City of Tulsa Finance Department

### Request for

# **Competitive Sealed Proposal**

# CSP 16-541 IBM-CM-File Conversion Utility

## NIGP Commodity Code(s):

206-56-00

920-24-00

920-30-00

958-82-00

Submit proposals (sealed) to:

Deputy City Clerk City of Tulsa 175 E. 2<sup>ND</sup> St. Suite 260



#### Addendum #1 dated 01/05/2017

These questions and responses have been added for clarification to this invitation for Competitive Sealed Proposal.

- What kicks off the extraction process? Is it bulk/batch, on demand, etc.?
   Answer Manual input from user can be by file containing information or client application using date range, document number range, document type, department, or any indexed field to start unsupervised bulk / batch extraction.
- 2. Which metadata is important and where is it located? Is it entered by a user prior to extraction, does it reside in a table in the database, or is it data that appears on a page in the extracted document?
  - Answer Metadata are extracted in a batch mode, using method from step 1 to select along with the correct documents from the DB2 database.
- Can a Windows mapped drive be linked to Content Manager/On-Demand, to do the extraction, or do the documents need to be extracted from the database via an ODBC connection?
   Answer - We have not successfully connected a Windows workstation to either CM or CMOD using ODBC.
- 4. What documents will require conversion? Answer - AFP and Line images must be converted to TIFF or PDF
- 5. Where will the documents and metadata files be placed after extraction? Answer - The collection of metadata and document will be stored in user defined folders for use with a succeeding application.
- 6. Will this be an on-going project?

  Answer It is part of project to replace an older ERP system. The new ERP is Munis by Tyler.
- 7. Would the generation of load files for the new software be useful?

  Answer It is possible that the interim data may have other uses, but not long term.
- 8. Are the documents stored in the database or does the database merely store a link to a file where the document is stored? Answer - Not known, it is believed to be a DB2 database running on AIX 5.3.
- Is it possible to have an operator try instructions from the command line?
   Answer The person(s) who have the experience to access command line instruction have retired, moved on, and are not available.
- 10. Are the metadata stored as a part of the AFP file or in a relational file? Answer - We are not aware of the storage method employed by either Content Manager.
- 11. What is the data store for CM/CMOD (Cache only, cache +, no cache) Answer We are unfamiliar with this level of system detail.
- many GB of data?

  Answer The amount of data to extract is undetermined because it continues to grow as many City offices contribute documents to the data store. In 2004, there were 700,000 digital documents; there were 1,800,000 in 2007 and 6,000,000 in 2013, which implies our current volume may exceed 11,000,000.

12. What is the size of the data stores (number of volumes, of what types, of what sizes)? How

13. If TSM is involved what is the level and what kind of equipment, (If not IBM - what is the software/hardware and levels?)

Answer - We employ Tivoli, but are unsure if it is involved in the CM/CMOD.

14. What is the ratio of AFP to Line data for CMOD, by count and size? Answer - The information is unavailable at this time.

- 15. What is the typical, low and high page count for typical doc types? (How many doc types?) Answer A low page count would be one (1), but is typical for invoices and approvals. Page counts for reports reach into several hundred. Document types range from Police citations and accident reports to legal briefs, pleadings, and decisions. We also have volumes of engineering drawings and assorted business documents and reports.
- 16. Is CMOD used for non-line data? Answer - Yes
- 17. Describe AFP used: (fully composed?)

  Answer The information is unavailable at this time.
- 18. What are the formats used for CM and Image formats? Answer PDF, Tiff, GIF, unaware any others
- 19. What is the typical number of pages by size of a page?

  Answer The count of pages per document ranges from one (1) to hundreds ('00's). Page size is typically letter, but includes legal and engineering "D" size drawings.
- What is the size of the DB2 environment by total or number of tables?
   Answer The information is unavailable at this time.
- 21. Describe the document indexing used? Answer - Index fields are specific to each document type and can include employee number, case number, scan date, department code, project title, project number, contractor, amount, deed number, approval date, receipt number, commodity code, and many others.
- 22. Describe annotations (text, gfx, ...)?

