

**UNIVERSITY OF ALASKA**  
**REQUEST FOR PROPOSALS (RFP) NO. 05P0026JH**  
**DIGITAL DOCUMENT AND RECORDS SYSTEM**

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**MAIL OR DELIVER PROPOSALS TO:**

For UPS/FEDEX:  
University of Alaska Fairbanks  
Procurement and Contract Services  
Rm 103, Administrative Services Center  
3295 College Road  
Fairbanks, Alaska 99709

**PROPOSALS MUST BE RECEIVED  
NO LATER THAN:**

Thursday, April 7, 2005  
5:00 p.m. (Alaska Time)

**FAXED PROPOSALS NOT ACCEPTED**

For US Mail:  
University of Alaska Fairbanks  
Purchasing Department  
PO Box 757940  
Fairbanks, AK 99775

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**NOTICE TO OFFERORS - SINGLE POINT OF CONTACT FOR RFP INQUIRIES:**

John A. Hebard, C.P.M.  
Email: [john.hebard@uaf.edu](mailto:john.hebard@uaf.edu)  
Phone: (907) 474-6831  
Fax: (907) 474-7720

Mailing Address:  
University of Alaska Fairbanks  
Purchasing Department  
P.O. Box 757940  
Fairbanks, Alaska 99775-7940

The person designated above in this notice shall be the only contact for all inquiries regarding any aspect of this RFP or its requirements. A copy of this solicitation and any amendments issued shall be posted on the UAF Procurement and Contract Services Website at [www.uaf.edu/purch/solicitations.html](http://www.uaf.edu/purch/solicitations.html).

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**PRE-PROPOSAL CONFERENCE:** Tuesday, March 22, 2005, 9:00 a.m. local time in the University of Alaska Butrovich Building, Room 208A. Teleconference bridge through Genesys Teleconferencing Systems, call-in number 866-489-0573, participant passcode \*7970117\*.

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**AVAILABILITY OF FUNDING:** A contract resulting from this RFP shall only be issued subject to the availability of funding.

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**ISSUE DATE:** Wednesday, March 9, 2005

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John A. Hebard, C.P.M.  
Senior Contracting Officer

**UNIVERSITY OF ALASKA**  
**RFP No. 05P0026JH**  
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**TABLE OF CONTENTS**

**Schedule for Award**

Proposals Mailed/Advertised ..... Wednesday, March 9, 2005  
Pre-Proposal Conference ..... Tuesday, March 22, 2005 9:00 AM Alaska Time  
Proposals Due ..... **Thursday, April 7, 2005**  
Finalist Presentations (approx) ..... Thursday, May 5, 2005  
Contract Award (approx) ..... June 17, 2005

**Table of Contents**

RFP Cover Sheet..... 1  
Schedule for Award ..... 2  
Table of Contents ..... 2  
Instructions to Offerors ..... 3-8  
Statement of Compliance Form ..... 9  
Proposal Transmittal Form ..... 10  
Checklist of Required Information ..... 11  
Representations, Certifications and Statement of Bidders/Offerors ..... 12-20  
Introduction, Background , and General Requirements ..... 21-25  
Specifications and Scope of Services..... 26-33  
Functional Requirements ..... 34-51  
Evaluations and Award ..... 52-54  
Proposal Format ..... 55-57  
Attachment A Rate Response Form..... 58-59  
Attachment B Sample Contract Award Form ..... 60  
Non-Personal Services Contract General Provisions ..... 61-67  
Attachment C Functional Area Narrative ..... 68-71  
Attachment D University Deviations From SSCT Banner Baseline ..... 72

**UNIVERSITY OF ALASKA**  
**RFP No. 05P0026JH**  
**DIGITAL DOCUMENT AND RECORDS SYSTEM**  
**INSTRUCTIONS TO OFFERORS**

**1. General Requirements**

Offerors should read this solicitation carefully and review all instructions contained herein. Incomplete or incorrect proposals may be rejected as not conforming to the essential requirements of the Request for Proposals (RFP). Any deviations in a proposal from RFP requirements must be fully disclosed in detail on the STATEMENT OF COMPLIANCE FORM of the RFP, which must be submitted with the proposal. Proposals submitted on other than the prescribed forms contained in this RFP will be rejected. Offerors may copy the forms contained in the RFP for use in their proposals, but substitute forms or formats are unacceptable.

**2. Sealed Proposals**

- a. The offeror must mail or otherwise deliver an original and ten (10) signed copies of the completed proposal (including all items indicated in the CHECKLIST OF REQUIRED SUBMITTALS for this Request for Proposals) to the University of Alaska proposal depository office designated herein for receipt of proposals.
- b. Late proposals will not be considered and will be returned to the proposer unopened. A proposal is late if it is not delivered to the University of Alaska proposal depository office at or before the time specified herein as the deadline for receipt of proposals.
- c. Proposals must be submitted in a sealed envelope or package bearing the offeror's name and address, with the RFP number and project title clearly marked on the outside. Unless otherwise specified elsewhere in the solicitation, proposals will not be accepted via transmittal by telefax, facsimile or electronic communication equipment.
- d. Proposal submittals must show full firm name and address of the offeror. The offeror's firm name should appear on each page of the proposal.
- e. All material submitted as part of a proposal will become the property of the University for use at its discretion.
- f. Authorized signatures are required. Proposals must be signed by an individual authorized to bind the offeror to its provisions. The person signing the proposal must show title and/or evidence of authority to bind the firm in contract.
- g. Photographs may be included with the proposal as appropriate or as desired by the offeror. There is no guarantee that photographs will be returned to offeror.
- h. The PROPOSAL TRANSMITTAL FORM from this Request for Proposals shall be submitted as the cover sheet of each proposal.

**3. Pre-proposal Conference**

A pre-proposal conference, if required, will be held at the time and place specified on the face of this solicitation for purposes of detailed discussion of this Request for Proposals and clarification of requirements for the benefit of interested parties. Prospective offerors who wish to participate by teleconference instead of in person should make arrangements with the Purchasing Department by telephoning the number shown on the face page of this RFP. All prospective offerors are encouraged to attend or otherwise participate in this conference, if such a conference is held. Failure to attend shall not constitute a defense by the Offeror for the failure to be aware of facts that could have been known by attending the pre-proposal conference.

**4. Period for Acceptance of Proposals**

The proposal shall remain valid for at least one hundred eighty (180) days after the closing date for receipt of proposals except as otherwise specified elsewhere in this solicitation

**5. Modification or Withdrawal of Proposal**

Modifications to or withdrawal of proposals may be allowed only if received prior to the deadline for receipt of proposals. No changes to or withdrawals of proposals will be permitted after the time for receipt of proposals specified in the solicitation.

**6. Questions and Explanations Regarding the RFP or Proposals**

- a. Any prospective offeror desiring an explanation or interpretation of the solicitation, specifications, provisions, etc., must request it in writing soon enough to allow a reply to reach all prospective offerors before the submission of their proposals.
- b. Written questions must be submitted to the University of Alaska at the address shown for inquiries on the face of this RFP. Alternatively, questions may be telefaxed to the University of Alaska at the telefax number shown on the face of this RFP. All inquiries must include the RFP number.
- c. Oral explanations or instructions given before the award of the contract will not be binding. Any information given to a prospective offeror concerning a solicitation will be furnished promptly to all other prospective offerors as an amendment of the solicitation, if that information is necessary in submitting proposals or if the lack of it would be prejudicial to any other prospective offerors.

## **7. Errors and Ambiguities**

- a. Offerors must read the RFP thoroughly. Any ambiguity, conflict, discrepancy, omission or other errors in this RFP should be reported in writing to the University of Alaska address for inquiries shown on the face of the RFP prior to the Pre-proposal Conference and in any case must be reported prior to the proposal submittal deadline. Any changes or corrections to the RFP will be made only by written amendment issued by the University.
- b. Clarifications shall be by written notice sent to all known recipients of the RFP. To the extent practicable, the University shall give such notice to all interested parties, but shall not be responsible to those parties for receipt of this information. It is the offeror's responsibility to ascertain prior to submittal that he/she is in receipt of any or all amendments to the solicitation. If an offeror fails to notify the University prior to the submittal deadline of an error in the RFP or the offeror's proposal, such proposal shall be submitted at the offeror's own risk, and if a contract is awarded as a result of such proposal, the offeror shall not be entitled to additional compensation by reason of the error or its later correction.

## **8. Anticompetitive Practices**

Offerors certify by submittal of their proposal that prices submitted have been independently arrived at and without collusion. Penalties for participation in anticompetitive practices include, but are not limited to, rejection of the proposal, suspension, debarment, civil and/or criminal prosecution.

## **9. Subcontracting**

If subcontracting is not prohibited by the solicitation, an apparent successful offeror shall submit a list of the subcontractors it proposes to use in the performance of the contract within five (5) working days after receipt of a request from the University. The list must include the name and location of the place of business and a description of the portion of the contract to be subcontracted applicable to each subcontractor. Use of subcontractors in the performance of the contract is subject to University consent, and the University requires that subcontractors meet its criteria for responsible prospective contractors specified in these INSTRUCTIONS TO OFFERORS. The University may require replacement of any subcontractor, which it determines not to be a responsible subcontractor.

## **10. Solicitation and Responsiveness of Offers**

- a. The solicitation requirements have been established to obtain full and accurate representation of offeror responsiveness and responsibility, which will enable the University to evaluate proposals and award contracts for providing the services requested. The University of Alaska in its sole discretion will determine responsiveness and final evaluation results for this RFP as provided herein.
- b. All responses to this RFP shall be subject to verification by the University. Any proposal, which contains material, or information, which cannot be verified or otherwise confirmed for purposes of determining responsiveness to the solicitation, may result in rejection of the proposal

## **11. Selection for Award or Rejection of Proposals**

- a. Selection for award and execution of contracts will be accomplished in accordance with Alaska Statutes Title 36 and the University of Alaska procurement regulations, policies, procedures, and the terms and conditions of this solicitation.
- b. The Contracting Agency will award a contract resulting from this solicitation to the responsible offeror whose proposal conforming to the solicitation will be most advantageous to the Contracting Agency, cost or price and other factors, specified elsewhere in this solicitation considered.
- c. The Contracting Agency may (1) reject any or all proposals if such action is in the University's interest, (2) accept other than the lowest proposal, and (3) waive informalities and minor irregularities in proposals received.

- d. The Contracting Agency may award a contract on the basis of initial proposals received, without discussions. Therefore, each initial proposal should contain the offeror's best terms from a cost or price and technical standpoint.
- e. Discussions or negotiations may be conducted with all offerors in the competitive range. If "Best and Final" offers are requested, they will be evaluated against the same criteria, as were the initial proposals.
- f. This solicitation does not obligate the University to pay any cost incurred in the preparation or submission of such proposals, or to contract for service.
- g. Any contract awarded as a result of this solicitation will incorporate the contents of this Request for Proposals and the successful offeror's proposal. The successful offeror(s) will be required to execute such a written contract and comply with its terms.

## **12. Responsible Prospective Contractors**

- a Alaska Statute 36.30 and Federal Regulations (OMB Circular A-110, Attachment O) prescribe that University contracts shall be awarded only to prospective contractors who are determined to be responsible. After determination of an apparent successful offeror, the University may make inquiries or require additional information from a prospective contractor relating to a determination of responsibility.
- b. Failure of an offeror to promptly supply information in connection with a University inquiry with respect to responsibility may result in a determination of non-responsibility with respect to the offeror.
- c. In order to determine responsibility of a prospective contractor, the University of Alaska may require offerors to supply additional information or documentation, may perform on-site pre-award surveys, and inspect equipment or facilities.
- d. To be determined responsible, a prospective contractor must:
  - (1) Have adequate financial resources to perform the contract or the ability to obtain them;
  - (2) Be able to comply with the contract performance schedule taking into consideration all existing other business commitments;
  - (3) Have a satisfactory performance record;
  - (4) Have a satisfactory record of integrity, and business ethics;
  - (5) Have the necessary organization personnel, experience, accounting and operational controls, and technical skills, or the ability to obtain them;
  - (6) Have the necessary equipment and facilities or the ability to obtain them; and
  - (7) Be otherwise qualified and eligible to receive an award under applicable laws and regulations.
- e. A contract will NOT be awarded to any offeror who is determined by the University to be a non-responsible prospective contractor.

## **13. Certified Cost or Pricing Data**

A prospective contractor may be required to certify (in accordance with the Truth in Negotiations Act (P.L 87-653) as implemented by FAR 15.802) that any cost or pricing data submitted were accurate, complete and current as of the date of final agreement on price. The executed certification must be presented to the Procurement Officer after negotiations are concluded and before award can be made. Following is the text of the certification that shall be used if called for by the Procurement Officer:

### **"CERTIFICATE OF CURRENT COST OR PRICING DATA**

This is to certify that, to the best of my knowledge and belief, the cost or pricing data (as defined in section 15.801 of the Federal Acquisition Regulation (FAR) and required under FAR subsection 15.804-2) submitted, either actually or by specific identification in writing, to the Procurement Officer, or to the Procurement Officer's representative, in support of solicitation number \_\_\_\_\_ are accurate, complete, and current as of \_\_\_\_\_ (date). This certification includes the cost or pricing data supporting any advance agreements and forward pricing rate agreements between the offeror and the Contracting Agency that are part of the proposal."

## **14. Public Information**

- a. All submitted proposals and proposal information will be considered confidential until notice of intent to award is issued. After the notice of intent to award is issued, proposals will become public information. Properly marked proprietary information supplied by an offeror in response to an inquiry by the University relating to responsibility will not be disclosed or available to the public. Proprietary information of the type not subject to public review

includes offeror submittals of: financial statements, tax records, personnel/personal information, etc.

### **15. Notice of Intent to Award**

Unless the contract is excepted from this requirement by AS 36.30, at least ten (10) days prior to formal award of a contract, a Notice of Intent to Award will be issued listing the name and address of the successful offeror(s).

### **16. Protest**

a. **Protest of Solicitation:** An interested party may protest the specifications and/or terms and conditions of this RFP provided that such protest is submitted to UAF Procurement & Contract Services, at the address listed on the Cover Sheet of this RFP, not later than the close of business three (3) working days prior to the closing date listed herein, or listed in any subsequent Amendments to the RFP. A protest of the specifications and/or terms and conditions of this RFP, which is not filed 3 working days prior to the closing date, shall be rejected as untimely.

b. **Protest of Award:** An interested party may protest an award under this RFP to the Procurement Officer provided that such protest is submitted to UAF Procurement & Contract Services at the address listed on the Cover Sheet of this RFP not later than ten (10) days after issuance of the Notice of Intent to Award. A protest of an award of a contract resulting from this RFP not filed within 10 days after issuance of the Notice of Intent to Award shall be rejected as untimely.

c. A protest must be filed in writing and must include the following information

1. The name, address and telephone number of the protester.
2. The signature of the protester, or the protester's representative.
3. Identification of the contracting agency and the solicitation at issue.
4. A detailed statement of the legal and factual grounds of the protest, including copies of relevant documents.
5. The form of relief requested.

d. UAF does not guarantee that a protest of a solicitation will result in an amendment to the terms and conditions, or postponement of the closing deadline. Nor does it guarantee postponement of award of a contract resulting from this RFP. Such action shall be taken only if the responsible Procurement Officer determines in writing that the protest has merit, is likely to be upheld, and that amendment, postponement, or other action is not contrary to University of Alaska's best interests. The Procurement Officer will issue a written decision within fourteen (14) days after date of filing of the protest. An appeal from a decision of a Procurement Officer may be filed with the Chief Procurement Officer not later than ten (10) days after the decision is received by the protester. The decision of the Chief Procurement Officer will be issued within fifteen (15) days after completion of the appeal report and comment period as prescribed by AS 36.30.

### **17. Authority**

The University procurement official whose name appears on the cover sheet of this solicitation has authority to act as agent for the University of Alaska. Offerors are cautioned that instructions or interpretations contrary to the provisions of this solicitation, which are received from employees not specifically designated herein to act in this matter, are not valid or binding on the University.

### **18. No Bid/Proposal Response**

If no proposal is to be submitted, the face page of this solicitation should be returned to the issuing office marked "NO BID". Failure to submit a proposal or respond may be cause for removal of your firm from the mailing list on future solicitations for similar products or services.

### **19. Discounts for Prompt Payment**

a. Discounts for prompt payment will not be considered in evaluating offers for award. However, offered discounts will be taken on payments if earned.

b. Cash discount period on any invoice received shall commence on the date shipment is received or date services are accepted by the University, or date of invoice whichever is later. In the event of adjustment or damage to a shipment subject to a cash discount, the date of receipt of shipment by the University shall be the date the shipment is finally accepted.

### **20. Descriptive Literature**

Descriptive literature must be submitted in duplicate with the proposal when an "equal" item is offered under a purchase description calling for a Brand Name "or equal". Failure to provide descriptive literature when requested on the CHECKLIST OF REQUIRED SUBMITTALS may render the proposal nonresponsive. Descriptive literature means

information that is submitted as part of a proposal, which sufficiently details the offer to determine its responsiveness to the solicitation specifications for evaluation purposes.

### **21. Brand Name or Equal Specifications**

- a. Unless specifically stated otherwise, the use of a brand name “or equal” purchase description is intended to describe the standard of quality, performance and characteristics desired, and is not intended to exclude substantially equivalent products.
- b. An item shall be considered to be substantially equivalent, or "equal" to a specified product, when in the opinion of the procurement officer, the offered “equal” fulfills the salient characteristics set forth in the purchase description, and the University can reasonably anticipate sufficiently similar quality, capacity, durability, performance, utility and productivity as provided by the specified “equal” product.

### **22. Testing and Samples**

- a. The University reserves the right to request a demonstration or test of any or all products offered in response to a brand name “or equal” purchase description. If offeror fails to respond within a reasonable time to a request by the procurement officer for demonstration/testing, an offer may be rejected as non-responsive to the solicitation.
- b. Samples of products, when requested, must be furnished free of expense to the University and if not destroyed by testing, will be returned at the offeror's request and expense immediately following contract award.
- c. Unsolicited samples are submitted at the offeror's risk and will not be examined or tested, and will not in any way cause variance from any of the solicitation provisions

### **23. Alaska Business License**

The offeror must have a valid Alaska business license at the time designated in the solicitation for closing receipt of proposals. Acceptable evidence that the offeror possesses a valid Alaska business license may include any one of the following:

- a. Certification the proposal that the offeror has a valid Alaska business license and has written the license number in the space provided on the solicitation.
- b. Copy of the Alaska business license.
- c. A canceled check that demonstrates payment for the Alaska business license fee.
- d. A copy of the Alaska business license application with a receipt stamp from the State’s business license office.
- e. A sworn notarized affidavit that the offeror has applied and paid for the Alaska business license.

### **24. Alaska Bidder Preference**

In accordance with AS 36.30.170(b), the procurement officer shall award a contract based on solicited offers to the lowest responsive and responsible offeror after an Alaska bidders preference of five percent (5%) has been applied.

An “Alaska Bidder” is a person who:

- (1) Holds a current Alaska business license;
- (2) Submits an offer for goods, services, or construction under the name appearing on the person’s current Alaska business license;
- (3) Has maintained a place of business within the state staffed by the offeror or employee of the offeror for a period of six months immediately preceding the date of the offer;
- (4) Is incorporated or qualified to do business under the laws of the state, is a sole proprietorship, and the proprietor is a resident of the state or is a partnership, and all partners are residents of the state of the state;
- (5) If a joint venture, is composed entirely of ventures that qualify under (1) – (4) of this provision.

### **25. Additional Bidder Preference Entitlement**

In accordance with AS 36.30.170(c) and (e) through (i), preference may be applied to an offer submitted by any qualified state certified employment program, person with disability, and/or employer whose employees include fifty percent (50%), or more, persons with a disability.

