	The system shall allow the ability to manage user permissions centrally for all modules of the applications.	Mandatory	Mandatory
52	Security & Authentication	The system shall mask (i.e., substituting password characters with '*') passwords as they are entered into the system.	Mandatory	Mandatory
53	Security & Authentication	The system shall provide the ability to support using tokens and/or passwords for user logons.	Mandatory	Mandatory
54	Security & Authentication	The system shall provide the ability to for users to change password and allow users to periodically change their password and allow password expiration.	Mandatory	Mandatory
55	Security & Authentication	The system shall provide the ability to suspend user-access after a user-defined period (e.g. 90 days) of inactivity.	Preferred	Preferred
56	Security & Authentication	The system shall provide the ability to configure passwords including, but not limited to the following:	Mandatory	Mandatory
56.1	Security & Authentication	A minimum password length of at least eight characters.	Mandatory	Mandatory
56.2	Security & Authentication	Support passwords that are case sensitive, contain numbers, alphanumeric characters, and special characters.	Mandatory	Mandatory
56.3	Security & Authentication	Require complex passwords based on user defined criteria.	Mandatory	Mandatory
56.4	Security & Authentication	Prevent trivial passwords (e.g. repeat characters, keyboard strings).	Preferred	Preferred
56.5	Security & Authentication	Prevent re-use of passwords	Preferred	Preferred
56.6	Security & Authentication	Require non-dictionary-based passwords	Preferred	Preferred
57	Security & Authentication	The system shall provide the ability to record the date and time the password was changed.	Mandatory	Mandatory

58	Security & Authentication	The system shall provide the ability to deny user access after a City-defined number of unsuccessful attempts to logon.	Mandatory	Mandatory
59	Security & Authentication	The system shall provide the ability to log, based on user-defined criteria, each authorized and/or unauthorized access attempt. Log information includes, but is not limited to, user identification, IP address, date, time, transaction type, and type of access (e.g. read, modify).	Mandatory	Mandatory
60	Security & Authentication	The system shall provide the ability to record and maintain past security profiles (i.e. history of security access for an employee) when changes are made to an employee's security profile.	Preferred	Preferred
61	Security & Authentication	The system shall provide the ability to assign application access rights for the entire suite of applications at a single point of entry.	Mandatory	Mandatory
62	Security & Authentication	The system shall provide the ability to control access to all activities (e.g. online transactions, batch processing, report writer, query, system utilities) including, but not limited to the following levels:	Mandatory	Mandatory
62.1	Security & Authentication	System	Mandatory	Mandatory
62.2	Security & Authentication	Database	Mandatory	Mandatory
62.3	Security & Authentication	Module	Mandatory	Mandatory
62.4	Security & Authentication	Field	Mandatory	Mandatory
62.5	Security & Authentication	Inquiry	Mandatory	Mandatory
62.6	Security & Authentication	Report	Mandatory	Mandatory
62.7	Security & Authentication	Approval	Mandatory	Mandatory
62.8	Security & Authentication	Transaction	Mandatory	Mandatory
62.9	Security & Authentication	Table	Mandatory	Mandatory
62.10	Security &	Individual	Mandatory	Mandatory

	Authentication			
62.11	Security & Authentication	Group	Mandatory	Mandatory
62.12	Security & Authentication	Organization (e.g. department, division)	Mandatory	Mandatory
62.13	Security & Authentication	User Role (e.g. supervisor, data entry, review only) across all functional areas.	Mandatory	Mandatory
62.14	Security & Authentication	User Site (i.e. location) across all functional areas.	Mandatory	Mandatory
62.15	Security & Authentication	Position across all functional areas.	Mandatory	Mandatory
62.16	Security & Authentication	Period	Mandatory	Mandatory
63	Security & Authentication	The system shall provide the ability to create and maintain security profiles to control access including, but not limited to the following:	Mandatory	Mandatory
63.1	Security & Authentication	Employee Level	Mandatory	Mandatory
63.2	Security & Authentication	Module	Mandatory	Mandatory
63.3	Security & Authentication	Field	Mandatory	Mandatory
63.4	Security & Authentication	Transaction Type	Mandatory	Mandatory
63.5	Security & Authentication	Employee Group	Mandatory	Mandatory
63.6	Security & Authentication	Standard Report	Mandatory	Mandatory
63.7	Security & Authentication	Ad hoc Report	Mandatory	Mandatory
64	Security & Authentication	The system shall provide the ability to automatically log users off the system when there has been no activity for a pre-defined period.	Mandatory	Mandatory