  Answer The information is unavailable at this time.
- 23. Would you consider conversion as a service done either on site or away?

  Answer Possibly, if after consideration of all options, it is found to be in the best interest of the City.

#### I. STATEMENT OF PURPOSE:

With this Competitive Sealed Proposal (CSP) request, we are searching to secure an "off the shelf" or fully developed bulk extraction tool or information system "utility" that will quickly extract both the documents (as images or PDFs) and the metadata (as a delimited text or excel file with a link to the image) from IBM's Content Manager and IBM's Content Manager OnDemand formatted in a file structure compatible with Microsoft Windows based system.

We enthusiastically look forward to receiving your proposal.

#### II. INSTRUCTIONS FOR SUBMITTING A PROPOSAL:

#### A. General Requirements

- The proposal must be received by 5:00 p.m. on Wednesday, January 11, 2017, Central Daylight Time. Proposals must be sealed in an envelope or box clearly labeled "CSP 16-541 IBM-CM-File Conversion Utility". Proposals arriving late will be returned unopened.
- 2. Proposals must be delivered sealed to:

Deputy City Clerk City of Tulsa 175 E. 2nd St. Suite 260 Tulsa, OK 74103

- **3.** All interested Respondents (Sellers) are required to register with the Buyer, **Terry Thomas**, in order to receive updates, addenda or any additional information required. The City is not responsible for any failure to register.
- 4. Inquiries to the Buyer requesting clarification regarding this CSP request or the content herein must be made via e-mail and must be received prior to the end of the business day on **December 29, 2016**.

Terry Thomas, Buyer tthomas@cityoftulsa.org

Any questions regarding this CSP request will be handled as promptly and as directly as possible. If a question requires only clarification of CSP request instructions or specifications, it will be handled via e-mail, or verbally. If any question results in material changes or additions to the CSP request, those changes or additions will be forwarded to all registered Respondents as quickly as possible by addendum.

5. Respondents shall designate a contact person, with appropriate contact information, to address any questions concerning a proposal. Respondents shall also state the name and title of individuals who will make final decisions regarding contractual commitments and have legal authority to execute a contract on the Respondent's behalf.

#### B. General Notifications

- With this Competitive Sealed Proposal request, the City reserves the right to do the following:
  - a. To conduct oral or written discussions with Respondents, after proposals are received, concerning technical and Price aspects of the proposals and/or to allow Respondents to revise their proposals, including Price:
  - To evaluate, after proposals are received, the relative abilities of Respondents to perform, including their technical or professional experience and/or expertise;
  - c. To conduct a comparative evaluation, after proposals are received, of the differing Price, service, quality, contractual factors, technical content and/or technical and performance capability of the proposals;
  - d. To negotiate mutually agreeable terms in a contract;
- 2. The City of Tulsa notifies all possible Respondents that no person shall be excluded from participation in, denied any benefits of, or otherwise discriminated against in connection with the award and performance of any contract on the basis of race, religious creed, color, national origin, ancestry, physical disability, sex, age, ethnicity, or on any other basis prohibited by law.
- **3.** All Respondents shall comply with all applicable laws regarding equal employment opportunity and nondiscrimination.
- **4.** All Respondents shall comply with the Americans with Disabilities Act (ADA) and all proposals and any subsequent contract shall include the following statement:

"Contractor shall take the necessary actions to ensure its operations in performance of this contract and its employment practices are in compliance with the requirements of the Americans with Disabilities Act."

It is understood that the program of the Respondent is not a program or activity of the City of Tulsa. The Respondent agrees that its program or activity will comply with the requirements of the ADA. Any costs of such compliance will be the responsibility of the Respondent. Under no circumstances will the Respondent conduct any activity which it deems to not be in compliance with the ADA.