- a. In accordance with AS 36.30.170(c), a fifteen percent (15%) preference may be applied to offers received from any qualified Alaskan Bidder who qualifies as a state certified employment program.
- b. In accordance with AS 36.30.170(e), a ten percent (10%) preference may be applied to offers received from any qualified Alaska Bidder who qualifies as:

1. A sole proprietorship owned by a person with a disability;
2. A partnership, if each of the partners is a person with a disability; or
3. A corporation that is wholly owned by individuals and each of the individuals is a person with a disability.

c. Preference under this section may be claimed only by qualified offerors who, at the closing time for receipt of proposals stipulated herein, are on the 2001 Approved List for Procurement Preference of qualified employment entities maintained by the State of Alaska, Department of Labor and Workforce Development, Division of Vocational Rehabilitation.

d. A preference under this section is in addition to any other preference for which the offeror qualifies, including the Alaska Bidder Preference. However, an offeror shall not receive more than one of the disability preferences outlined in 25.b.

## **26. Alaska Product Preferences**

a. The Commissioner of Commerce and Economic Development administers the Alaska Product Preferences program under AS 36.30 and publishes the "Alaska Product Preferences List." Only products included in the list that was published at least 30 days before the solicitation was issued will be eligible to receive preference in the evaluation of offers. (This provision for preference does not apply to solicitations for forest products, including timber, lumber, manufactured lumber products, and construction. Alaska forest product preference is covered by the Instruction of this solicitation entitled "Use of Local Forest Products.")

b. Materials and supplies with value added in the State that are:

- (1) More than 25 percent and less than 50 percent produced or manufactured in the state are Class I and will be given a three percent (3%) preference.
- (2) More than 50 percent and less than 75 percent produced or manufactured in the state are Class II products which will be given a five percent (5%) preference.
- (3) More than 75 percent produced in the state are Class III and will be given a seven percent (7%) preference.

c. Offerors claiming this preference shall so indicate clearly in the offer, indicate class of preference claimed (I, II, or III), and the item or items to which the preference applies. Failure to so indicate will result in no preference being granted. Offerors are encouraged to review the provisions AS 36.30.322 – 338 to determine product preferences to which they may be entitled.

## **27. Use of Local Forest Products**

a. If this solicitation is for procurement of forest products, including timber, lumber, and manufactured lumber products, only such products originating in Alaska may be procured under this solicitation except when the manufacturers and suppliers who have notified the Commissioner of Commerce and Economic Development of their willingness to manufacture or supply such Alaska forest products (1) have been given reasonable notice of this solicitation, and (2) are unable to supply the products at a cost that is not more than seven percent (7%) higher than the price of non-Alaska forest products.

b. Instructions of this solicitation entitled "Alaska Product Preferences" above, do not apply to procurements of timber, lumber, and manufactured lumber products.

c. Exception to the requirement for Alaska forest products under this provision will be granted only if the offeror provides with its offer documentation satisfactory to the procurement officer showing non-availability of Alaska forest products, or that the cost of Alaska forest products is more than seven percent (7%) higher than non-Alaska forest products.

d. To the extent that this solicitation proposes procurement of forest products, award may be made to the lowest responsive responsible offeror of Alaska forest products whose price is not more than seven percent (7%) higher than competing non-Alaska forest products offers in accordance with AS 36.30.322.

## **28. Preference for Recycled Products**

In addition to any other preferences claimed by the offeror, to the extent that recycled products or materials are offered under this solicitation, the University shall decrease the proposal price by five percent (5%) of the offered price for purposes of evaluation. The offeror must indicate in its proposal that it is claiming this preference, and to which items it applies. U.S. Environmental Protection Agency guidelines shall be used to determine recovered material content requirements or other criteria for qualification as a recycled product this provision. The procurement officer's determination regarding qualification as a recycled product for purposes of evaluation of offers and preferences shall be based on documented information supplied or obtained in support of an offer, and shall be final.



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STATEMENT OF COMPLIANCE FORM**

**\*\*\*This form is to be returned with the Offeror's Proposal.\*\*\***

I hereby acknowledge receipt of University of Alaska Request for Proposal (RFP) No. 05P0026JH and certify that this proposal conforms to the requirements of the RFP except as noted below: (If none, write "NONE"). Any exception to a term, condition, or specification which is not listed on the RFP Statement of Compliance Form may NOT be considered to be part of the offer or any resultant contract award.

\_\_\_\_\_  
Firm Name

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

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PROPOSAL TRANSMITTAL FORM

**\*\*\*This form is to be returned with the Offeror's Proposal.\*\*\***

Firm Name: \_\_\_\_\_

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

Telephone ( ) \_\_\_\_\_

Fax ( ) \_\_\_\_\_

E-mail ( ) \_\_\_\_\_

The offeror has made true and accurate representations, certifications, and statements regarding its status and its proposal in the REPRESENTATIONS AND CERTIFICATIONS BY BIDDERS/OFFERS included in this proposal, including representations regarding small business status.

DEFINITION OF SMALL BUSINESS CONCERN applicable to this solicitation:

North American Industry Classification System (NAICS code): 5141  
NAICS Category Name: Major Group 514, Information Services and Data Processing Services  
Name: Information Services

In order to qualify as a small business concern for this solicitation, the total number of employees must not exceed 1000.

**Certification:**

I certify that I am a duly authorized representative of the firm listed above, that information and materials enclosed with this proposal accurately represent the capabilities of the firm to provide the services indicated in compliance with the requirements of the solicitation. The University of Alaska is hereby authorized to request from any individual any pertinent information deemed necessary to verify information regarding capacity of the firm, for purposes of determining responsiveness of the proposal, or responsibility of the firm as a prospective contractor.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name: \_\_\_\_\_ (please print)

Title: \_\_\_\_\_ (please print)

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**CHECKLIST OF REQUIRED INFORMATION**

**NOTICE TO OFFERORS:**

A. An evaluation of administrative responsiveness will be performed to ensure compliance with the proposal submittal requirements of the RFP to determine the following:

1. The proposal was received on time.
2. The correct number of copies was submitted.
3. The proposal was submitted in the correct format.
4. The proposal forms were properly signed.
5. All other necessary forms were included.
6. All material alternations or erasures, if any, were initialed.

B. To assist you in returning all of the needed information, the list below has been prepared for your use. Please submit the following with your proposal.

1. Technical Proposal (All items listed in the Proposal Format and no. 2-4 below, one (1) original and eight (8) copies. One electronic copy of the Technical Proposal in Adobe Acrobat PDF on 3 ½ inch diskette or a CD.
2. Proposal Transmittal Form
3. Statement of Compliance Form
4. Representation, Certifications and Statements of Bidders/Offerors
5. Evidence of Alaska Business License
6. Rate Response Form (one original in a separate sealed envelope) with a detailed component price list
7. Other additional documentation as required by the RFP.

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**REPRESENTATIONS, CERTIFICATIONS, AND STATEMENTS  
OF BIDDERS/OFFERORS**

**\*\*\* (to be completed and returned with Offeror's proposal) \*\*\***

**1. TYPE OF BUSINESS ORGANIZATION**

The Bidder/Offeror, by checking the applicable box, represents that --

(a) It operates as

- a corporation incorporated under the laws of the State of \_\_\_\_\_,
- an individual,
- a partnership,
- a nonprofit organization, or
- a joint venture; or

(b) If the Bidder/Offeror is a foreign entity, it operates as

- a corporation registered for business in the Country of \_\_\_\_\_,
- an individual,
- a partnership,
- a nonprofit organization,
- or a joint venture.

**2. PARENT COMPANY INFORMATION**

The Bidder/Offeror by checking the applicable box, represents that --

It is independently owned and operated and it is not owned or controlled by a parent company or parent organization.

It is not independently owned and operated; it is owned or controlled by a parent company or parent organization; and the full name and address of the Bidder/Offeror's parent company or parent organization is:

If not independently owned and operated, the parent company or parent organization's Taxpayer Identification Number (TIN) or Employer Identification Number (E.I. No.) is

\_\_\_\_\_.

### 3. TAXPAYER IDENTIFICATION

(a) Definitions

(1) "Common parent," as used in this solicitation provision, means a Bidder/Offeror that is a member of an affiliated group of corporations that files its Federal income tax returns on a consolidated basis.

(2) "Corporate status," as used in this solicitation provision, means a designation as to whether the Bidder/Offeror is a corporate entity, an unincorporated entity (e.g., sole proprietorship or partnership), or a corporation providing medical and health care services.

(3) "Taxpayer Identification Number (TIN)," as used in this solicitation provision, means the number required by the IRS to be used by the Bidder/Offeror in reporting income tax and other returns.

(b) The Bidder/Offeror is required to submit the information required in paragraphs (c) through (e) of this provision in order to comply with reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M and implementing regulations issued by the Internal Revenue Service (IRS). If the resulting contract is subject to reporting requirements described in 4.902(a), the failure or refusal by the Bidder/Offeror to furnish the information may result in a 20 percent reduction of payments otherwise due under the contract.

(c) Taxpayer Identification Number (TIN) of Bidder/Offeror:

(Bidder/Offeror is required to fill all appropriate blank(s) and/or check all applicable statement(s).)

TIN: \_\_\_\_\_

TIN has not been applied for.

TIN is not required because: \_\_\_\_\_

\_\_\_\_\_  
Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the U.S. and does not have an office or place of business or a fiscal paying agent in the US.

Offeror is an agency or instrumentality of a state or local government.

Other. Explain basis \_\_\_\_\_

\_\_\_\_\_

(d) Corporate Status of Bidder/Offeror:

(Bidder/Offeror is required to check all applicable statement(s).)

Corporation providing medical and health care services, or engaged in the billing and collecting of payments for such services

Other corporate entity

Not a corporate entity

Sole proprietorship

Partnership

Hospital or extended care facility described in 26 CFR 501(c)(3) that is exempt from taxation under 26 CFR 501(a)

(e) Common Parent:

(Bidder/Offeror is required to fill all appropriate blank(s) and/or check all applicable statement(s).)

Bidder/Offeror is not owned or controlled by a common parent as defined in paragraph (a) of this clause.

Name and TIN of Bidder/Offeror's common parent:

Name \_\_\_\_\_

TIN \_\_\_\_\_

(f) If the Bidder/Offeror is a Joint Venture, the Bidder/Offeror shall make copies of this representation and complete one for each entity in the venture. Each copy of the representation must be marked to identify the venturer to which it applies. Bidder/Offeror shall specify here the names and full addresses of the entities, which make up the joint venture, if applicable.

Joint Venture consists of:

(Bidder/Offeror must list name and address of all entities)

(Attach additional sheet(s) if necessary.)

#### **4. CONTINGENT FEE REPRESENTATION AND AGREEMENT**

(Note: The offeror must check the appropriate boxes. For interpretation of the representation, including the term "bona fide employee," see Subpart 3.4 of the Federal Acquisition Regulations.)

(a) Representation. The offeror represents that, except for full-time bona-fide employees working solely for the offeror, the offeror:

(1) ( ) has, ( ) has not employed or retained any person or company to solicit or obtain this contract; and

(2) ( ) has, ( ) has not paid or agreed to pay to any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

(b) Agreement. The offeror agrees to provide information relating to the above Representation as requested by the University and, when subparagraph (a) (1) or (a) (2) is answered affirmatively, to promptly submit to the University procurement officer:

(1) A complete Standard Form 119, Statement of Contingent or Other Fees, (SF 119); or

A signed statement indicating that the SF 119 was previously submitted to the same procurement officer, including the date and applicable solicitation or contract number, and representing that the prior SF 119 applies to this offer or quotation.

#### **5. AUTHORIZED NEGOTIATORS.**

The offeror represents that the following persons are authorized to negotiate on its behalf with the University in connection with this solicitation: (List names, titles, and telephone numbers of the authorized negotiators).

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**6. PERIOD FOR ACCEPTANCE OF OFFER.**

In compliance with the solicitation, the offeror agrees, if this offer is accepted within 120 calendar days (unless a different period is inserted by the offeror) from the date specified in the solicitation for receipt of offers, to furnish any or all items on which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the solicitation.

**7. PLACE OF PERFORMANCE.**

(a) The offeror, in the performance of any contract resulting from this solicitation, ( ) intends, ( ) does not intend (check applicable block) to use one or more plants or facilities located at a different address from the address of the offeror or quoter as indicated in this offer.

(b) If the offeror checks "intends" in paragraph (a) above, he/she shall insert in the spaces provided below the required information:

Place of Performance (Street Address, City, State, Zip Code) Offeror	Name and Address of Owner and Operator of the Plant or Facility if other than
_____	_____
_____	_____
_____	_____

**5. SMALL BUSINESS CONCERN REPRESENTATION**

The offeror represents and certifies as part of its offer that it ( ) is, ( ) is not a small business concern and that ( ) all, ( ) not all end items to be furnished will be manufactured or produced by a small business concern in the United States, its territories or possessions, Puerto Rico or the Trust Territories of the Pacific Islands. "Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is offering on Government contracts, and qualified as a small business under the size standards specified elsewhere in this solicitation. (See PROPOSAL TRANSMITTAL FORM.)

**9. SMALL DISADVANTAGED BUSINESS CONCERN REPRESENTATION**

(a) The offeror represents that it ( ) is, ( ) is not a small disadvantaged business concern.

(b) Definitions.

"Asian-Indian American," as used in this provision means a U.S. citizen whose origins are in India, Pakistan, or Bangladesh.

"Asian-Pacific American," as used in this provision means a U.S. citizen whose origins are in Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the U.S. Trust Territory of the Pacific Islands, the Northern Mariana Islands, Laos, Cambodia, or Taiwan.

"Native Americans," as used in this provision, means U.S. citizens who are American Indian, Eskimo, Aleut, or native Hawaiian.

"Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is offering on Government contracts, and qualified as a small business under the criteria and size standards in 13 CFR 121.

"Small disadvantaged business concern," as used in this provision means a small business concern that is (1) at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or a publicly owned business having at least 51 percent of its stock owned by one or more socially and economically disadvantaged individuals or (2) has its management and daily business controlled by one or more such individuals.

(c) Qualified Groups. The offeror shall presume that socially and economically disadvantaged individuals include: Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Asian-Indian Americans, and other individuals found to be qualified by the US. Small Business Administration under 13 CFR 124.1.

## **10. WOMAN-OWNED SMALL BUSINESS REPRESENTATION**

(a) Representation. The offeror represents that it ( ) is, ( ) is not a woman-owned small business concern.

(b) Definitions "Small business concern," as used in this provision, means a concern including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is offering on Government contracts, and qualified as a small business under the criteria and size standards in 13 CFR 121.

"Woman-owned," as used in this provision, means a small business that is at least 51 percent owned by a woman or women who are U.S. citizens and who also control and operate the business.

## **11. PREVIOUS CONTRACTS AND COMPLIANCE REPORTS**

The Contractor represents that:

(a) It ( ) has ( ) has not participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation the clause originally contained in Section 310 of Federal Executive Order No. 10925, or the clause contained in Section 201 of Federal Executive Order No. 1114

(b) It ( ) has ( ) has not, filed all required compliance reports; and



(c) Representations indicating submission of required compliance reports, by proposed subcontractors, will be obtained before subcontract awards.

## **12. CERTIFICATION OF NONSEGREGATED FACILITIES**

“Segregated facilities,” as used in this provision, means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas,

(a) transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, or national origin because of habit, local custom, or otherwise.

(b) By submission of this offer, the Bidder/Offeror certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The Bidder/Offeror agrees that a breach of this certification is a violation of the Equal Opportunity clause in the contract.

(c) The Bidder/Offeror further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) it will --

- (1) Obtain identical certifications from proposed subcontractors before the award of subcontracts under which the subcontractor will be subject to the Equal Opportunity clause;
- (2) Retain the certifications in the files; and
- (3) Forward the following notice to the proposed subcontractors (except if the proposed subcontractors have submitted identical certifications for specific time periods):

### **NOTICE TO PROSPECTIVE SUBCONTRACTORS OF REQUIREMENT FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES.**

A Certification of Nonsegregated Facilities must be submitted before the award of a subcontract under which the subcontractor will be subject to the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (i.e., quarterly, semi-annually, or annually). **NOTE:** The penalty for making false statements in bids/offers is prescribed in 18 U.S.C.1001.

## **13. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS-LOWER TIER COVERED TRANSACTIONS**

The Contractor assures that neither it nor any of its principals is presently debarred, suspended, proposed for debarment, or declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency. The Contractor agrees to insert this provision in lower tier covered transactions in accordance with federal rules and regulations implementing Executive Order 12549, the Government-Wide Common Rule for Non-Procurement Debarment and Suspension, and Federal Acquisition Regulations (FAR), 48 CFR Subpart 9.4.

## **14. CLEAN AIR AND WATER CERTIFICATION**

(This provision is applicable if the contract amount exceeds \$100,000.)

- (a) The Contractor shall comply with all applicable standards, orders or requirements issued under section 306 of the Clean Air Act (42 U.S.C.1857 (h)), section 508 of the Clean Water Act (33 U.S.C. 1368), Executive Order 11738, and EPA regulations (40 CFR Part 15) which prohibit the use by federal contractors or grant recipients, of facilities which are included on the Environmental Protection Agency (EPA) List of Violating Facilities.
- (b) The Contractor warrants that any facilities to be used in the performance of this contract are not listed on the EPA List of Violating Facilities.
- (c) The Contractor will include a provision substantially the same as this, including this paragraph (c) in every non-exempt subcontract.

#### **15. ANTI-KICKBACK PROVISIONS**

- (a) The Contractor assures that regarding this contract, neither the Contractor, nor any of its employees, agents, or representatives has violated the provisions of the "Anti-Kickback" Act of 1986 (41 USC 51-58), which is incorporated by reference and made a part of this contract.
- (b) The Contractor warrants that neither the Contractor nor any of its representatives has been required, directly or indirectly as an express or implied condition in obtaining or carrying out this contract, to employ or retain any organization or person or to make a contribution, donation or consideration of any kind.

#### **16. EQUAL EMPLOYMENT OPPORTUNITY AND NON-DISCRIMINATION**

By submitting this offer, the Bidder/Offeror agrees to comply with all applicable State and Federal rules governing Equal Employment Opportunity and Non-Discrimination, including, but not limited to: Title VI of the Civil Rights Act of 1964 (P.L.88-352), E.O.11246 (EEO), E.O. 11625 (EEO), 41 CFR 60 (EEO) (Discrimination). The Bidder/Offeror agrees to include this provision in all subcontracts.

#### **17. ASSURANCE OF FEDERAL COMPLIANCE BY THE CONTRACTOR**

(This representation is applicable only if the Bidder/Offeror is an educational institution, hospital, or other non-profit organization.)

By submitting this offer, a Bidder/Offeror assures that if the primary source of funding for this solicitation is Federal, the requirements of OMB Circular A-21 or Circular A-110, as applicable, shall be complied with by the Contractor and its subcontractors.

#### **18. CERTIFICATE OF INDEPENDENT PRICING AND PLEDGE TO REFRAIN FROM ANTICOMPETITIVE PRACTICES**

By submitting this offer, the Bidder/Offeror certifies that its prices were independently arrived at and without collusion. Penalties for participation in anticompetitive practices are prescribed in AS 36.30, and include, but are not limited to, rejection of the offer, suspension, and debarment, civil and/or criminal prosecution.

#### **19. PENALTY FOR FALSE STATEMENTS**

- (a) The penalty for false statements or misrepresentations in connection with matters relating to University of Alaska procurements or contracts is prescribed in AS 36.30.687. "Misrepresentation," as used here means a false or misleading statement of material fact, or conduct intended to deceive or mislead concerning material fact, even though it may not succeed in deceiving or misleading.
- (b) The penalty for making false statements in bids or offers relating to federal procurement matters is prescribed in 18 U.S.C. 1001.

## **20. CERTIFICATION OF PROCUREMENT INTEGRITY**

By submitting its bid/offer, the Bidder/Offeror certifies it has no knowledge of any violation of any provisions of or regulations implementing the Office of Federal Procurement Policy Act (41 U.S.C. 423) applicable to activities related to this bid/offer by any of its officers, employees, agents, or representatives covered by that Act.

