

# **Great Lakes Water Authority**

## **Request for Proposal for GLWA Contract #1014**

### **Pre-treatment Information Management System (PIMS)**

**May 3, 2016**

**RFP-1014**

#### *Anticipated PIMS RFP Timeline Overview*

Listed below are specific and estimated dates and times of actions related to this request for proposal (RFP). The actions with specific dates must be completed as indicated unless otherwise changed. Great Lakes Water

## Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

Authority (GLWA) reserves the right to change any of the specific dates and times in the calendar of events listed in the following table.

Milestone	Timeframe
A. RFP issuance / RFP published on MITN	May 10, 2016
B. Deadline for vendor clarification questions	May 20, 2016 1PM EST
C. GLWA distributes responses for Vendor RFP clarification questions	May 25, 2016
D. Vendor proposals due	May 31, 2016 1PM EST
E. Notification of demonstration dates	June 7, 2016
F. Demonstrations of software / Vendor presentations	June 14-16, 2016
G. Finalist selection, contract negotiations, implementation statement of work and award	June 21, 2016
H. Begin work	July 2016

## Table of Contents

Anticipated PIMS RFP Timeline Overview .....	0
Table of Contents .....	2
1. GLWA Introduction .....	4
1.1 Introduction .....	4
1.2 Great Lakes Water Authority Overview .....	6
1.3 GLWA’s Unique Challenges and Opportunities .....	7
2. Project Objectives .....	8
2.1 Summary of Project Objectives .....	8
2.2 Minimum Performance Standards: .....	9
3. Project Overview .....	9
3.1 Scope of PIMS Technology .....	9
3.2 Required PIMS Technology .....	9
3.3 System Interfaces .....	13
3.4 Overview of Expected Services and Deliverables .....	14
3.5 Volumes .....	14
3.6 Required PIMS Implementation and Support Services .....	15
3.7 Current Technical Environment .....	15
3.8 Governing Security Standards and Publications .....	16
4. Vendor Evaluation Process and Criteria .....	16
4.1 Evaluation Criteria .....	16
4.2 Evaluation Team .....	18
4.3 Evaluation Process .....	18
4.4 Oral Presentation .....	19
5. Vendor Proposal Guidelines .....	19
5.1 Availability of Request for Proposal .....	19
5.2 Deadline for Proposals .....	20
5.3 Attachment A – Signature Page .....	20
5.4 Proposal Format .....	20
5.5 Preparation of Proposals .....	20

## Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

5.6	RFP Clarifications and Questions .....	20
5.7	Basis for Award, Evaluation Criteria and Questions.....	21
5.8	Advice of Omission or Misstatement.....	21
5.9	Confidential Information .....	21
5.10	Confidentiality Statement.....	21
5.11	Award of Contract .....	21
5.12	Tax Exempt Status .....	22
5.13	Right to Request Additional Information .....	22
5.14	Right of Refusal .....	22
5.15	Proposal Preparation Costs.....	22
5.16	System Design Costs .....	22
5.17	Pricing Eligibility Period .....	22
5.18	Additional Charges.....	22
5.19	Purchase Quantities.....	22
5.20	Rights to Pertinent Materials .....	22
5.21	Multiple Responses.....	23
5.22	Withdrawal of Proposals .....	23
5.23	Solicitation Cancellation .....	23
5.24	Applicable Regulations/Policies .....	23
5.25	Notice to Proceed.....	23
5.26	Non-Assignment.....	23
5.27	Appeals Procedure.....	23
5.28	Non-Discrimination Requirements and Compliance in GLWA Contracts .....	24
5.29	Records to Be Maintained, Access to Records .....	24
5.30	Qualification of Vendor's Employees& Security .....	24
5.31	Services by the Vendor.....	25
5.32	Compliance with GLWA Policies by the Vendor .....	26
6.	Proposal Response Format .....	26
6.1	Executive Summary (Section 1) .....	27
6.2	Company Background (Section 2) .....	27
6.3	Proposed Solution / Application Software (Section 3) .....	27
6.4	Technical Infrastructure (Section 4) .....	28

6.5	Hosting Configurations (Section 5).....	28
6.6	Implementation Plan (Section 6) .....	34
6.7	Staffing Plan (Section 7).....	40
6.8	Ongoing Support Services (Section 8).....	41
6.9	Client References (Section 9) .....	41
6.10	Standard Forms and Contracts (Section 10) .....	41
6.11	Exceptions and Deviations (Section 11) .....	41
6.12	Other Required Forms and Attachments (Section 12) .....	41
6.13	Cost Proposal (Section 13) .....	42
7.	Contract Terms and Conditions .....	42
8.	Proposal Forms (Attachments) .....	42
8.1	Introduction.....	42
8.2	Regarding Pricing.....	43

## 1. GLWA Introduction

### 1.1 Introduction

Great Lakes Water Authority (GLWA) invites your company to submit a written proposal to provide a comprehensive, fully integrated Pre-Treatment Information Management System including delivery, installation, integration, configuration, legacy data conversion and import, training, documentation, and project management. GLWA is seeking a system that is in operational use by at least three other organizations, preferably similar in scope of the requirements and size of Great Lakes Water Authority. Vendors are to propose a not to exceed cost solution based upon GLWA’s costing requirements. GLWA requires a prime vendor or systems integrator to act as a prime contractor legally and financially responsible for all vendor supplied software and implementation services.

The selected system must have a default system configuration available that supports commonly accepted best practices for each module implemented. The software must support modern pre-treatment operations (workflow, data tracking, data exchange interfaces, etc.). The management of industrial discharge parameters and pre-treatment testing of industrial discharge for GLWA is highly regulated and the solution selected must support regulatory requirements.

The packaged software systems may be supplemented, where necessary, by modifications to existing packages and custom-developed software for specialized applications. These modifications or additional software packages must be accounted for in the proposed solution.

Your proposal should include:

- Appropriate application software to support the general pre-treatment information management business functions listed in this RFP document.

## Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

- Define the delivery models supported by the system.
- Server hardware (to be provided by vendor). OR
- Software as a Service (if applicable) where the entire system is hosted and managed by the vendor.
- Relational Database Management System requirements (database management system should be based on Oracle or Microsoft SQL to be provided by the vendor).
- System software requirements (operating systems should be either Linux or Microsoft Windows Server).
- Interface method for integrating the PIMS system to a number of GLWA's internal systems.
- Implementation services including project management, installation, configuration, data conversion, training services, and integration of existing systems and end user support.
- Maintenance, knowledge transfer, and support services for the proposed system
- Ongoing hosting and management services (if applicable) for the system.

One consolidated response with all cost items included in the cost summary shall be submitted. The prime contractor shall be the sole point of contact for GLWA with regard to contractual matters.

**Any proposals not conforming to the stated format will be judged as unresponsive and dismissed.**

The following groups comprise potential Users or End-Users of the PIMS systems as described within the RFP. A brief description of these groups follows.

1. **Industrial Waste Control Division**

The Division is responsible for implementation and enforcement of the Industrial Pre-treatment Program, Surcharge Program and Septage Waste Program for the Great Lakes Water Authority system. The Division performs site inspections of operations and records; sample collection and analysis of wastewater discharges; development and issuance of permits; and identifying non-compliance through administrative and legal actions.

2. **Analytical laboratory**

The group provides laboratory services for determining the physical, quantitative and analytical characteristics of approximately one hundred thirty-two (132) organic and inorganic chemical pollutant parameters performed on water, wastewater and solid samples. This group also coordinates the distribution of samples to external contract labs for special analyses on an as-needed basis. This group currently uses an existing LIMS system.

3. **Operations Laboratory**

The group supports the operations staff of the Wastewater Treatment plant with real-time data determinations necessary to maintain effective and optimal operational process controls, establish chemical dosages, and validate treatment chemical quality. They currently functions in providing direct services for determining the physical, quantitative and analytical characteristics of water-based or solid samples. They are a potential LIMS User.

4. **Combined Sewage Overflow (CSO) Facilities**

This group operates nine (9) CSO facilities and is required to collect samples and conduct grab field analyses necessary to characterize the quality of Combined Sewage prior to discharge into the Detroit and/or Rouge Rivers and disinfect the discharge. They are a potential LIMS and/or PIMS User.

5. **Wastewater Reporting Group**

This group is responsible for compiling process and water quality data necessary to produce reports used for Regulatory, Court and internal needs. They are a potential LIMS and/or PIMS User.

6. **Water & Water Quality Group**

The water quality monitoring group verifies the potable water system for compliance with drinking water regulations, collects potable water samples throughout the distribution system including Detroit and wholesale customer communities, responds to water quality customer complaints, and conducts lead and copper monitoring and analyses; and submits reports based on regulatory deadlines. They are a potential LIMS and/or PIMS User.

1.2 *Great Lakes Water Authority Overview*

GLWA provides water service to four (4) million Michiganders including the entire Detroit and neighboring southeastern Michigan communities throughout Wayne, Oakland, Macomb, St. Clair, Lapeer, Genesee, Washtenaw and Monroe counties. The 1,079-square-mile water service area, which includes Detroit and 127 suburban communities, makes up approximately 40 percent of the state's population. Wastewater service is also provided to three (3) million Michiganders in a 946-square-mile area that encompasses Detroit and 76 neighboring communities. GLWA owns and operates five (5) water treatment plants, twenty-two (22) treated water booster stations, seventeen (17) sewer pump stations, three (3) combined sewer overflow (CSO) detention facilities, and one (1) wastewater treatment plant and maintains over seven (7) thousand miles of water and sewer piping.

Therefore, the successful bidder may be required at various locations within the southeastern Michigan area.

**Table 1: GLWA Business Processes and Key Activities**

GLWA requires a comprehensive information management system for managing industrial permitting, sampling and compliance program for industrial customers who discharge wastewater into GLWA systems. GLWA has to track and manage the contract of industrial customers as well as sample, inspect, test, and measure that the discharge is within the contract thresholds.

Note: This is not an exhaustive list of requirements.

Business Process	Key Activities
Entry and Tracking of Industrial Customer Information	Industrial Customers contact information
	Contracts
	Define and track sampling and inspection parameters
	Establish and track sampling frequencies per permit
	Define and track industrial discharge parameters
Document Library	Upload and store key documents – signed contracts
	Upload and store key documents – inspection reports
	Upload and store key documents – utility correspondence.
Self-Monitoring Reports (SMRs)	Track crucial data related to Discharge Monitoring Reports (DMRs)
Discharge Monitoring Reports (DMRs)	Track crucial data related to Self-Monitoring Reports (SMRs)
Scheduling of	Managers to schedule CEIs and CSI

Business Process	Key Activities
Compliance Evaluation Inspections (CEIs)	Collect inspection results in real time & obtain signatures electronically
Compliance Sampling Inspections (CSIs)	Print and deliver inspection reports to the industrial customer
Permit Requirements	Production Information
	Flow / Wastewater Information
	Federal Categorical and Local Limits
	Multiple Waste stream and Sampling Locations
Pre-treatment Administration	Configuration of key program setting (surcharge rates, lab fees, violation fees, program fees, etc.)
Tablet PC Field Automation	Tablet application that enables field personnel to enter information directly into the system from the field.
Application Integration	Integration with GLWA’s Laboratory Information Management system
	Integration with GLWA’s Work Order and Asset Management System
	Integration with GLWA’s Human Resources Information System
Additional Application Functionality	Export of data to Microsoft Excel or .csv files
	Version control of parameters, reports, etc.
	Ability to attach documents (pictures, word files, text files, etc.)