65	Security & Authentication	The system shall provide the ability to generate summary and detail reports including, but not limited to user access, usage logs, audit logs, failed and/or unauthorized access attempts based on user defined parameters (e.g. audit requirements). The system shall also provide the ability to alert the application administrator when any of these events exceed a specific threshold.	Mandatory	Mandatory
66	Security & Authentication	The system shall provide the ability to utilize session encryption methods necessary to ensure the secure electronic transfer of sensitive information.	Mandatory	Mandatory
67	Database Architecture	The system shall provide the ability to set up log event triggers to automatically notify the system administrator when user-defined database conditions are met. (Note: If a hosted solution, provide access to configurable alerts)	Mandatory	
68	Audit	The system shall provide user-defined audit features for all transactions in solution including, but not limited to all historical changes, date, time, and User ID of the person making the change.	Mandatory	Mandatory
69	Audit	The system shall provide the ability to prevent audit records from being deleted or altered, except as part of a system administration archival process.	Mandatory	Mandatory
70	Audit	The system shall provide the ability for audit-tracking reports including, but not limited to user access and usage logs.	Mandatory	Mandatory
71	Audit	The system shall provide the ability to archive and restore audit logs.	Mandatory	Mandatory
72	Data Storage & Archiving	The system shall provide online access to the current year plus unlimited previous years of all types of data retained in the system, and shall provide archive capabilities thereafter.	Mandatory	Mandatory
73	Data Storage & Archiving	The system shall provide the ability to archive data to external storage media and support partitions, based on user-defined including, but not limited to number of years.	Mandatory	Mandatory

74	Data Storage & Archiving	The system must be capable of exporting all the content, including all the metadata entered by users as well as system generated metadata and any digital objects associated with the content, into non-proprietary file formats (e.g. xml/csv/txt and Tiff/PDF/JPG etc.) and all exported content must be linked either through naming conventions or metadata elements. This shall include the following capability:	Preferred	Preferred
74.1	Data Storage & Archiving	For content that is of permanent value, the system shall have a mechanism of extracting that content, and all associated metadata, from the system on a pre-defined time schedule, as well as by ad hoc requests.	Preferred	Preferred
75	Business Continuity and Disaster Recovery	The system shall provide full recovery and system backup capabilities for all online and batch transactions according to City-specified timeframes.	Mandatory	Mandatory
76	Business Continuity and Disaster Recovery	The system shall provide the ability to restore transactions from the database transaction log.	Mandatory	Mandatory
77	Business Continuity and Disaster Recovery	The system shall provide software redundancy, including but not limited to:	Mandatory	Mandatory
77.1	Business Continuity and Disaster Recovery	Software crash tolerance (i.e. server and client software shall maintain its integrity in case of power failures and abrupt shutdowns).	Mandatory	Mandatory
77.2	Business Continuity and Disaster Recovery	Redundancy in the application server tier with automated cut-over	Mandatory	Mandatory
77.3	Business Continuity and Disaster Recovery	Redundancy in the database server tier with automated cut-over	Mandatory	Mandatory
77.4	Business Continuity and Disaster Recovery	Restart and recovery capability after system/server failure with no loss of data or software components.	Mandatory	Mandatory
77.5	Business Continuity and Disaster Recovery	Roll-back capability	Mandatory	Mandatory

77.6	Business Continuity and Disaster Recovery	Integrity checking capability to identify the existence of program and/or system discrepancies and issue an alert to the appropriate systems operations team.	Mandatory	Mandatory
77.7	Business Continuity and Disaster Recovery	File protection capability to limit the types of operations (e.g. read, write, delete, data dictionary modification) that can be performed by individual users on given data or program files.	Mandatory	Mandatory
77.8	Business Continuity and Disaster Recovery	Incremental, differential, and full backups and restores of the database, core and customized software, software and database configuration options, user preferences and rights, etc. This includes the ability to recover specific data records and/or files from backup and/or near-line storage.	Mandatory	Mandatory
78	Business Continuity and Disaster Recovery	The system shall provide the ability for authorized users to view and print application error logs online.	Preferred	
79	Business Continuity and Disaster Recovery	The system shall provide the ability to alert specified users when key components are unavailable (e.g., DBMS, servers, interfaces, network transport, etc.).	Mandatory	Preferred
80	Business Continuity and Disaster Recovery	The proposed solution shall permit the administration of application updates and operating system security patches without downtime.	Preferred	Preferred
81	Security & Authentication	The system shall be PCI-compliant when handling credit card transactions.	Mandatory	Mandatory
82	Security & Authentication	The system shall ensure the City's data is not made available to any other parties not specifically authorized to view or access the data. (ASP Hosted)	__	Mandatory
83	Security & Authentication	If, as a result of annual security assessments, high vulnerabilities are discovered, they must be remediated within one month of discovery.	__	Preferred
84	Security & Authentication	The vendor must conduct a 3rd party annual security assessment of all tiers of its hosting facility, including application servers and network devices. Copies of the security audit reports must be provided to the City of Austin annually. (ASP Hosted)	__	Mandatory