## **21. DRUG FREE WORKPLACE**

To the extent that any facilities, equipment, vessel or vehicle to be provided under this bid/offer is to be used as a place of work by University of Alaska employees, the Bidder/Offeror certifies that it does and will maintain such place of work as a drug free workplace in compliance with the Drug Free Workplace Act of 1988 (P.L. 100-690) subject to all the sanctions and penalties in that Act. To this end the Bidder/Offeror represents that it is in compliance with the requirements of the clause prescribed by the Federal Acquisition Regulations (FAR) 52.223-5. (A copy of the FAR 52.223-5 clause is available from the office issuing this solicitation upon request.)

## **22. BIDDER AND PRODUCT PREFERENCE ENTITLEMENT**

(a) The bidder/offeror certifies that it is entitled to the procurement preferences indicated below. Bidder/offeror shall list the items to which each product preference applies in the blank spaces following each indicated product preference.

### (1) Alaska Bidder Preference

- 5% Alaska Bidder Preference (AS 36.30.170(b))

### (1) Employment Program or Disability Preference

- 15% Alaska Employment Program (AS 36.30.170(c))
- 10% Alaska Bidder Sole Proprietorship Owned by an Individual with a Disability (AS 36.30.170(e))
- 10% Alaska Bidder who Employs 50% or More Persons with a Disability (AS 36.30.170(f))

\*Preference marked by an asterisk may be claimed only if the person or employer who claims the preference is, at the time the bid or offer is opened, on the current list of qualified employment program maintained by the State of Alaska Department of Education division of vocational rehabilitation.

Note: A preference under (2) of this section is in addition to any other preference for which the bidder/offeror qualifies, including the preference under (1) of this section. However, a bidder/offeror shall not receive more than one of the disability preferences under section (2).

(1) Product Preference

- 3% Class I Alaska Product Preference, (AS 36.30.332)

Item: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- 5% Class II Alaska Product Preference (AS 36.30.332)

Item: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- 7% Class III Alaska Product Preference (AS 36.30.332)

Item: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- 5% Recycled Product Preference (AS 36.30.339)

Item: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) The bidder/offeror represents that it is entitled to claim said preferences in accordance with the provisions of Alaska Statute 36.30. (Also see INSTRUCTIONS TO BIDDERS.)

(c) The bidder/offeror acknowledges and agrees that if a proposed procurement under this solicitation is supported by federal funding, AS 36.30 bidder and product preferences are not applicable and shall not be considered in evaluation of bids/offers.

**23. BIDDER/OFFEROR CERTIFICATION AND REPRESENTATION SIGNATURE**

By signing below, the Bidder/Offeror represents that all of its statements, certifications, and representations, and other information supplied herein are true and correct as of the date of submittal of this bid/offer.

**AUTHORIZED SIGNATURE:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**BIDDER/OFFEROR:** \_\_\_\_\_  
(Type or Print Company Name and Address of Bidder/Offeror)

**UNIVERSITY OF ALASKA  
REQUEST FOR PROPOSALS  
RFP NO. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
INTRODUCTION, BACKGROUND, AND GENERAL REQUIREMENTS  
SECTION 1**

**1.1 Purpose**

The University of Alaska System, hereinafter referred to as the “University” is requesting proposals to create a digital document infrastructure, where digital means in a form that is compatible with information technology. The University has approximately 32,711 students attending 15 campuses and various sub campuses throughout the state of Alaska. The objective of the digital document infrastructure is to develop a system to automate and improve the efficiency of document management across the University, including document storage, retention, distribution, retrieval, paper elimination, retention policies & procedures automation, storage space, and paper filing reduction.

The University shall procure a license for software and services that allow it to

- Institute a document indexing and records management system
- Manage an extensible, on-line repository for digitized documents
- Link the on-line repository to the University’s enterprise-wide administrative computing system<sup>1</sup> and other University operated systems
- Manage the creation of digital records from paperbound information (college applications, student transcripts, invoices, receipts, photographs, etc.)
- Manage the creation of digital records for items already in digital format

The system sought by the University must, at a minimum, address the following needs:

- Imaging
- Electronic Document Management
- Records Management
- Integration with existing enterprise systems, particularly SunGard SCT Banner® and SSCT Workflow©

The services sought by the University, must address the following:

- Approaches for converting existing images and indices from the existing LaserFiche system being used by the Anchorage unit
- Complete implementation plan, including all task and time requirements, delivered before work commences.

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<sup>1</sup> The University utilizes and intends to stay current with the Banner® enterprise resource planning system marketed by SunGard SCT, Inc. The University is scheduled to upgrade from version 6.x to version 7.x in October 2005.

- Training of the University staff to be able to fully use and support the software and university-supplied hardware.
- Completion of interfaces to SSCT Banner and Workflow

## **1.2 Scope**

The University envisions a multi-year, phased approach to the implementation of a document imaging and digital records system. The initial rollout will be in the Student Services functional area, primarily Enrollment Management (Admissions, Financial Aid, Records, and Student Affairs). This implementation will then move to other departments/divisions of the University (to be determined during the planning phase). Priority will be given to Enrollment Management followed by Finance, Grants and Contracting, Human Resources then other individual departments.

This client-server solution will necessarily be inextricably dependent upon the telecommunications infrastructure as that exists within the state of Alaska. To the extent that performance at numerous, geographically decentralized locations can be maintained, the expectation of the University is that there will be a centralized digital repository located in Fairbanks, Alaska.

To comply with its enterprise architecture standard, the University may require triplication of Contractor-provided systems or components that interface to or exchange data with the University's core administrative computing system. Specifically, the University may choose to license from the Contractor an instance for development purposes, an instance for pre-production quality assurance and emergency fail-over purposes, and an instance for production. Offeror suggestions, reasoning, and costs for alternative approaches shall be clearly stated in their response.

## **1.3 Implementation Objectives**

The University desires to acquire the most current digital document infrastructure that can meet business needs; adapt to changing requirements; expand to meet the needs of additional offices; and take advantage of current and future technologies. The digital document infrastructure should be easy to learn by the end user; easily administered by information technology staff, and must have Contractor technical support available. The digital document infrastructure needs to be capable of growing and expanding as more users and documents are added.

It is the intent of the University to have initial functionality in place by November 1, 2005 for approximately 21 scanning locations, and 100 viewing and annotation locations. At the completion of the Enrollment Management implementation, the digital document infrastructure must allow for 150 concurrent, full-function access points and 50 occasional use, view-only stations. Currently the majority of workstations are PCs or Apple Macintosh systems have a minimum of 4GB hard drives, 128 MEGS RAM, Pentium II-450 processors running Windows 2000 or Windows XP Pro and Apple Macintosh OS X10.2.

With the understanding that one document equates to one or more pages, up to 4,000 pages will be scanned or electronically received daily with a projection of 250,000 pages added annually by Enrollment Management departments. We forecast 1,600,000 pages added annually as the remaining departments/divisions implement the system. Documents to be ingested require indexing and userid-based security must be provided to restrict access to certain type of documents or portions of documents.

#### **1.4 Basis of Award**

The University shall award a contract or contracts to the offeror(s) whose proposals provide the best value to the University, price and technical factors considered and pursuant to the processes listed herein.

#### **1.5 Contract Term**

The term of any contract issued as a result of this solicitation shall be for five (5) years from the date of contract execution including hardware, software, delivery, installation, ongoing maintenance and support. At the conclusion of the five-year contract term the University may offer to extend the contract if it is found to be in the University's best interest and it is determined that there is not a cost effective alternative to replacing the existing infrastructure. The University reserves the sole right to offer an extension of the contract pursuant to the continued availability of funding, satisfactory contractor performance, and the University has continued need of the products or services under contract.

#### **1.6 Contract Type**

The contract awarded as a result of this solicitation shall be a fixed price contract for which the offered price will include all plant, labor, hardware, software, travel, shipping, and administrative costs associated with providing the products and services listed herein. The University may purchase many possible combinations of the products and services offered, but all of the unit prices offered shall be firm fixed prices for the life of the contract.

#### **1.7 University of Alaska System**

The University of Alaska is the only public institution of higher learning in the State of Alaska. It represents a statewide system of higher education, which consists of three regional universities, including ten lower division college centers, and various extension and research sites. The University was established at Fairbanks, Alaska by Congress in 1915 as the Alaska Agricultural College and School of Mines; in 1935 it was renamed the University of Alaska; and in 1959 was established as the state University under the Alaska State Constitution. The University has expanded to include full-service universities in Fairbanks, Anchorage, and Juneau; lower division college centers in Bethel, Dillingham, Ketchikan, Kodiak, Kotzebue, Nome, Palmer, Sitka, Soldotna, Valdez, and rural education and extension sites throughout the state.

The University of Alaska Fairbanks (UAF) has an operating budget of \$306 million, operates a major organized research component, and serves approximately 9,683, students. UAF employs approximately 2,200 full time and 3,800 part-time staff. At this time, its campuses have over 1,000 users actively using the SCT Banner products. UAF staff process over 700,000 multi-page documents on an annual basis. With respect to a newly installed document management system, at most UAF will have approximately 1000 defined users with an estimated 100 concurrent users.

The University of Alaska Anchorage (UAA) has an operating budget of \$170 million, enrolls approximately 19,428, students and offers a wide variety of associate, undergraduate, graduate, and vocational education programs. UAA employs approximately 1,500 full time and 3,100 part-time staff. At this time, its campuses have over 800 users actively using the SCT Banner products. UAA staff process over 600,000 multi-page documents on an annual basis. With respect to a newly installed document management system, at most the UAA campus will have approximately 500 defined users with an estimated 75 concurrent users.

The University of Alaska Southeast (UAS) has an operating budget of \$29 million and enrolls approximately 4,308 students in various baccalaureate and professional programs. UAS employs approximately 320 full time and 660 part-time staff. At this time, its campuses have over 250 users

actively using the SCT Banner products. UAS staff process over 155,000 multi-page documents on an annual basis. With respect to a newly installed document management system, at most UAS will have approximately 25 defined users with an estimated five concurrent users.

The UA system-wide or statewide (SW) administration unit has an operating budget of \$80 million. SW employs approximately 200 full time and 230 part-time staff. At this time, SW campuses have over 170 users actively using the SCT Banner products. SW staff process over 100,000 multi-page documents on an annual basis. With respect to a newly installed document management system, at most the SW unit will have approximately 20 defined users with an estimated five concurrent users.

### **1.8 Questions Received Prior to Opening of Proposals**

All questions must be directed to UAF Procurement and Contract Services (Attn: John Hebard). There are generally two types of questions. One requires directing the questioner to the specific section of the RFP where the answer may be found. At the option of the University, response to these questions may be given over the telephone; such questions and answers are unofficial and in no case may an oral response to a question affect any aspect of this RFP process. The second type of question involves clarifying or interpreting parts of the RFP or the intent of the RFP. While the University has no obligation to respond to such questions, this type of question and any response shall be in writing. Any written responses conveying material information may be provided to all recipients of the original solicitation. If any oral responses are given, or claimed to be given, no person may rely upon them and they will not affect any aspect of this RFP process.

The Offeror's questions and any University answers will become public records. Written questions must be submitted to the UAF Procurement and Contract Services, PO Box 757940, Fairbanks, AK 99775, or faxed to (907) 474-7720 (Attn: John Hebard) or emailed to john.hebard@uaf.edu.

### **1.9 Future Services**

The University of Alaska has no obligation to engage the Offeror for future professional services beyond the scope of the contract awarded from this RFP or to implement any recommended changes that may come as a result of this contract.

### **1.10 Warranties**

Offerors must warrant that the hardware and software offered in their proposals, when delivered, will be new, in good working order and will conform to the manufacturer's official published specifications and the technical specifications of the RFP and the Offeror's proposal. The University requires that the successful Offeror honor guarantees and warranties offered by the manufacturer. Minimum acceptable warranty coverage is one (1) year effective from the date of the University's acceptance of the fully installed and operational system. Manufacturing defects or faulty workmanship discovered during periods of coverage will require the affected unit or part to be replaced or repaired at NO additional cost to the University. A definitive statement describing the warranty offered to the University must be included with an offer. Product upgrade assurance must be included with the year one warranty.

### **1.11 Offerors Authorized to Bind the Manufacturer**

An Offeror shall be an original equipment manufacturer (OEM), or an authorized distributor, or regular dealer of the manufacturer with legal authority to bind the manufacturer to the terms and conditions of this RFP. The Offeror shall be an agent of the manufacturer with authority to make the University the first owner of record of the items solicited herein, and the first holder of the manufacturer's warranty. Substitute warranties, or warranties provided by other than the OEM are not acceptable, unless otherwise provided for in this solicitation. Offerors must be able to provide, if requested by the University, written



verification from the OEM that this legally binding relationship existed at the time the Offeror's proposal was submitted. Offerors not in compliance with this section shall be considered non-responsive and removed from further consideration.

### **1.12 Delivery, Installation and Implementation**

The Offeror is responsible for the shipping, delivery and implementation of all items described in their proposal. The FOB point is the University of Alaska Statewide campus, Fairbanks AK 99775. The shipping terms for all offers shall be F.O.B. destination and all shipping cost shall be included in the price offered on the RFP Rate Response Form.

### **1.13 Approval of Contractor Personnel**

The University reserves the right to approve or reject the use of any personnel used by the Contractor in the performance of any contract(s) issued as a result of this solicitation without prejudice.

### **1.14 Acceptance**

A detailed system acceptance test plan, including test cases, schedule, process and responsibilities, will be developed and mutually agreed upon by the Contractor and the University to confirm and demonstrate expected functionality of the delivered system. The acceptance plan shall be implemented in phases allowing the University to test and accept system components where possible. If the system (or any delivered portion thereof) is unable to pass the Acceptance Tests within the time agreed by the Contractor and the University, the University may, elect to request the Contractor repair or replace the system. The test plan will include, but not be limited to the following:

- **System Configuration Audit - Delivery** and installation of hardware, software and other materials will be confirmed by inspection and inventory.
- **Basic Hardware Diagnostics** - Tests will be run by the Contractor prior to set-up and testing.
- **Capability Tests** - Functionality of all system components will be demonstrated to confirm that capabilities specified in the Contractor's offer are met.
- **Performance Test** - Performance tests will be executed to confirm that performance requirements have been met. Measurements and thresholds or criteria will be taken from the proposal and will reflect the University's actual requirements. In cases where simulation or modeling are proposed by a Contractor for performance verification, in lieu of actual system use, the University reserves the right to reject this method of testing (i.e., capacity loading, maximum number of concurrent processes prior to perceptible degradation of performance).
- **Reliability/Availability Standards - Reliability** tests will be performed to ensure that the system is stable and available for effective use. The measurement definitions, required levels of reliability, availability and duration of the acceptance period will be documented in the test plan. The system must be active and available at the time of acceptance by the University.

**The University shall not make payment for any part of the system that has not met the requirements for University acceptance.**

**UNIVERSITY OF ALASKA  
REQUEST FOR PROPOSALS  
RFP NO. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
SPECIFICATIONS AND SCOPE OF SERVICES  
SECTION 2**

## **2 CURRENT UA IT INFRASTRUCTURE**

The IT infrastructure described herein represents that relevant to the scope and purposes of this RFP. Offerors are requested to provide information about any available document or records management integration with these applications. The infrastructure is presented in two broad categories: Centralized and Decentralized.

### **2.1 CENTRALIZED IT ARCHITECTURE and INFRASTRUCTURE**

#### **2.1.1 Server Platforms**

The current primary server platform for statewide production systems is HP Tru64 running on HP Alpha machines (Digital Equipment legacies). The target server platform for transitioning statewide systems over the next five years is HP/UX running on HP Itanium servers. Other server operating systems acceptable to the University are:

- Solaris published by Sun Microsystems, Inc.
- RedHat Linux operating system
- Microsoft Windows 2003 Server

#### **2.1.2 Database**

The preferred relational database management system is Oracle, which is used by all of the enterprise systems. There is a significant cost advantage to Offerors who specify the use of Oracle in their proposed system because the University owns and maintains an unlimited site license accompanied by a premium maintenance contract with Oracle. Therefore, no incremental costs are associated with its use. Although there is concurrent use of differing versions, for the purposes of this RFP Offerors should align with version 9i and maintain an ability to keep pace with the University's transition to newer versions.

#### **2.1.3 Desktop Platforms**

The University's systems support staff for the centralized infrastructure rely primarily on Microsoft Windows XP Pro and, to a lesser extent, UNIX or Linux desktop environments. Client side software, firmware or hardware devices proposed by the Offeror for University support staff needs to be compatible with XP Service Pack 2 or newer.

#### **2.1.4 Network**

The internal network uses TCP/IP and related protocols. Access is provided using 802.11b wireless connections and switched wired connections at either 100 or 10 megabits per second that are run to selected desktops. Two different wireless networks are deployed – one for general usage, which does not have encryption, and a second that uses 128 bit WEP.

The University WAN uses Fairbanks as a hub. The major campuses of the University – Anchorage, Fairbanks, and Juneau – are connected by OC-3 WAN links. Frame relay fractional T1 links running approximately 1544K bits per second are used to connect to remote campuses.

### **2.1.5 Internet**

All campuses connect to the Internet through a connection to the WAN hub in Fairbanks.

### **2.1.6 E-mail, Calendars, and Directory Services**

The centralized infrastructure for the provision of e-mail relies on a number of different products. CommuniGate Pro server provides web mail; multiple clients are used (Outlook, Thunderbird, Eudora, etc.) using various protocols (POP, IMAP, etc.). Personal calendars and shared resource scheduling is handled by MeetingMaker and, in addition, the University has an enterprise license for the Sun One calendaring system through its SSCT Luminis internet portal procurement.

Directory services for faculty, staff and employed students are provided by UA's Enterprise Directory, the single, authoritative repository for all persons and objects associated with the system. The University is in the final stages of synchronizing this directory with its enterprise administrative computing systems. Known as E-dir, this represents the most efficient means for new systems to inherit University-maintained security and access privileges appropriate to University-issued userids. Therefore, the University believes that there is a cost advantage to Offerors who incorporate E-dir in their proposed system architecture. Offerors are encouraged to include dependence on this external authentication service in their proposals, but it is not mandated. E-dir is accessed through an industry-standard lightweight directory access protocol (LDAP) and thus no further specification of that interface is included with this RFP.

### **2.1.7 Legacy Software Applications**

A large number of applications are in use by the University. The following list highlights the major systems that may require integration to a digital document repository, records management functions, or impact the solution chosen.

#### ***SunGard SCT Banner***

The University deployed SunGard SCT (SSCT) Banner as a system-wide solution in 1995, and has added systems and modules since that time. In October 2004, the University upgraded to Banner 6, and currently operates Banner Finance, Banner Financial Aid, Banner General, Banner Human Resources and Banner Student systems. The University is scheduled to upgrade to Banner version 7 in October 2005.

University personnel who interact with Banner's forms access this system through Citrix remote terminal software, whereas self-service features for students, faculty and staff are accessed using a web browser. All references within this RFP to integration between Banner and a newly instituted document imaging and digital records management system are understood to apply primarily to Banner forms. Beginning approximately July 2005 the interface to Banner forms will be a web browser interface (SSCT's Internet Native Banner product).

Banner is fed by other internal systems, such as the UAA Gradelink system, and the typical machine-to-machine interface is a data file extracted by one system and uploaded into the other. The University is establishing a real-time interface to Banner during fiscal 2006 through the SSCT Luminis Data Integration Suite.

#### ***Web Self-Services Enhancements to Banner***

The University has implemented a number of Banner self-service products marketed by SunGard SCT. These include Web for Student, Web for Employee, and Web for Faculty and are collectively referred to as UAOnline. Example functions available via UAOnline include:

- Apply for Admissions
- Distributed Education Gateway

- Registration and student records
- Financial Aid Info
- Accounts Receivable information including the tax credit – 1098T
- Employee information(i.e., pay stubs, benefits, leave time , W2 wage statements)
- Unofficial transcripts, Transcript Requests
- Transfer Credit Resource Site
- Campus List
- Employment History, Opportunities
- Student Feedback
- Employee Feedback
- Registration

### ***Web Portal***

The University is deploying SSCT Luminis as the foundation of its “MyUA” portal. Beginning in July 2005, in an incremental fashion, the University will endeavor to direct all prospective and enrolled students, faculty, staff, alumni, partners and vendors through its internet portal for services and information. A key requirement levied upon portal channel content authors is compliance with the University’s ‘single sign-on’ standard. Offerors are encouraged to propose ‘channelized access’ as a secondary means of enabling users to interact with their system.