### 1.3 GLWA’s Unique Challenges and Opportunities

GLWA’s Pre Treatment Information Management processes face a variety of common interrelated process challenges. The most adverse challenges identified during the work sessions with GLWA staff include the following:

- **Manual Tasks** - In an effort to record and share information within GLWA, and in the absence of system integration, automation, system functionality, and enterprise-wide access to GLWA’s data, manual tasks have proliferated throughout the organization. Examples of manual tasks that are prevalent throughout GLWA’s business processes include:
  - Hardcopy routing of documents and approvals
  - Manual transfer of data of forms and hardcopy to multiple systems, additional correspondence
  - Manual calculations
  - Manual crosscheck of disparate data for auditing, reconciliation, verification, and correction
- **Data Integrity** - In the absence of automated and integrated systems, GLWA’s business processes are highly dependent on human intervention and manual tasks that potentially lead to inefficiencies and data integrity challenges. The integrity of information GLWA uses throughout its business processes is dependent on the following:
  - Frequency with which data is updated between systems using automated interfaces
  - Accuracy of data being manually maintained and transferred between systems and forms
- **Paper Forms** - GLWA uses a multitude of paper forms to collect, transmit, and record data both internally and with its external customers and business partners. Dependence on paper forms is a result of limited online or web-enabled system functionality, such as self-service e-forms, and a lack of business automation for many business activities.

- Processing Time - The necessity for duplicate data entry, validation, and reconciliation of data to maintain integrity and the continuation of manual processes in the absence of automation increases the time required to complete all of GLWA's business processes.
- Information Access - Data is often entered multiple times in a variety of systems within individual departments and across GLWA. Information that is entered in one system cannot be effectively shared or reconciled within the originating department and other departments/divisions that require access to data. The limitations exclude constituents, suppliers, and businesses from accessing or submitting data in real time to facilitate their business with GLWA.

## 2. Project Objectives

### 2.1 Summary of Project Objectives

GLWA believes that to effectively and efficiently deliver water and wastewater services to its customers, it must set standards of service delivery, demonstrate effectiveness/cost competitiveness in their delivery of services, and competitively leverage its available resources. GLWA believes that there is opportunity to improve their service efficiency. Therefore, GLWA wishes to implement an enterprise wide Pre Treatment Information Management System which will be used to manage the contracts and track the discharge of industrial customers across the southeast Michigan, tri-county area. This solution will assist GLWA in establishing operational standards of performance that can be achieved over time, maturing and evolving into the future as the operational needs of the utility and the customers it serves evolve.

To achieve this objective, GLWA is soliciting qualified proposals for software and services, including Software as a Service options. It is anticipated that the successful vendor proposal will provide a complete PIMS solution offering, either natively or through vendor partnerships/sub-contractors, to provide a robust solution, including the technology base and the related implementation, hosting, training and support services. Vendor services are sought to provide design, configuration, and implementation services to deploy a comprehensive solution, built on best practices and capable of full lifecycle laboratory information management processes for GLWA.

GLWA is interested in a commercial-off-the-shelf (COTS) system, designed for and proven to be successfully implemented within other organizations that are similar in size and complexity to GLWA. While the solicitation does not intend to be technically prescriptive as to how the PIMS system is to be architected, the participants anticipate the system will:

- Be structured to have a single point of hosting,
- Leverage standard Operating System (OS) and software configurations,
- Maintain a separate and distinct data repositories,
- Be capable of using an industry accepted hypervisor (for on premise options), and / or
- Be scalable across multiple tenants leveraging a web-based design and component based system architecture (for SaaS options).

While the successful vendor will not be required to provide hosting services, GLWA would prefer to have options classified in terms of hosting. This would include 1) an on premise installed solution, 2) a vendor hosted solution (Cloud / Software as a Service (SaaS) subscription) or 3) through a managed services operational / support agreement.

To achieve the maximum capability of the PIMS system, integration to GLWA’s other enterprise systems is expected to be achieved through Service Oriented Architecture (SOA) or Enterprise Service Bus (ESB). GLWA’s standard ESB is Tibco Business Works. Vendors shall consider specific business, functional, and technical requirements, vision and key objectives when proposing the technical operating model.

## 2.2 Minimum Performance Standards:

GLWA requires the proposed PIM system to meet the following minimum performance standards:

1. System response time—5 seconds or less, 98% of the time, no PIMS operations to exceed 10 seconds
2. Online storage—.store selected data files indefinitely as well as automated and manual purge dates for other data files within a content/document management system.
3. System Availability—99.9%

## 3. Project Overview

### 3.1 Scope of PIMS Technology

It is required that responding vendors propose a complete Pre-Treatment Information Management System (PIMS), including the software and the related supporting technologies for the entire scope of the project that may or may not include components owned by the vendor. While GLWA does not anticipate that every business, functional, and technical requirement will be fully satisfied, a significant majority of the required functionality must be provided by the proposed system. Where necessary to meet the specific PIMS requirements that GLWA has identified, vendor partnerships are strongly encouraged.

### 3.2 Required PIMS Technology

An outline of the required software system solution has been provided as follows. Due to the integration required between the PIMS solution and GLWA’s other enterprise systems; e.g. Laboratory Information Management System, data integrity and audit controls, must be factored in, documented, and included in the implementation of the new PIMS solution. Please note the core functionality listed below is not an exhaustive list:

#### I. PIMS Requirements

#### I. Regulatory Program Requirements

Regulatory responsibilities include the following functional activities, each requiring support from the PIMS system. These are summarized in the table below:

Program	Description	PIMS Support Required
---------	-------------	-----------------------

Enforcement Program	Responsible for identifying effluent and administrative compliance with federal, and local Pre-treatment Requirements	YES
Industrial User Survey Program	Responsible for maintaining data on the wastewater discharge activities of commercial and industrial users operating within the Great Lakes Water Authority Service Region.	YES
Permit Program	Responsible for authorizing and specifying the conditions for discharge of commercial and industrial (non-residential) wastewater.	YES
Inspection Program	Non-sampling surveillance activities to review operating, treatment, and recordkeeping activities at non-residential user facilities.	YES
Monitoring Program	Sampling surveillance of wastewater discharges made into the collection system for compliance with permit requirements.	YES
Incident Prevention and Response (IPER) Program	Investigation of upset, dumping, spill and similar events (lawful and unlawful) occurring within the Great Lakes Water Authority System	YES
Program Administration	System of issuing notices, citations, user report evaluation, etc. necessary to meet Pre-treatment Program requirements of NPDES Permit MI0022802	YES

**II. Database (Key Information) Requirements:**

- Compliance with Limitations
- Compliance with Pre-treatment Requirements
- Permit Classification
- Revenue Program Classification
- Identification/Classification Data
- Track records of compliance

**III. Enforcement Requirements**

- a. Identify non-compliance of analytical data and assigned limits for:
  - i. Citation of pollutant exceedance
  - ii. Evaluation of Significant Noncompliance Violation(s)
- b. Records of Enforcement and compliance activities (effluent and other)
  - i. Enforcement log
- c. Compliance schedules & milestone dates

**IV. Permit Requirements**

- Production Information
- Flow/Wastewater Information (By type)
- Federal Categorical Limits
- Local Limits
- Other Limits/Discharge Criteria
- Multiple Waste stream & Sampling locations

- Classification criteria
- Classification and support of multiple programs

**V. Self-Monitoring Data & Information**

- Permit manual and web-based entry and receipt of sample data from labs or SIUs
- Compliance evaluation and acceptance/rejection of entries
- Secure transfer of analytical data to PIMS

**VI. Field Monitoring**

- Capability to schedule sampling & monitoring events
- Generate work orders (sampling plan & requirements) for field staff (electronic format preferred to hard-copy) or Accept work orders from the WAM system.
- Create field work orders and associate with specific user or file (also could accept work orders from the WAM system)
- Maintain QA/QC samples and results and
  - Associate with specific facility/site as QA/QC Sample
  - Associate with system to provide QA/QC activity Report(s)
- Transfer sample requests and receive data from PIMS database
- Provide mobile data collection device to maximize digital/electronic data handling in support of field monitoring activities
- Permit manual and web-based entry and receipt of sample data from our contract lab(s)

**VII. Inspections**

- Records of Inspection (Date, type, Compliance Y/N)
- Records to support IU Survey activities Ability to Create/attach a Report
- Records to support IPER activities (Ability to Create/attach a Report,
- Ability to associate reports to specific user/facility
- Records to support Revenue Program Activity(Ability to Create/attach a Report

**VIII. Limits Documentation**

- CWF Limit Adjustments
- Dilution Limits Adjustments
- Production Based Calculations

**IX. Revenue Program**

- Classification to table 3-1
- Classification by Actual Discharge Strength
- Capture past 12 month Surcharge Parameter Averages
- Waste Strength determination Dates, results and certification

**X. Pre-treatment Requirements**

- TOMP (Toxic Organic Management Plans) & Certification Dates
- Spill & Episodic Plans & Certification dates
- 403.12(p) Plans and certification Dates
- Phenolic Compounds Election (8 parameters)
- BMR (Baseline Monitoring Report Dates)
- Permit App& Reapp dates
- Plant Schematics

- Other measurements such as Temperature, pH, etc.

**XI. Report Capability**

- System Ad-Hoc Report capability
- User specific reports
- Permit use of external reporting software (i.e., Crystal reports) to prepare external reports
- Create files to support word processing letters, and document generation
- Ability to modify reports packaged with application to reflect Agency name and needs
- Capability of creating reports for distribution through email, fax, etc.
- Capability to create reports for web based viewing
- The following examples are provided:
  - a. Prepare permit document(s) - Allow for multiple permit document templates
    - i. IPP - Local
    - ii. IPP-Categorical
    - iii. Groundwater
    - iv. Septage
    - v. General Permit
    - vi. Surcharge Assignment Sheet
  - b. Prepare Compliance/Enforcement Summary
  - c. Summary of Location, Limits, Process Description, Effluent Compliance, SNC Status
  - d. Individual IU Effluent compliance by date
  - e. SNC review and documentation
  - f. Prepare Inspection Report - Compliance Documentation Data Report
  - g. Prepare Survey Report with capability to sort by:
    - i. Status Code
    - ii. Facility and Mailing City/Community
    - iii. Zip Code
    - iv. Street Number and/or Street Name
  - h. Report Preparation
    - i. Standard Reports & Notices
    - ii. Non-standard or ad-hoc reports

**XII. Document Management**

- Ability to attach files photo, pdf, Microsoft Word, or Microsoft Excel
- Date and Timestamp associated with the file

**XIII. Bar Coding – associate specific user with bar coded samples, equipment, etc.**

- Create barcodes for sample collection identification
- Create bar codes for sampling machine & instrument identification
- Create Bar codes of sampling locations

**XV. Security**

- Configurable Security
- Role based access to functions and modules
- Department/Group based access to functions and modules
- Ability to give read-only access to roles and/or groups
- Password policies - length, alpha-numeric, expiration

**XVI. Audit Trail Capabilities**

- User configurable
- Record Username (electronic signature) for items changed, date and time changed, old and new value, reason/comment

**XVII. Barcoding**

- Print barcode labels to industry standard label printers
- Create and modify barcode labels within the application
- Ability to print barcode labels for samples, individually or by group
- Ability to create barcode formats that are read by industry standard barcode readers

**XVIII. Training, Education, and Resource Management**

- Create and Maintain Staff Training Records
- Maintain required certifications for Staff
- Raise Alerts and/or restrict access based on expired certifications

**XIX. Water Quality Monitoring Program**

- At a minimum, application of Requirements VII and VIII to Water Quality Monitoring Program.

