COMMONWEALTH OF VIRGINIA
STANDARD CONTRACT

Contract Number: LU214-16-004

This contract entered into this 7th day of December 2016 by Optical Image Technology, Inc., hereinafter called the "Contractor" and Commonwealth of Virginia, Longwood University hereinafter called the "Purchasing Agency."

WITNESSETH that the Contractor and the Purchasing Agency, in consideration of the mutual covenants, promises and agreements herein contained, agree as follows:

SCOPE OF CONTRACT: The Contractor shall provide the services to the Purchasing Agency as set forth in the Contract Documents.

PERIOD OF PERFORMANCE: From December 15, 2016 through December 14, 2019.

The contract documents shall consist of:

(1) This signed form;

(2) The following portions of the Request for Proposals dated August 28, 2015;

a. The Statement of Needs;
b. The General Terms and Conditions together with any negotiated modifications of those General Terms and Conditions;
c. The Special Terms and Conditions together with any negotiated modifications of those Special Terms and Conditions;

(3) The Contractor's Proposal dated October 8, 2015;

(4) Attachment 1 dated July 19, 2016;

(5) Contractor's Revised DocFinity Cloud/SaaS Price Proposal dated July 27, 2016;

(6) Contractor's Master Subscription and Services Agreement dated August 24, 2016; and the following agreement, all of which documents are incorporated herein.

IN WITNESS WHEREOF, the parties have caused this Contract to be duly executed intending to be bound thereby.

CONTRACTOR:

By: _____

Title: RONALD RICHARD
(Print or Type Name and Title)

Date: 12/08/2016

PURCHASING AGENCY:

By: _____

P. Kenneth Copeland, Jr.
Title: Vice President for Administration and Finance

Date: 12/9/16

Note: This public body does not discriminate against faith-based organizations in accordance with the *Code of Virginia*,§ 2.2-4343.1 or against a bidder or offeror because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment.

eVA BUSINESS-TO-GOVERNMENT VENDOR REGISTRATION, CONTRACTS, AND ORDERS: The eVA Internet electronic procurement solution, web site portal www.eVA.virginia.gov, streamlines and automates government purchasing activities in the Commonwealth. The eVA portal is the gateway for vendors to conduct business with state agencies and public bodies. All vendors desiring to provide goods and/or services to the Commonwealth shall participate in the eVA Internet e-procurement solution by completing the free eVA Vendor Registration. All bidders or offerors must register in eVA and pay the Vendor Transaction Fees specified below; failure to register will result in the bid/proposal being rejected.

Vendor transaction fees are determined by the date the original purchase order is issued and the current fees are as follows:

a. For orders issued July 1, 2014, and after, the Vendor Transaction Fee is:

   (i) DSBSD-certified Small Businesses: 1%, capped at $500 per order.
   (ii) Businesses that are not DSBSD-certified Small Businesses: 1%, capped at $1,500 per order.

b. Refer to Special Term and Condition "eVA Orders and Contracts" to identify the number of purchase orders that will be issued as a result of this solicitation/contract with the eVA transaction fee specified above assessed for each order.

For orders issued prior to July 1, 2014, the vendor transaction fees can be found at www.eVA.virginia.gov.

The specified vendor transaction fee will be invoiced, by the Commonwealth of Virginia Department of General Services, typically within 60 days of the order issue date. Any adjustments (increases/decreases) will be handled through purchase order changes.

Attachment 1
July 19, 2016

Negotiations with Optical Image Technology, Inc.
Enterprise Content Management (ECM) Solution

Points of Negotiation:

1. Pricing

    a. Requesting that DocFinity consider and propose a reduced fee structure based on volume since this is a cooperative contract and eligible to be utilized by VASCUPP Higher Educational Institutions and other entities outside of VASCUPP.

    b. In response to more favorable pricing, Longwood is willing to extend the contract term to one (3) year term plus three optional (3) year terms for a total contract length of twelve years if all optional renewals are exercised.

    c. Please provide a hourly consulting rate.

    d. All related travel expenses must be billed in accordance with the Commonwealth of Virginia travel regulations.