### ***Workflow***

The University has an enterprise license for the SSCT Workflow product, which it intends to keep current with new releases, and an accompanying maintenance contract. Therefore, there is a significant cost advantage to Offerors who specify SSCT Workflow in their proposed system. Projects being led by Banner Financial Aid, Finance, Human Resources and Student groups to automate several administrative processes are underway. Because business processes automation was identified as paramount during requirements gathering for this RFP, Offerors are required to include SSCT Workflow or equivalent functionality as part of their proposals.

### ***eVision FormFusion***

FormFusion is a tool that allows end-users to reformat Banner/Oracle reports developed by IT programming staff. FormFusion is installed, configured and available to University departments for their creation of templates to which report data can be directed.

### ***Vista Plus***

The University is using the Quest, Inc.’s Vista Plus release 4.3 enterprise report management system to store and manage reports created from the Banner system. This has reduced the need to print and distribute paper reports, and provided end-users with the ability to selectively print reports when needed. After a certain number of days, reports are compressed using ZIP algorithms and then backed up to tape. The University is considering upgrading to Release 5, which uses a new Java-based interface. The principal users of Vista Plus are Finance and Human Resources. Combined, these departments capture over 4.9 million pages of reports annually.

While there is value in having an integrated solution for Electronic Report Management (ERM), the University has no current plans to replace Vista Plus. However, the University is interested in information as to the offeror’s ERM capabilities.

***Financial Edge™ and Raiser's Edge®***

The UA Foundation and the various Development offices use Blackbaud Financial Edge™ and The Raiser's Edge® to manage their activities and funds. Information is manually transferred from these systems to Banner.

***Maximus Asset Solutions***

On behalf of facilities services and space utilization departments for all units, the University has licensed FacilityFocus® and WebSpace® software from the Maximus Asset Solutions suite.

***Pathlore***

Corporate Programs is using the Pathlore Learning Management System to manage professional and continuing education records.

***EMAS***

EMAS™ Pro from Educational Systems, Inc is being used to manage student recruitment and enrollment efforts. The interface with the University's Banner Student System is accomplished using data extracted to a file that is then transferred to and uploaded by the EMAS application.

***ELM***

All campus Financial Aid departments use ELM Resources to automate Federal Family Education Loan Program (FFELP) and private loan processing through the Internet.

***Web Content Management***

The University's Statewide unit is currently using Roxen™ CMS to manage websites served from the centralized IT infrastructure. The University's centralized Web Services Group intends to deploy the SSCT Luminis Content Management System in the 2005/2006 time frame, making it available enterprise-wide.

## **2.2 DECENTRALIZED IT ARCHITECTURE and INFRASTRUCTURE**

### **2.2.1 Server Platforms**

Servers are a variety of platforms, with the majority Microsoft Windows, Intel architecture based.

### **2.2.2 Desktop Platforms**

Desktops are a mixture of both Microsoft Windows and Apple Macintosh systems, with a variety of hardware and chip generations. There is no organized plan for replacement of desktop systems; therefore, a broad range of desktop capability must be supported. Minimum operating system versions are Microsoft Windows XP SP2 and Apple Macintosh OS X 10.2.

### **2.2.3 Network**

In general, wired and wireless network bandwidth to computer workstations is at least 10 Mbit TCP/IP Ethernet. Where required, 100/1000 Mbit connectivity is provided (e.g., shared, high-capacity laser printer).

### **2.2.4 Internet**

In general, all University computer workstations have uninterrupted access to the public internet. In some cases, sub-net limiters are deployed for load balancing and bandwidth management.

### **2.2.5 Electronic Mail**

A variety of electronic mail servers are being used by the 16 physical campuses associated with the three major universities. In some cases, multiple servers are in use within one campus.

## 2.2.6 Legacy Applications

A large number of applications are in use by the University. The following list highlights the major solutions that may require integration to a digital document repository, or impact the solution chosen.

### *LaserFiche (UAA)*

The Anchorage campus has deployed a small LaserFiche imaging system to handle Admissions related paperwork. Four other departments have begun using it as well for Financial Aid, Accounting, and Grants and Contracts related paperwork the system has licenses for 15 full function stations, and 35 simultaneous read-only viewers. It runs on a Microsoft Windows 2000 server using a Microsoft SQL Server database. The server has 72 gigabytes of RAID 5 storage, which is about 3/4 filled with 285 thousand pages.

If this system is superseded by the system being acquired, the processes available for converting the LaserFiche images and information must be explained by the offeror.

### *Gradelink (UAA)*

Currently, UAA uses the Gradelink web-based online grading system to collect grades from instructors. Grades are submitted on optical mark sense (OMR) forms and read using recognition software. The grades are then fed electronically into the systemwide Banner system. Gradelink operates on a Microsoft Windows™ platform.

### *Web Sites and Web Content Management*

Most campuses, large or small, design and operate their own web sites and DreamWeaver is a popular content creation tool. These web sites are independently managed, and use different server products. The University of Alaska Anchorage unit is using Cold Spot for content management. Often, these sites are positioned as front-ends to directly accessible web services such as the distance learning system and UAOnline.

### *Collaboration Tools*

Anchorage provides a web site called UAAOnline to provide access to Blackboard for distance learners. The University of Alaska Southeast in Juneau provides a web site called UASOnline for its learning management system.

## 2.3 IMPLEMENTATION SCHEDULE

The University of Alaska shall establish a strategic partnership with the Contractor for its digital document management needs. The initial focus will be on document imaging, with later attention on process automation and electronic content management. As such, the University is positioned in the critical path of success for Offerors because it retains primary responsibility for procurement of all hardware specified within Offeror's proposals. The implementation will be completed in the following phases:

**Phase 1** will involve enhancing the university student enrollment process, including Admissions, Financial Aid, and Registrars, with scanning, workflow, and electronic folders. The initial purchase will only cover procuring the infrastructure necessary to implement this Phase. Phase 1 software products and services are to be delivered to the University approximately ninety (90) days after contract execution and implementation is to be completed approximately one hundred eighty (180) days after execution.

**Phase 2** will address the next areas to be implemented and will be determined by the University once Phase 1 is complete. Once authorized, Phase 2 software products and services are to be delivered to the University within ninety (90) days and implementation is to be completed approximately one hundred eighty (180) days after Phase 2 is authorized.

**Phase 3** will address a number of University-wide, lateral, and hierarchical approval processes. The University will implement Phase 3 once Phase 2 is complete. Once authorized, Phase 3 software products and services are to be delivered to the University within ninety (90) days and implementation is to be completed approximately one hundred eighty (180) days after authorization.

**Phase 4** will use the base of digital document technology to permit departmental solutions to be implemented as deemed appropriate and shall be implemented on a schedule to be agreed to by the Offeror and the University. The University expects that many of the services for Phase 4 will be provided by the University staff.

In parallel, the University is initiating a formal records management program. Records added to the Contractor-supplied system will have retention assigned, and it is expected that it will permit their monitoring and control. This system should allow us to meet regulatory requirements for record retention and scale for future growth.

## **2.4 SCOPE OF SERVICES**

The procurement and implementation of a SSCT Banner-integrated digital document and record management system, referred to in this document as the “system,” and assistance with automating enrollment and grants functions encompasses the scope of services for this RFP. Only products and services necessary for that effort will be purchased at this time.

Functionality desired as a result of this acquisition includes the requirements outlined below and as defined in the Functional Requirements table. Since the University is intending to pick a strategic contractor for the construction over time of a digital document technology infrastructure, a number of features are listed which will not initially be procured.

### **2.4.1 Software**

- **Imaging**

The University needs to support a range of scanning options, including different densities and document sizes. The offeror should identify the image enhancement capabilities of the capture systems. While most documents are black and white and 8 ½ inches by 11 inches in size, it must be able to:

- Capture photographs in a manner that provides faithful reproduction from the digital representation,
- Capture documents that need to preserve color-based or grayscale features, and
- Scan documents sized from a business card (2” x 4”) up to 11 inches by 17 inches.

The University needs to retain and access student records and documents for the life of the institution. Therefore, the system proposed should support the generation of archival film, through either a connected device or the use of an outside service bureau.

The entire system must be integrated with the University's technology infrastructure in the following ways:

- For each session, users shall access all system functions appropriate to their userid by supplying their credentials once.
  - Banner forms should be image enabled, so that an unutilized key combination of one or two keys will provide access to the relevant stored images. Offeror should identify any changes required to baseline SSCT Banner to support their proposed integration.
  - Indexing of newly introduced/ingested documents shall be validated against the existing repository to eliminate the possibility of improper or duplicate indices.
  - Information originating from newly ingested documents can be validated against Banner and other data sources.
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- **Electronic Document Management**  
The University would like to use the proposed system to store non-executable and executable computer files, such as those produced by word processing, spreadsheet, and graphics application software.
  - **Workflow**  
The University's current expectation is to continue to use its enterprise license of SSCT Workflow. An Offeror may propose an alternate workflow product for the express purposes of automating document introduction to or retrieval from the proposed system; however, it must be priced separately, and accompanied by the business rationale for displacing SSCT Workflow. In addition, a system for integration of the alternate with SSCT Banner, including modifications of Banner or Banner interfaces, if required by the Offeror, must be presented and priced. The University will not purchase a workflow product through this RFP for purposes other than automating interactions with the Offeror's proposed system.
  - **Enterprise Report Management (ERM)**  
The University's current expectation is to continue using Quest Vista Plus for its print management and ERM needs. The University is interested in learning what ERM capabilities are available from potential offeror.
  - **Source Code and Proprietary Information**  
The University will obtain all source code, construction information, and documentation for any custom work. Offerors must include a provision showing that all vendors have placed the product source code and proprietary information in escrow, to provide to the University in the event that the Contractor is unable to provide service due to financial insolvency or the Contract is terminated for default.

#### **2.4.2 Hardware**

In general, the University procures all commodity hardware through its own cost-effective channels, separate from RFPs. Offerors are required to provide specifications for all required hardware, with individual pricing guidance for each item. Please account for all necessary components including, but not limited to, the following:

- Desktop computers, both Microsoft Windows and Apple Macintoshes
- Server(s)
- Scanners, interface cards, cables



- Other hardware identified by the offeror

#### Services

- Perform complete setup of all components and configuration for all instances.
- Establish system integration with Banner using University-specified interfaces.
- Train select staff on all aspects of the system from end-user to system administration functions.
- Provide customized documentation.
- Provide on-going support services, including technology refresh and software/firmware maintenance.
- Offerors are encouraged to analyze narratives for actual University business processes included in the appendix.

**UNIVERSITY OF ALASKA  
REQUEST FOR PROPOSALS  
RFP NO. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
FUNCTIONAL REQUIREMENTS QUESTIONS  
SECTION 3**

**Functional Requirements**

Requirements in this section are separated into three categories with the following titles and definitions:

**Mandatory (M)** -- Mandatory requirements are those that the University has determined the Offeror's proposal must contain in order to meet the objectives outlined in this RFP. Failure to satisfy any one of requirements shall be considered a deficiency requiring corrective action or the Offeror may be removed from further consideration.

**Important (I)** -- Important requirements are those items and features that the University has determined would greatly enhance the system sought by the University. Offerors that do not satisfy requirements identified as important will receive a lower technical score than those meeting these requirements.

**Optional (O)** -- Optional features are those items that the University feels could, if available and cost justifiable, enhance the system sought by the University. Relative to Mandatory and Important requirements, less emphasis is placed on this category. Offerors are cautioned however, that the evaluation of optional features may impact the overall evaluation of proposals.

The University has not attempted to define the total required system configuration, but rather has identified minimum requirements to be met by the Offeror. The University emphasizes that it is the Offeror's responsibility to identify and specify a system to meet the University's requirements, not simply meet the minimum mandatory requirements specified in this section.

Answer the following requirements, providing the section and item number with each response. **Each answer should start with one of the following responses:**

**Yes** - The System currently meets all the aspects of the numbered requirement at the proposed cost. Note: It is not acceptable for the offeror to answer "Yes" to a specification when the functionality is not yet commercially in use. It is expected that any yes answer will be currently installed and running at an agency where a site visit could be performed.

**No** - The System does not currently meet all aspects of the numbered requirement, the non-complying functionality is not included in the proposed system, and the offeror does not anticipate development to address this requirement.

**User** - The user can provide this functionality using commercially available tools, or tools proposed. The tool and configuration settings required to provide the functionality must be described.

**Alternate (Alt)** - The System meets the intent of the section, but does not accomplish it in the same manner as it has been described. Provide a description of the method in the "Description" column for accomplishing the requirement. If necessary, attach a separate addendum (with the appropriate line reference from the spreadsheet) to the end of the section explaining in detail how their product meets the intent of the requirement.

**Modification Required (MR)** - The System does not currently meet all the requirements of the section, but the offeror will address the requirement through new development. When using this answer the offeror is committing to deliver the function as a part of this project, (i.e. it is required for final acceptance). If the offeror is charging the participating agencies for developing this functionality the additional cost shall be clearly stated in a pricing proposal.

**Future (F)** – A planned and scheduled future release of the product will provide this functionality. The announced release date, any additional charge to obtain the feature and costs for additional items required for the function must be provided. If mentioned in the quote, delivery of the functionality will become a contractual obligation if the proposal is accepted.

**The response should be followed by a description of how the requirement is satisfied. *There must be an answer supplied for each line item.***

**Add concise comments (not to exceed two pages each) indicating how each requirement will be met. Extended comments may cross-reference additional documentation. Cross-referenced material must be clearly identified or it will not be considered in your response.**

<p><b>1.</b></p>	<p>Major Requirements Answers must be provided to all items in PART 1. Failure to meet any of the requirements included in Section 1 may cause an offer to be found non-responsive and removed from further consideration.</p>
<p>1.1. M</p>	<p>Describe the System Architecture being proposed in this response.</p>
<p>1.2. M</p>	<p>Provide a list of required supporting software or operating system features, with an explanation on why they are required.</p>
<p>1.3. M</p>	<p>System must be compatible with the existing University network and operating systems. Describe your recommended operating system and how it will work with the university's existing infrastructure.</p>
<p>1.4. M</p>	<p>System database must be Oracle to be compatible with the University infrastructure. University is currently running 9i and will be going to 10g at the end of 2005. Specify certified Oracle versions and compatibility.</p>
<p>1.5. M</p>	<p>For each separately identifiable component of the proposed system, provide a breakdown of the storage required for operating systems, application software, database software, middleware, transport layers and document storage.</p>
<p>1.6. M</p>	<p>System must grow from 300 defined users to 50,000 users. Describe the plan that will accommodate this growth pattern.</p>
<p>1.7. M</p>	<p>System must grow from a million documents to 10's of millions. Describe the plan or change to the functionality, software, and/or hardware necessary to accommodate this growth.</p>
<p>1.8. M</p>	<p>System must support 128-bit SSL or equivalently encrypted connectivity between all system components and access points. Commonly available web browsers are the preferred method of system access (users and system administrators). Describe in detail the minimum browser versions supported and the way they will interact with the system.</p>
<p>1.9. M</p>	<p>System must support the University's standard for digital representation. This requires digital images to be Tagged Image File Format (TIFF) Version 6, multi-page image format with ITU-T Group 4 Facsimile compression. Offeror will discuss any custom fields or variances from the TIFF standard. Image files must be viewable in standard Microsoft Windows Imaging and Internet TIFF viewers. Read the University's standards found at: <a href="http://www.alaska.edu/controller/projects/document_imaging/tutorial_standards.pdf">http://www.alaska.edu/controller/projects/document_imaging/tutorial_standards.pdf</a> and explain how the system complies.</p>
<p>1.10. M</p>	<p>System must provide a tightly controlled environment for scanned document image storage, retrieval, and backup of digital records. Describe how your solution manages images, the ability of the image files to be manipulated with standard operating system tools and the backup products supported by the system. Can proposed system be backed-up over a LAN or WAN using the University-operated EMC/Legato NetWorker Power Edition, version 7.1.3, on Tru64 OS v5.1B? Explain.</p>
<p>1.11. M</p>	<p>System must integrate with SSCT Banner screens (see addendum titled "University Deviations from SSCT Banner baseline"). Provide description on how this integration is accomplished.</p>
<p>1.12. M</p>	<p>Provide a detailed list of any third party products required for desired functionality as proposed in your response but not included in price.</p>

1.13. M	System must have an import process to bring in items from other systems, which will properly store and index those documents. Explain your process and methodology.
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<b>2.</b>	<b>Imaging</b> - This table covers the imaging requirements for the system to be acquired, including capture capabilities and viewing capabilities. Offerors must respond directly to each item in Section 2 and provide an explanation.
2.1.	<b>General Features</b>
2.1.1. I	The system specified will grow to permit the addition of 1.6 million pages annually and hold five years of information. Describe the storage required for images and indexing database when that level is reached.
2.1.2. I	The system must support high and low-volume scanning and indexing in any combination.

2.2.	<b>Document Capture Software – High Volume</b> High volume capture is defined as when a dedicated staff member is scanning and indexing significant daily volumes of paper, and automated tool support is cost-justified.
2.2.1. I	System must support scanning of documents sized from 2 x 4 inches up to 11 x 17 inches (W x H). What size documents does your system capture?
2.2.2. I	Capture system should support simultaneous scanning of both sides of double-sided documents, or automated scanning of double-sided documents. Explain how capture system supports simultaneous scanning of both sides of double-sided documents.
2.2.3. I	System should create a digital representation of scanned photographs, color or grayscale, at a density of up to 2048 x 1024 pixels per inch. Describe proposed system's capabilities.
2.2.4. I	System should validate index information against Banner and other database data. Can proposed system validate index information against Banner and other database data?
2.2.5. O	System should support scanning of E size drawings (34" x 44"). What is the maximum document size that the system can scan?
2.2.6. I	System must allow the user to perform image quality assurance with visual verification of each page of each document image. Explain how the system allows the user to perform image quality assurance with visual verification of each page of each document image. How does a user perform quality assurance with visual verification?
2.2.7. I	System should make scanning controls accessible to users for any manual adjustments that may be necessary, such as deskew, despeckle, removal of borders, contrast, brightness, etc. Explain how the proposed system provides these abilities.
2.2.8. I	System must provide the ability to delete, re-scan and replace poor quality images and missing pages. Explain how the proposed system provides these abilities.

2.2.9. I	System should provide the ability to sight verify index values, easily make changes and automatically validate changes against internally stored, configurable range of acceptable values. Explain how the proposed system provides these abilities.
2.2.10. I	The proposed system should provide the capabilities requested below. Explain how the system supports a variety of document scanners including flatbed, automatic feed, high-speed duplex scanners, and large format scanners from multiple manufacturers. Does the software support TWAIN? Does the software support ISIS?
2.2.11. I	System should support document and batch separator pages, bar code recognition. Explain how the proposed system supports document and batch separator pages, bar code recognition.
2.2.12. I	System should support a) forms recognition, or b) optical character recognition. Explain how the system supports a) forms recognition, or b) optical character recognition.
2.2.13. I	System should be able to capture printed and handwritten information, and read marks and bar codes. Explain how proposed system captures printed and handwritten information, and read marks and bar codes.
2.2.14. I	Explain the linkages that are available to populate Banner fields from captured and indexing data. In reverse, explain what system fields are available to be populated from an external (legacy) system already operated by the University.