**XX. Electronic Data Collection Devices**

- Evaluate and Identify incorporation of external data collection devices for field monitoring, inspection, and survey activities.

*3.3 System Interfaces*

The new PIMS solution must also provide the necessary automated integration/interfaces between other GLWA enterprise systems.

**Table 2: System Interfaces**

Interface #	Interface Description	Source Application	Target Application	Department Owner
1	<p>A real-time two-way integration with between LIMS and PIMS that includes the following functionality:</p> <ul style="list-style-type: none"> <li>▪ Import jobs scheduled in PIMS</li> <li>▪ Export the results of any required analysis to PIMS</li> <li>▪ Export any updates to a sample record to the PIMS sample record</li> <li>▪ Export notes on a sample record to PIMS</li> <li>▪ Ability to export results at appropriate approval levels (test, sample, job or batch)</li> </ul>	PIMS	Laboratory Information Management System (LIMS)	
2	Work Order Asset Management System	PIMS	Oracle WAM	

Interface #	Interface Description	Source Application	Target Application	Department Owner
3	Active Directory for authentication (userid and password synchronization)	PIMS	Microsoft AD	Information Systems Dept.
4	Human Resources Information System for job roles and organization types.	PIMS	Ceridian/Dayforce	Human Resources Dept.
5	Customer Billing Management System Manages customer accounts for water and sewerage services.	PIMS	CBMS (enQuesta 4.1)	Customer Billing and Management Department

### 3.4 Overview of Expected Services and Deliverables

For the PIMS technologies proposed, the related implementation services required to successfully implement and support the solution must also be proposed. Additional details and descriptions related to the specifics of the expected scope of implementation and support services can be found in the Proposal Response Format.

### 3.5 Volumes

The following table contains selected current and future volume information for sizing the processing and storage requirements of the new systems. The volumes, provided by GLWA, are approximate and are included to provide prospective vendors with information to gauge hardware and software requirements. The proposed systems should be sized to meet the performance standards for the projected volumes plus a margin for unexpected volume growth.

**Table 3: Transaction Volume Estimates**

Operating Volumes/Standard	GLWA
<b>Organization Information</b>	
<ul style="list-style-type: none"> <li>▪ Engineers (4)</li> <li>▪ Typists (3)</li> <li>▪ Administrators (4)</li> <li>▪ Field Technicians (4)</li> </ul>	
<b>Operational Volumes</b>	
# of Industrial Customers / Contracts	270
# of monitoring points	300
# of scheduled samples taken and tested per year	7,500
# of non-sampling or surveillance visits per year	640
# of fines or violation fees issued per year	None
# of incidents (non-scheduled) investigated (lawful & unlawful dumping, spills, etc) per year	35
# of citations issues per year	316
# of permit documents stored per year	270
# of inspection results documents (from site visits) stored per year	540
# of permits issued per year (new)	10

Operating Volumes/Standard	GLWA
# of permits renewed per year	75

### 3.6 Required PIMS Implementation and Support Services

#### Required Services:

- Project Management
- Hardware, Software and Storage Design and Requirements Development
- Data Conversion
- Report Development
- Integration and Interfaces
- Implementation and Training Services
- Testing
- System Documentation Development
- Disaster Recovery Planning
- Knowledge Transfer to Staff
- Ongoing Support and Maintenance Services: The Master Agreement resulting from this RFP will have a base term of three (3) years with two (2), one (1) year renewal options. Renewal of the contract(s) will be at the sole discretion of the Client and will be based upon the acceptable performance of the selected Vendor as determined by the Client.
- Change Management
- Operational Redesign Assistance
- Full End User Training
- On-Going Hosting Services: Preferred but not required. How the proposed PIMS solution is hosted will be determined/concluded in conjunction with selection of the PIMS.

### 3.7 Current Technical Environment

All proposals must operate within the current GLWA environment. An outline of the current technical environment follows:

Operating Systems (O/S)		Hardware Platform
RedHat Linux Enterprise Server version 6.5 or newer		HP
VMWare VSphere 5.0		Dell, HP
Windows 2012 Server R2 Standard and Enterprise		Dell, HP
Windows 7 SP1, Windows XP Professional SP3		Dell, HP
Type	Software	Operating System
Database	Oracle 11GR2	RedHat Linux Enterprise Server 6.5 or newer
Web Server	Apache 2.x	RedHat Linux Enterprise Server 6.5 or newer
Applications Server	WebLogic, JBOSS	RedHat Linux Enterprise Server 6.5 or newer
Database	MS SQL Server 2012	Windows 2012 Server R2 Enterprise
Web Server	MS IIS	Windows 2012 Server R2 Enterprise
Applications Server	SharePoint	Windows 2012 Server R2 Enterprise
Function		Standard
Internet/Web Browser Remote		MS Internet Explorer 10.0 or higher
email/handheld integration		Zimbra email client (moving to Office 365 / OWA)
Desktop management		Dell KACE
Security/single sign-on		Active Directory

End-point security	Symantec
Email	Microsoft Outlook
Report	Crystal Report
<b>General Technical and Security Guidelines</b>	
Application must support, and be able to run on Oracle database version 12.x or newer, or MS-SLQ version 2012, or newer. Oracle is generally preferred, as the existing historical data is housed in Oracle databases.	
Application must support Active Directory (AD) authentication, and must require user authentication to access/read/modify data. Anonymous access is not allowed.	
Application must support full logging capabilities, to log successful access, unsuccessful access, modifications to data, etc.	
Application must support full backup/recovery features and scenarios.	

### 3.8 *Governing Security Standards and Publications*

On award of the contract, the contractor must comply with State and Federal statutory and regulatory requirements, and rules; National Institute of Standards and Technology (NIST) publications and Control Objectives for Information and Related Technology (COBIT); all other industry specific standards; national security best practices and all requirements herein.

- a. Social Security Number Privacy Act, Public Act 454 of 2004. [www.michiganlegislature.org](http://www.michiganlegislature.org)
- b. Identity Theft Protection Act, Public Act 452 of 2004, as amended. [www.michiganlegislature.org](http://www.michiganlegislature.org)
- c. NIST Publication 800-53, Revision 4, Security and Privacy Controls for Federal Information System and Organizations. (<http://dx.doi.org/10.6028/NIST.SP.800-53r4>)

## 4. *Vendor Evaluation Process and Criteria*

### 4.1 *Evaluation Criteria*

GLWA uses a structured, qualifications-based selection process to evaluate proposals. Each proposal will be evaluated on its responsiveness to the technical and administrative criteria identified below. GLWA reserves the right to verify all material submitted including contacting references. Please note that failure to supply any of the data or forms indicated may result in elimination of your proposal from further consideration. In addition, GLWA reserves the right to waive any non-conformance of proposals. The criteria upon which the evaluation of the proposals includes, but is not limited to, the following:

1. Proposal
  - Completeness and thoroughness of the proposal. All required information should be provided, in the format specified.
  - The vendor’s understanding of GLWA’s purpose, scope and objectives, including the applicability and quality of the vendor’s approach.
  
2. Contract

## Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

- The vendor’s willingness to negotiate a contract, including payment terms, acceptable to GLWA. The number of exceptions taken to GLWA’s terms and conditions should be noted. Please carefully read Attachment E- GLWA Contract Terms & Conditions for Software.

### 3. Costs

- One-time costs. Although the low cost proposer may not necessarily be awarded the contract, costs are an important evaluation criterion.
- Ongoing costs for hosting (if applicable), maintenance and support.

### 4. Vendor Experience and Resources

- The quality, relevance and number of references.
- The vendor’s ability to successfully install the system, as demonstrated by installation of a similar system in at least one comparable client that is equal to the size, scope, and complexity of GLWA within the past two years.
- The financial stability and resources of the vendor.

### 5. Application Software and Integration

- Design, capability, and functionality of the proposed application software, including a quantitative analysis of the vendor’s response to the RFP (i.e., the number of requirements met as follows):
  - “out-of-the-box” functionality;
  - customization of source code or third party software integration;
  - functionality on the product roadmap and scheduled in a release within 12 months from date of vendor proposal; or
  - Requirements that cannot be met.
- The level of integration between modules.
- The vendor’s ability to interface their PIMS system with GLWA’s other enterprise systems including:

GLWA Enterprise Systems	
Email	Outlook
Oracle WAM (WMS)	TIBCO (Enterprise Service Bus)
Customer Billing and Management System (CBMS)	Web Services API’s

### 6. Hardware Design/System Architecture/ Hosting Approach

- Design, capability and functionality of the proposed hardware, including conformance with GLWA core architectural environment.
- The vendor’s current technological position and future direction (product roadmap).

### 7. Implementation/Project Management

- Level of assistance to be provided to GLWA by the vendor during the implementation process.
- Feasibility, timeliness, quality of the implementation schedule, and ability to meet GLWA’s implementation deadlines.
- Project management methodology, team and experience working in a cooperative manner with clients.

### 8. Training, Documentation, and System Administration

- The amount and extent of user and technical support training.

- Quality and extent of the core and customized documentation to be provided.
- The extent of the effort required to perform System Administration core PIMS functions.

9. Customer Support/Warranty and Maintenance

- The level of service and responsiveness that the vendor commits to providing GLWA.
- Qualifications, experience and technical expertise of the vendor’s Customer Support staff.
- Ability of the vendor to provide long-term maintenance support to GLWA.
- The vendor’s process for providing new releases of the software (software roadmap)

#### 4.2 Evaluation Team

The evaluation team’s intent is to acquire the solution that provides the best value and meets or exceeds the functional, technical and implementation requirements identified in the RFP. The evaluation and award for this solicitation shall be made to the vendor proposing the best value taking into consideration price and the evaluation factors set forth in the solicitation.

The GLWA Evaluation Team will then enter into contract negotiations with the final two vendors whose overall solution best meets the needs of the organization over the long-term. If an agreement cannot be reached with one of the highest ranked finalist vendors within a timeframe acceptable to the Evaluation Team, the Team will progressively proceed with contract negotiations with the next highest ranked vendors until an acceptable agreement is reached.

#### 4.3 Evaluation Process

Responses to this RFP will be evaluated by an Evaluation Team consisting of project stakeholders from GLWA. The Evaluation Team intends to use the following process to select a vendor:

1. **Round 1 Evaluation “Mandatory Criteria”:** As part of the vendor's RFP response, the following mandatory criteria must be met for a proposal to be considered for further evaluation. Failure to meet all of these criteria will automatically disqualify the vendor's response from further consideration:
  - a. **Response Timeliness:** RFP response is submitted by the due date and time.
  - b. **Response Authorization:** The RFP response is signed by a company officer, using Attachment A - Signature Form.
  - c. **Response Completeness:** Vendor complied with all instructions in the RFP and provided a response to all items requested that includes sufficient detail, such that the proposal can be evaluated.
  - d. **Specification Response Format:** Vendors Technical Proposal must be sent as a single consolidated electronic PDF copy of the proposal, plus a separate completed Specification Worksheet . Vendors Cost Proposal must include a separate completed Pricing Worksheet in the native MS Excel format.
  - e. **Relevance of Solution:** Minimum of 3 current operational installations of their core software with clients of similar population size and complexity to GLWA.