- 5. Although it is the City's intent to choose only the most qualified Respondents to interview, the City reserves the right to choose any number of qualified finalists for interview and/or final selection.
- **6.** This Competitive Sealed Proposal request does not commit the City of Tulsa to pay any costs incurred in the submission of a proposal or the costs incurred in making necessary studies and designs for preparation thereof, or contract for service or supplies.

#### III. SCOPE OF WORK:

- 1. The Respondent shall provide a software utility that is compatible with IBM's Content Manager 8.3 and IBM's Content Manager OnDemand 8.4, both on AIX 5.3 systems in DB2 version 8.2.6 databases.
- 2. The Respondent's "utility" shall extract PDF or Tiff content from Content Manager and line or AFP content from IBM's Content Manager OnDemand 8.4 with associated metadata and notes or comments linked as delimited text or Microsoft Excel data files.
- 3. The Respondent's "utility" shall have the capacity to bulk process in excess of 6,000,000 records from each document management system.
- 4. The Respondent's "utility" shall have the ability to filter the extracted documents and segregate it into groups by document types or report types and or by date range and original record name.
- **5.** The Respondent's "utility" shall translate line or AFP formatted content into PDF or TIFF formatted content.
- 6. The Respondent shall possess the operational knowledge of and expertise with older IBM information processing systems necessary to complete the records extraction and conversion in its entirety.

- 7. The Respondent is hereby advised that our need is immediate and shall propose only a well-developed, field proven information system utility that can be deployed expeditiously.
- **8.** The Respondent shall provide technical expertise to give instruction for and resolve issues with installation, configuration and operation of the utility.

#### IV. TIME FRAME FOR REVIEW:

The time frame for review of proposals is expected to be three (3) weeks, but City reserves the right to vary that as necessary to meet its objectives. At the discretion of the City, one or more Respondents may be invited to be interviewed for purposes of clarification or discussion of their proposals.

#### V. <u>DELIVERABLES</u>:

The products, reports, and plans to be delivered to the City will include:

- 1) Full description of the product specification including capacity, compatible operating systems, compatible file formats, operational characteristics, conversion formats, and compatible document management systems.
- 2) A project plan that describes the steps necessary to extract, convert, and archive as a relational data collection.

#### VI. RESPONDENT AND PROPOSAL REQUIREMENTS

To be considered, interested Respondents should submit or address the following:

- A. One (1) unbound original and five (5) bound copies of the proposal plus one electronic (1) copy on CD, DVD, or flash drive.
- **B.** A description of the Respondent's qualifications and experience and that of key personnel assigned to this project (and that of each firm proposed as part of the Respondent's team). It is noted that equipment, material and staff shall be provided by the Respondent.
- **C.** A description of previous projects that Respondent's firm has conducted for organizations of similar size and complexity. Provide contact names and telephone numbers of references from these organizations.
- **D.** Provide a project schedule, identifying beginning and ending dates of work, as well as project target dates.

- **E.** At the discretion of the City, one or more Respondents may be invited to be interviewed for purposes of clarification or discussion of the proposal
- F. Any expenses incurred by the Respondent(s) in appearing for an interview or in any way providing additional information as part of the response to this Competitive Sealed Proposal request are solely the responsibility of the Respondent. The City of Tulsa is not liable for any costs incurred by Respondents in the preparation of proposals or any work performed by the Respondent prior to the approval of an executed contract by the City of Tulsa. The City assumes no responsibility or liability for any costs you may incur in responding to this CSP request, including attending meetings or contract negotiations.

#### VII. EVALUATION OF PROPOSALS:

A panel consisting of not less than four (4) City of Tulsa employees will evaluate proposals. Selection shall be determined to be in the best interest of the City as evaluated by the City of Tulsa. The approval of the selected Respondent will be subject to the final determination of the City and will be contingent on the successful completion of a contract between the City and the successful Respondent.