2.3.	<b>Document Capture Software - Low-volume</b>
2.3.1. I	Low-volume scan users must have support for scanning of physical documents sized from 2 x 4 inches up to 11 x 17 inches. What is the physical document size range that the proposed low-volume capture solution supports?
2.3.2. I	Capture system should support simultaneous scanning of both sides of double-sided documents. Explain how capture system supports simultaneous scanning of both sides of double-sided documents.
2.3.3. I	Capture system should support the scanning of photographs. What is the maximum resolution (pixels per inch) and colorization (bits per pixel) for scanned photographs?
2.3.4. I	System should support the validation of index information against data from an external system, particularly SSCT Banner. Explain how the proposed system provides these abilities.
2.3.5. O	Does system support the scanning of E size drawings?
2.3.6. I	System must allow the user to perform image quality assurance with visual verification of each page of each document. Explain how the proposed system provides these abilities.
2.3.7. I	System must allow ability to delete, re-scan and replace poor quality images and missing pages. Explain how the proposed system provides these abilities.
2.3.8. I	Describe the proposed system's ability to sight verify index values, easily make changes if necessary and validate against University-configurable value ranges.
2.3.9. I	System should support a variety of document scanners including flatbed, automatic feed, high-speed duplex scanners, and large format scanners from multiple manufacturers. Please describe what devices are supported and how they interact with capture software.
2.3.10. I	Digital photocopiers or fax machines should be able to serve as image capture hardware. Explain how the proposed system provides these abilities.
2.4.	<b>Document Capture – Facsimile</b>
2.4.1. I	Explain the process the proposed system uses to capture facsimile.
2.4.2. I	Explain the process the proposed system uses to record and index facsimiles.
2.4.3. I	Facsimiles should be able to be processed by forms recognition and processing. Explain how the proposed system provides these abilities.
2.5.	<b>Image Viewers</b> - Describe the image capabilities of any file viewing tool provided with the system.
2.5.1. I	List/explain which desktop environments system works with: MS Windows, Macintosh, Linux. Does system rely on web browsers, Offeror-proprietary client software or/and Citrix?

2.5.2. I	Are there any limits as to the TIFF file size that the viewer can accept? Describe the size range of TIFF image files that your system can handle.
2.5.3. I	What type of image size and rotation adjustments are supported by the proposed system?
2.5.4 I	Does system permit image annotation? What types of annotations are supported?
2.5.5 I	System should support independent annotations, with individual security. Explain how the proposed system provides these abilities.
2.5.6 I	Describe how a user could block areas of an image record from being viewed by a subset of system users.
2.5.7 I	Describe any features not available in all viewer desktop environments.
2.5.8 I	Does the system accept and display desktop application files such as MS Office without a need for the application software used to create it? Please list supported application files by type and creation software.



3.	<b>Electronic Document Management</b> - Describe the abilities of the system to support desktop authoring and storage of computer application files. Proposers must respond to directly to each item in section 3.
3.1. I	Product must integrate with web browsers. Explain how proposed system integrates with current releases of Microsoft's Internet Explorer, Mozilla's FireFox, and Macintosh's Safari web browsers.
3.2. I	System must permit definition of document classes with different sets of indices. Explain how the proposed system provides these abilities.
3.3. I	The University would like to automate the capture of electronic documents from desktop applications. For which applications do you supply out-of-the-box integration for adding files? Which applications will you support automatic open for view or edit directly into the application?
3.4. I	System should support the versioning of documents. Explain how your system accomplishes versioning of documents.
3.5. I	Can a version be changed after it is added? Can it be deleted? Explain
3.6. I	Explain how system supports automatic archive of older versions.
3.7. I	System must provide security on an individual document basis. Explain how the system accomplishes this. Describe options for document security.
3.8. I	System must provide for hierarchical organization of documents. Explain how the proposed system provides these abilities.
3.9	<b>Search capabilities (applies to all records; application-specific files and images)</b>
3.9.1	<i>Index searches</i>
3.9.1.1 I	System must permit searches using any index field or a Boolean combination of indices. Explain how the proposed system provides these abilities and include all logical constructs supported.
3.9.1.2 I	System must allow wildcards in index searches. Explain how the proposed system provides these abilities.
3.9.2	<i>Content searches</i>
3.9.2.1 I	System must support text searches of document content. Explain how the proposed system provides these abilities and forecast the impacts to system performance and required storage if feature is enabled. What document formats may be text indexed?
3.9.2.2 I	Can your solution extract text from images for content searching? What is the success rate for the optical character recognition engine? How is it tuned? Explain how the proposed system provides these abilities.
3.9.2.3 I	What controls are provided to select documents to be indexed for text search?
3.9.3 I	System should support mixed searches (indices and content). How are results combined? Explain how the proposed system provides these abilities.
3.9.4 O	System should support saving queries and reusing them. Explain how the proposed system provides these abilities.
3.9.5 I	Users should be able to restrict content- and index-based searches to a subset of documents based upon folders or document type. Explain how the proposed system provides these abilities.

<b>4.</b>	<b>Records Management</b> - The University needs to manage both electronic and physical (paper and film) records, and this system should support that need. Offerors must respond directly to each item in section 4.
4.1. I	The system must support records management functions (e.g. prohibit editing on defined documents). Explain how the proposed system provides these abilities.
4.2. I	Describe what algorithms are available to intelligently identify and enforce the University's record retention policies.
4.3. I	Does record management system require managed electronic records be moved into your repository? Explain processes for managing electronic records.
4.4. I	The system must provide tools for maintaining retention schedules, applying and removing holds, producing destruction lists and initiating a destruction cycle. Explain how the proposed system provides these abilities.
4.5. I	System must destroy digital documents and their associated indices, records and previous versions in a manner rendering them unrecoverable. System must track the destruction status of physical documents not under its control. Explain how the proposed system provides these abilities.
4.6. I	Can the system's records management functions manage records kept in other systems? Explain how the proposed system provides these abilities.
4.7. I	Describe the reports available from the system for records management staff.
4.8. I	Explain how the system supports the retention and lifecycle management of email as a business record.
4.9. I	Explain system tools for separating email spam from true business records. Relate to 4.8 above.
4.10. I	System must enable the University to keep pace with statutory and regulatory changes pertaining to management of records. Explain how the proposed system provides these abilities.
4.11. I	System must support the management of paper and electronic documents. Explain how the proposed system provides these abilities.
4.12. I	System must be capable of managing multiple records centers. Explain how the proposed system provides these abilities. Describe all capabilities.
4.13. I	System must support the generation of archival film from stored images. Explain how the proposed system provides these abilities.

<b>5</b>	<b>WORKFLOW - The University has an enterprise license for the SSCT Workflow product.</b>
5.1	<b>If Offeror recommends a substitute for SSCT Workflow then all items in section 5.1 are mandatory</b>
5.1.1	Explain why a separate workflow system is necessary and describe all of its functionalities.
5.1.2	Does the workflow use the same security system as the document and imaging system? Provide the details of how the workflow security is synchronized with the system's security features.

5.1.3		Does the workflow support assignments to a group? Provide an explanation of how your system handles this function.
5.1.4		Does the workflow support parallel processing tracks (split and join)? Provide a detailed explanation of this feature.
5.1.5		Does the workflow support flexible voting where the number agreements needed to proceed can be set (on vote to all voters)? Explain.
5.1.6		Does the workflow support reassignment of tasks by authorized individuals and handle proxy concepts? Provide an explanation of this procedure.
5.1.7		Does this workflow product support deadlines and report lag time? Explain this concept and the reports the system supplies.
5.1.8		How is the workflow linked to the document/image system? Explain how this linking is performed.
5.1.9		Does the workflow system support email notification? Explain how system supports email notification.
5.1.10		What reports does the workflow system supply? Are custom reports possible? Explain.
5.1.11		How will the workflow system be administered by University staff? Explain the administrative process that will be followed.
5.1.12		How are workflow queues monitored?
5.1.13		How are workflows created? Describe the process.
5.2	I	<b><i>If SSCT Banner Workflow is being proposed then Offerors will provide responses to each item in the following section.</i></b>
5.2.1	I	Explain how the Offeror will integrate the proposed system with the University's licensed workflow product.
5.2.2	I	If using the University's licensed workflow product, instead of the Offeror's preferred workflow product, explain the limitations that a user of the proposed system would have in using all of the systems functions (such as adding, viewing, and annotating).

<b>6</b>		<b>Enterprise Report Management (ERM) - Offerors must respond directly to each item in section 6.</b>
6.1	I	System must provide access to reports and all reporting features over the internet using a web browser. Explain how the proposed system provides these abilities.
6.2	O	The system should have the ability to support ASCII text format, to transform output to HTML, XML, and PDF and to store a related set of ASCII data to allow mining of statement documents. Offerors should specify their support for these formats and indicate other formats supported.
6.3	O	The system should have the ability to store statement templates (overlays) as separate images associated with ASCII statement data. Explain how the proposed system provides these abilities.
6.4	O	Offerors will indicate whether they use a flat file or relational model and explain how their method affects performance.
6.5	O	The system should have the ability to click on a report item and pull up a related report or item image. Explain how the proposed system provides these abilities.
6.6	O	The system should support a minimum of five indices. How many indices does system

		support and what are the alphanumeric and special character limitations for each one?
6.7	O	System should have the capability to provide a close facsimile of a report (i.e., not necessarily an exact duplicate of the report or statement). Describe your system's capabilities to provide a close facsimile of a report.
6.8	O	System should have the ability to link ERM/Computer Output on Laser Disk (COLD) data with other applications through standard interfaces (APIs, etc.). Explain how the proposed system provides these abilities.
6.9	O	System should have the ability to attach annotations to reports at the report, page, line, and field level with individual and group security. Control ability to edit and delete annotations. Explain how the proposed system provides these abilities.
6.10	O	System should have the capability to store digital signatures for its users and allow them to attach them to reports as part of the signoff or review process. Explain how the proposed system provides these abilities.
6.11	O	System should support free format ASCII searches, full report mining, and data search capabilities by index fields. Describe how your system supports free format ASCII searches, full report mining, and data search capabilities by index fields.
6.12	O	System should support departmental to enterprise-wide scalability with thousands of users. Explain how your system supports departmental to enterprise-wide scalability with thousands of users.
6.13	O	System should have the ability to extract data and/or annotations from formatted documents without programming. Explain how your system allows users to extract data and/or annotations from formatted documents without programming.
6.14	O	System should have the ability to match and merge corresponding data from disparate document types. Explain how your system allows the matching and merging of corresponding data from disparate document types.
6.15	O	Explain how your system allows the user to create new ad hoc reports from existing report data and store templates for automatic future report creation-without programming.
6.16	O	Explain how your system normalizes extracted field data and joins with other data fields for export or import to other databases.
6.17	O	System should be server based. Is the system server-based? Describe server components.
6.18	O	The system should have the ability to transform new ad hoc report data to XML/HTML for Internet delivery. Explain how system transforms new ad hoc report data to XML/HTML for Internet delivery.
6.19	O	After a known time, reports do not need to be kept on-line. How are old reports on your system archived to reduce storage requirements?

<b>7</b>		<b>Collaboration</b> - Offerors must respond directly to each item in section 7.
7.1	O	The University may choose to procure collaboration functionality through this RFP, such as whiteboarding, message boards, and document sharing, potentially throughout the enterprise. While this is envisioned as technology useful for collaboration with outside groups, it is viewed as key for easing the challenges of a geographically distributed organization. Describe the range of options available with the product(s) being proposed.

8	<b>Integration</b> - The University expects that it will need to customize and/or interface its systems to the system proposed. Offerors must respond directly to each item in section 8.
8.1 I	What Application Programming Interfaces (APIs) are provided with the system? Are they open or proprietary?
8.2 I	At a high-level, describe what customizations are possible with the system proposed. Provide some examples relevant to a University environment.
8.3 I	What training is available to University personnel for custom development?
8.4 I	What integrations might be implemented with SSCT Luminis Data Integration Suite? Explain.
8.5 I	Describe recommended processes for interfacing with SSCT Banner forms, GUIs and systems including Student, Human Resources, Financial Aid, Finance, and Web For products.
8.6 I	Describe other application integration features of the proposed system.
8.7 I	Does the proposed system have the ability to automatically exchange data with SSCT Banner? Explain.
8.8 I	System should utilize University's external authentication server via Lightweight Directory Access Protocol (LDAP). For interface guidance, see <a href="http://middleware.internet2.edu/internet2-mi-best-practices-00.html">http://middleware.internet2.edu/internet2-mi-best-practices-00.html</a> . The system must provide secure transmission of credentials and provide directory attribute-based levels of authorization (authZ as opposed to authN). The University is also interested in the use of credentials other than passwords (Kerberos or PKI-like certificates) and privacy-preserving authN and authZ via Shibboleth. Explain the user credential management process the system will be using.

9	<b>System Management</b> – University IT staff need to be able to configure and manage the system proposed, often from locations remote from the servers. Offerors must respond directly to each item in section 9.
9.1	<b>Administration &amp; Maintenance</b>
9.1.1 I	System must be configurable by and can be fully administered by UA personnel. Explain the access that UA personnel will have to enable them to perform this task.
9.1.2 I	System administration must be performed from an administrator’s MS Windows desktop. System should allow remote administration over the University network. Can system administration be performed remotely over the University network? Over the public Internet? Explain.
9.1.3 I	System should provide the ability to monitor performance. Describe such capabilities.
9.1.4 I	System performance should be adjustable. Describe such capabilities.
9.1.5 I	System should allow configuration changes while system is active and in use by users. Describe such capabilities.
9.1.6	System Backup and Restore Processes.
9.1.6.1 I	Describe system backup, restore and recovery processes including but not limited to: Transaction logging (AKA journaling) Software used to perform backups and restores Offline backups Online backups Restoring from offline and online backups to a known consistent state Rolling transactions forward from a known consistent state Rolling transactions backwards from a known consistent state
9.1.6.2 I	System must provide the ability to recover to a point in time in the past and/or a specific transaction.
9.1.6.3 I	Offeror must provide documentation detailing methods of backup and recovery including backup and recovery examples.
9.1.6.4 I	Offeror must provide a list of 3 <sup>rd</sup> party backup/restore software packages that are compatible with the software being proposed in response to this RFP.
9.1.7 I	Describe how software patches and new releases are applied. Does the system need to be shutdown?
9.2 I	Describe uninstall procedures for patches.
9.3	<b>Application Creation</b>
9.3.1 I	Describe how a new library is implemented.
9.3.2 I	Describe how new document classes are implemented.
9.3.3 I	How may document classes be modified? What restrictions may apply?
<b>9.4</b>	<b>Reporting</b>
9.4.1 I	What self-service reports are provided with the system? Describe how a report is generated.
9.4.2 I	Does your system have custom reporting features available to all user types? Explain.

9.4.3 I	System must provide activity audit logging. Are both successful and failed activities logged? Please describe granularity of information logged and abilities provided to select what is logged (date/time stamp, process ids, etc.).
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<b>10</b>	<b>Security</b> - This list investigates the access authentication, functional privileges, and information security of the proposed system. Offerors must respond directly to each item in section 10.
10.1 I	System should integrate with University's identity management infrastructure and architecture (Banner, Luminis, and enterprise directory via LDAP). Describe integration and maintenance of interface(s).
10.2 I	How does the system provide access security? Describe granularity in detail.
10.3 I	Security should be assigned to groups (scanning, transcript printing, query, administrator, etc.) with varying levels of data access. Does the system provide user and group security?
10.4 I	Does the system provide role-based behavior and security?
10.5 I	System must provide the ability to restrict functions by user and group. Explain how system functions be restricted by user and group?
10.6 I	Is there one security system for all parts of the system?
10.7 I	System must allow application of security to individual documents. Explain how to apply security to individual documents?
10.8 I	How is security applied to individual annotations and attachments?
10.9 I	System must allow security to be applied to individual folders. How is security applied to individual folders?
10.10 I	Explain how to apply security to a folder hierarchy.
10.11 I	Explain how a user or group be excluded from seeing a document or folder.
10.12 I	Explain how security is applied to a document when it is added to the system. How may it be modified after creation? Does the system allow an office to define its own security and confidentiality? Explain.
10.13 I	Describe system's transaction (audit trail) log of all changes, deletions, and additions to the security table.

<b>11</b>	<b>Compliance</b> - The University is required to comply with a number of information security regulations. Offerors must respond directly to each item in section 11.
11.1 I	Explain how proposed system reinforces the University's ability to continue to comply with Family Educational Rights and Privacy Act (FERPA).
11.2 I	Explain how proposed system reinforces the University's ability to continue to comply with Health Insurance Portability and Accountability Act of 1996 (HIPAA).
11.3 I	Explain how proposed system reinforces the University's ability to continue to comply with the Sarbaines Oxley Act.
11.4 I	Explain how proposed system reinforces the University's ability to continue to comply with Gramm-Leach-Bliley Act of 1999.
11.5 I	Explain how system reinforces the University's ability to continue to comply with State and Federal privacy legislation.

11.6 I	Explain how proposed system reinforces the University's ability to continue to comply with section 508 of the Rehabilitation Act Amendments of 1998 and the Americans with Disabilities Act (ADA).
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<b>12</b>	<b>Usability</b> - The University is looking for a system that staff, faculty and students will find easy to use. Offerors must respond directly to each item in section 12.
12.1 I	Show screen snapshots of each user interface being proposed. Explain purpose and connection between.
12.2 I	What control is available when users are entering or modifying index information?
12.3 I	What run-time error messages are generated by the system? Which are provided to administrators, and which to end users? Show examples.
12.4 I	What assistance is provided for understanding and addressing errors?
12.5 I	Can intelligent alerts be sent to the appropriate person? Explain.
12.6 I	Are error messages stored externally to the system? How are they stored? Where?
12.7 I	What desktop applications are supported by out-of-the-box integration? Please describe the integration. MS Office and Adobe Acrobat are most of interest.
12.8 I	How may a user add information to the system's index and repository from her/his desktop computer?

<b>13.</b>	<b>Miscellaneous Architecture, Technology and Features.</b> Offerors must respond directly to each item in section 13.
13.1 I	Three identical instances of those components of the Offeror's system that connect to University-operated production systems are required by the University. To be designated by the University as 'Production,' 'Pre-production' and 'Test,' the one designated as 'Test,' for example, will be connected to the University's TEST instances of Banner, Workflow, E-dir, Luminis, etc. Explain how the Offeror proposes to comply with this requirement, and address if necessary in the pricing proposal.
13.2 O	Explain how multiple-CPU technology could be utilized by the proposed system and characterize associated costs and benefits to the University.
13.3 I	The system must provide queuing for the attempted addition of certain document types by one userid for later approval by a different userid. Explain how the proposed system provides these abilities.
13.4 I	Describe how configuration of the system is managed and controlled. How are version, revision, and release identifiers tracked for all components?

	<b>Services</b>
<b>14</b>	<b>Installation</b> Offerors must respond directly to each item in section 14.
14.1 I	The successful Offeror must assume the major responsibility for installing all software components of the system. University personnel may assist in the installation, but ultimately the successful Offeror is responsible. The Offeror shall assist University in planning the details of installation. Provide a draft implementation plan; including timeline information using calendar-based dates or in a relative manner.



14.2 I	System installation will be considered complete only after the system has passed acceptance testing by the University. Acceptance tests include testing all requirements reported in the Offeror's proposal, contract and published specifications. Provide a list of acceptance tests appropriate for your system.
14.3 I	Describe the administration and maintenance tasks required by the system, and the frequency required for each. Describe the personnel and non-personnel resources required of the University to administer and maintain the system.
14.4 I	Provide a detailed implementation plan for the system offered to the University. At a minimum, this must address implementation planning, data conversion, the initial operation of the system, and post implementation review. Describe the personnel and non-personnel resources required of the University to implement the system. How many people will offeror assign for installation and training?

	<b>Services</b>
<b>15</b>	<b>Integrations and Custom Applications</b> Offerors must respond directly to each item in section 15.
15.1 I	Provide details of integration between Banner and document repository.
15.2 I	Provide details of integration between workflow and document repository.
15.3 I	Provide details for defining and setting-up validation data for use during document capture and indexing.