2. **Round 2 Evaluation “Responsive Proposals”:** For those vendors whose proposals pass the mandatory criteria, the following categories of criteria will be used to further evaluate the proposals.
  - a. **Response Scoring:** The file, *Attachment C - GLWA PIMS Requirements Workbook.xlsx* will be used for initial evaluation scoring.
  
3. **Round 3 Evaluation:** The top vendors in the Round 2 evaluation will then proceed to an additional level of due diligence that may include any or all of the following activities:
  - Review of cost proposals
  - Follow-up questions and answers with the vendors
  - On-site vendor demonstrations to include module/functionality demonstrations, technical demonstrations, service presentation and other due diligence.
  - Reference checking, site visits and / or other due diligence with:
    - Comparable entities in size and complexity to GLWA utilizing the vendor's product
    - Vendor / implementer corporate headquarters
    - Proposed hosting facility (based on the hosting solution being proposed)
  - Other due diligence as deemed necessary

As part of the evaluation process, Vendors may be requested to make an oral presentation or demonstration, at the Respondent’s expense, to the Evaluation Team. Staff members assigned to this project must participate unless otherwise waived by GLWA. At any point in time during Round 3 evaluation, a vendor may be excluded by the Evaluation Team from further consideration. At the conclusion of Round 3 activities, the Evaluation Team may update their scores for the finalist vendors.

#### 4.4 Oral Presentation

All proposers will be evaluated on their responses to subsections 1 through 9 of the Vendor Evaluation Process and Criteria. Following submittal of proposals, but before evaluation and scoring is completed; proposers may be invited to make a sixty (60) minute presentation conducted by a maximum of three (3) people at GLWA's facilities. The presentation shall be made only by the project team's designated project manager and technical staff. This meeting is the proposer's opportunity to demonstrate the project management skills and level of technical expertise of the project team. After the presentation, there will be a question and answer period to address technical and administrative questions.

## 5. Vendor Proposal Guidelines

### 5.1 Availability of Request for Proposal

GLWA is using the Michigan Intergovernmental Trade Network (MITN) system, [www.mitn.info](http://www.mitn.info), to assist with distribution and communication of the RFP and related addendum. Vendors interested in submitting a response to this solicitation are required to be registered in MITN. All solicitation information and documents shall be available to vendors registered in the MITN system. If you are not currently registered, click on the following link to begin registration and obtain RFP documents: [www.MITN.info](http://www.MITN.info)

## Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

GLWA shall distribute all addenda, official changes, and modifications, responses to questions or notices relating to the requirements of the RFP through the MITN system. It shall be the vendor's responsibility to make inquiries as to the changes or addenda issued. All such changes or addenda shall become part of the contract and all vendors shall be bound by such changes or addenda.

### *5.2 Deadline for Proposals*

Proposals must conform to the requirements set forth in the RFP. Proposals not conforming to these guidelines may be rejected as non-responsive.

Proposals must be received no later than 1:00 PM, Eastern Standard Time, May 10, 2016. The proposal shall be submitted electronically via MITN entitled "**Proposal for GLWA Contract #1014**".

### *5.3 Attachment A – Signature Page*

The prospective proposer's proposal shall include Attachment A – Signature Page, signed by an individual, or individuals, authorized to bind the prospective proposer contractually. The signatory agrees that the proposal will remain valid for a period of six (6) calendar months from its due date and thereafter until the prospective proposer withdraws it, or a contract is executed, or the procurement is terminated by GLWA, whichever occurs first.

### *5.4 Proposal Format*

Accuracy and completeness are essential. Omissions and ambiguous or equivocal statements will be viewed unfavorably and can be considered in the evaluation. Since all or a portion of the successful proposal may be incorporated into any ensuing contract, all prospective proposers are further cautioned not to make any claims or statements that cannot be subsequently included in a legally binding agreement.

All electronic documents shall be uploaded to MITN and should be concise as possible. The proposal copies will be distributed to the Evaluation Team and other stakeholders to assist with the evaluation and input.

Proposals received after the deadline will be received but not considered for further evaluation. Proposals may not be delivered via facsimile or e-mail.

### *5.5 Preparation of Proposals*

Proposals shall be prepared in accordance with the proposal response format provided in Section 3.

### *5.6 RFP Clarifications and Questions*

If any person contemplating submitting a proposal is in doubt as to the true meaning of any part of this RFP, he/she may submit to GLWA, a written request for an interpretation thereof via e-mail.

Questions regarding the procedures for submitting a proposal should be directed to Dave Kubicek, Procurement Management Professional at [Jonai.Jones-Renfroe@glwater.org](mailto:Jonai.Jones-Renfroe@glwater.org).

Proposers shall provide written notice in the proposal of intent to take exception to any requirement of the RFP.

Each interpretation or correction, as well as any additional RFP provision that GLWA may decide to include, will be made only as an Addendum, which will be posted on MITN. Proposers are advised that no oral interpretation, information or instruction by any officer or employee of GLWA shall be binding upon GLWA.

#### *5.7 Basis for Award, Evaluation Criteria and Questions*

The qualification of proposal responders on this project will be considered in making the award. GLWA is not obligated to accept any proposal if deemed not in the best interest of GLWA. GLWA shall make award to the qualified proposal responder based on fees submitted and responses to this RFP, based on the evaluation process and criteria described. Information and/or factors gathered during interviews, negotiations and any reference checks, and any other information or factors deemed relevant by GLWA, shall be utilized in the final award.

The final award of a contract is subject to approvals by the GLWA Policy Standards found:

<http://www.glwater.org/wp-content/uploads/2016/01/102315-GLWA-Procurement-Policy-FINAL.pdf>

#### *5.8 Advice of Omission or Misstatement*

In the event it is evident to a Vendor responding to this RFP that GLWA has omitted or misstated a material requirement to this RFP and/or the services required by this RFP, the responding Vendor shall advise the contact identified in the RFP Clarifications and Questions section above of such omission or misstatement. Any errors, omissions or discrepancies in the specifications discovered by a prospective Vendor shall be brought to the attention of GLWA as soon as possible after discovery. Further, the Vendor shall not be allowed to take advantage of error, omissions or discrepancies in the specifications.

#### *5.9 Confidential Information*

GLWA cannot assure that any of the information submitted as part of or peripheral to the Vendor's submission will be kept confidential. Any Vendors submission language designated as confidential is considered automatically invalid and void. The Vendor understands that any information submitted within this RFP and the subsequent contract is subject to the provisions of the Freedom of Information Act 1976 No.442, as amended, MCL 15.231 or latest revision.

#### *5.10 Confidentiality Statement*

Any information, including materials, drawings, designs, documentation, and other property or data, disclosed by GLWA or project participant to the proposal responder shall not be used, reproduced, appropriated, or otherwise disseminated to anyone other than GLWA.

#### *5.11 Award of Contract*

The Vendor shall be deemed as having been awarded a contract when the formal notice of acceptance of the Vendor's proposal has been duly served upon the intended awardee by an authorized agent of GLWA.

#### *5.12 Tax Exempt Status*

GLWA is exempt from Federal Excise and State Sales Tax. Proposals will be separated to show the amount subject to taxes of any kind if applicable. Exemption Forms will be furnished if necessary. Taxes, wherever indicated and which are applicable to the purchase, will not be subject to any trade or cash discounts.

#### *5.13 Right to Request Additional Information*

GLWA reserves the right to request any additional information that may be deemed necessary during the evaluation process.

#### *5.14 Right of Refusal*

GLWA reserves the right to refuse any or all proposals in their entirety, or to select certain components from various Vendor proposals, based on the best interests of GLWA.

#### *5.15 Proposal Preparation Costs*

The Vendor is responsible for any and all costs incurred by the Vendor or his/her subcontractors in responding to this request for proposal.

#### *5.16 System Design Costs*

The successful Vendor shall be responsible for all design, information gathering, and required programming to achieve a successful implementation. This cost must be included in the base proposal.

#### *5.17 Pricing Eligibility Period*

A proposal may not be modified, withdrawn, or cancelled by Vendor during the first 6 month time period unless agreed upon by GLWA. It is GLWA's intent to procure the software solution that meets the long term criteria of GLWA.

#### *5.18 Additional Charges*

No additional charges, other than those listed on the price breakdown sheets, shall be made. Prices quoted will include verification/coordination of order, all costs for shipping, delivery to all sites, unpacking, setup, installation, operation, testing, cleanup, training and Vendor travel charges.

#### *5.19 Purchase Quantities*

GLWA reserves the right to purchase any quantities of software items proposed without altering the unit purchase price upon award and throughout the contract period.

#### *5.20 Rights to Pertinent Materials*

All responses, inquires, and correspondence relating to this RFP and all reports, charts, displays, schedules, exhibits and other documentation produced by the vendors that are submitted as part of the proposal shall become the property of GLWA upon receipt, a part of a public record, and will not be returned.

### *5.21 Multiple Responses*

Multiple responses or substitutions will be considered and are defined as the submission by the same Vendor of up to two responsive responses offering an alternative which meet the requirements of the solicitation. Multiple responses shall be submitted separately and completely marked as “Alternative Solution” and will be evaluated as independent responses.

### *5.22 Withdrawal of Proposals*

Proposals may be withdrawn by a Vendor, or authorized representative, by amending their proposal as an “Intentional No Bid” on MITN if the withdrawal is made prior to the time set for receipt of proposals. No proposal may be withdrawn for at least 6 months after the Closing Date. In case of error by the Vendor in preparing a proposal, the Purchasing Agent may, by discretion, reject such a proposal upon presentation of a letter by the Vendor which set forth the error, the cause thereof, and sufficient evidence to substantiate the claim.

### *5.23 Solicitation Cancellation*

GLWA reserves the right to cancel this solicitation and/or any planned award for any or no reason as it deems in its own best interests, at no cost to GLWA. Such cancellation notice shall be provided to the awarded vendor prior to contract issuance.

### *5.24 Applicable Regulations/Policies*

The Revised Code of the State of Michigan, GLWA Rules and Regulations, Administrative Policies and guidelines, practices, and the National Institute of Government Purchasing Standards shall apply. It shall be the responsibility of the Vendor to be familiar and comply with the prevailing regulations and policies. Vendors are also required to maintain an updated vendor profile on the MITN bid system ([www.MITN.com](http://www.MITN.com)).

### *5.25 Notice to Proceed*

The successful Vendor may not commence services or provide materials described in this Request for Proposal until authorized to do so in writing by the Purchasing Agent.

### *5.26 Non-Assignment*

The vendor may not assign, subcontract, or otherwise transfer the agreement/contract without the express prior written approval of the Purchasing Agent. This includes, but is not limited to, changes in company name or IRS status.