2. Nolij Conversion Training and Consulting

    a. Requesting a fixed fee of $10,000 plus travel billed in accordance with the Commonwealth of Virginia travel regulations.

3. Requesting that multiple Higher Education Institutions be allowed to jointly host the training at the cost of $1,500 per day for live instruction. For example, UMW and LU could have a joint training course for its users up to a maximum class size.

Optical Response:

Reference Optical's Revised DocFinity Cloud/SaaS Price Proposal dated July 27, 2016.

Longwood Response:

As the lead institution for this cooperative procurement, Longwood accepts OIT's responses to the negotiation points.

NOTE: This contract is an optional use contract. LU is awarding this cooperative contract for use by any VASCUPP or non-VASCUPP institution who wishes to access it (reference **SPECIAL TERMS AND CONDITIONS** paragraph 8. **CONTRACT PARTICIPATION**).

END OF NEGOTIATIONS.

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OPTICAL IMAGE TECHNOLOGY, INC. (OIT)

DOCFINITY

ENTERPRISE CONTENT MANAGEMENT RFP

REVISED DOCFINITY CLOUD/SAAS PRICE PROPOSAL FOR:

LONGWOOD UNIVERSITY

July 27, 2016

phone: 814.238.0038 \ fax: 814.238.0011 \ email: info@docfinity.com \ web: www.docfinity.com

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1 DocFinity Cloud

Cloud/SaaS: The full stack of DocFinity software is hosted in our data center and you subscribe to use it paying monthly based on number of users, storage consumed, and maintenance/support/service level fee. No software at your site. No hardware and infrastructure for you to support. Users access the system through their browser.

DocFinity is a complete end to end solution for document, content, business process and records management. The core is the foundation and comprised of all the underlying document and content management engines for capture, importing, indexing searching, viewing, editing, versioning, print/email, administration, audit trails and more. Utilizing the core with a number of concurrent users provides a basic document/content management system. Then we have host of add-on modules that all seamlessly integrate and function off of the same underlying set of database tables that come with the core installation. Add-ons are things such as BPM/Workflow, Records Management, eForms, Dashboards and more. As a subscriber to the DocFinity Cloud Service you are able scale your use of all modules at your own pace. This approach allows you to start small and scale up adding functionality as you grow the system to address deeper business requirements.

The user licensing is a concurrent model. All users licensed are potentially full production type users, however, through the assigning of rights you control which users or groups of users have access and their resulting levels of feature rights. So the University would have control to assign or specify the proper level of rights per your users groups (i.e. Business Super Users/Admin, Support Users, Secondary Users, Tertiary Users).

Concurrent User Licenses: Ten (10)

Indexing: Categorization of information so documents can be searched and retrieved quickly and easily.

Scanning: Converts paper documents to digital files to ease handling, speed processing and save space.

Viewing: Provides instantaneous, onscreen visibility for single documents or complete files.

Searching: Enables keyword searches that provide intuitive inquiry of active databases and archives.

Administration: Gives you complete control over access, task assignment and monitoring, load balancing and security from a single, intuitive interface.

Import: Includes object, index, and email importers that let you automate the import of virtually any file type directly into the system or a workflow process, even from other document management systems.

Print Server: Enables ability to print multiple stored documents without having to open them, reducing network traffic and increasing productivity.

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Versioning: Tracks changes to documents, files, metadata, and markup; preserving the history and evolution of a document and allowing reversions to previous versions.

Office Integration: Integrates DocFinity and Microsoft Office to allow Word documents to be directly imported to DocFinity and to open documents stored in DocFinity in Word.

DocFinity Exporter: Takes user-defined collections of documents and extracts the files and associated database records that identify those documents. The extracted content – written to the network folder or to the CD/DVD drive of choice — then can be used to transfer document collections reliably to third parties and/or other systems.

DocFinity Connect: Calls documents from the database with a single keystroke and integrates DocFinity into current line-of-business applications without programming.

Print to DocFinity: Indexes documents into the DocFinity repository from their native applications by selecting DocFinity PDF Printer as the printer. The PDF copy then opens so you can provide indexing metadata according to a pre--selected indexing scheme.