	<b>Services</b>
<b>16</b>	<b>Technical Support</b> Offerors must respond directly to each item in section 16.
16.1 I	For each proposed component, specify if subcontractors or business partners will perform support services.
16.2 I	Indicate length of terms of the support services after initial contract period.
16.3 I	Provide details on levels of support provided
16.4 I	Indicate hours of support for each level.
16.5 I	Who is permitted to call for support?
16.6 I	What is the offeror response time for each support level? Is it based upon problem severity?
16.7 I	What are the escalation procedures available?
16.8 I	Is there a means for tracking and ensuring follow-up and return calls?
16.9 I	Is there a need for a DBA or System Administrator? What expertise is required?

	<b>Services</b>
<b>17</b>	<b>Product Community</b> Offerors must respond directly to each item in section 17.
17.1 O	Do user groups or special interest groups exist for the product? Where and how often do they meet?
17.2 O	What is the Offeror relationship with the group(s)?
17.3 O	What mechanism does the Offeror provide for user input and product direction

	suggestions?
17.4 O	Are experts in the use of the product readily available from the Offeror? How are they scheduled, what is the typical lead-time, and what are the current rates?
17.5 O	Are experts in the use of the product readily available from third parties? Please list those organizations.

	<b>Services</b>
<b>18</b>	<b>Training and Documentation</b> Offerors must respond directly to each item in section 18.
18.1 I	What classes are available from the offeror? Provide descriptions of class content and supply pricing in rate response.
18.2 I	What on-site training can the offeror provide? What would be the cost, maximum class size and resource requirements from the University for these classes?
18.3 I	The Offeror must train University IT administrative staff, and assist the University's training department in the development of end-user training classes. Explain how these services will be provided.
18.4 I	Offeror must provide training documentation for the as-installed system, in paper and electronic format, and include unlimited reproduction-for-internal-use rights to the University. Explain how this will be accomplished.
18.5 I	Is there third-party training available, and if so, who are they?
18.6 I	What is the availability of computer-based or self-study courses?
18.7 I	Does the system have expert and novice modes? What assistance is provided in each mode?
18.8 I	Can training be provided via video (conferencing, streaming)?
18.9 I	What documentation is provided with the system?
18.10 I	Documentation should be provided in PDF so that it may be shared within UA. Is this provided and permitted?
18.11 I	Itemize the system and administrative documents provided. Are internal database tables described, and sizing formulas?
18.12 I	How soon after Offeror makes changes to the system will documentation updates be available?
18.13 I	How will the University's system documentation be updated? Identify procedures.

<b>Services</b>	
<b>19</b>	<b>Warranties and Maintenance</b> Offerors must respond directly to each item in section 19.
19.1 I	Provide detail on warranty coverage periods and coverage description for all software, hardware and other components.
19.2 I	Describe the policy for upgrades, the upgrade approach, and estimated release dates for such upgrades.
19.3 I	What support is available for the installation and configuration of upgrades?
19.4 I	How long are older releases supported?
19.5 I	How closely does product support track upgrades in the operating system and database?
19.6 I	Describe the maintenance contract. Will it be provided directly by the offeror, single third party or multiple sources?
19.7 I	Is an uninstall procedure provided for upgrades? How do you uninstall upgrades?

**UNIVERSITY OF ALASKA  
REQUEST FOR PROPOSALS  
RFP NO. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
EVALUATION AND AWARD  
SECTION 4**

The University shall award a contract or contracts pursuant to the Basis of Award on Page 23 of this solicitation.

The University reserves the right to make award to other than the lowest price Offeror without conducting negotiations. Likewise, the proposal with the top technical ranking may not necessarily receive the award. Proposals that are unrealistic in terms of program commitments, price, or reflect an inherent lack of comprehension of the complexity and risks of the proposed contractual requirements may be rejected.

For the purpose of the paired comparisons, the offeror's technical proposal is considered by the University to be approximately equal in importance as price.

**4.1 Administrative Evaluation**

The Purchasing Department will perform an evaluation of administrative responsiveness to determine if offerors have complied with the proposal requirements. These include: `

- a) The proposal was received on time
- b) One (1) original and eight (8) copies of the Offeror's technical proposal were received
- c) One (1) Rate Response Form was included and complete, in a sealed envelope, with the following information clearly marked on the outside:

**Sealed Rate Response Form  
For University of Alaska  
RFP 05P0026JH  
DATE: March 31, 2005**

- d) Proposal forms were properly signed
- e) No material alterations or erasures were included unless initialed by signer of the proposal
- f) Proposal was submitted in the requested format

**Proposals failing to comply with the above requirements may be declared non-responsive and eliminated from further consideration.**

**4.2 Evaluation of Proposals**

An evaluation committee will be established to evaluate the proposals.

The evaluation committee will review all technical proposals according to the evaluation criteria set out below. The weighting of the technical evaluation criteria is also shown. The total weight of all technical criteria is 100.

<u>Technical Criteria</u>	<u>Weight</u>
Response to Functional Requirement Questions	50

Background of Company and Evaluation of Past Performance	20
Staff, and Implementation Plan	30
Total	100

The individual members of the evaluation committee will rate each of the above criteria for each offeror's technical proposal on a scale of 1 to 10. The scaled rating multiplied by the weight will provide the weighted score for each criterion. The sum of the weighted scores for each proposal will result in a total weighted score from each member of the evaluation committee. The total weighted scores of all evaluators will be summed to determine an average total weighted score for each proposal. A ranking, from highest score to lowest score, of the technical proposals will be made based on the average total weighted score for each proposal.

The University provides the above weights to advise the Offeror of the relative importance assigned to the criteria. The scaled scoring is provided as an aid to the evaluators in assigning a tangible expression of their assessment of the Offer relative to each technical criterion and to identify an Offer's deficiencies and weaknesses. Based upon the results of the scoring the University may seek clarifications from all offerors in the competitive range. The competitive range shall include all offers receiving both a minimum score of 500 points in the technical evaluation AND, in sole discretion of the procurement officer, achieving a technical score high enough to remain under consideration for award when ranked with other offers received. This is not a strict mathematical formula and may not be challenged on that basis except in the case of obvious arithmetic errors.

After the establishment of the competitive range and the receipt of any clarifications sought from offerors, the Rate Response Form will be opened by a responsible procurement officer. The Offeror's Rate Response Form will be ranked from lowest total price to highest total price based on a "Total Price over Five Years." OFFEROR NOTE: The ranking for price will be made based upon the price evaluation total after application of applicable Alaska Bidders Preferences. These results will then be provided to the evaluation committee. The University may elect to evaluate the offerors pricing with or without the hardware offered on RFP Rate Response form line items 5 and 6. The University shall include hardware pricing in the RFP evaluation only if it is determined to be in the University's best interest. If the University elects to include hardware in the evaluation then all offerors who have provided responsive, responsible offers in the competitive range who have included a complete hardware-pricing scenario shall be considered for award. If the University elects to not include hardware in the RFP evaluation then all offers that have provided responsive, responsible offers in the competitive range shall be considered for award.

The evaluation committee will then begin its overall evaluation of proposals in order to make a determination of the Offeror(s) whose proposal offers the overall best value for a Digital Document and Records System. The committee will follow the procedures outlined below to make its determination of best value. Note that these comparisons will be performed separately for the space usage and facilities management offers.

If the Offeror with the highest technical score is also the Offeror with the lowest price, then this Offeror's proposal represents the best value and the University may award to this Offeror. However, if the Offeror with the highest technical score is not also the Offeror with the lowest price then the evaluation committee will compare proposals in a series of paired comparisons. In comparing two proposals, if one proposal has both a higher technical score and the lower price, then the University will consider that proposal to be a better value. If one proposal has the higher technical score, but a higher price than the other proposal, then the evaluation committee will determine if the difference in the technical proposal is worth the difference in price. If the evaluation committee decides that the better technical proposal is worth the higher price, then the University will consider the Offeror with the better technical proposal and the higher price to be the better overall value. If the University decides that the better technical proposal

is not worth the higher price, then the University will consider the Offeror with the lower technical proposal score and the lower price to be the better value. The evaluation committee will continue to make paired comparisons until they have identified the Offeror(s) that represents the best overall value.

#### **4.3 Oral Presentations**

The University, may at its discretion, request oral and/or written clarifications, or conduct oral and/or written discussions with some or all Offerors from the date of RFP closing to the time of issuance of the Notice of Intent to Award. The University reserves the right to make contract award without requesting clarification and/or discussions. Therefore, each initial proposal shall contain the Offeror's best terms from a price and technical standpoint.

#### **4.4 Best and Final Offer**

The University reserves the right to request clarifications and request a best and final offer (BAFO) from each Offeror within the competitive range. However, the University reserves the right to make award based exclusively on the submitted proposals without seeking a BAFO.

**UNIVERSITY OF ALASKA  
REQUEST FOR PROPOSALS  
RFP NO. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
PROPOSAL FORMAT  
SECTION 5**

To ensure that proposals are evaluated fairly and that comparisons between proposals are accurate, Offerors must submit proposals in the specific format outlined below. Failure to comply with this specific format may cause a proposal to be rejected as non-responsive and eliminated from further consideration.

### **5.1 System Overview**

Please provide a description of the system offered, addressing the following points:

1. **System Elements and Configuration**  
Provide a narrative with detailed information regarding the design of the proposed digital documents and record management system. Include an explanation of how the proposed system will meet all of the RFP General System Requirements included in Functional Requirements List.
2. **Use of Existing Resources**  
The Offeror must clearly identify which existing University equipment, if any, is to be integrated into the proposed system. If the Offeror plans to use existing systems and infrastructure at the University of Alaska in its solution, provide a detailed explanation of how this will be integrated into the system offered and what cost savings, if any, the University will derive on the total system cost. A description of the involvement of University staff in implementation should be given.
3. **Compatibility**
  - A complete description of the hardware compatibility
  - Operating system and server hardware requirements
  - A complete description of the systems ability to integrate with SSCT Banner and SSCT Workflow

**This narrative shall be limited to five pages, in type no smaller than 10 point.**

### **5.2 Functional Requirements**

Answers to Functional Requirements as provided in the RFP

### **5.3 Background Information**

Include all information regarding previous examples of similar work, locations of administrative offices, and description of staff, ownership structure and financial information.

Provide resumes of the technical staff that will be actively involved in the design, installation and implementation of the system as described in the Offerors proposal. Provide resumes of the staff members who will conduct training and installation

### **5.4 Evaluation of Past Performance**

Provide a list of all current or former customers during the last five years, preferably using SCT Banner or a system similar to that, which is described in this solicitation, installed and implemented by the Offeror. Provide a short description of the system in place for each customer. Include the name, address, telephone

number, email address, and name of a contact person. The University may provide these customer references a written questionnaire to evaluate the Offeror's past performance (a copy of which is attached). Offerors who do not provide a minimum of three (3) customer references may be considered non-responsive and eliminated from further consideration.

### **5.5 Hardware Requirements**

Based on the information provided in the Implementation Objectives section on RFP page 22 and software being sought, recommend hardware architecture(s) that would best meet the University needs and provide for ease of administration, high availability, security, and ease of use of the software offered across multiple facility management organizations. In addition, these requirements should take into account the University application support environment includes but is not limited to one development, one quality assurance, and one production database; including but not limited to minimum system processor, memory, disk storage, operating systems, network bandwidth, additional plug-ins, system monitoring software, etc. Recommend minimum desktop hardware requirements including but not limited to minimum system processor, memory, disk storage, operating systems, network bandwidth, additional plug-ins, additional productivity software, as well as operation-specific software such as AutoCAD, Office Suite, etc. The list of required hardware shall be included in two places in the offer. Include a copy of the list WITHOUT PRICING INFORMATION in each copy of the technical offer. Include a second copy WITH PRICING INFORMATION in the sealed envelope with the RFP Rate Response Form. Pricing information shall include the cost of the hardware, cost of shipping to the F.O.B. point, and the cost of maintenance and support for the period between the end of the warranty and the conclusion of the five-year contract period.

The hardware list must include all hardware required to support the system as defined above. At a minimum, it must include:

- Desktops
- Servers
- High Volume Scanners (with throughput of at least 100 documents per minute)
- Low Volume Scanners
- Other hardware as required

NOTE: If hardware is included in the RFP evaluation its scoring will be included in the Response to Functional Requirement Questions criteria and the Pricing evaluation.

### **5.6 Project Installation and Implementation**

Provide specifics of the installation and implementation of the System, including a schedule that incorporates all of the Mandatory Requirements. Include all proposed tasks, activities (including implementation and training), and timelines. In addition, offerors are required to describe hardware and migration tasks, if any, for each phase within their proposal. Include a list of all subcontractors that Offeror is planning to use to meet requirements of this RFP, including the University. Use of a subcontractor for any work located on University property shall be allowed only with the prior consent of the University.

### **5.7 System Maintenance and Support**

Include a detailed description of the offeror's ongoing maintenance and support program including the type of support, hours of operation, and examples of how problems of varying levels of severity will move up the support chain.

### **5.8 Software License/Support Agreements**



Include copies of any Software License and/or Support Agreements for products included in the Offeror's proposal that the University may be required to execute.

### **5.9 Rate Response Form**

Offerors are required to complete the Rate Response Form located in Attachment Two (2) of this RFP. Offerors are required to use the forms included in Attachment Two (2) without alteration to the format. Offerors are also required to include a detailed hardware component price list in the envelope with the Rate Response Form. This list must include a price breakdown for any major components, modules, or services included in the offer with the total equaling the total on the Rate Response Form. The University shall review the hardware pricing offered and either include it as part of the pricing evaluation or not include the hardware costs in the pricing evaluation and make the hardware purchases in a separate procurement.

The Rate Response Form is to include all prices associated with the delivery, installation, implementation, training and maintenance/support of the Offeror's proposal.

#### **Please Note:**

1. Pricing information shall be included in the Rate Response Form only. Offerors may not provide pricing information in any other part of their proposal.
2. Proposals shall indicate any information that is of a proprietary nature. Proprietary information must be limited to confidential information as defined under federal and state law and must be explicitly labeled. Proposals will become public information after award of this RFP, in accordance with Alaska law. Once submitted, all proposals become the property of the University of Alaska.

**UNIVERSITY OF ALASKA  
RFP NO. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
ATTACHMENT A - RATE RESPONSE FORM**

<u>Item</u>	<u>Description</u>	<u>Qty.</u>	<u>U/M</u>	<u>Unit Price</u>	<u>Ext. Price</u>
<b>Core System</b>					
<b>1</b>	<b>*Image Repository, Records Management, Document Capture Systems, Workflow (if offered), Software and Licenses required to operate the systems specified in the Implementation Objectives section on RFP page 22 in accordance with the terms, conditions, and specifications listed herein; including shipping and warranty</b>	<b>1</b>	<b>Sys</b>		
<b>2</b>	<b>System Software Maintenance, including product upgrade assurance for systems specified above commencing at the conclusion of the one-year warranty period for the software offered in line item no. 1</b>	<b>4</b>	<b>years</b>		
<b>3</b>	<b>Implementation Services (see Note 1 below)</b>	<b>1</b>	<b>Job</b>		
<b>4</b>	<b>On-Site Training (See Note 1 below)</b>	<b>1</b>	<b>Job</b>		
<b>5</b>	<b>**System Hardware required to operate the systems specified in the Implementation Objectives section on RFP page 22.</b>	<b>1</b>	<b>Lot</b>		
<b>6</b>	<b>Maintenance and Support for the Hardware offered on line item no. 5</b>	<b>4</b>	<b>Years</b>		

\*The offer must include a detailed list of software licenses included in the pricing for this line item with individual prices and quantities for each license. The total pricing must be equal to pricing listed in line item no. 1

\*\* The offer must include a detailed list of the system hardware included in the pricing for this line item with individual prices and quantities for each item. The total pricing must be equal to pricing listed in line item no. 5

Note 1: to be based on a not to exceed "X" number of hours. On an attached sheet, indicate the maximum number of hours required to complete services as described in the RFP and the rate/hour. Total cost is to be determined by the maximum number of hours x rate/hour.

All prices provided above, unless specifically noted otherwise, must include all labor, equipment, materials, plant and transportation to provide the product and perform the services outlined in this RFP.

**Put N/C (no charge) or N/A (not applicable) in any line to remain blank.**

**NOTE:** Offerors are also required to include a detailed component price list in the envelope with the Rate Response Form. This list must include a price breakdown for any major components, modules, or services included in the offer with the total equaling the total on the Rate Response Form.

\*Items to be included in the RFP pricing evaluation.

**RFP ATTACHMENT B**

Award/ Contract SAMPLE	Contract Number	Contract Date	Required Delivery/Completion Date		Page 1 of			
			Purchasing Request Number					
Issued By University of Alaska Fairbanks Purchasing & Contract Services P.O. Box 757940 Fairbanks AK 99775-7940		Submit Invoices To			Accounting Data			
Contractor		Ship To/Mark For			Delivery: F.O.B.  ____ Destination  ____ Other: ____			
Item	Title and Description of Supplies/Services				Quantity	Unit	Unit Price	Amount
					Total Amount of Contract			
<p><b>CONTRACTOR'S NEGOTIATED AGREEMENT:</b> (Contractor is required to sign this document and return all copies to issuing office.) Contractor agrees to furnish and delivery all items or perform all the services set forth or otherwise identified above and on any continuation sheets for the consideration stated herein. The rights and obligations of the parties to this contract shall be subject to and governed by the following documents: (a) this award/contract, (b) the solicitation, if any, and (c) such provisions, representations, certifications, and specifications as are attached or incorporated by reference herein. (Attachments are listed herein).</p> <p>Name of Contractor: _____</p> <p>By: _____ (Signature of Person authorized to sign)</p>					<p><b>AWARD:</b> Your offer on Solicitation No. _____, including the additions or changes made by you, which additions or changes are set forth in full herein, is hereby accepted as the items listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the University's solicitation and your offer, and (b) this award/contract. No further contractual documents is necessary. (A purchase order may also be issued for administrative purposes.)</p> <p>University of Alaska Fairbanks</p> <p>By: _____ (Signature of University Procurement Officer)</p>			
Name and Title of Signer (type or print)			Date Signed		Name of Procurement Officer (type or print)		Date Signed	

**UNIVERSITY OF ALASKA**  
**RFP No. 05P0026JH**  
**DIGITAL DOCUMENT AND RECORDS SYSTEM**  
**RFP ATTACHMENT C**  
**NON-PERSONAL SERVICES CONTRACT**  
**GENERAL PROVISIONS**

**INDEX**

1. Utilization of Small Business, Minority-owned, Woman-owned, and Economically Disadvantaged Small Business Concerns and Labor Surplus Area Firms
2. Excusable Delays, Extension of Performance Period - Cost Reimbursement Contract
3. Termination or Suspension of Work - Cost Reimbursement Contract
4. Anti-Kickback Provisions and Covenant Against Contingent Fees
5. Contract Work Hours and Safety Standards Act
6. Clean Air and Water
7. Independent Contractor
8. Indemnification and Hold Harmless Agreement
9. Insurance
10. Access to Facilities and Inspection by Contracting Agency
11. Examination and Retention of Records
12. Audit
13. Dissemination of Information
14. Ownership of Work Products
15. Subcontractors, Successors, and Assigns
16. Governing Laws
17. Patent indemnity and Copyright Infringement
18. Officials Not to benefit
19. Gratuities
20. Order of Precedence of Documents and Provisions
21. Assignment
22. Contract Administration
23. Taxes
24. Non-discrimination and Equal Employment Opportunity
25. Permits and Responsibilities
26. Changes - Fixed Price Contract
27. Price Adjustment (Fixed Price Contract)
28. Changes (Cost-Reimbursement Contract)
29. Payments to the Contractor (Fixed Price Contract)
30. Payments to the Contractor (Cost-Reimbursement Contract)
31. Termination for Convenience - Fixed Price Contract
32. Termination for Default; Damages for Delay; Time Extensions - Fixed Price Contract
33. Definitions
34. Alterations In General Provisions
35. Contract Subject to the Availability of Funds
36. Disputes

**1. UTILIZATION OF SMALL BUSINESS, MINORITY-OWNED, WOMAN-OWNED, AND ECONOMICALLY DISADVANTAGED SMALL BUSINESS CONCERNS AND LABOR SURPLUS AREA FIRMS** In the event the Contractor subcontracts any part of the work to be performed under this contract, the Contractor agrees to make good faith efforts to utilize small business concerns; woman-owned, minority-owned, and other economically disadvantaged small business enterprises; and federally identified labor surplus area firms to the maximum extent consistent with the efficient performance of this contract. The Contractor shall include this provision, including this statement, in every subcontract.