GLWA must have the rights to assign some or all of the software, hardware and services procured under this RFP to successor agencies.

### *5.27 Appeals Procedure*

Upon request, appeals procedures, and information will be provided which shall be used for hearing protests of a decision to award, appeals from refusals to allow withdrawal of proposals, appeals from disqualifications, determinations of non-responsibility, and appeals from decisions or disputes arising during the performance of a contract. Any vendor who desires to protest the award or decision to award a contract shall submit the protest

in writing to the GLWA Purchasing Agent no later than five (5) days after the award or the notice of intent to award. No protest shall lie for a claim that the selected vendor is not a responsible vendor. The written protest shall include the basis for the protest and the relief sought. GLWA General Counsel shall issue a decision in writing within ten (10) days stating the reasons for the action taken. This decision shall be final unless the appellant appeals by instituting legal action. No protests shall be recognized or accepted once the five days after the award or notice of award have passed. No protests shall be recognized or accepted if addressed to anyone other than the GLWA Supply Chain Operations Agent.

#### *5.28 Non-Discrimination Requirements and Compliance in GLWA Contracts*

GLWA is committed to nondiscrimination in contracting, equal employment opportunity, and workforce diversity. The successful proposing vendor agrees not to discriminate against any employee or applicant for employment to be employed in the performance of the Services with respect to hire, tenure or conditions or privileges of employment, or any matter directly or indirectly related to employment, because of race, creed, color, religion, natural origin, age, sex, height, weight, disability, sexual orientation or marital status. The successful proposing vendor shall agree to review and examine with GLWA staff relevant employment data and other information pertaining to hiring practices in accordance with GLWA Policy. Additionally, the successful proposing vendor shall agree that they will not discriminate in the administration of contracts and acquisitions in the performance of the Services. Breach of this covenant may be regarded as a material breach of the Agreement as provided for in the Michigan Civil Rights Act 453 of the Public Acts of Michigan of 1976, as amended; and non-compliance with GLWA Policy.

#### *5.29 Records to Be Maintained, Access to Records*

The Vendor shall maintain account books, records, documents, and other evidence directly pertinent to performance and billing of the services defined in this Agreement in accordance with generally accepted professional consulting and accounting practices. GLWA, or its duly authorized representative, shall have access to such account books, records, documents, and other evidence for the purpose of inspection, audit, and copying. The Vendor shall provide proper facilities for such access and inspection.

The Vendor shall maintain and make available accounting records during performance of the services of this proposal from the date of Notice of Award and until three years from date of final payment for the Project. In addition, those records which relate to any appeal, agreement, litigation, or the settlement of claims arising out of such performance or cost, or items to which an audit exception has been taken, shall be maintained and made available until three years after the date of resolution of such appeals, litigation, claims, or exception.

Upon completion of the project, the successful proposing Vendor shall make available to GLWA electronic copies of all interview notes, planning, assessment, design, and implementation documentation created for the project. Vendor shall maintain all of the applicable records for at least three years following completion of this contract.

Should an audit, inspection, or examination of the contract disclose any overpricing or overcharging of any nature by the Vendor to GLWA, the Vendor shall reimburse, through either cash remuneration or crediting of GLWA's account, the actual amount of the overcharge. Failure to provide reimbursement in a timely manner to GLWA shall result in immediate contract cancellation.

#### *5.30 Qualification of Vendor's Employees & Security*

Any inability by the vendor for any and all reasons to maintain a regular and consistent work force may result in default of this contract.

Vendor's employees and sub-contractors shall be required to wear an identifiable uniform and/or an individual employee identification card/name tag clearly defining the individual as an employee of the Vendor. Vendor employees are required to check in at the reception desk and prominently display a visitor or Vendor badge provided by GLWA as required. Such identification shall be prominently displayed while performing services for GLWA. All costs for uniforms and identification shall be included in the bid pricing proposed.

Parking fees, costs, and/or fines shall not be provided or reimbursed by GLWA. The Vendor and their employees shall be responsible for any parking fees incurred during the performance of services.

The successful bidder shall agree to maintain security standards consistent with security policy of GLWA. These include strict control of access to data and maintaining confidentiality of information gained while carrying out their duties. The successful bidder and its sub-contractors shall be required to ensure that all personnel employed on the contract requiring access to GLWA's information or facilities meet the criteria for personal security clearance prescribed by GLWA.

Vendor employees and sub-contractors must be prepared to show picture identification when requested, and job supervisors shall provide the project manager with the names of all personnel who will be on the grounds or facilities.

#### *5.31 Services by the Vendor*

The successful proposing Vendor shall provide such professional services as may be necessary to accomplish the work required to be performed and shall at its cost, furnish all necessary personnel, equipment, materials, and incidental items required as a part of his/her work, even though not particularly specified or indicated to competently perform the work.

Services provided by the successful proposing Vendor shall be performed in a manner consistent with the degree of care and skill ordinarily exercised by members of the same profession currently practicing under similar circumstances.

The Vendor shall be responsible for the professional quality, technical accuracy, timely completion, and the coordination of all reports, preliminary plans, designs, drawings, specifications, procurement documents and other services furnished by the Vendor.

GLWA shall not be responsible for discovering deficiencies in the technical accuracy of Vendor's service. The Vendor shall be solely responsible for the accuracy of the services and shall promptly make necessary revisions or corrections resulting from its negligent acts, errors or omissions without any additional compensation from GLWA.

Approvals by GLWA of drawings, designs, specifications, reports and incidental consulting work or materials furnished hereunder shall not in any way relieve the Vendor of responsibility for the technical adequacy of the work. Neither GLWA's review, approval or acceptance of, nor payment for, any of the services shall be construed to operate as a waiver of any rights under this Agreement or of any cause of action arising out of the performance of this Agreement, and the Vendor shall be and remain liable in accordance with applicable law for all damages caused by the Vendor's negligent performance of any of the services furnished under this Agreement.

Acceptance of services, including payment for same, shall not relieve the Vendor of responsibility for subsequent correction of its negligent act, error or omission or for clarification of ambiguities. During any other phase of work performed by others based on service provided by Vendor, the Vendor shall confer with GLWA when necessary for the purpose of interpreting the information, and/or to correct any negligent act, error, or omission without additional compensation, even though final payment may have been received by the Vendor. The Vendor shall give immediate attention to these corrections and/or changes.

In the event of any negligent act, error or omission which GLWA determines to be the responsibility of the Vendor in any phase of the service, the correction of which may require additional field or office work, the Vendor shall be promptly notified by GLWA and shall be required to perform such corrective services as may be necessary without delay and without additional cost to GLWA.

### 5.32 Compliance with GLWA Policies by the Vendor

The Vendor shall maintain compliance with GLWA policies regarding workplace behavior and computer and technology usage.

## 6. Proposal Response Format

To facilitate the analysis of responses to this RFP, the Vendor is required to prepare its proposals in accordance with the instructions outlined in this section. The Vendor must respond in full to all RFP sections and follow the RFP format (section numbering, etc.) in their response. Failure to follow these instructions may result in rejection.

Proposals shall be prepared to satisfy the requirements of the RFP. EMPHASIS SHOULD BE CONCENTRATED ON ACCURACY, COMPLETENESS, AND CLARITY OF CONTENT. All parts, pages, figures, and tables should be numbered and labeled clearly. Please see attachment B- Vendor Proposal Information as part of your submission. The Proposal must be organized as follows:

Section	Title
1	Executive Summary
2	Company Background
3	Proposed Solution / Application Software
4	Technical Infrastructure
5	Hosting Configurations
6	Implementation Plan
7	Staffing Plan
8	Ongoing Support Services
9	Functional System Requirements
10	Client References
11	Standard Forms and Contracts
12	Exceptions and Deviation
13	Other Required Forms and Attachments
14	Cost Proposal

### 6.1 *Executive Summary (Section 1)*

This part of the response to the RFP should be limited to a brief narrative not to exceed two (2) pages describing the proposed solution. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel. The executive summary should not include cost quotations.

### 6.2 *Company Background (Section 2)*

In addition to providing responses to the following items, the Vendor must complete the Company Background Form in section 2 of Attachment B of this RFP. The Vendor shall be responsible to ensure that each proposed sub-contractor completes and submits a Company Background Form and submits it with the Vendor proposal.

The Vendor must provide information about their company so that GLWA can evaluate the Vendor's stability and ability to support the commitments set forth in response to the RFP. Information that the Vendor should provide in this section are as follows:

- 1) The company's background including a brief description (e.g., past history, present status, future plans, company size, etc.) and organization charts.
- 2) Audited financial information for the past TWO (2) completed fiscal years that includes income statements, balance sheets, and statement of cash flows.
- 3) Privately-held companies wishing to maintain confidential financial information must provide information detailing the company's long-term stability. Please provide a current Dunn & Bradstreet report (D&B) as part of the Vendor proposal response.
- 4) If the Vendor is proposing to use other companies as subcontractors on this project, please provide company background information on each subcontractor, Vendor relationship with that firm and the specific services and/or products that the subcontractor will be providing on the project. A complete list of subcontractors is required, including all subcontract firms, as well as contract staff which are not employees of the company submitting a proposal. GLWA has the right to approve all sub-contractors of the Vendor at any time.
- 5) The Vendor shall clearly state positively or negatively if they have any pending litigation with any customer, related to any of the proposed products or if their Company or proposed Sub-Contractor is or has been involved in litigation relative to Contract Performance in the last 5 years.

In addition to any requested attachments the Company Background section shall not exceed five (5) pages.

### 6.3 *Proposed Solution / Application Software (Section 3)*

The Vendor is required to provide a general description of the application program product and how it will meet requirements of this RFP. The Vendor should focus their description on components to address items identified in Section 3.2. For any Optional PIMS Technologies described, the Vendor MUST specifically clearly identify them in the proposal as Optional. This section must address, at a minimum, the following items:

- 1) Describe your overall proposed technology solution.
- 2) Describe, in order to assist GLWA with allocating costs, how your software will be licensed (e.g. site license, named users, concurrent users, etc.)
- 3) Describe the product direction for the company, including time frames.
- 4) Describe unique aspects of the Vendor's solution in the marketplace.
- 5) Describe components of the solution that are industry standards versus being proprietary to the Vendor.

- 6) For third party products proposed that are integrated with the Vendor’s solution provide the following for each product:
- Reason that this product is a third-party product versus being part of the software Vendor’s solution,
  - Extent to which this third-party product is integrated with the Vendor’s solution.

#### 6.4 *Technical Infrastructure (Section 4)*

The Vendor shall provide the information described in this section related to the technical infrastructure which would be required to support the proposed software solution, assuming GLWA were to host the PIMS, or separately contract for hosting services. The information will be used in the evaluation process.

As GLWA is contemplating a Vendor-hosted solution versus obtaining 3rd party hosting services, aspects of the proposed solution to be provided should be clearly delineated where they vary between these two approaches in the sections below.