85	Data Storage & Archiving	The vendor shall provide the City a complete copy of current and archived data hosted by an ASP provider in the event of contract termination. (ASP Hosted)	__	Mandatory
86	Data Storage & Archiving	Hosted solutions shall support off-line storage of the City's data at the City's site. (ASP Hosted)	__	Mandatory
87	Data Storage & Archiving	The solution shall support future releases of the application without rendering the archived data unusable.	Mandatory	Mandatory
88	Security & Authentication	The proposed solution shall not require operating system administrator privileges on the client workstation(s) to run or receive application updates.	Mandatory	Mandatory
89	Security & Authentication	If bulk data loads via the Internet are supported by the solution, a secure network transport method for bulk data shall be supported.	Mandatory	Mandatory
90	Security & Authentication	When new users are created, the security permissions assigned to the new accounts shall default to least privileged.	Mandatory	Mandatory
91	Security & Authentication	Authorized users shall have the ability to monitor (in near real-time) and report on file access activities for a particular user, group, application, device, and file.	Preferred	Preferred
92	Security & Authentication	The solution shall display a configurable security banner upon login.	Preferred	Preferred
93	Security & Authentication	The proposed solution shall include re-assignable application ports to maintain network security.	Preferred	Preferred
94	Security & Authentication	The proposed solution shall provide a method to rename built-in system accounts (i.e. Administrator, Admin, Super, etc.)	Preferred	Preferred
95	Security & Authentication	The proposed solution shall provide a method to change the passwords for built-in system accounts (i.e. Administrator, Admin, Super, etc.)	Mandatory	Mandatory
96	Security & Authentication	When the vendor is connected to the City's VPN for solution support purposes, single tunneling shall be required (which means that they are disconnected from their local network during the VPN session).	Mandatory	Mandatory

97	Security & Authentication	Passwords must NOT be included in automated sign-on procedures, stored unencrypted in cache, or transmitted as clear text over the network.	Mandatory	Mandatory
98	Security & Authentication	The application shall provide a transaction log related to changes made to security (roles/groups/permissions).	Mandatory	Mandatory
99	Security & Authentication	To help enforce City's security policies, the solution shall allow the application administrator to disconnect a particular user and to lock out a user during an active session.	Mandatory	Mandatory
100	Security & Authentication	The application shall allow the Application Administrator to restrict generic logins.	Mandatory	Mandatory
101	Security & Authentication	The application shall allow the Application Administrator to set the number of concurrent logins for a particular user on the same or on multiple workstations. The application shall generate an alert if a user attempts or exceeds this number.	Preferred	Preferred
102	Data Storage & Archiving	The solution shall be capable of utilizing computer storage devices (SAN).	Mandatory	__
103	Data Storage & Archiving	The City shall be able to accurately plan for storage and backup requirements, both for initial implementation and for future growth.	Mandatory	__
104	Data Storage & Archiving	The proposed solution shall be capable of dynamically accepting changes to network configurations with little or no impact on solution availability (i.e. installing additional servers/workstations and changing the IP or subnet of any of the servers).	Mandatory	__
Solution Technology				
105	End-User Interface	The system shall provide end-user interfaces capabilities including, but not limited to the following:	Preferred	Preferred
105.1	End-User Interface	Consistent look and feel across all modules.	Preferred	Preferred
105.2	End-User Interface	Ability to customize views throughout all modules at the field and record level.	Preferred	Preferred

105.3	End-User Interface	Enable the user to complete each step in the workflow process within a given screen (i.e. the end-user shall not be required to navigate to multiple screens to complete a task(s) in the workflow).	Preferred	Preferred
106	End-User Interface	The system shall provide a variety of ways to navigate the system including, but not limited to the following:	Preferred	Preferred
106.1	End-User Interface	Menu-driven	Preferred	Preferred
106.2	End-User Interface	Drop-down lists for selection of valid responses	Preferred	Preferred
106.3	End-User Interface	Icon-based	Preferred	Preferred
106.4	End-User Interface	Kiosk, mobile device presentation	Preferred	Preferred
107	End-User Interface	The system shall allow customizable views, including but not limited to the ability to accommodate both the casual and power users requiring different views, and the integration of information from multiple modules into a unified end-user display	Preferred	Preferred
108	End-User Interface	The system shall provide "out of the box" functionality which allows end-users data entry and/or inquiry access from mobile/devices/PDAs.	Preferred	Preferred
109	End-User Interface	The system shall support multiple languages for specific transactions including, but not limited to time entry and public portal.	Preferred	Preferred
110	End-User Interface	The system shall meet Web Accessibility standards including, but not limited to the ability to support ADA and compliant with Section 508 of the Federal Rehabilitation Act (see http://www.access-board.gov/sec508/summary.htm). (Web based applications must be ADA compliant following the specifications of 508c of the Americans With Disabilities Act. If compliance is not possible, reasonable alternatives may be considered.)	Mandatory	Mandatory
111	Data Entry Support & On-Line Help	The system shall provide field level edit checks for transactions during data entry and provide immediate user feedback including, but not limited to error messages, potential possible corrective actions, warnings, data validation from external sources (e.g. GIS data for address validation, USPS for zip code validation).	Preferred	Preferred