DocFinity HSM: HSM is a hierarchical storage management module that intelligently processes requests to retrieve, store and/or move data from multiple storage devices. This module has tools for data migration, prefetching (caching) and automatic purging of outdated, useless documents. It also supports the entire range of media, including magnetic drives, optical drives and jukeboxes. DocFinity HSM can be used for off-site, live backups and full-redundancy of data in separate locations.

BPM Workflow: Standardizes and expedites processes by pushing and pulling da ta and/or files – from email, voice mail, faxes, admin systems, and more – to people and/or systems. Easily design and modify robust workflows via the intuitive drag-and-drop, point-and-click de signer.

Records Management - Creates clear, auditable trails of evidence for every process performed on every record in the system. Groups related documents into Record Series and p provides mechanisms to automate management in basic retention policies —— including rules to map records to retention policies, approval process or record disposal, and rendering records in noneditable formats. Provides advanced retention policies, including legal hold.

eForms - Enables users to design simple and complex electronic forms. It also enables forms to automatically trigger new workflow processes upon submission – and to be integrated into existing websites, portals, or any other system and software investments.

Enterprise Search - Queries the repository for text matches in non-text file formats such as PDF, TIFF, HTML, and JPEG. Locates structured and unstructured data contained in files and other documents— and combines keyword and full-text searching.

Dashboard - The purpose of DocFinity's dashboard module is to provide a clear picture of how the system is working and specifically how a business is functioning as it relates to DocFinity through comprehensive metrics of performance.

APIs: Allows all attendant systems, applications, and data sources to interface with DocFinity.

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DocFinity Cloud/SaaS Quotation per RFP Submission			
DocFinity Solution Description	Cost	# of Users/Amount of Storage	Total per Month
Full Stack of DocFinity Solution Suite	$149/user/month	10	$ 1,490 Monthly User Fees
Storage (700 GB Start up Storage @ .49/GB)	.49/GB	700	$ 343 Monthly Storage Fee
Monthly Sub-total	$ 1,833.00		
Optimum Support Plan	30% of Monthly Sub-total	$ 549.90	
Total User, Storage & Support Fees per month	$2,382.90 per month		

DocFinity Cloud/SaaS – Users Tiered Pricing per RFP Submission	
Users	Commercial Cost Per User
1-5	$159
6-10	$139
11-20	$119
21-35	$104
36-55	$94
56-75	$84
76-100	$74
101-125	$64
126-200	$54
201+	$39

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DocFinity Revised Cloud/SaaS Quotation- 7/26/2016 (requires a minimum of 10 users)			
DocFinity Solution Description	Cost	# of Users/Amount of Storage	Total per Month
Full Stack of DocFinity Solution Suite	$140/user/month	10	$1,400 Monthly User Fees
Storage (700 GB Start up Storage @ .49/GB)	.49/GB	700	$343 Monthly Storage Fee
Monthly Sub-total			$1,743.00
Optimum Support Plan	30% of Monthly Sub-total		$ 522.90
Total User, Storage & Support Fees per month			$2,265.90 per month

DocFinity Cloud/SaaS – Users Tiered Pricing		
Users	Less Than 10 Users Cost Per User	VASCUPP Cooperative Discounted User Pricing (requires a minimum of 10 users)
1-5	$159	$150
6-10	$139	$130
11-20	$119	$110
21-35	$104	$95
36-55	$94	$85
56-75	$84	$75
76-100	$74	$65
101-125	$64	$55
126-200	$54	$45
201+	$39	$32

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Additional VASCUPP Volume Discount Program:

Longwood University is the first DocFinity Cloud/SaaS VASCUPP Subscriber. As additional VASCUPP entities, and non-VASCUPP entities that are entitled, sign up to subscribe and use the DocFinity Cloud Service under the Cooperative Agreement to be established and executed via the initial transaction between Longwood University and DocFinity Cloud, then, additional discounts applied to monthly Subscription fees will be as follows in the table below. Additional discounts at all levels are calculated against the initial monthly subscription fees. Additional discounts are capped at 5% as the subscribing entity reaches their 5% milestone.