- 1) Describe the proposed computer hardware and storage environment to support the system. In the event that there are multiple recommended options available, list all options. Indicate which is the preferred hardware platform and why. List the conditions in which the preferred hardware platform would change. A hardware configuration, which takes into account the size of GLWA, application modules, database size, and anticipated growth, must be provided.
- 2) What system architecture would be required? Describe the number and type of: application servers, database server(s), and development and test environments. Describe your proposal’s technical architecture (preferably using a PowerPoint or Visio diagram). This should show components such as the database server, applications server, reporting server, test/training server, firewall(s), web server(s), web browser, remote access, wireless connectivity, network connectivity to LANs and WAN, etc. Describe use of virtual server technologies (e.g. VMware) and application accelerators and note what the Vendor(s) you partner with or recommend and/or support.
- 3) Describe your proposed information architecture/model (preferably using a PowerPoint or Visio diagram). This should depict data models, taxonomy, data elements, coding structures, a process for standardizing on a particular coding structure, data definitions (employees, vendors, invoices, etc.)
- 4) Describe the technical requirements, authentication process and methods that would be required in a cloud-hosted environment.

#### 6.5 *Hosting Configurations (Section 5)*

GLWA prefers to have options in terms of hosting their PIMS system, including 1) an on premise solution, 2) Software as a Service (SaaS) “Cloud” model or, 3) a vendor hosted solution, (Managed Service).

If the Vendor proposes hosting, the Vendor must include responses, information and pricing for both of the hosting approaches described below with their overall solution:

Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

Option ID	PIMS Hosting Approach	Description
1	<b>On-Premise PIMS Solution</b>	The PIMS system and associated Databases required to support the Vendors system will be hosted on-site at GLWA.
2:	<b>Cloud based hosting solution:</b> The PIMS solution is web based, hosted, licensed and supported by the Vendor or sub-contractor, and scalable based on the specific needs of GLWA.	Whether vendor hosted or subcontractor hosted, Software as a Service, or “SaaS,” indicates subscription to shared applications that are only available online, and not as licensed, installed software. The contract vendor (contractor/selected vendor) will be the responsible and accountable party for the hosting operations and services during the life of the contract with GLWA.
3:	<b>Managed Services based solution:</b> The PIMS solution is hosted and supported by the Vendor’s staff via a managed services agreement either at the Vendor or subcontractor’s data center or onsite at GLWA.	Initially and during the term of the contract, there is the option for the solution to be hosted by the vendor or the vendor’s subcontractor and supported by the vendor’s staff with the option to migrate the system to GLWA anytime during the contract with advance notice and separate cost.

NOTE: For all hosting approaches in the table above, the data must remain the property of GLWA and be transferrable.

6.5.1 *On-Premise hosting Solution (Section 5.1)*

- 1). Hardware and Storage Environment:
  - a. Describe the proposed computer hardware and storage environment to support the system. In the event that there are multiple computer systems available, list all options. Indicate which is the preferred hardware platform and why. List the conditions in which the preferred hardware platform would change. A hardware configuration, which takes into account the size of GLWA’s, application modules, database size, and anticipated growth, must be provided.
  - b. What system architecture do you propose? Describe the number and types of application servers, database server(s), and development and test environments. Describe your proposal’s technical architecture (preferably using a PowerPoint or Visio diagram). This should show components such as the database server, applications server, reporting server, test/training server, firewall(s), web server(s), web browser, minimum workstation requirements, remote access, wireless connectivity, network connectivity to LANs and WAN, etc. Describe any potential use of virtual server technologies (e.g. Microsoft Virtual Server, VMware) and application accelerators and note what Vendors you partner with or recommend and/or support.
  - c. Describe your proposal’s information architecture/model (preferably using a PowerPoint or Visio diagram). This should depict data models, taxonomy, data elements, coding structures, a process for standardizing on a particular coding structure, data definitions (employees, Vendors, invoices, etc.)

2.) Ancillary Hardware

GLWA is requesting ancillary hardware within the scope of purchase for this RFP, and requires Vendors to provide ancillary hardware recommendations in support of the Vendor solution architecture and GLWA's expected transactional volumes. Describe any necessary ancillary computer hardware required to support operations of your proposed system. Please provide pricing (in the cost sheets) and specify any recommended hardware including MICR check / forms printing, check validators, and biometric time clock devices.

3.) Communication Systems

Identify the communication protocols and networking requirements that are required for implementation and operation of the proposed system. In the event that there are multiple communication systems and/or protocols available, list all options. Take into account GLWA's current WAN and remote computing environments, as listed in Section 3.7 Current Technical Environment, and indicate what changes are required or recommended.

4.) Database Environment

- a. What database system does your solution use?
- b. What database administration/management tools do you recommend?
- c. Does your proposal contain or envision the use of a data warehouse? If yes, describe your data warehousing capabilities and architecture.

5.) System Administration Tools

Vendors should describe the system administration tools that are used to manage the application including any data archival tools, tools for managing application updates, online help management tools, etc.

6.) Remote Access

- a. Identify how your solution supports mobility needs including field use and remote-access use.
- b. What are the remote access capabilities of your proposed system? Describe the methods supported (MS Terminal Services, web-access, SSL VPN, etc).
- c. Remote access to your proposed system through the internet will generate additional traffic to/from GLWA's internet infrastructure including internet access lines. Provide information that will help ensure GLWA will have capacity to handle the additional traffic. What internet services provider bandwidth will be consumed by a typical remote user of your system? What other information can you provide to enable us to size our lines?

7.) Directory Services and User Administration

Describe how your system interoperates with Active Directory.

8.) Network & Application Management

- a. Please describe the network management systems that either your system uses, interoperates/integrates with, or you recommend.

b. Please describe any network or firewall requirements that the proposed system has.

9.) Desktop

Please describe what, if any, footprint (e.g. local software artifacts such as DLLs) exists on the user's desktop.

10.) Mobile Device (Tablet or Phone)

Please describe what, if any, footprint (mobile app) exists on the mobile device that allows for connectivity and data access/entry to the enterprise application. Please describe also whether the device must be IOS or Android.

*6.5.2 Cloud based hosting solution (Section 5.2)*

- 1) Please describe your vendor hosted model, including: hosting, integration, scalability, help desk, provisioning and desktop management capabilities, deployment model (dedicated servers, shared environment, etc.), security model, impact to GLWA's network and bandwidth, and any partners that may be involved in service delivery. Indicate whether vendor or subcontractor hosted. Provide subcontractor name and contact information.
- 2) Describe your proposal's information architecture/model (preferably using a PowerPoint or Visio diagram). This should depict data models, taxonomy, data elements, coding structures, a process for standardizing on a particular coding structure, data definitions (employees, Vendors, invoices, etc.)
- 3) GLWA is requesting ancillary hardware within the scope of purchase for this RFP, and requires Vendors to provide ancillary hardware recommendations in support of the Vendor solution architecture and GLWA's expected transactional volumes. Describe any necessary ancillary computer hardware required to support operations of your proposed system. Please provide pricing (in the cost sheets) and specify any recommended hardware including MICR check / forms printing, check validators, and biometric time clock devices.
- 4) Identify the communication protocols, firewall and networking requirements that are required for implementation and operation of the proposed system. In the event that there are multiple communication systems and/or protocols available, list all options. Take into account GLWA's current WAN and remote computing environments, as listed in Section 3.7 Current Technical Environment and indicate what changes are required or recommended.
- 5) Database Environment. Identify the database environment used. Will GLWA have database level access to the data? Does your proposal contain or envision the use of a data warehouse? If yes, describe your data warehousing capabilities and architecture.
- 6) System Administration Tools. Describe the system administration tools that are used to manage the application including any data archival tools, tools for managing application updates, online help management tools, etc.
- 7) Remote Access. Identify how your solution supports mobility needs including field use and remote-access use. What are the remote access capabilities of your proposed system? Describe the methods supported (MS Terminal Services, web-access, SSL VPN, etc.).

Remote access to your proposed system through the internet will generate additional traffic to/from GLWA's internet infrastructure including internet access lines. Provide information that will help ensure GLWA will have capacity to handle the additional traffic. What internet services provider bandwidth will be consumed by a typical remote user of your system? What other information can you provide to enable us to size our lines?

- 8) Directory Services and User Administration. Does your solution support federated Active Directory configurations? Describe how your system interoperates with Active Directory.
- 9) Please provide the total number of clients and corresponding number of end-users of hosted solutions currently supported by your company
- 10) Please describe your proposed services for initiation of the hosting arrangement.
- 11) Please describe your proposed ongoing service level agreement, including any tiered levels of service, response times, and standard metrics.
- 12) Please describe your support model, including cost structure for support calls.
- 13) Please describe your data center and storage facilities, including locations, staffing, physical security, environmental controls (including redundant power), redundancy/load balancing capabilities, data backups and disaster recovery capabilities.
- 14) Please describe your logical security, including firewall security, authentication controls, and data encryption capabilities.
- 15) Please indicate if you can meet the Governing Security Standards and Publications, described above.
- 16) Please describe your change management, upgrade, and patch management policies & practices.
- 17) Describe your systems administration/management capabilities including: monitoring of performance measures, intrusion detection, and error resolution.
- 18) Describe how you will help GLWA move to a contract extension at the end of the contract term or if the contract is terminated, the process for notifying of termination. Knowing that GLWA would require a final hosting services contract that had terms related to the entity's retention of the ownership of data, confirm that the Vendor would agree to this contract condition.
- 19) Please attach a copy of your most recent SAS70 or SSAE 16 audit.

### *6.5.3 Managed Services Based Solution (Section 5.2)*

- 1) Please describe your vendor hosted model, including: hosting, integration, scalability, help desk, provisioning and desktop management capabilities, deployment model (dedicated servers, shared environment, etc.), security model, impact to the GLWA's network and bandwidth, and any partners

that may be involved in service delivery. Indicate whether vendor or subcontractor hosted. Provide subcontractor name and contact information.

- 2) Describe your proposal's information architecture/model (preferably using a PowerPoint or Visio diagram). This should depict data models, taxonomy, data elements, coding structures, a process for standardizing on a particular coding structure, data definitions (employees, Vendors, invoices, etc.)
- 3) GLWA is requesting ancillary hardware within the scope of purchase for this RFP, and requires Vendors to provide ancillary hardware recommendations in support of the Vendor solution architecture and GLWA's expected transactional volumes. Describe any necessary ancillary computer hardware required to support operations of your proposed system. Please provide pricing and specify any recommended hardware including MICR check / forms printing, check validators, and biometric time clock devices.
- 4) Identify the communication protocols, firewall and networking requirements that are required for implementation and operation of the proposed system. In the event that there are multiple communication systems and/or protocols available, list all options. Take into account GLWA's current WAN and remote computing environments, as listed in Section 3.7 Current Technical Environment and indicate what changes are required or recommended.
- 5) Database Environment. Identify the database environment used. Will GLWA have database level access to the data? Does your proposal contain or envision the use of a data warehouse? If yes, describe your data warehousing capabilities and architecture.
- 6) System Administration Tools. Describe the system administration tools that are used to manage the application including any data archival tools, tools for managing application updates, online help management tools, etc.
- 7) Remote Access. Identify how your solution supports mobility needs including field use and remote-access use. What are the remote access capabilities of your proposed system? Describe the methods supported (MS Terminal Services, web-access, SSL VPN, etc.).

Remote access to your proposed system through the internet will generate additional traffic to/from GLWA's internet infrastructure including internet access lines. Provide information that will help ensure GLWA will have capacity to handle the additional traffic. What internet services provider bandwidth will be consumed by a typical remote user of your system? What other information can you provide to enable us to size our lines?