112	Data Entry Support & On-Line Help	The system shall provide online help that displays data field definitions for all user-entered data fields.	Preferred	Preferred
113	Data Entry Support & On-Line Help	The system shall provide the ability to design a preferred sequence to make data-entry columns and fields match the order of information in organization source documents.	Preferred	Preferred
114	Data Entry Support & On-Line Help	The system shall provide the ability to describe the nature of data entry errors and potential solutions.	Preferred	Preferred
115	Data Entry Support & On-Line Help	The system shall provide the ability to allow data entry fields to default to the last entry for applicable data fields as determined by the City.	Preferred	Preferred
116	Data Entry Support & On-Line Help	The system shall provide the ability to auto-fill an entry based on the transaction and/or field entry (e.g., dates, city, state, zip, etc.)	Preferred	Preferred
117	Data Entry Support & On-Line Help	The system shall provide the ability to restrict free form entry (e.g. require use of drop-down calendar for date field).	Mandatory	Mandatory
118	Data Entry Support & On-Line Help	The system shall provide the ability to accept mass data entry from an external source, including the ability to load through automated interface.	Preferred	Preferred
119	Security	The system shall have the ability to encrypt data (e.g. medical records, personal information)	Preferred	Preferred
120	Data Entry Support & On-Line Help	The system shall provide the ability to perform intelligent spell checking of text fields.	Preferred	Preferred
121	Data Entry Support & On-Line Help	The system shall provide the ability to minimize the use of the mouse when an end-user performs data entry functions.	Preferred	Preferred
122	Data Entry Support & On-Line Help	The system shall provide the ability for user to receive confirmations and notifications for user transactions, batch transactions, and system administrator transactions.	Preferred	Preferred
123	Data Entry Support & On-Line Help	The system shall provide the ability for end-users to receive clear and non-technical error messages including, but not limited to the following:	Preferred	Preferred
123.1	Data Entry Support & On-Line Help	The exact status of the transaction.	Preferred	Preferred

123.2	Data Entry Support & On-Line Help	The options for on-line help.	Preferred	Preferred
123.3	Data Entry Support & On-Line Help	The options for additional help including phone, fax number, and a pre-formatted e-mail problem report.	Preferred	Preferred
124	Data Entry Support & On-Line Help	The system shall provide customizable auto-save functionality that periodically retains data in case data entry is suspended or interrupted.	Preferred	Preferred
125	Data Entry Support & On-Line Help	The system shall provide the ability for the City's authorized users to create and/or modify the content of on-screen error messages.	Preferred	Preferred

CITY OF AUSTIN
PURCHASING OFFICE
PROPOSAL PREPARATION INSTRUCTIONS AND EVALUATION FACTORS
REVISED 02/27/2014
SOLICITATION NUMBER: SMW0120

1. PROPOSAL FORMAT

Prefacing the proposal, the Proposer shall provide an Executive Summary which gives in brief, concise terms, a summation of the proposal. The Executive Summary should include the following information:

- Summation of proposal
- Explanation of the suitability of product (10 pages or less)
- Statement of assumptions made

Proposals should be bound documents with sequentially numbered pages including a table of contents. The proposal itself shall be organized in the following format and informational sequence:

A. **Cover Letter**: On agency/organization letterhead, include contact person(s), mailing address, e-mail address, telephone number and fax number for individuals authorized to answer technical, price and/or contract questions.