	Additional Discount w/#2	Additional Discount w/#3	Additional Discount w/#4	Additional Discount w/#5	Additional Discount w/#6	Additional Discount w/#7
Longwood/Entity #1	1%	2%	3%	4%	5% Capped	XXX
Longwood Monthly Subscription Fees Initially $2,265.90/mn	Net after 1% discount $2,243.24	Net after 2% discount $2,220.58	Net after 3% discount $2,197.92	Net after 4% discount $2,175.26	Net after 5% discount $2,152.61	XXX
Entity #2	XXX	1%	2%	3%	4%	5% Capped
Entity #3	XXX	XXX	1%	2%	3%	4%>
Entity #4	XXX	XXX	XXX	1%	2%	3%>>
Entity #5	XXX	XXX	XXX	XXX	1%	2%>>>
Entity #6	XXX	XXX	XXX	XXX	XXX	1%>>>>
Entity #7	XXX	XXX	XXX	XXX	XXX	XXX>>>>>

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DocFinity Professional Services Estimate per Longwood U RFP Submission			
DocFinity Services Description	**Rate/hr./day**	**Qty of hrs./days**	**Total**
System Design & Planning	$200/hr.	30 hrs.	$ 6,000.00
BPM Process Analysis/Design	$200/hr.	40 hrs.	$ 8,000.00
System Integration Consulting	$200/hr.	40 hrs.	$ 8,000.00
System Installation & Configuration	$200/hr.	30 hrs.	$ 6,000.00
QA Testing	$200/hr.	20 hrs.	$ 4,000.00
Go Live Support	$1,500/day	3 days	$ 4,500.00
Project Management	$200/hr	20 hrs.	$ 4,000.00
Total Estimated Professional Services Costs per RFP Submission			**$ 40,500.00**

DocFinity Professional Services Estimate for Longwood U Using VASCUPP Discounted Service Rates*			
DocFinity Services Description	**VASCUPP Advance Discounted Rate/hr./day**	**Qty of hrs./days**	**Total**
System Design & Planning	$180/hr.	30 hrs.	$ 5,400.00
BPM Process Analysis/Design	$180/hr.	40 hrs.	$ 7,200.00
System Integration Consulting	$1800/hr.	40 hrs.	$ 7,200.00
System Installation & Configuration	$180/hr.	30 hrs.	$ 5,400.00
QA Testing	$180/hr.	20 hrs.	$ 3,600.00
Go Live Support	$1,440/day	3 days	$ 4,320.00
Project Management	$180/hr.	20 hrs.	$ 3,600.00
Total Estimated Professional Services Costs Applying VASCUPP Advance Discounted Rates			**$ 36,720.00**

*VASCUPP Advance Discounted Service Rates require the entity to pay the total services costs in a lump sum payment prior to first task engagement. The entity then has 10 months from date of payment to consume all quoted services. Any balance remaining at the close of 10 months is non-refundable.

For entities preferring to not pay lump sum in advance the VASCUPP Standard Discount Rate is $185.00/hr. Under Standard Discount Rate services are billed as rendered.

Regarding travel expenses, OIT agrees to abide by Commonwealth of Virginia travel regulations.

Regarding Nolij Conversion, Training and Consulting OIT will agree to the fixed fee of $10,000.00 provided that the conversion effort is restricted to bringing over the documents only with no annotation conversion requirements. If annotations are required as part of the conversion then the parties agree to a discovery phase whereby OIT can gain the necessary understanding and knowledge to then provide Longwood with a quotation for conversion that is time and materials based. The above referenced VASCUPP Advance and Standard Discounted Rates would apply appropriately. If annotation conversion is a requirement OIT will work with Longwood in the discovery phase at no charge.

Regarding multiple institutions participating in joint training sessions OIT agrees to the $1,500.00/day rate for live instruction joint sessions.