- 8) Directory Services and User Administration. Does your solution support federated Active Directory configurations? Describe how your system interoperates with Active Directory.
- 9) Please provide the total number of clients and corresponding number of end-users of hosted solutions currently supported by your company
- 10) Please describe your proposed services for initiation of the hosting arrangement.
- 11) Please describe your proposed ongoing service level agreement, including any tiered levels of service, response times, and standard metrics.

- 12) Please describe your support model, including cost structure for support calls.
- 13) Please describe your data center and storage facilities, including locations, staffing, physical security, environmental controls (including redundant power), redundancy/load balancing capabilities, data backups and disaster recovery capabilities.
- 14) Please describe your logical security, including firewall security, authentication controls, and data encryption capabilities.
- 15) Please indicate if you can meet the Governing Security Standards and Publications, described above.
- 16) Please describe your change management, upgrade, and patch management policies & practices.
- 17) Describe your systems administration/management capabilities including: monitoring of performance measures, intrusion detection, and error resolution.
- 18) Describe how you will help GLWA move to a contract extension at the end of the contract term or if the contract is terminated, the process for notifying of termination. Knowing that GLWA would require a final hosting services contract that had terms related to the entity's retention of the ownership of data, confirm that the Vendor would agree to this contract condition.
- 19) Please attach a copy of your most recent SAS70 or SSAE 16 audit.
- 20) GLWA requires Managed Services Based Solution providers to supply an option for moving the system back to GLWA.
  - 1) Knowing that GLWA would require a final hosting services contract that had terms related to the entity's retention of the ownership of data, describe how you will help GLWA move to a new operation at the end of the contract term or if the contract is terminated, including the process for notifying of termination.
  - 2) Describe how the operations and transitional services required to migrate data and application to the new hosting center will be conducted. Provide a high-level project plan that identifies activities involved, responsible party for each activity, approximate timeline from start to completion.

#### 6.6 *Implementation Plan (Section 6)*

The Vendor is to provide a preliminary implementation plan in narrative format supported by an activity-level project plan using Microsoft Project that details how the proposed solution is to be implemented. This implementation plan should include the following elements:

- 1) General Implementation Approach
- 2) Project Management Approach
- 3) Hardware, Software & Storage Design and Installation Consulting
- 4) Data Conversion Plan
- 5) Report Development
- 6) Integrations and Interfaces
- 7) Implementation and Training

- 8) Testing
- 9) Change Management Approach
- 10) Operational Redesign Approach
- 11) System Documentation and Manuals
- 12) Disaster Recovery Plan
- 13) Knowledge Transfer

The Vendor should not be constrained to only include the above items in the Vendor's proposal response if the Vendor believes that additional elements may add value to the overall implementation.

It is expected that the successful proposing Vendor will lead the efforts to engage the PIMS User Groups in each of the implementation areas described below unless stated otherwise. Further details on what is to be provided as part of the Vendor's proposed implementation plan are included in the following subsections.

As optional hosting models, GLWA is contemplating both a Cloud / SaaS based subscription model for their PIMS system as well as Vendor-hosted solution obtained through a Managed Services based hosting agreement. The details associated with either of these optional hosting models should be clearly delineated where they vary between these two approaches.

#### *6.6.1 General Implementation Approach (Section 6.1)*

Provide a general overview of the implementation approach you plan to use that includes addressing the following items:

- 1) Describe how you transition from the sales cycle to the implementation phase of the project.
- 2) Describe key differentiators of the approach as it relates to implementing a solution on time, within budget and with the ability to meet the needs of the specific PIMS requirements identified by GLWA.
- 3) Describe what modules your system contains and a preferred implementation phasing of software modules. What is your recommended approach for this implementation?
- 4) Describe your approach towards running parallel systems for a period of time.

Any unique tools, techniques or methods that you use should be described in this section.

#### *6.6.2 Project Management Approach (Section 6.2)*

GLWA expects the successful proposing Vendor to provide project management resources leading to the successful deployment of the system. In addition to any project support resources, a Vendor project manager will work as a team member with the Client project management resources. It is expected that this Vendor project manager will be "on the ground" with GLWA PMO. This project manager can be an employee of the Vendor or a partner of the Vendor. In either case, the costs for the project manager and project management support resources should be clearly denoted in the pricing section of this RFP.

GLWA expects the successful proposing Vendor to employ a project management approach that is based on project management best practice concepts (e.g. Project Management Institute's PMBOK). Provide an overall description of the Vendor project management approach towards this type of engagement and projected timing for major phases.

Provide a high-level work plan for achieving the successful deployment of your proposed system. Provide a description related to the vendor's formal project management reporting approach.

Reporting formats must be submitted to the Client Project Manager for approval within 30 business days after the execution of the contract resulting from this RFP. Once both parties have agreed to the format of the report, it shall become the standard to follow for the duration of the contract. The Vendor’s proposal response shall identify reports that will be furnished by the Vendor as well as the frequency of submittal. The following list details the expectations of GLWA Project Management reporting:

- Weekly Project status
- Updated project plan
- Summary of activity during the report period
- Accomplishments during the report period
- Deliverable status
- Schedule status
- Action Item status
- Issue Management
- Risk Management
- Change Control
- Support / Maintenance Activity
- Project Health
- Project budget

Please provide a description as to the Vendor’s approach for Issues Management for identified events that if not addressed may affect schedule, scope, quality, or budget. Please describe the Escalation Plan for Issues resolution including the Business leads, Project Managers, Account Manager/Executive, Account Executive/VP level.

Please provide a description as to the Vendor’s approach for Risk Management for unknown circumstances or events that, if it occurs, may have a positive or negative impact on the project.

#### *6.6.3 Hardware, Software, and Storage Design and Installation Consulting (Section 6.3)*

The successful proposing Vendor is expected to specify, furnish, deploy and support all system software. GLWA intends to procure any required hardware for the project directly with hardware vendors and as such, the Vendor does not need to propose hardware. The Vendor is however, expected to assist with providing and specifying any hardware configurations, storage design and needs as well as coordinate all hardware installation and upgrade activities within the PIMS system implementation.

#### *6.6.4 Data Conversion Plan (Section 6.4)*

GLWA Data conversion will occur when migrating to the new application. The Vendor will assist GLWA in the conversion of both their electronic and manual data to the new system.

GLWA expects that conversion will be a joint effort for which GLWA and successful proposing Vendor will need to work collaboratively to successfully accomplish. While both organizations are expected to assist the other throughout the conversion process, GLWA anticipates the following key responsibilities:

**Table 4: Data Conversion Roles and Responsibilities**

Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

	Data Conversion Activity	Lead Responsibility
a)	Overall data conversion coordination	Vendor
b)	Data extraction from GLWA’s current Financial Management and Human Resources systems.	GLWA
c)	Production of data report totals and check figures to be used for conversion balancing and quality assurance.	GLWA
d)	Data scrubbing, data cleansing and data pre-processing (for error correction, implementation of process redesign decisions, etc.)	GLWA
e)	Definition of mapping of indexes, layouts, etc.	Vendor
f)	Automated data import and data validation into the new PIMS system	Vendor
g)	Coordination and planning related to manual data conversion (e.g. hand keying) to the new system	Vendor
h)	Manual data conversion (e.g. hand keying), as agreed upon by GLWA	GLWA
i)	Final conversion quality assurance	GLWA
j)	Coordination of correction of conversion errors	Vendor

Please provide pricing for data conversions.

- 1) Describe your general approach towards data conversion and how you would work with GLWA to conclude what should be converted for each organization.
- 2) Describe your organization’s recommended approach toward retention of legacy data.
- 3) Describe how data conversion activities integrate with other implementation tasks.
- 4) Describe the specific scope of what you will include in data conversion for GLWA.
- 5) Describe the proposed approach and any assumptions related to conversion of historical transactions, open transactions and summary balances.
- 6) Describe your validation approach for how GLWA’s historical PIMS data will be validated prior to loading in the system.
- 7) Describe any specific data conversion areas which your proposal considers to be out of scope for GLWA legacy City sourced PIMS systems data.

The specific scope of data conversion for GLWA will be negotiated with the finalist vendors.

**6.6.5 Report Development (Section 6.5)**

It is anticipated that the software solution will provide a user interface and inquiry tools which mitigate the need for GLWA to print hard copies of reports. Additionally it is anticipated that the Vendor’s solution has been designed for pre-treatment information management. For specific best practice reporting requirements which are identified through GLWA User Groups, it is anticipated that the successful proposing Vendor will take the lead on developing any reports required as part of the initial deployment of the Pre Treatment Information Management system. The Vendor successful proposing is expected to provide specialized knowledge and information to GLWA User Group staff during the development of needed reports, via technical training on the tools used for report development, database schema and architecture, etc.

Provide information on your reporting approach including:

- 1) Description of various methods of reporting including Business Intelligence,
- 2) Methods for GLWA to identify, specify, and develop required custom reports, specific to their organization during the implementation.

#### *6.6.6 Integrations and Interfaces (Section 6.6)*

It is expected that information generally would need to be entered only once into the system. Modules within the system should be integrated in real-time with each other such that batch processes are not required to transfer information from one area of the system to another unless that is the preference determined by GLWA User Groups.

- 1) Describe the extent to which the various software products proposed in the solution to satisfy the module requirements are integrated together versus being developed/licensed separately and interfaced.
- 2) As identified in the Introduction section, GLWA envisions that through its collaboration and partnerships, it will be the long term provider of a suite of multi-tenant tools that will form a statewide solution platform, a replicable model designed to be deployed by GLWA and be available to local government organizations throughout the State of Michigan.
- 3) Describe your approach towards interfacing and integration with other solutions including use of specific tools, methods and standards.
- 4) Describe data exchange standards (e.g. XML, Web Services, or EDI) supported or provided by your product.
- 5) Describe, based on your experience in working with other local government organizations (preferably in the State of Michigan), what interfaces have been developed to/from your system with other systems commonly used by local government entities. Describe your organization's role in developing/supporting those interfaces versus the role/responsibilities of your client, the other software vendor, etc.

GLWA will provide a listing of their desired interfaces to the finalist vendors during the Round 3 Evaluation in order to identify any specific interface development needs.

#### *6.6.7 Implementation and Training (Section 6.7)*

It is anticipated that the required implementation services to successfully deploy the system will be managed and provided by the Vendor. It is envisioned that the planning and delivery of training will be managed by the Vendor. Training will be performed by the Vendor onsite at GLWA's locations and be delivered to both select end users as well as technical staff at GLWA. GLWA will secure all facilities and provide audio visual equipment necessary to conduct training.

It is envisioned that the end user implementation training will be provided by the Vendor and leverage the experience in standards development which will have been obtained by the earlier implementers. As such end user training will include joint participation by the relevant GLWA team members and the process team leader supporting the process area in the new system. Training materials supplied by the Vendor will be used by GLWA subject matter experts and training team leads for training their staff.

The Vendor will be responsible for training pilot GLWA users and all GLWA personnel identified to provide ongoing training to GLWA users, using a "Train the Trainer" approach. Training effort and duration should be based on the expectation of providing training to 20% of the number of total users for GLWA. Please refer to Section 3.7, Table 3 for the number of users anticipated for financial management / human resources functions for GLWA. This percentage represents the number of individuals to be trained initially to facilitate adequate trainers to provide training throughout GLWA.