B. **Table of Contents**: Table of contents with all pages sequentially numbered

C. **Business Organization:** Response should include the following:

i. Legal firm name, headquarters address, local office addresses if any, and state of incorporation.

ii. Listing of principal officers of the company including name, title, and tenure.

iii. Is your firm legally authorized, pursuant to the requirements of the Texas Statutes, to do business in the State of Texas?

iv. List and describe all bankruptcy petitions (voluntary or involuntary) which have been filed by or against your firm, its parent or subsidiaries, predecessor organization(s), or any wholly owned subsidiary during the past five (5) years. Include in the description the disposition of each such petition.

v. List all claims, arbitrations, administrative hearings, and lawsuits brought by or against your firm, its predecessor organization(s), or any wholly owned subsidiary during the last five (5) years. The list shall include all case names; case, arbitration, or hearing identification numbers; the name of the project over which the dispute arose; a description of the subject matter of the dispute; and the final outcome of the claim.

vi. List and describe all criminal proceedings or hearings concerning business related offenses in which your firm, its principals, officers, predecessor organization(s), or wholly owned subsidiaries were defendants.

vii. Has your firm ever failed to complete any work awarded to you? If so, where and why?

viii. Has your firm ever been terminated from a contract? If so, where and why?

D. **Prior Experience & References**: Describe only relevant corporate experience and individual experience for personnel who will be actively engaged in the project. Do not include corporate experience unless personnel assigned to this project actively participated. Do not include experience prior to 2000. Supply the project title, year, project description including details and size to qualify as applicable to this project, detail if project was completed on time and budget as applicable, and include a contact name, title, e-mail address, present address, and phone number of principal person for whom prior projects were accomplished.

Provide a minimum of three (3) customer references, which are operating a fully functional system of similar scope and magnitude as described in this RFP. All client reference information must be supported and verified. Reference contacts must be aware that they are being used and agreeable to City interview for follow-up.

The City may solicit from previous clients, or any available sources, relevant information concerning Proposer's record of past performance. Provide references to any sources in active use by the user community of the proposed solution.

References must include the following information:
- Name of Company
- Number of personnel
- Contact name – sponsor or IT Lead
- Contact address
- Contact telephone number
- Contact e-mail
- System description (hardware and software configuration, version number of software and network configuration)
- Date of system installations

E. **Personnel**: Include names and qualifications of all professional personnel who will be assigned to this project. State the primary work assigned to each person and the percentage of time each person will devote to this work. Identify key persons by name and title. Provide all resumes.

F. **Technical Requirements:**

As per Section 0500, Part 4.0, each table provides a description of the desired vendor response.

Responses for each technical requirement should include:
- Reference to the requirement number or ID
- Description of how the solution will meet the objective of the described need
- Any applicable references to industry best practices
- Documentation or evidence as requested in the required response

G. **Functional Requirements:**

As per Section 0500, Part 5.0, each table provides a description of the desired vendor response. The vendor should feel free if applicable to address any tooling detail relevant to their offerings even if we determined it was out of scope.

Responses for each functional requirement should include:
- Reference to the requirement number
- Indication of how/if the requirement or associated feature shall be met: base (out of the box) functionality, configuration, 3rd party solution, customization, or not available. Unless otherwise specified, each response will be considered classified as base functionality.
- Description of how the solution will meet the objective of the described need
- Any applicable references to industry best practices

H. Supplemental Submittal Requirements:

1. General

1.1 Provide a minimum of two (2) most recent years of audited annual reports that evidence the financial health of the organization. In the event that audited financial statements cannot be provided, the Vendor must provide financial information that will enable the City to accurately assess financial stability and viability. Provide the same information for any entity that will participate in this project through a joint venture or subcontract arrangement.

1.2 Provide descriptions of the Vendor's senior management team that detail their background and industry experience.

1.3 Describe how the system protects data from security breaches. Include any applicable descriptions of insurance, roles/responsibilities, policies and remediation procedures pertaining to data breach and fraud.

1.4 Provide evidence of experience with projects of similar size, scope, and complexity.

1.5 Describe any special knowledge, facilities or personnel relevant to this RFP.

1.6 Describe the size, staffing, resources and financial capabilities in place to maintain competitive offerings.

2. Project Management

2.1 Describe the proposed methodology including how it will be used in this project. Provide evidence that this approach has resulted in successful projects in the past.

2.2 Provide an estimated schedule of work consistent with the requirements in this RFP. Describe the anticipated tasks, durations, milestones and resources required for each phase of the project schedule. Specify proposed demarcation of responsibilities between the City and the Vendor.

2.3 Describe the availability and skill level of resources for the project, and how resource time, work quality and priorities are managed.

2.4 Describe any communication strategies and best practices that would be employed as part of the solution implementation.

3. Testing

3.1 Provide an explanation of your testing methodology. Explain how this approach will be used in this project. List and describe the tools to be utilized.

3.2 Provide samples of recent test plans or scripts that clearly show the process used for testing and system test results.