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OPTICAL IMAGE TECHNOLOGY, INC. (OIT)

DocFinity Cloud

Master Subscription and Services Agreement

FOR LONGWOOD UNIVERSITY

August 24, 2016

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1 Legal Agreement

This agreement ("Agreement") is entered into, to be effective as of 12/8/2016 ("Effective Date"), by and between **Longwood University** ("Customer or You"), with its principal place of business for purposes of this Agreement located at Longwood University, Materials Management, 201 High Street, Bristow Hall, Room 218, Farmville, Virginia 23909 and **Optical Image Technology DBA/ DocFinity Cloud** ("DC"), with its principal place of business located at 100 Oakwood Avenue, State College, PA 16803. Customer and DC may sometime be referred to herein as a "party" or together as the "parties".

2 Conflict of Governing Rules, Terms and Conditions

On August 28, 2015 The Commonwealth of Virginia and Longwood University issued RFP #LU214-16-004 for an Enterprise Content Management (ECM) Solution. Governing Rules, Terms and Conditions that DC must abide by are detailed within RFP #LU214-16-004. In the event of any conflicting Governing Rules, Terms and Conditions between this Agreement and RFP #LU214-16-004, the Governing Rules, Terms and Conditions as defined in RFP #LU214-16-004 shall control and govern the rights and obligations of the parties. RFP #LU214-16-004 is attached hereto as Exhibit E.

3 Definitions

"**Downloaded Software**" means client software downloaded by an Authorized User (defined below, paragraph 3.5) from the DC Site that augments your use of the Service, including add-ins and ancillary programs.

"**Order Form**" means a signed paper or web-based order form completed by you when ordering the Service.

"**Service**" means the provision by DC to you of hosted document and business process management and related services, in accordance with the tiers Order Form, Exhibit C. The Service includes the provision on a hosted basis of non-exclusive use and access to proprietary DC software, and associated hosting and support services as described herein.

"**Site**" means the entry point where you will access the DC Service < cloud.docfinity.com >.

"**Software**" means DC's proprietary software used by DC to deliver the Service, made available to you through the Site on a "Software as a Service" basis, and all updates and associated documentation thereto made available as a part of the Service pursuant to this Agreement. The term "Software" includes the Downloaded Software.

4 The Service and Support

4.1 DC will provide the Service on a subscription basis to you during the term of this Agreement. You may use and access the Service and Software solely through the Site. Your rights to use the Service are non-exclusive and non-transferable. You agree to use the Service only in the course of your own business enterprise. You may provide your clients and/or affiliates with access through user subscription.

4.2 As part of the Service, DC will provide reasonable technical support to you in line with Exhibit A: DC Support Plan Schedule and Exhibit C: Service Level Schedule

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4.3 DC will use commercially reasonable efforts to make the Service available on a 24 hours a day, 7 days a week, and 365 days a year basis, subject to Section 13.2 (Force Majeure) below and to downtime for maintenance purposes. DC will, to the extent practicable, schedule maintenance downtime outside of regular business hours and communicate in advance when you can expect maintenance based downtime. See Exhibit A for the Standard Availability and Service Hours.

4.4 DC may from time to time modify the Site and the Service and add, change, or delete features of the Service in its sole discretion, without notice to you. Your continued use of the Service after any such changes to the Service constitutes your acceptance of these changes. DC will use commercially reasonable efforts to communicate such information in advance regarding material changes to the Service. To the extent any such changes materially or adversely impact Customer's use of the Software for the intended purpose, DC agrees to use commercially reasonable and good faith measures to rectify such impact by providing commercially feasible changes or workarounds.

4.5 The Service may be used and accessed for your internal business purposes and only by your employees, independent contractors, business partners and customers enabled by you to use the Service ("Authorized Users"). Third parties authorized by you may use the Service only for the purpose of facilitating business transactions with you or for providing services to you, and in no event may third parties use and access the Service provided to you as a document management solution for their own or for another person's benefit. You agree not to charge any Authorized Users to use the Service, either directly or indirectly. You shall be fully responsible for use of the Service by Authorized Users and their compliance with the terms of this Agreement.

4.6 You acknowledge that you are solely responsible for: (a) all use of the Service made using your Authorized Users' user names and passwords, and (b) maintaining the confidentiality of your Authorized Users' user names and passwords. Only one individual may access the Service at the same time using the same user name and password. You agree to notify DC immediately of any unauthorized use of an Authorized User's email address, user name or password, or any other breach of security regarding the Service of which you become aware.