Web conference or remote online tutorial sessions will be helpful to GLWA subject matter experts and team lead staff to leverage after initial training is completed in their module.

It is envisioned that technical implementation training will include training for Information Technology professional staff from GLWA on the technologies required to support the new Financial Information System and Human Resource Information System.

The Vendor should provide an overall description of the proposed training approach and methods, including the following:

- General timeframes in which training will be conducted
- How training is integrated into the overall implementation project plan
- The Vendor must list the nature, level, and amount of training that will be provided in each of the following areas:
  - Technical training (e.g., configuration management, operations, etc.)
  - User training
  - Other staff (e.g., executive level administrative staff)
  - The vendor must list training material that will be available for GLWA to implement internally via the “Train the Trainers” approach”. For example:
    - Module training manuals (online, softcopy and hardcopy)
    - On-line/web training videos
    - Handouts, take-aways, etc.

Full End User Training Option: The Vendor should also submit an optional approach and pricing for full vendor training of all end users. All areas of the vendor proposal which refer to this optional Full End User Training approach should be specifically and clearly noted as “Optional”.

#### *6.6.8 Testing (Section 6.8)*

The Vendor should describe its recommended approach to the following types of testing that are anticipated to be performed on the project and the type of assistance it anticipates providing to GLWA related to such testing:

- a) Unit testing
- b) System testing
- c) System integration testing (SIT)
- d) Stress/performance testing
- e) User acceptance testing (UAT)

#### *6.6.9 Change Management Approach (Section 6.9)*

GLWA recognizes that a movement from the current environment to a new PIMS solution will present change management challenges. The Vendor should clearly identify its approach towards Change Management including any unique approaches or tools that will be used and integrated into the Required Implementation Services. The Vendor may also describe any Optional Change Management Service offerings that they provide. For any Optional Change Management Services, the Vendor shall clearly identify the service as optional and provide the related pricing in the optional section.

#### *6.6.10 Operational Redesign (Section 6.10)*

With the deployment of a new application, GLWA may want to take advantage of capabilities within the software that provide support for operational improvements. The Vendor is requested to describe their approach towards how operational process redesign will be performed and integrated into the Required Implementation Services. Include a discussion on the optimal time in which to conduct redesign activities as it relates to implementation of the new software.

The Vendor may also describe any Optional more formalized Operational Process Redesign Service offerings that they provide. For any Operational Process Redesign Services, the Vendor shall clearly identify the service as optional and provide the related pricing in the optional section.

In addition, please describe your organization's capabilities to assist in process redesign activities of the chart of accounts to best leverage the capabilities of the system in order to meet GLWA's overall financial tracking and reporting objectives.

#### *6.6.11 System Documentation and Manuals (Section 6.11)*

The successful proposing Vendor is expected to provide user manuals and online help for use by GLWA as part of the initial training and on-going operational support. Additionally, the Vendor is expected to provide technical documentation.

Describe what documentation (user guide, technical guide, training materials, etc.) is available on the system proposed and any related costs.

Describe what types of documentation you anticipate developing during the course of the project.

#### *6.6.12 Disaster Recovery Planning (Section 6.12)*

Please describe both how your proposed system architecture supports disaster recovery goals as well as the services you provide around disaster recovery, if any, as part of your proposed solution. Describe what data archive services are provided.

#### *6.6.13 Knowledge Transfer (Section 6.13)*

The Vendor should describe its process for ensuring that a transfer of knowledge occurs back to GLWA staff such that staff is capable of supporting and maintaining the system in the most proficient manner once the Vendor implementation engagement is complete.

### *6.7 Staffing Plan (Section 7)*

The prime Vendor will be accountable for all Vendor and sub-contractor staffing on the project. The Evaluation Team will be evaluating the full team proposed by the Vendor, considering the proposed sub-contractors. In addition to providing responses to the following items:

- 1) The Vendor must detail the type and amount of implementation support to be provided (e.g., number of personnel, level of personnel, time commitment, etc.). Include resumes for all key personnel (e.g. account executive, project manager, lead systems architect and key financial management / human resources management product experts) that will be assigned to the project. Proposed assignments cannot be changed without being mutually agreed upon with GLWA. If the Vendor is using a

subcontractor(s), please include information on subcontracting staff being used and their specific role on the project.

- 2) Describe any client projects where each Vendor implementation staff proposed for the PIMS project has specifically worked with sub-contractor staff proposed for the PIMS project.

#### 6.8 *Ongoing Support Services (Section 8)*

- 1) Please specify the nature and conditions of any post-implementation support options including:
  - a. Post-go live support that is included in the proposal response
  - b. Onsite support (e.g. system tuning, application configuration, interface issues, report development, network optimization, user training and tips to optimize the user experience)
  - c. Telephone support,
  - d. Help Desk services (If there is a service level agreement for your help desk, please provide a copy with your RFP response.)
  - e. Toll-free support line
  - f. Users group (i.e. - information about it, where it is held and when. If no, are you planning one?)
  - g. Online knowledgebase (i.e. – how it is accessed, who updates it, etc.)
  - h. Remote assistance support
- 2) Describe your maintenance programs and options.
- 3) Describe your problem escalation process, including break-fix support, functionality gaps, etc.

#### 6.9 *Client References (Section 9)*

The Vendor must provide a minimum of 3 current operational installations of its core software with organizations of similar size and complexity to GLWA. In addition, GLWA requests a listing of any utility clients utilizing the Vendor's proposed system.

#### 6.10 *Standard Forms and Contracts (Section 10)*

Any standard forms and contracts must be provided in this part of the Vendor's response for all components of the recommended solution (i.e., software license and maintenance agreements, database, etc.). Indicate the basis on how licenses are determined.

#### 6.11 *Exceptions and Deviations (Section 11)*

If the Vendor finds it impossible or impractical to adhere to any portion of these specifications and all attachments, it shall be so stated in its proposal, with all deviations grouped together in a separate section entitled, "exceptions/deviations from proposal requirements." This section will be all-inclusive and will contain a definition statement of each objection or deviation with adherence to specific RFP sections. Objections or deviations expressed only in other parts of the proposal, either directly or by implication, will not be accepted as deviations, and the Vendor in submitting a proposal, will accept this stipulation without recourse.

#### 6.12 *Other Required Forms and Attachments (Section 12)*

Please provide all required forms in this Section 9.

### 6.13 Cost Proposal (Section 13)

Electronic copies (.pdf) of the cost proposal shall be submitted with the Technical portion of the Proposal.

- The Evaluation Team will not consider time and materials pricing. The Vendor shall provide firm and fixed pricing based on the functionality described. For each item, indicate if the cost is one-time, annual, or other.
- The Vendor shall provide price information for each separate component of the proposed solution.
- In the event the product or service is provided at no additional cost, the item should be noted as "no charge" or words to that effect.
- In the event the product or service is not being included in the Vendor proposal, the item should be noted as "no bid".
- The Vendor shall provide all pricing alternatives in these cost sheets.
- Vendor shall provide prices in U.S. dollars.
- Vendor shall make clear the rationale and basis of calculation for all fees.
- The Vendor shall show separate subtotals for the required elements of the proposed solution, and for any layers of optional elements.
- In presenting software license fees, the Vendor shall:
  - Explain all factors that could affect licensing fees, including implications for future version upgrades;
  - Make clear what type of license is offered for each price (named user, concurrent user, installed copies, processor-based, etc.);
  - Indicate which product versions, operating platform(s), and machine classes are included for each price;
  - Indicate whether a product is for "server" or "client," as applicable; and,
  - Make clear the extent of any implementation services that are included in the license fees (installation, configuration, training, etc.)
- To the extent possible, the Vendor shall show any applicable discounts separately from the prices for products and services. The Vendor is encouraged to present alternatives to itemized costs and discounts, such as bundled pricing, if such pricing would be advantageous to GLWA.

## 7. Contract Terms and Conditions

See attached document: *Attachment E – GLWA Terms and Conditions for Software.docx*.

## 8. Proposal Forms (Attachments)

### 8.1 Introduction

This section contains information regarding various forms that should be prepared and submitted along with the Vendor's proposal. The intent of providing such forms is to ensure comparability between proposals. Included in this section are the following forms, most of which can be downloaded from MITN, completed, and uploaded as part of your response:

- Attachment A - Signature Page
- Attachment B - Vendor Proposal Information
- Attachment C - GLWA PIMS Requirements Workbook.xlsx
- Attachment D - GLWA Site Locations
- Attachment E - GLWA Contract Terms & Conditions for Software

## Request for Proposal for GLWA Contract No. 1014 – Pre-treatment Information Management (PIMS)

Response Code Table – Please enter the appropriate response code for each of the requirements listed in the PIMS Requirements Workbook.

Response Code	Definition
<b>M</b> - Meets	Functionality is provided out of the box through the completion of a task associated with a routine configurable area that includes, but is not limited to, user-defined fields, delivered or configurable workflows, alerts or notifications, standard import/export, table driven setups and standard reports with no changes. These core configuration areas will not be affected by a future upgrade. The proposed services include implementation and training on this functionality, unless specifically excluded in the Statement of Work, as part of the deployment of the solution.
<b>CT</b> – Customization or Third Party	Requirement can be met, but requires Customization of standard code or a Third Party tool. Please provide brief explanation and estimated cost to meet this requirement.  Note: In the comments column next to this response, you must indicate the following: <ul style="list-style-type: none"> <li>• Description of the customization or the name of the proposed 3<sup>rd</sup> party software package.</li> <li>• Party who will perform the work (GLWA, Third Party or Vendor)</li> <li>• Estimated level of effort involved in hours</li> <li>• Estimated level of complexity (High, Medium, Low)</li> <li>• Indicate the interface/integration services to satisfy the requirement.</li> <li>• Estimated associated costs (must also be included in the Proposer’s Costs proposal)</li> </ul>
<b>N</b> - No	Requirement will not be provided
<b>F</b> - Future	Functionality is provided through a future general availability (GA) release that is scheduled to occur within 1 year of the proposal response date.  <b>Note:</b> In the Comments column next to this response, indicate the date when the requirement will be available for implementation and any additional costs.

Note:

1. Only one (1) response code per requirement will be accepted. Multiple responses will be recoded at the discretion of GLWA. A response is REQUIRED.
2. Any deviation from the response codes provided in the table above will be re-coded at the discretion of GLWA.

### 8.2 Regarding Pricing

Provide a pricing methodology with attention to detail and understandability that includes a properly designed and implemented all-inclusive response. Unless otherwise noted, the Vendor shall include all associated unit and extended costs to successfully complete the project. It is the responsibility of the Vendor to ensure the accuracy of the pricing provided as part of your response. Any errors in providing an accurate price response due to inaccuracies in the provided templates are the sole responsibility of the responding Vendor. If there is not enough space to describe the pricing on these forms, please attach a separate pricing page and provide the pricing information in the same type of format so that it is easy to understand. A not to exceed price is requested for each of the components described below.

- Proposal Cost Totals
- Solution Costs
  - On Premise Solution
  - Cloud Solution
  - Managed Services Solution
- Implementation Costs
- Training Costs
- Other Software Costs
- Other Services Costs