3.3 Provide a detailed test plan that describes how the system will be fully tested against agreed upon use cases, how results will be documented and managed, and how defects will be resolved. Include acceptance criteria or describe how acceptance criteria are established for all areas of testing. Address how testers are prepared for, and conduct: functional, regression, usability, and user acceptance testing. Specify proposed demarcation of responsibilities between the City and the Vendor.

4. Implementation

4.1 Provide an implementation plan that details steps and timeframes required to implement specific products and services. Specify proposed demarcation of responsibilities between the City and the Vendor.

4.2 Describe the qualification and experience of personnel that may be deployed to the City's site.

4.3 Describe the specific On-Site implementation services that are offered. The City's preference is that these services are offered from local or regionally based locations.

4.4 Describe how the "go-live" will be executed and how affected stakeholders will be prepared for this transition, including knowledge transfer activities. Add any transition/cut-over plan and roll back recommendations that may be relevant to this project. Specify proposed demarcation of responsibilities between the City and the Vendor. The Plan should explicitly include those activities necessary to prepare City personnel for post-implementation roles.

4.5 Describe past "go-lives" that were completed successfully including any pertinent lessons learned and best practices.

5. Training and System Documentation

5.1 Describe the training environments and types of training provided to meet the objectives of the project. Specify proposed demarcation of responsibilities between the City and the Vendor.

5.2 Describe what kinds of training materials will be provided and how these can be modified for use by City staff to conduct user training. Provide sample of most recent training materials.

5.3 Describe the process that will be used to keep users up to speed on new features and system upgrades.

5.4 Describe the maintenance and operations documentation that would be delivered for each component of software or equipment in association with the solution.

6. Support and Ongoing Service

6.1 Describe the support model that is used to support the system. Specify proposed demarcation of responsibilities between the City and the Vendor. Provide a detailed list of the necessary resources and expertise, complete with personnel job descriptions, which shall be required for the City to maintain the system once implemented.

6.2 Provide a detailed five year support and maintenance plan including: methods of contact; support team availability; service levels; timeframes for supporting or delivering critical security patch updates, updated database or web browser versions after release; software/browsers/hardware supported; updated user guides on all major updates or system changes, and warranty information. Note that remote access to City resources shall only be permitted providing that authorized users (CBI) are authenticated, data is encrypted across the network, and privileges are restricted.

6.3 Describe the roles/responsibilities and accountability (i.e. Service Level Agreements) with any sub-contractors connected with the system, including its implementation and support.

6.4 Describe any planned releases and roadmaps associated with expanding or improving the system in the future.

H. **Local Business Presence**: The City seeks opportunities for businesses in the Austin Corporate City Limits to participate on City contracts. A firm (Offeror or Subcontractor) is considered to have a Local Business Presence if the firm is headquartered in the Austin Corporate City Limits, or has a branch office located in the Austin Corporate City Limits in operation for the last five (5) years. The City defines headquarters as the administrative center where most of the important functions and full responsibility for managing and coordinating the business activities of the firm are located. The City defines branch office as a smaller, remotely located office that is separate from a firm's headquarters that offers the services requested and required under this solicitation. Points will be awarded through a combination of the Offeror's Local Business Presence and/or the Local Business Presence of their subcontractors. Evaluation of the Team's Percentage of Local Business Presence will be based on the dollar amount of work as reflected in the Offeror's MBE/WBE Compliance Plan or MBE/WBE Utilization Plan. Specify if and by which definition the Offeror or Subcontractor(s) have a local business presence.

I. **Proposal Acceptance Period**: All proposals are valid for a period of one hundred and eighty (180) calendar days subsequent to the RFP closing date unless a longer acceptance period is offered in the proposal

J. **Proprietary Information**: All material submitted to the City becomes public property and is subject to the Texas Open Records Act upon receipt. If a Proposer does not desire proprietary information in the proposal to be disclosed, each page must be identified and marked proprietary at time of submittal. The City will, to the extent allowed by law, endeavor to protect such information from disclosure. The final decision as to what information must be disclosed, however, lies with the Texas Attorney General. Failure to identify proprietary information will result in all unmarked sections being deemed non-proprietary and available upon public request.

K. **Authorized Negotiator**: Include name, address, and telephone number of person in your organization authorized to negotiate Contract terms and render binding decisions on Contract matters.

L. **Cost Proposal**: Information described in the following subsections is required from each Proposer. Your method of costing may or may not be used but should be described. A firm fixed price or not-to-exceed Contract is contemplated, with progress payments as mutually determined to be appropriate. Ten percent (10%) of the total contractual price for the initial purchase and implementation will be retained until submission and acceptance of all work products.