#### VIII. AWARD OF PROPOSALS:

The City evaluates proposals based on the general criteria identified in Tulsa Revised Ordinance (TRO) Title 6, Chapter 4, and listed below:

- 1. The ability, capacity and skill of the Respondent to perform the contract or provide the service required,
- 2. Whether the Respondent can perform the contract or provide the service promptly or within the time specified, without delay or interference,
- **3.** The character, integrity, reputation, judgment, experience and efficiency of the Respondent,
- **4.** The quality of performance by Respondent of previous contracts or services,
- **5.** The previous and existing compliance by the Respondent with laws and ordinances relating to the contract or service,
- **6.** The sufficiency of the financial resources and ability of the Respondent to perform the contract or provide the service,
- 7. The quality, availability and adaptability of the Services offered by Respondent to the particular use required,

- **8.** The ability of the Respondent to provide future maintenance, support and service related to Respondent's offer,
- **9.** Where an earlier delivery date would be of great benefit to the Using Department, the date and terms of delivery may be considered in the Proposal award,
- **10.** The degree to which the Proposal submitted is complete, clear, and addresses the requirements in the CSP request specifications.
- **11.** If a point system has been utilized in the CSP request specifications, the number of points earned by the Respondent.
- **12.** The total cost of ownership, including the costs of supplies, materials, maintenance, and support necessary to perform the item's intended function.
- **13.** If an evaluation committee performs the evaluation, the recommendation of such committee.

#### IX. <u>MISCELLANEOUS:</u>

- **A.** Your response to this CSP request and any subsequent correspondence related to this proposal process will be considered part of the contract, if one is awarded to you.
- **B.** All data included in this CSP request, as well as any attachments, are proprietary to the City of Tulsa.
- **C.** The use of the City of Tulsa's name in any way as a potential customer is strictly prohibited except as authorized in writing by the City of Tulsa.
- D. Your proposal must clearly indicate the name of the responding organization, including the Respondent's e-mail address and web site information, if applicable, as well as the name, address, telephone number and e-mail address of the organization's primary contact for this proposal. Your proposal must include the name, address, telephone number and e-mail address of the Respondent and/or team of Respondents assigned to the City account.
- **E.** The City is bound to comply with Oklahoma's Open Records Act, and information submitted with your proposal, with few exceptions, is a matter of public record. For specifics, see the provisions of the City of Tulsa Open Records Policy, available via the following link:

#### www.cityoftulsa.org/OurCity/documents/OpenRecordsActPolicy.pdf

The City shall not be under any obligation to return any materials submitted in response to this CSP request.

F.	The City expects to enter into a written Agreement with the chosen Respondent that will incorporate this CSP request and your proposal. In addition to any terms and conditions included in this CSP request, the City may include in the Agreement other terms and conditions as deemed necessary.
	THE REST OF THIS PAGE IS LEFT BLANK INTENTIONALLY
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#### INTEREST AFFIDAVIT

STATE OF)	
COUNTY OF)	
I,	at no officer or employee of the st or more in the Respondent's further states that the following an interest in the Respondent's
By:Signature	
Title:	
Subscribed and sworn to before me thisday of, 20_	
Notary Public	
My Commission Expires:	
Notary Commission Number:	
County & State Where Notarized:	

The Affidavit must be signed by an authorized agent and notarized

#### NON-COLLUSION AFFIDAVIT

(Required by Oklahoma law, 74 O.S. §85.22-85.25)

STATE OF _		)		
COUNTY OF	7	)		
I,state that:				, of lawful age, being first duly sworn,
	er's Autho	rized Agent)		
1.	the exi employ govern	istence of collusion by	petween and pertaining turn for spec	in for the purposes of certifying facts pertaining to d among Respondents and municipal officials of to the giving or offering of things of value to ecial consideration in the letting of any contract tement is attached.
2.	to which		ached, and I	stances surrounding the making of Seller's Proposa I have been personally and directly involved in the such Proposal; and
3.	Neither a. b.	to any collusion amo agreement to Propos to any collusion with price in the prosper contract, nor in any discussions	ong Responde the at a fixed part of any munici- ctive contractive	he Seller's direction or control has been a party: dents in restraint of freedom of competition by price or to refrain from responding, cipal official or employee as to quantity, quality, or act, or as to any other terms of such prospective espondents and any municipal official concerning ng of value for special consideration in the letting of
				Ву:
				Signature Title:
Subscribed an	d sworn to	before me this	day of	, 20
Notary Public My Commissi		:		
Notary Comm County & Sta		nber: otarized:		