**2. EXCUSABLE DELAYS, EXTENSION OF PERFORMANCE PERIOD - COST REIMBURSEMENT**

**CONTRACT** (This provision is applicable only to cost-reimbursement contracts.)

(a) A party to this contract shall not be held responsible for failure to perform the terms of this contract when performance is prevented by causes beyond the control and without the fault or negligence of the party. An extension of time may be allowed in circumstances of such delay provided that (1) reasonable notice and full particulars are given to the other party, and (2) that the cause of such failure or omission (other than strikes and lockouts) is remedied so far as possible with reasonable dispatch.

(b) Circumstances or causes which may be deemed beyond the control of the party include acts of God, earthquakes, fire, flood, war, civil disturbances, governmentally imposed rules, regulations or moratoriums or any other cause whatsoever whether similar or dissimilar to the causes herein enumerated, not within the reasonable control of the party which through the exercise of due diligence, the party is unable to foresee or overcome. In no event shall any normal, reasonably foreseeable, or reasonably avoidable operational delay be used to excuse or alter a party's obligation for full and timely performance of its obligations under this contact.

**3. TERMINATION OR SUSPENSION OF WORK (COST-REIMBURSEMENT CONTRACT)** (This provision is applicable only to cost-reimbursement contracts.)

(a) This contract may be terminated by either party upon 10 days written notice if the other party fails substantially to perform in accordance with its terms through no fault of the party initiating the termination (default termination). If the Contracting Agency terminates this contract, the Contracting Agency will pay the Contractor for work completed that can be substantiated in whole or in part, either by the Contractor to the satisfaction of the Contracting Agency, or by the Contracting Agency. If the Contracting Agency becomes aware of any nonconformance with this contract by the Contractor, the Contracting Agency will give prompt written notice thereof to the Contractor. Should the Contractor remain in nonconformance, the percentage of total compensation attributable to the nonconforming work may be withheld.

(b) The Contracting Agency may at any time terminate (convenience termination) or suspend work under this contract for its needs or convenience. In the event of a convenience termination or suspension for more than 3 months, the Contractor will be compensated for authorized services and authorized expenditures performed to the date of receipt of written notice of termination or suspension plus reasonable termination settlement costs as determined by the Contracting Agency. No fee or other compensation for the uncompleted portion of the services will be paid except for already incurred costs applicable to this contract which the Contractor can establish would have been compensated for over the life of this contract and because of the termination or suspension would have to be absorbed by the Contractor.

(c) If federal funds support this contract, and the Contracting Agency's prime contract or grant agreement is terminated by the federal sponsor, resulting accordingly in termination of this contract, settlement for default or convenience termination must be

approved by the primary funding source and shall be in conformance with the applicable sections of the Code of Federal Regulations, Title 48, Code of Federal Regulations, Part 49.

(d) In the event of termination or suspension, the Contractor shall deliver all work products, reports, estimates, schedules and other documents and data prepared pursuant to this contract to the Contracting Agency.

(e) Upon termination by the Contracting Agency for failure of the Contractor to fulfill its contractual obligations, the Contracting Agency may take over the work and may award another party a contract to complete the work under this contract.

(f) If after termination for failure of the Contractor to fulfill its contractual obligations, it is determined that the Contractor had not failed to fulfill contractual obligations, or that such failure was excusable under criteria set forth in the provision hereof entitled, "Excusable Delays, Extension of Performance Period," the termination shall be deemed to have been for the convenience of the Contracting Agency. In such event, settlement costs and the contract price maybe adjusted as provided in this clause for convenience termination.

#### **4. ANTI-KICKBACK PROVISIONS AND COVENANT AGAINST CONTINGENT FEES**

(a) The Contractor assures that regarding this contract, neither the Contractor, nor any of its employees, agents, subcontractors, or representatives has violated, is violating, or will violate the provisions of the "Anti-Kickback" Act of 1986 (41 U.S.C. 51-58) which is incorporated by reference and made a part of this contract.

(b) The Contractor warrants that it has not employed or retained any organization or person, other than a bona fide employee, to solicit or secure this contract and that it has not paid or agreed to pay any organization or person, other than a bona fide employee, any fee, commission, percentage, brokerage fee, gift or other consideration contingent upon or resulting from the award or making of this contract. For breach or violation of this warranty, the Contracting Agency has the right to annul this contract without liability or, in its discretion, to deduct from the contract price or allowable compensation the full amount of such commission, percentage, brokerage or contingent fee.

(c) The Contracting Agency warrants that neither the Contractor nor the Contractor's representative has been required, directly or indirectly as an express or implied condition in obtaining or carrying out this contract, to employ or retain any organization or person or to make a contribution, donation or consideration of any kind.

#### **5. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT** (This provision is applicable if the contract amount exceeds \$2500 or if for construction, the contract amount exceeds \$2,000.)

The Contractor and its subcontractors shall comply with applicable federal labor standards provisions of the Contract Work Hours and Safety Standards Act -Overtime Compensation (40 U.S.C.327-333).

#### **6. CLEAN AIR AND WATER** (This provision is applicable if the contract amount exceeds \$100,000.)

(a) The Contractor shall comply with all applicable standards, orders or requirements issued under section 306 of the Clean Air Act (42 U.S.C.1857 (h)), section 508 of the Clean Water Act (33 U.S.C 1368), Executive Order 11738, and EPA regulations (40 CFR Part 15) which prohibit the use under federal contracts or grants, of facilities included on the Environmental Protection

Agency (EPA) List of Violating Facilities.

(b) The Contractor warrants that any facilities to be used in the performance of this contract are not listed on the EPA List of Violating Facilities.

(c) The Contractor will include a provision substantially the same as this, including this paragraph (c) in every non-exempt subcontract.

#### **7. INDEPENDENT CONTRACTOR**

(a) The Contractor and its agents and employees shall act in an independent capacity and not as officers or agents of the Contracting Agency in the performance of this contract except that the Contractor may function as the Contracting Agency's agent as may be specifically set forth in this contract.

(b) Any and all employees of the Contractor, while engaged in the performance of any work or services required by the Contractor under this contract, shall be considered employees of the Contractor only and not of the Contracting Agency and any and all claims that may or might arise under the workers' compensation act on behalf of said employees, while so engaged and any and all claims made by a third party as a consequence of any negligent act or omission on the part of the Contractor's employees, while so engaged in any of the to be rendered herein, shall be the sole obligation and responsibility of the Contractor.

(c) This contract may be declared null and void should the Contracting Agency determine that by Internal Revenue Service criteria the Contractor is an employee of the Contracting Agency.

#### **8. INDEMNIFICATION AND HOLD HARMLESS AGREEMENT**

(a) The Contractor shall indemnify, save harmless and defend the University of Alaska, its Board of Regents, officers, agents, and employees from all liability, including costs and expenses, for all actions or claims resulting from injuries or damages sustained by any person or property arising directly or indirectly as a result of any error, omission, or negligent or wrongful act of the Contractor, subcontractor, or anyone directly or indirectly employed by them in the performance of this contract.

(b) All actions or claims including costs and expenses resulting from injuries or damages sustained by any person or property arising directly or indirectly from the Contractor's performance of this contract which are caused by the joint negligence of the Contracting Agency and the Contractor shall be apportioned on a comparative fault basis; however, any such joint negligence on the part of the Contracting Agency must be a direct result of active involvement by the Contracting Agency.

#### **9. INSURANCE**

(a) The Contractor shall not commence work under this contract until satisfactory evidence has been provided to the Contracting Agency that the Contractor can cover the requirements set forth in this provision with regard to the Contractor and all subcontractors when engaged in any work performed under this contract. A Contractor who is a state institution of higher education or a state or local government entity may satisfy the requirements of subsections (b) (2) through (4) and (c) of this provision by submittal of a certification of self-insurance which attests it is self-insured for the required coverage limits in accordance with the laws of the state in which it is established.

(b) Without limiting Contractor's indemnification, it is agreed that Contractor shall purchase at its own expense and maintain in force

at all times during the performance of services under this agreement policies of insurance (or the Contractor shall maintain self-insurance if certified in strict accordance with subsection (a) of this provision) covering the following types and limits:

(1) Workers' Compensation Insurance: The Contractor shall provide and maintain, for all employees of the Contractor engaged in work under this contract, Workers' Compensation Insurance as required by the laws of the state where the work is to be performed. The Contractor shall be responsible for Workers' Compensation Insurance for any subcontractor who directly or indirectly provides services under this contract. This coverage must include statutory coverage for states in which employees are engaging in work and employer's liability protection not less than \$100,000 per person, \$100,000 per occurrence. Where applicable, coverage for all federal acts (i.e., U.S.L. & H and Jones Act) must also be included.

(2) Comprehensive (Commercial) General Liability Insurance: With coverage limits not less than \$300,000 combined single limit per occurrence and annual aggregates where generally applicable and shall include premises-operations, independent contractors, products/completed operations, broad form property damage, blanket contractual, and personal injury endorsement.

(3) Comprehensive Automobile Liability Insurance: Covering all owned, hired, and non-owned vehicles with coverage limit not less than \$100,000 per person/300,000 per occurrence bodily injury and \$50,000 property damage.

(4) Professional Liability Insurance: Covering all errors, omissions, or negligent or wrongful acts of the Contractor, subcontractor, or anyone directly or indirectly employed by them, made in the performance of this contract which result in financial loss to the Contracting Agency.

Limits required per the following schedule:

<b>Contract Amount</b>	<b>Minimum Required limits</b>
Under \$100,000	\$100,000 per Occurrence/Annual Aggregate
\$100,000--\$499,999	\$250,000 per Occurrence/Annual Aggregate
\$500,000--\$999,999	\$500,000 per Occurrence/Annual Aggregate
\$1,000,000 or over	Negotiable--Refer to Contracting Agency, (Specific Limits are set forth as Alterations in General Provisions.)

(c) Coverage shall be maintained for the duration of this contract plus one year following the date of final payment. Failure to comply with this provision may preclude other contracts and agreements between the Contractor and the Contracting Agency. Where specific limits are shown, it is understood that they shall be the minimum acceptable limits. If the Contractor's policy contains higher limits, the Contracting Agency shall be entitled to coverage to the extent of such higher limits. Certificates of Insurance must be furnished to the Contract Administrator prior to beginning work and must provide for a 30-day prior notice to the Contracting Agency of cancellation, non-renewal, or material change. Failure to furnish satisfactory evidence of insurance or lapse of the policy

is a material breach and grounds for termination of the Contractor's services.

**10. ACCESS TO FACILITIES AND INSPECTION BY CONTRACTING AGENCY** The Contracting Agency has the right to inspect, in the manner and at reasonable times it considers appropriate during the period of this contract, all facilities and activities of the Contractor as may be engaged in the performance of this contract. The Contractor shall provide reasonable access to accommodate such inspections at its own and subcontractor's facilities. The substance of this clause shall be incorporated in subcontracts by the Contractor.

**11. EXAMINATION AND RETENTION OF RECORDS** The Contractor shall, at any time during normal business hours and as often as the Contracting Agency, the Comptroller General of the United States, or their agents may deem necessary, make available for examination all of its records with respect to all matters covered by this contract for a period ending three (3) years after date of final payment under this contract or any subcontract whichever is later. Upon request, and within a reasonable time, the Contractor shall submit such other information and reports relating to its activities under this contract in such form and at such times as the Contracting Agency or the Comptroller General may reasonably require. The Contractor shall permit the Contracting Agency, the Comptroller General, or their agents to examine and make copies of such records, invoices, materials, payrolls, records of personnel, and other data relating to all matters covered by the contract. The Contractor shall include the substance of this provision, including this statement, in all subcontracts.

**12. AUDIT** (a) The Contracting Agency and its primary funding source may at reasonable times and places, audit the books and records of the Contractor and its subcontractors and may review the Contractor's accounting system, overhead rates, and internal control systems to the extent they relate to costs or cost principles applicable to this contract. The audit will be scheduled at a mutually agreeable time. The Contractor shall include the substance of this provision, including this statement, in all subcontracts.

(b) In the conduct of audits or in meeting the audit requirements of the primary funding source, the Contracting Agency may require and evaluate Contractor compliance with Office of Management and Budget (OMB) Circulars A-128 or A-133 (Audits), A-87 or A-21 or A-122 (Cost Principles), A-102 or A-110 (Uniform Administrative Requirements), and A-88 (Indirect Cost Rates, Audit, and Audit Follow-up). The Contractor shall comply with all applicable audit requirements of the OMB Circulars listed in this provision and the prime contract.

**13. DISSEMINATION OF INFORMATION** (a) There shall be no dissemination or publication, except within and between the Contracting Agency, the Contractor, and any subcontractors, of information developed under this contract without prior written approval of the Contracting Agency's Contract Administrator.

(b) Alaska Statute AS 14.40.453 provides for the confidentiality of research conducted by the University of Alaska. The public records inspection requirements of AS 09.25.110 - 09.25.121 do not apply to writings or records that consist of intellectual property or proprietary information received, generated, learned, or discovered during research conducted by the University of Alaska or its agents or employees until publicly released, copyrighted, or patented, or until the research is terminated, except that the university shall make available the title and a description of all research projects, the name of the researcher, and the amount and source of funding provided for each project. (AS 14.40.453)

**14. OWNERSHIP OF WORK PRODUCTS** Work products and non-expendable property produced or purchased under this contract are the property of the University of Alaska, except as otherwise specifically stated in the contract. Payments to the Contractor for services hereunder include full compensation for all such products produced or acquired by the Contractor and its subcontractors.

**15. SUBCONTRACTORS, SUCCESSORS, AND ASSIGNS**

(a) The Contracting Agency must concur in the selection of all subcontractors for services to be engaged in performance of this contract.

(b) If any Scope of Work under this contract includes named firms or individuals, then such firms or individuals shall be employed for the designated services, unless the contract is changed by modification.

(c) The Contractor shall not assign, sublet or transfer any interest in this contract without the prior written consent of the Contracting Agency, which may be withheld for any reason.

(d) The Contractor binds itself, its partners, its subcontractors, assigns and legal representatives to this contract and to the successors, assigns, and legal representatives of the Contracting Agency with respect to all covenants of this contract.

(e) The Contractor shall include provisions appropriate to effectuate the purposes of these General Provisions in all subcontracts executed to perform services under this contract which exceed a cost of \$10,000.

**16. GOVERNING LAWS** This contract is governed by the laws of the State of Alaska, federal laws, local laws, regulations, and ordinances applicable to the work performed. The Contractor shall be cognizant and shall at all times observe and comply with such laws, regulations, and ordinances which in any manner affects those engaged or employed in the performance, or in any way affects the manner of performance, of this contract.

**17. PATENT INDEMNITY AND COPYRIGHT INFRINGEMENT**

(a) Patent Rights and Copyright of Works Under Contract:

(1) Any discovery or invention resulting from work carried on with the funding of this contract shall be subject to the applicable provisions of the University of Alaska regulations and Board of Regents Policies.

(2) University of Alaska regulations and Board of Regents Policies shall govern regarding copyrightable materials developed in the course of or under this contract.

(b) Patent Indemnity and Copyright Infringement:

The Contractor shall indemnify and save harmless the University of Alaska, its Board of Regents, and its officers and employees from liability of any nature or kind, including costs and expenses for or on account of any copyrighted, patented, or unpatented invention, process, or article manufactured or used in the performance of the contract, including its use by the University of Alaska. If the Contractor uses any design, device, or materials covered by letters, patent or copyright, it is mutually agreed and understood without exception that the contract price includes all royalties or cost arising from the use of such design, device, or materials in anyway involved in the work.

(c) The Contractor shall include provisions appropriate to effectuate the purposes of this provision in all subcontracts under this contract.

**18. OFFICIALS NOT TO BENEFIT** No member of or delegate to Congress, or other officials of the federal, State, political subdivision or local government, shall be admitted to any share or part of this contract or any benefit to arise therefrom; but this provision shall not be construed to extend to this contract if made with a corporation for its general benefit.

**19. GRATUITIES** (a) If the Contracting Agency finds after a notice and hearing that the Contractor or any of the Contractor's agents or representatives offered or gave gratuities (in the form of entertainment, gifts or otherwise) to any official, employee or agent of the Contracting Agency, the State of Alaska, or any government agency in an attempt to secure a contract or subcontract or favorable treatment in awarding, amending or making any determinations related to the performance of this contract, the Contracting Agency may, by written notice to the Contractor, terminate this contract. The Contracting Agency may also pursue other rights and remedies that the law or the contract provides. However, the existence of the facts on which the Contracting Agency bases such findings shall be in issue and may be reviewed in proceedings under the Disputes provision of this contract.

(b) In the event this contract is terminated as provided in paragraph (a), the Contracting Agency may pursue the same remedies against the Contractor as it could pursue in the event of a breach of the contract by the Contractor, and any other damages to which it may be entitled by law.

**20. ORDER OF PRECEDENCE OF DOCUMENTS AND PROVISIONS** In the event of any inconsistency between provisions of this contract, the inconsistency shall be resolved by giving precedence in the following order:

- (a) Contract Form;
- (b) Schedules;
- (c) Specifications;
- (d) General Provisions;
- (e) Special Provisions;
- (f) Other attachments.

**21. ASSIGNMENT**

(a) Rights under this contract are not transferable, or otherwise assignable without the express prior written consent of the University of Alaska Chief Procurement Officer, or his designee.

(b) The Contractor shall include provisions appropriate to effectuate the purpose of this provision in all subcontracts under this contract.

**22. CONTRACT ADMINISTRATION**

(a) The Contract Administrator is responsible for the technical aspects of the project and technical liaison with the Contractor. The Contract Administrator is also responsible for the final inspection and acceptance of all work required under the contract, including the review and approval of any and all reports, and such other responsibilities as may be specified in the Scope of Work or elsewhere in the contract.

(b) The Contract Administrator may be changed by the Contracting Agency at any time. The Contractor will be notified in writing by the Procurement Officer of any changes.

(c) The Contract Administrator is not authorized to make any commitments or otherwise obligate the Contracting Agency or authorize any changes which affect the contract price, terms, or conditions. No changes to price, terms, or conditions shall be made without the express prior authorization of the Procurement Officer.



**(d) All Contractor requests for changes shall be in writing and shall be referred to the Contracting Agency Procurement Officer.**

### **23. TAXES**

(a) As a condition of contract performance, the Contractor shall pay when due all federal, state and local taxes and assessments applicable to the Contractor. The Contractor shall be responsible for its subcontractor's compliance with the requirements of this provision, including this statement, in every subcontract.

(b) The University of Alaska is a tax-exempt institution.

**24. NON-DISCRIMINATION AND EQUAL EMPLOYMENT OPPORTUNITY** The Contractor shall comply with all applicable state and federal rules governing equal employment opportunity and non-discrimination, including, but not limited to: E.O. 11246 as amended and applicable orders and regulations issued by the U.S. Secretary of Labor or designee (41 CFR 60). The Contractor shall include this provision in all subcontracts.

**25. PERMITS AND RESPONSIBILITIES** The Contractor shall be responsible for obtaining any necessary licenses and permits, and for complying with any applicable federal, state and municipal laws, codes, and regulations, in connection with the performance of the work under this contract.

**26. CHANGES - FIXED PRICE CONTRACT** (This provision is applicable only to fixed price contracts.)

(a) The Procurement Officer may at any time, by written order, and without notice to any surety, make changes within the general scope of this contract in any one or more of the following:

- (1) Drawings, designs, or Specifications.
- (2) Method of shipment or packing.
- (3) Place of inspection, delivery or acceptance.