Proposer must submit the completed cost proposal spreadsheet provided in Attachment A. Proposer must provide all costs (with 4 year forecast) associated with this project such as:

- Hardware
- Software
- Third party software (if applicable)
- Implementation
- Interface/Integration
- Documentation
- Project Management Services
- Annual Maintenance & Support (for four years following final acceptance and the warranty period)

- Others (if applicable)

Along with the cost proposal, provide a proposed payment schedule with deliverables and acceptance criteria for each.

i. Travel expenses. All travel lodging expenses in connection with the Contract for which reimbursement may be claimed by the Contractor under the terms of the Solicitation will be reviewed against the City's Travel Policy as published and maintained by the City's Controller's Office and the Current United States General Services Administration Domestic Per Diem Rates (the "Rates") as published and maintained on the Internet at:

http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentId=17943&contentType=GSA_BASIC

No amounts in excess of the Travel Policy or Rates shall be paid. All invoices must be accompanied by copies of detailed receipts (e.g. hotel bills, airline tickets). No reimbursement will be made for expenses not actually incurred. Airline fares in excess of coach or economy will not be reimbursed. Mileage charges may not exceed the amount permitted as a deduction in any year under the Internal Revenue Code or Regulations.

2. **EXCEPTIONS**:

Be advised that exceptions to any portion of the Solicitation may jeopardize acceptance of the Proposal. Provide a "Matrix of Exceptions" to the requirements of the RFP. Identify the requirement, describe the nature of the deviation and provide an explanation or an alternative. This matrix shall include any exceptions for all sections of the RFP and Scope of Work.

3. **PROPOSAL PREPARATION COSTS**:

All costs directly or indirectly related to preparation of a response to the RFP or any oral presentation required to supplement and/or clarify a proposal which may be required by the City shall be the sole responsibility of the Proposer.

4. **EVALUATION FACTORS AND AWARD**

A. **Competitive Selection**: This procurement will comply with applicable City Policy. The successful Proposer will be selected by the City on a rational basis. Evaluation factors outlined in Paragraph B below shall be applied to all eligible, responsive Proposers in comparing proposals and selecting the Best Offeror. Award of a Contract may be made without discussion with Proposers after proposals are received. Proposals should, therefore, be submitted on the most favorable terms.

B. **Evaluation Factors**:

i. 100 points.

Evaluation Factor No.	**Title**	**Maximum Point Value**
1	Total Cost of Proposal	20

Evaluation Factor No.	**Title**	**Maximum Point Value**
2	Technical Requirements	20
3	Functional Requirements	30
4	Supplemental Submittal Requirements	20
5	Local Business Presence	10
6	Financial Viability/Stability	PASS/FAIL

(1) **Total Cost Proposed – 20 points**
- Proposer with lowest cost to the City will be given maximum number of points, remainder given on a percentage ratio basis

(2) **Technical Requirements Proposed (As per Section F above)- 20 points**
- Responses to Technical Requirements included in section 0500, Scope of Work part 4

(3) **Functional Requirements Proposed (As per section G above) – 30 points**
- Responses to Functional Requirements included in section 0500,Scope of Work part 5

(4) **Supplemental Requirements Proposed (As per Section H above) – 20 points**
- General
- Project Management
- Testing
- Implementation
- Training and System Documentation
- Support and Ongoing Services

(5) **Local Business Presence – 10 points**

Team's Local Business Presence	Points Awarded
Local business presence of 90% to 100%	10
Local business presence of 75% to 89%	8
Local business presence of 50% to 74%	6
Local business presence of 25% to 49%	4
Local presence of between 1 and 24%	2
No local presence	0

(6) **Financial Viability/Stability – Pass/Fail**

ii. Interviews/Demonstrations, Optional. Interviews or Demonstrations may be conducted at the discretion of the City. Maximum 20 points

ATTACHMENT A: COST PROPOSAL

The City anticipates purchasing any additional servers, storage solutions, and associated system software through existing contracts when possible. Proposers may include such items as alternates for consideration; however all specifications, unit pricing, discount pricing, installation, and warranty information must be clearly provided and described. Despite how the required hardware and system software is purchased, the Proposer must accept responsibility for defining the technical requirements and associated configuration required to meet the City's stated objectives. The City reserves the right to award in our best interest including options such as the software without services etc.

Software and Maintenance Costs

Description	Year One Cost	Year Two Cost	Year Three Cost	Year Four Cost	Year Five Cost
Software					
Licensing					
Hosting Fees (if Vendor hosted)					
Annual Maintenance and Support					
Other Costs if Required*					
Per Year Total					

*Include a detailed breakdown of other specific costs not referenced above on a separate sheet. Any customization or 3rd party software referenced in the response to Requirements.