4.7 You warrant and agree not to intentionally:

- Violate any local, state, national or international law or regulation in connection with use of the Service, or otherwise use the Service in any way that is in furtherance of criminal, fraudulent, or other unlawful activity
- Interfere with or disrupt the Service or servers or networks connected to the Service
- Violate any codes of conduct, requirements, terms of use, policies or regulations of networks connected to the Service
- Interfere with or attempt to interfere with any other person's use of the Service
- Gain access to or attempt to gain access to any account, computers or networks related to the Service without authorization
- Use the Service to send or otherwise make available any viruses, Trojan horses, worms, corrupted files, or any other similar software that may damage the operation of another's computer or property
- Use the Service in a manner that results in excessive bandwidth usage, as determined in DC's sole discretion
- Impersonate any other person or entity, or misrepresent your affiliation with any other person or entity
- Forge headers or otherwise manipulate identifiers in order to disguise the origin of any content or communication transmitted through the Service

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4.8 DC shall implement commercially reasonable practices and procedures to identify, screen and prevent, and shall not itself install, any Disabling Device in resources utilized to provide the services or hardware capacity. DC shall use commercially reasonable efforts to minimize or eliminate the effects of any disabling device and DC shall use commercially reasonable efforts to prevent or minimize the loss of operating efficiency or data resulting from any Disabling Device. Customer acknowledges and agrees, however, that no network security system can guarantee complete network security or prevent all unauthorized network access. "Disabling Device" means any virus, timer, clock, counter, time lock, time bomb, Trojan horse, worm, file infector, boot sector infector or other limiting design, instruction or routine that could, if triggered, erase data or programming or cause the resources to become inoperable or otherwise incapable of being used in substantially the same manner for which such resources were intended to be used. DC shall promptly notify Customer in the event of any breach not later than one (1) day after DC actual knowledge of any such breach.

5 Intellectual Property

5.1 You agree that DC and its licensors own all intellectual property rights in and to the Service, the Software, and the Site, including but not limited to the look and feel, structure, organization, design, algorithms, templates, data models, logic flow, text, graphics, logos, and screen displays associated therewith. You will not reverse engineer, decompile or disassemble the Software, or otherwise attempt to reconstruct or discover the source code for the Software. You further agree not to resell, lease, assign, distribute, time share or otherwise commercially exploit or make the Service available to any non-affiliated third party for such third party's benefit. DC reserves all rights in the Service not expressly granted to you hereunder.
5.2 You shall retain ownership of the documents, data and related materials and information you upload in connection with the Service ("**Client Documents/Data**"). DC shall not access or otherwise use the contents of any Client Documents/Data, unless you give specific permission to such access in connection with DC's handling of a support issue. Solely in order to provide the Service to you, DC may copy, archive, index, and create metadata relating to the Client Documents/Data. DC may derive and compile from your usage of the Service certain aggregated and/or analytical information, so long as such aggregated or analytical information does not reveal any information about you, any individual, or the contents of any Client Documents Data. Such aggregated data and metadata may be used for DC's own purposes without restriction, including, but not limited to, using such data in conjunction with data from other sources to improve DC's products and services and create new products.

5.3 DC shall have a royalty-free, worldwide, transferable, and perpetual license to use or incorporate into the Service any suggestions, ideas, enhancement requests, feedback, or other information provided by you or any Authorized User relating to the Service. The foregoing shall not be applicable to any suggestions, ideas, enhancement requests, feedback or other information that relates to Client Documents/Data or intellectual property of Customer.

5.4 DC's trademarks include DocFinity, DocFinity Live, and the DocFinity logo. Any other company or product names used on the Site or in connection with the Service are the property of the respective trademark owner.