(b) If any such change causes an increase or decrease in the estimated cost of, or the time required for, performance of any part of the work under this contract, whether or not changed by the order, or otherwise affects any other terms and conditions of this contract, the Procurement Officer shall make an equitable adjustment in the (1) price, performance or completion schedule, or both; and (2) other affected terms and shall modify the contract accordingly.

(c) The Contractor must assert its right to an adjustment under this clause within 30 days from the date of receipt of the written order. However, if the Procurement Officer decides that the facts justify it, the Procurement Officer may receive and act upon a proposal submitted before final payment of the contract. No claim by the Contractor for an adjustment hereunder shall be allowed if notice is not given prior to final payment under this contract.

(d) Any adjustment in contract price pursuant to this provision shall be determined in accordance with the Price Adjustment provision of this contract.

(e) Failure to agree to any adjustment shall be resolved in accordance with the Disputes provision of this contract. However, failure to agree to an adjustment shall not excuse the Contractor from proceeding with the contract as changed. By proceeding with the Work, the Contractor shall not be deemed to have prejudiced any claim for additional compensation, or an extension of time for completion.

(f) Except as otherwise provided in this contract, no payment for any extras, for either services or materials, will be made unless such extras and the price therefore have been authorized in writing by the Procurement Officer.

**27. PRICE ADJUSTMENT - FIXED PRICE CONTRACT**  
(This provision is applicable only to fixed price contracts.)

(a) Any adjustment in contract price pursuant to a provision of this contract shall be made in one or more of the following ways:

- (1) by agreement on a fixed price adjustment before commencement of the pertinent performance or as soon thereafter as practicable;
- (2) by unit prices specified in the contract or subsequently agreed upon;
- (3) by costs attributable to the event or situation covered by the provision, plus appropriate profit or fee, all as specified in the contract or subsequently agreed upon;
- (4) in such other manner as the parties may mutually agree; or
- (5) in the absence of agreement between the parties, by a unilateral determination by the Procurement Officer of the costs attributable to the event or situation covered by the provision, plus appropriate profit or fee, all as reasonably and equitably computed by the Procurement Officer. Adjustments made pursuant to this subsection, absent agreement between the parties may be a dispute under the Disputes provision of this contract.

(b) The Contractor shall provide cost and pricing data for any price adjustments pursuant to the requirements of Alaska Statutes 36.30 and University of Alaska Procurement Regulations R05.06.

**28. CHANGES - COST-REIMBURSEMENT CONTRACT**  
(This provision is applicable only to cost-reimbursement type contracts.)

(a) The Procurement Officer may at any time, by written order, and without notice to any surety, make changes within the general scope of this contract in any one or more of the following:

- (1) Drawings, designs, or specifications.
- (2) Method of shipment or packing.
- (3) Place of inspection, delivery or acceptance.

(b) If any such change causes an increase or decrease in the estimated cost of, or the time required for, performance of any part of the work under this contract, whether or not changed by the order, or otherwise affects any other terms and conditions of this contract, the Procurement Officer shall make an equitable adjustment in the (1) estimated cost, performance or completion schedule, or both; (2) amount of any fixed fee; and (3) other affected terms and shall modify the contract accordingly.

(c) The Contractor must assert its right to an adjustment under this clause within 30 days from the date of receipt of the written order. However, if the Procurement Officer decides that the facts justify it, the Procurement Officer may receive and act upon a proposal submitted before final payment of the contract. No claim by the Contractor for an adjustment hereunder shall be allowed if notice is not given prior to final payment under this contract.

(d) Failure to agree to any adjustment shall be resolved in accordance with the Disputes provision of this contract. However, failure to agree to an adjustment shall not excuse the Contractor from proceeding with the contract as changed subject to the limitation set forth in paragraph (e) of this provision. By proceeding with the work, the Contractor shall not be deemed to have prejudiced any claim for additional compensation, or an extension of time for completion.

(e) Notwithstanding the terms and conditions of paragraphs (a) and (b) above, the estimated total cost of this contract shall not be increased or considered to be increased except by specific written modification of the contract indicating the new contract estimated total amount. Until such a written modification is made, the Contractor shall not be obligated by any change directed under this provision to continue performance or incur costs beyond the then current total estimated dollar amount of the contract not including the prospective modification.

**29. PAYMENTS TO THE CONTRACTOR - FIXED PRICE CONTRACT** (This provision is applicable only to fixed-price contracts.)

(a) The Contracting Agency will pay the contract price as hereinafter provided. The Contractor shall be paid, upon the submission of proper invoices, the prices stipulated herein for work products delivered and accepted or services rendered and accepted, less deductions, if any, as herein provided. Unless otherwise specified, payment will be made on partial deliveries accepted by the Contracting Agency when the amount due on such deliveries so warrants.

(b) Payments shall be based on approved Contractor's invoices submitted in accordance with this provision. The sum of payments shall not exceed allowable compensation stated in purchase order(s) and no payments shall be made in excess of the maximum allowable total for this contract.

(c) The Contractor shall not perform any services or deliveries of products without a purchase order or other written notice to proceed with the work. Accordingly, the Contracting Agency will not pay the Contractor for any goods, services or associated costs, if any, performed outside those which are authorized by the applicable purchase order. The Contracting Agency will exert every effort to obtain required approvals and to issue purchase orders in a timely manner.

(d) The Contractor shall submit a final invoice and required documentation within 90 days after final acceptance of goods or services by the Contracting Agency. The Contracting Agency will not be held liable for payment of invoices submitted after this time unless prior written approval has been given.

(e) In the event items on an invoice are disputed, payment on those items will be held until the dispute is resolved. An item is in "dispute" when a determination regarding an item has been made by the Procurement Officer that the performance called for and or price invoiced is not in compliance with the terms and conditions of the contract.

**30. PAYMENT TO CONTRACTOR - COST REIMBURSEMENT CONTRACT** (This provision is applicable only to cost-reimbursement type contracts.)

(a) Payments shall be based on approved Contractor's invoices submitted in accordance with this article. The sum of payments shall not exceed allowable compensation stated in purchase order(s) and no payments shall be made in excess of the maximum allowable total for this contract.

(b) Contractor's invoices shall be submitted when services are completed, or monthly for months during which services are performed, as applicable, in a summary format, which details costs incurred for each item identified in the project budget. Backup documentation including but not limited to invoices, receipts, proof of payments and signed time sheets, or any other documentation requested by the Contracting Agency's Contract Administrator, is required, and shall be maintained by the Contractor in accordance

with cost principles applicable to this contract. Contractor invoices shall be signed by the Contractor's official representative, and shall include a statement certifying that the invoice is a true and accurate billing. Cost principles contained in the federal acquisition regulations, 48 CFR, Subpart 31.3 and OMB circular A-21 shall be used as criteria in the determination of allowable costs.

(c) In the event items on an invoice are disputed, payment on those items will be held until the dispute is resolved. Undisputed items will not be held with the disputed items.

(d) The Contractor shall submit a final invoice and required documentation within 90 days after final acceptance of services by the Contracting Agency. The Contracting Agency will not be held liable for payment of invoices submitted after this time unless prior written approval has been given.

**31. TERMINATION FOR CONVENIENCE - FIXED PRICE CONTRACT** (This provision is applicable only to fixed-price contracts)

The Procurement Officer, by written notice, may terminate this contract, in whole or in part, when it is in the Contracting Agency's interest. If this contract is terminated, the Contracting Agency shall be liable only for payment under the payment provisions of this contract for acceptable services and performance rendered before the effective date of termination, and the contract total price will be adjusted accordingly.

**32. TERMINATION FOR DEFAULT; DAMAGES FOR DELAY; TIME EXTENSIONS - FIXED PRICE CONTRACT** (This provision is applicable only to fixed-price contracts.)

(a) The Contracting Agency may, subject to the provisions of subsection (c) below, by written notice of default to the Contractor, terminate the whole or any part of this contract in any one of the following circumstances:

- (1) If the Contractor fails to make delivery of the work products or to perform the services within the time specified herein or any extension thereof; or
- (2) If the Contractor fails to perform any of the other provisions of this contract, or so fails to make progress as to endanger performance of this contract in accordance with its terms, and

in either of these two circumstances does not cure such failure within a period of 10 days (or such longer period as the Procurement Officer may authorize in writing) after receipt of notice from the Procurement Officer specifying such failure.

(b) In the event the Contracting Agency terminates this contract in whole or in part as provided in subsection (a) of this provision, the Contracting Agency may procure, upon such terms and in such manner as the Procurement Officer may deem appropriate, work products or services similar to those so terminated, and the Contractor shall be liable to the Contracting Agency for any excess costs for such similar work products or services; provided, that the Contractor shall continue the performance of this contract to the extent not terminated under this provision.

(c) Except with respect to defaults of subcontractors, the Contractor shall not be liable for any excess costs if the failure to perform arises out of causes beyond the control and without the fault or negligence of the Contractor. Such cause may include acts of God or of the public enemy, acts of the government in either its sovereign or contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, and unusually severe weather, but in every case the failure to perform must be

beyond the control and without the fault or negligence of the Contractor. If the failure to perform is caused by the default of a subcontractor, and if such default arises out of causes beyond the control of both the Contractor and the subcontractor, and without the fault or negligence of either of them, the Contractor shall not be liable for any excess costs for failure to perform, unless the supplies, work products, or services to be furnished by the subcontractor were obtainable from other sources in sufficient time to permit the Contractor to meet the required performance schedule.

(d) If this contract is terminated as provided in subsection (a) of this provision, the Contracting Agency, in addition to any other rights provided in this provision, may require the Contractor to transfer title and deliver to the Contracting Agency, in the manner and to the extent directed by the Procurement Officer, such completed and partially completed reports, materials, parts, tools, dies, jigs, fixtures, plans, drawings, information, and contract rights and any other work product as the Contractor has specifically produced or specifically acquired for the performance of such part of this contract as has been terminated; and the Contractor shall, upon direction of the Procurement Officer, protect and preserve the property in possession of the Contractor in which the Contracting Agency has an interest. Payment for completed work and work products delivered to and accepted by the Contracting Agency shall be at the contract price. Payment for partially completed work and work products delivered to and accepted by the Contracting Agency shall be in an amount agreed upon by the Contractor and the Procurement Officer, and failure to agree to such amount shall be a dispute concerning a question of fact which shall be resolved under the Disputes clause of this contract.

(e) The rights and remedies of the Contracting Agency provided in this provision shall not be exclusive and are in addition to any other rights and remedies provided by law or under this contract.

(f) If after termination for failure of the Contractor to fulfill its contractual obligations, it is determined that the Contractor had not failed to fulfill contractual obligations, or that such failure was excusable under criteria set forth herein, the termination shall be deemed to have been for the convenience of the Contracting Agency. In such event, settlement costs and the contract price may be adjusted as provided in the Termination For Convenience provision of this contract.

**33. DEFINITIONS** (a) **CHANGE ORDER** - A written order signed by the Procurement Officer, directing the Contractor to make changes that the Changes provision of this contract authorizes the Procurement Officer to order without the consent of the Contractor.

(b) **CONTRACT ADMINISTRATOR** - The individual appointed to administer the contract for the Contracting Agency.

(c) **CONTRACT MODIFICATION** - A written alteration in specifications, delivery point, rate of delivery or performance, period of performance, price, quantity or other provisions of the contract accomplished by mutual action of the parties to the contract.

(d) **CONTRACTOR** - The entity providing services under this contract.

(e) **NOTICE TO PROCEED** - Written authorization from the Contracting Agency to the Contractor to provide all or specified services in accordance with the contract.

(f) **PROCUREMENT OFFICER** - The person who signed this contract on behalf of the University of Alaska, and includes a duly appointed successor or authorized representative.

(g) **SCOPE OF WORK** - Services and work products required of the Contractor by this contract.

(h) **SUBCONTRACTOR** - Entity engaged to provide a portion of the products or services by contract or purchase order with the Contractor which is a party to this contract. The term includes subcontractors of all tiers.

**34. ALTERATIONS IN GENERAL PROVISIONS** Any deletion or modification of these General Provisions shall be specified in detail in subparagraphs added to this provision. Deletions or modifications of General Provisions, if any, are listed herein, and were made prior to the signature of the parties to the contract.

(a) Wherever in these general provisions the statement is made that "This provision is applicable only to cost-reimbursement type contracts," or "This provision is applicable only to fixed-price type contracts," it shall also be deemed to mean that the provision is applicable only to cost-reimbursement type items or fixed-price items, respectively, within a contract.

### **35. CONTRACT SUBJECT TO THE AVAILABILITY OF FUNDS**

(a) Unless this Contract is accompanied by a University of Alaska Purchase Order, funds are not presently available for this Contract. The CONTRACTING AGENCY'S obligation under this Contract is contingent upon the availability of funds from which payment for Contract purposes can be made. No legal liability on the part of the CONTRACTING AGENCY for any payment may arise until funds are made available to the University of Alaska for this Contract and until the CONTRACTOR receives notice of such availability, **confirmed by issuance of a purchase order** by the CONTRACTING AGENCY.

(b) Issuance of a University of Alaska Purchase Order shall constitute notice of funding for the Contract in accordance with this provision.

**36. DISPUTES** (a) Any dispute which may arise between the Contractor and the Contracting Agency, in any manner, concerning this contract, shall be resolved in accordance with Alaska Statutes 36.30.620 - 632, AS 36.30.670 - 695, and University of Alaska regulations and procedures.

(b) Penalties for making misrepresentations and fraudulent claims relating to a procurement or contract controversy are prescribed in AS 36.30.68

**UNIVERSITY OF ALASKA  
RFP No. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
ATTACHMENT C**

**Functional Area Narratives**

**Enrollment Services**

In each of the three MAUs, all mail addressed to one of the Enrollment areas will come to a central receiving point. Mail will be batched by functional area, and then opened. Staff in central receiving will be trained on document preparation, scanning and image quality assurance. Scanning batches will remain by functional area (Admissions, Registration, and Financial Aid). The software will recognize standard forms; separator sheets will be used when the document is not a standard form. Images may be indexed in the central area or in the functional area. Facsimiles will enter at reserved numbers for each functional area and be batched for that functional area.

Expected maximum demand on the central scanner is 4,000 pages a day (approximately 25 pages per minute (ppm)). Image enhancement and feed problem detection are critical for this scanner due to varied paper sizes and the range of paper (including security watermarks) expected. A second lower volume scanner will be needed in Financial Aid for special documents and to act as backup to the main scanner if needed.

Each remote campus will get one lower volume scanner (approximately 5 ppm or better) for all enrollment functions to share. Backup in case of failure will be faxing the document to the MAU.

**Admissions Narrative**

Scanned documents will include:

- Applications for admission
- high school transcripts
- college transcripts
- letters of recommendation
- test scores
- statement of academic goals & objectives (for graduate applicants)
- resumes (for graduate applicants)
- miscellaneous forms & documentation for international applicants
- residency applications and supporting documentation

Once scanned & indexed, all documents will be put into a queue for the appropriate Admissions Clerk (divided alphabetically). The clerk will determine what action needs to be taken with the document. It will be marked as "received" on Banner. Possible routes for the file:

- If an undergraduate application and supporting documents are ready to be reviewed, they will be forwarded in a queue to the appropriate Admissions Specialist, who takes action (admits or denies the application) and posts transfer credit. This action triggers a letter of acceptance to be generated through Banner's LetterGen process.
- If a graduate application and supporting documentation are ready for review, the entire file is sent to the Dean of the College or School applied to, as well as the department applied. It is reviewed by a committee at the department level and a recommendation is made to the Dean, who "signs" the file. The file is then forwarded to the Dean of the Graduate School, who "signs" the file and returns it to an Admissions Specialist. Once admission or deny coding is done in Banner, an appropriate letter is generated. Note: reminder emails should be built into the process for departments that hold files for too long (more than 6 weeks).
- If a file is missing required items, it cannot be reviewed, then Clerk codes the file "Incomplete" and a note is generated to the student, asking for additional documentation.

### **Records & Registration (R & R):**

The created 'Virtual File' from admissions will be accessible by the R & R staff. Currently, R & R does not have a position assignable to scanning. UA imagines that at the least a half-time position will be needed to keep up with the scanning of the documents.

Once a student has been admitted and enrolled in classes (technically this is when the student file becomes an R & R file and its status turns permanent.) R & R would scan forms into the student's virtual file. These forms could arrive at R & R in a variety of methods:

- Fax
- Delivered in person
- Delivered via postal mail
- Email

Depending on the method of arrival, selected forms will be added to the student's virtual file. Examples of forms to be included in the student's virtual permanent file:

- Change on Name/Address
- Change of Major
- Application for graduation
- Official transcripts (not included in the Admissions' Transfer Process – NSE, ISEP)
- Correspondence: Academic Standing notification letter, Degree Audits<sup>1</sup>, Graduation status, Portfolio pass/no pass notification, Advisor assignments
- Signed Degree completion form
- Copy of Diploma
- Petition forms requesting academic action
- Advancement to Candidacy (graduate study)
- Registration forms
- Student Withdrawal forms (Late, Total)
- Residency forms
- Secondary School Enrollment forms

- Etc.

UA envisions implementing workflows when forms come to the office electronically. Files will be inactivated and archived permanently either once a student completes their highest degree or ceases attending for 2years.

Only the final Degree Audit will be retained permanently

Other forms that are not included in a student's file will be archived following the AACRAO guidelines for length of retention. Such form would include enrollment verifications, Registration forms (including add/drop, withdrawal forms) –kept permanently, Proposed Course Offerings (PCOs), Transcript requests.

With some of these forms, there would need to be the ability for academic departments to view them (withdrawal forms, Secondary School Enrollment Forms). This way faculty would be able to recognize who in their class is under the age of 18 or those who have withdrawn, etc.

### **Financial Aid**

Scanned documents will include:

- Institutional Student Information Records (ISIRs)
- IRS tax forms
- W-2 Forms
- DD214
- Appeal
- Verification Worksheet
- Loan Request Form
- Request for Review of Special Circumstances
- Request for budget revision
  - Computer
  - Daycare
  - Other
- TWD Form
- Entrance Counseling confirmation
- MPN
- Title IV Authorization Form
- VA Benefit Request Form
- Other

Once scanned and indexed, the document(s) will be routed to the appropriate staff for review. Items that need further review will be forwarded to the one of the directors.

### **Enrollment Equipment Estimate**

Each of 3 MAUs:

One 25 ppm or better scanner and one 10 ppm or better scanner. Must handle range of paper sizes from 2x4 inch to 14x17 inch.

Total of 6 scanners (3 of each size).

Each remote Campus:

Less sophisticated, lower volume, less expensive scanners:

UAF: Bristol Bay, CDE, Chukchi, Interior-Aleutians, Kuskokwim, Northwest, Tanana Valley  
(total=7).

UAS: Ketchikan, Sitka (total=2).

UAA: Kachemak Bay, Kenai Peninsula, Kodiak, Matanuska-Susitna, Military Programs, Prince  
William Sound (total=7)

Total = 15

**UNIVERSITY OF ALASKA  
RFP No. 05P0026JH  
DIGITAL DOCUMENT AND RECORDS SYSTEM  
ATTACHMENT D**

**University Deviations from SSCT Banner baseline**

SunGard SCT's Banner product is designed for a single institution. Therefore, in order to utilize a single instance of Banner for Alaska's state system of higher education, modifications to the baseline product are necessary. Such modifications are made and maintained by University personnel and follow a 'supplant with new' approach instead of changing what's there.

For example, the database table structure underlying the Banner Financial Aid System has been 'triplicated' through the addition of three sets of tables, one for each university in the higher education system.

In addition, so that built-in academic term processing can be executed by the University of Alaska Anchorage without affecting data or processes affiliated with the University of Alaska Southeast or the University of Alaska Fairbanks, process modifications were required. Modifications of this nature are primarily associated with Banner Student System.

The Banner Finance System and Banner Human Resources System are essentially aligned with SSCT's baseline for these products. This is also the case with the University-operated SSCT Workflow product.

Finally, the University utilizes a directory structure for Banner executables that differs from the SSCT baseline.