Implementation Costs

Proposer must submit a detailed breakdown of services included as part of the implementation for both phases.

Description	Phase One Cost	Phase Two Cost
Implementation Services		
Training		
System Integrations		
Other Costs if Required		
Total Cost		

Additional Services, Custom Development

Fixed hourly rate for custom development requested by the City of Austin for software functionality not included in the base software licensing agreement for years two through five.

Description	Year Two	Year Three	Year Four	Year Five
Customer Requested Development (fixed per hour cost)				

Describe any complementary solutions that may benefit City, including functional description and cost. The cost of any complementary items are for informational purposes and will not be considered as part of the cost evaluation of the proposal.

Section 0605: Local Business Presence Identification

A firm (Offeror or Subcontractor) is considered to have a Local Business Presence if the firm is headquartered in the Austin Corporate City Limits, or has a branch office located in the Austin Corporate City Limits in operation for the last five (5) years. The City defines headquarters as the administrative center where most of the important functions and full responsibility for managing and coordinating the business activities of the firm are located. The City defines branch office as a smaller, remotely located office that is separate from a firm's headquarters that offers the services requested and required under this solicitation.

OFFEROR MUST SUBMIT THE FOLLOWING INFORMATION FOR EACH LOCAL BUSINESS (INCLUDING THE OFFEROR, IF APPLICABLE) TO BE CONSIDERED FOR LOCAL PRESENCE.

NOTE: ALL FIRMS MUST BE IDENTIFIED ON THE MBE/WBE COMPLIANCE PLAN OR NO GOALS UTILIZATION PLAN, IF APPLICABLE.

USE ADDITIONAL PAGES AS NECESSARY

OFFEROR:

Name of Local Firm						
Physical Address						
Is Firm located in the Corporate City Limits? (circle one)	Yes			No		
In business at this location for past 5 yrs?	Yes			No		
Location Type:	Headquarters	Yes	No	Branch	Yes	No

SUBCONTRACTOR(S):

Name of Local Firm						
Physical Address						
Is Firm located in the Corporate City Limits? (circle one)	Yes			No		
In business at this location for past 5 yrs?	Yes			No		
Location Type:	Headquarters	Yes	No	Branch	Yes	No

SUBCONTRACTOR(S):

Name of Local Firm						
Physical Address						
Is Firm located in the Corporate City Limits? (circle one)	Yes			No		
In business at this location for past 5 yrs?	Yes			No		
Location Type:	Headquarters	Yes	No	Branch	Yes	No

Section 0815: Living Wages and Benefits Contractor Certification

Company Name ____

Pursuant to the Living Wages and Benefits provision (reference Section 0400, Supplemental Purchase Provisions) the Contractor is required to pay to all employees directly assigned to this City contract a minimum Living Wage equal to or greater than $11.00 per hour.

I hereby certify under penalty of perjury that all of the below listed employees of the Contractor who are directly assigned to this contract:

(1) are compensated at wage rates equal to or greater than $11.00 per hour

Employee Name	Employee Job Title

USE ADDITIONAL PAGES AS NECESSARY

(2) all future employees assigned to this Contract will be paid a minimum Living Wage equal to or greater than $11.00 per hour.

Our firm will not retaliate against any employee claiming non-compliance with the Living Wage provision.

A Contractor who violates this Living Wage provision shall pay each employee affected the amount of the deficiency for each day the violation continues. Willful or repeated violations of the provision may result in termination of this Contract for Cause and subject the firm to possible suspension or debarment.

Section 0835: Non-Resident Bidder Provisions

Company Name ____

A. Bidder must answer the following questions in accordance with Vernon's Texas Statues and Codes Annotated Government Code 2252.002, as amended:

   Is the Bidder that is making and submitting this Bid a "Resident Bidder" or a "non-resident Bidder"?

   Answer:____

   (1) Texas Resident Bidder- A Bidder whose principle place of business is in Texas and includes a Contractor whose ultimate parent company or majority owner has its principal place of business in Texas.
   (2) Nonresident Bidder- A Bidder who is not a Texas Resident Bidder.

B. If the Bidder id a "Nonresident Bidder" does the state, in which the Nonresident Bidder's principal place of business is located, have a law requiring a Nonresident Bidder of that state to bid a certain amount or percentage under the Bid of a Resident Bidder of that state in order for the nonresident Bidder of that state to be awarded a Contract on such bid in said state?

   Answer:_____________________________ Which State:_____________________________

C. If the answer to Question B is "yes", then what amount or percentage must a Texas Resident Bidder bid under the bid price of a Resident Bidder of that state in order to be awarded a Contract on such bid in said state?

   Answer:____