The Affidavit must be signed by an authorized agent and notarized

#### AFFIDAVIT OF CLAIMANT

STATE OF	
COUNTY OF	
to be submitted pursuant to this agr Affiant further states that the work, supplied in accordance with the pla furnished or executed by the affiant directly or indirectly to any elected any public trust where the City of T value to obtain payment of the invo	age, being first duly sworn on oath, says that all invoices eement with the City of Tulsa will be true and correct. services or material furnished will be completed or ans, specifications, orders, requests and/or contract. Affiant further states that (s)he has made no payment official, officer, or employee of the City of Tulsa, or of rulsa is a beneficiary, of money or any other thing of ice or procure the contract or purchase order pursuant to fant further certifies that (s)he has complied with all ployment opportunity.  Company:
	Remit to
	Address:
	City, State
	Zip:
	Phone:
	Name (print):
	Signature:
	Title:
Subscribed and sworn to be	fore me this day of, 20
	Notary Public
My commission expires: My commission number:	
County and State where notarized:	

The Affidavit must be signed by an authorized agent and notarized

#### **RESPONDENT INFORMATION SHEET**

State of Organization:	
Respondent's Type of Legal Entity: (c	heck one)  ( ) Limited Liability Company ( ) Limited Liability Partnership ( ) Other:
Address: Street	City State Zip
18/ 1 ·/ A 1 1	Email Address:
Website Address:	Email Addition.
Sales Contact:	Legal or Alternate Sales Contact
Sales Contact: Name:	Legal or Alternate Sales Contact  Name:
Sales Contact:  Name: Street: City:	Legal or Alternate Sales Contact  Name:  Street:
Sales Contact:  Name: Street: City:	Legal or Alternate Sales Contact  Name: Street: City:
Sales Contact:  Name: Street: City: State:	Legal or Alternate Sales Contact  Name: Street: City: State:
Sales Contact:  Name: Street:	Legal or Alternate Sales Contact  Name: Street: City: State: Phone:

# **Price Sheet Summary**

Please itemize the costs of services and products separately.					
Show all costs (e.g. Initial and Annual license fees, per record, data volume)					
Show total amount for the solution.					
Company Name: Date:					
Signature:					
Name Printed:					
Title:					

#### **City of Tulsa General Contract Terms**

It is anticipated that the City of Tulsa will enter into a contract with the selected Respondent for an initial term ending one (1) year from the date of its execution by the City's Mayor, with four (4) one-year renewals available at the option of the City. Contracts entered into by the City of Tulsa generally include, but are not limited to, the following terms:

- 1. Renewals. Contractor understands and acknowledges that any future contracts or renewals are neither automatic nor implied by this Agreement. The continuing purchase by City of the Services set forth in this Agreement is subject to City's needs and to City's annual appropriation of sufficient funds in City's fiscal year (July 1<sup>st</sup> to June 30<sup>th</sup>) in which such Services are purchased. In the event City does not appropriate or budget sufficient funds to perform this Agreement, this Agreement shall be null and void without further action by City.
- 2. No Indemnification or Arbitration by City. Contractor understands and acknowledges that City is a municipal corporation that is funded by its taxpayers to operate for the benefit of its citizens. Accordingly, and pursuant to Oklahoma law, City shall not indemnify nor hold Contractor harmless for loss, damage, expense or liability arising from or related to this Agreement, including any attorneys' fees and costs. In addition, Contractor shall not limit its liability to City for actual loss or direct damages for any claim based on a breach of this Agreement and the documents incorporated herein. City reserves the right to pursue all legal and equitable remedies to which it may be entitled. City will not agree to binding arbitration of any disputes.
- 3. Intellectual Property Indemnification by Contractor. Contractor agrees to indemnify, defend, and save harmless City and its officers, employees and agents from all suits and actions of every nature brought against them due to the use of patented, trademarked or copyright-protected appliances, products, materials or processes provided by Contractor hereunder. Contractor shall pay all royalties and charges incident to such patents, trademarks or copyrights.
- 4. **General Liability.** Contractor shall hold City harmless from any loss, damage or claims arising from or related to the performance of the Agreement herein. Contractor must exercise all reasonable and customary precaution to prevent any harm or loss to all persons and property related to this Agreement.
- 5. Liens. Pursuant to City's Charter (Art. XII, §5), no lien of any kind shall exist against any property of City. Contractor agrees to indemnify and hold the City harmless from all claims, demands, causes of action or suits of whatever nature arising out of the services, labor, and material furnished by Contractor or Contractor's subcontractors under the scope of this Agreement.
- 6. **No Confidentiality.** Contractor understands and acknowledges that City is subject to the Oklahoma Open Records Act (51 O.S. §24A.1 *et seq.*) and therefore cannot assure the confidentiality of contract terms or other information provided by Contractor pursuant to this Agreement that would be inconsistent with City's compliance with its statutory requirements there under.
- 7. Compliance with Laws. Contractor shall be responsible for complying with all applicable federal, state and local laws. Contractor is responsible for any costs of such compliance. Contractor shall take the necessary actions to ensure its operations in performance of this contract and its employment practices are in compliance with the requirements of the Americans with Disabilities Act. Contractor certifies that it and all of its subcontractors to be used in the performance of this agreement are in compliance with 25 O.S. Sec. 1313 and participate in the Status Verification System. The Status Verification System is defined in 25 O.S. Sec. 1313 and includes, but is not limited to, the free Employee Verification Program (E-

Verify) available at www.dhs.gov/E-Verify.

- 8. **Right to Audit.** The parties agree that books, records, documents, accounting procedures, practices, price lists or any other items related to the Services provided hereunder are subject to inspection, examination, and copying by City or its designees. Contractor shall retain all records related to this Agreement for the duration of the contract term and a period of three years following completion and/or termination of the contract. If an audit, litigation or other action involving such records begins before the end of the three year period, the records shall be maintained for three years from the date that all issues arising out of the action are resolved or until the end of the three year retention period, whichever is later.
- 9. **Governing Law and Venue.** This Agreement is executed in and shall be governed by and construed in accordance with the laws of the State of Oklahoma without regard to its choice of law principles, which shall be the forum for any lawsuits arising under this Agreement or incident thereto. The parties stipulate that venue is proper in a court of competent jurisdiction in Tulsa County, Oklahoma and each party waives any objection to such venue.
- 10. **No Waiver.** A waiver of any breach of any provision of this Agreement shall not constitute or operate as a waiver of any other provision, nor shall any failure to enforce any provision hereof operate as a waiver of the enforcement of such provision or any other provision.
- 11. **Entire Agreement/No Assignment.** This Agreement and any documents incorporated herein constitute the entire agreement of the parties and supersede any and all prior agreements, oral or otherwise, relating to the subject matter of this Agreement. This Agreement may only be modified or amended in writing and must be signed by both parties. Notwithstanding anything to the contrary herein, the City does not agree to the terms of any future agreements, revisions or modifications that may be required under this Agreement unless such terms, revisions or modifications have been reduced to writing and signed by both parties. Contractor may not assign this Agreement or use subcontractors to provide the Goods and/or Services without City's prior written consent. Contractor shall not be entitled to any claim for extras of any kind or nature.
- 12. **Equal Employment Opportunity**. Contractor shall comply with all applicable laws regarding equal employment opportunity and nondiscrimination

The undersigned agrees to the inclusion of the above provisions, among others, in any contract with the City of Tulsa.

Company Name:	Date:	
Signature:		
Name Printed:		
Title:	_	