6 Fees and Expenses

6.1 You shall pay DC all applicable subscription fees associated with the Service as set forth in your Order Form, Exhibit B, and in accordance with the terms set forth therein. All payments under this Agreement are non-refundable and, unless otherwise agreed, shall be made in United States dollars. Past-due payments will be subject to late payment charges of the lesser of: (a) one and one-half percent (1 ½ %) per month, or (b) the maximum rate allowed by law. The fees and rates under this Agreement are applicable for the initial term of this Agreement. DC reserves the right to discuss and negotiate updated fees and rates for subsequent terms following the

initial term with Customer. Customer agrees to not withhold participation in such discussions and negotiations unreasonably.

6.2 The subscription fees are billed monthly and comprised of the user, storage capacity and support plan fees that are set forth in your Order Form, Exhibit B.

6.3 You may add additional users at any time in accordance with Exhibit B.

6.4 Billable storage capacity is a combination of storage used in both your test and production environments. Billable storage elements are comprised of; i) the native objects and their renderings stored in the repository, and ii) the metadata stored in the database. The initial storage capacity allotted is set at 500GB per month. DocFinity will monitor and increase capacity as part of the storage management support plan. Storage capacity will be increased in 100GB units as required. This will be reflected in your subsequent monthly billing. You may increase the 500GB initial unit by noting that on your Order Form, Exhibit B. When required you can purchase additional storage capacity in 100GB allotments/units. Storage Management support, which is part of the support plan, will provide for storage capacity to be increased once per billing cycle. Needs for additional storage that are larger scale (greater than 100GB units) must be communicated to DC 30 days in advance for proper staging and readiness.

6.5 You shall be responsible for all applicable, reasonable, and timely invoiced taxes, however designated, incurred in connection with this Agreement, including but not limited to state and local privilege, excise, sales, VAT, and use taxes and any taxes or amounts in lieu thereof paid or payable by DC, but excluding taxes based upon the net income of DC.

6.6 If an undisputed payment becomes ten (10) business days or more overdue, DC reserves the right to suspend your access to the Service upon notice to you, without liability to you, until payment is made in full. If any undisputed payment becomes thirty (30) days or more overdue, DC may terminate this Agreement upon notice to you. DC has the right to change payment terms, including by requiring upfront payment for the Service, in its reasonable discretion based on your payment history and/or financial status.

6.7. Except for the fees and expenses set forth above or specifically agreed to in writing by Customer, DC shall be responsible for all costs and expenses incurred in or incidental to the performance of this Agreement.

6.8. The fees set forth in Exhibit B shall commence as payable and due upon your being granted access to the environment for training, testing and development.

7 Confidentiality and Security

7.1 "**Confidential Information**" means any information or data that is disclosed by one party to the other party pursuant to this Agreement that is marked as confidential. In addition, your Confidential Information includes the Client Documents/Data (whether or not marked), and Confidential Information of DC (whether or not marked) includes the Service and Software, as well as the structure, organization, design, algorithms, templates, data models, logic flow, and screen displays associated with the Service and Software. Confidential Information does not include information that the receiving party can show: (a) is or becomes publicly known or available without breach of this Agreement; (b) is received by a receiving party from a third party without breach of any obligation of confidentiality; or (c) was previously known by the receiving party as shown by its written records.

7.2 A receiving party agrees: (a) to hold the disclosing party's Confidential Information in confidence, and to protect the disclosing party's Confidential Information in the same manner that it protects the confidentiality of its own similar confidential information (but in no event using less than reasonable care); and (b) except as expressly authorized by this Agreement, not to, directly

or indirectly, use, disclose, copy, transfer or allow access to the disclosing party's Confidential Information. Without limiting the foregoing, you shall disclose and allow access to the Service only for the purpose of supporting and augmenting your use of the Service. Notwithstanding the foregoing, a receiving party may disclose Confidential Information of the disclosing party as required by law, applicable regulatory authorities, or court order; in such event, such party shall use its best efforts to inform the other party prior to any such required disclosure so that the disclosing party can seek a protective order or other remedy. If so required by the disclosing party, the receiving party shall provide reasonable assistance to the disclosing party in opposing such disclosure or seeking a protective order or other limitations on disclosure. No compelled disclosure will otherwise affect the receiving party's obligations hereunder with respect to the Confidential Information so disclosed.

7.3 DC will take reasonable security measures (that are consistent with generally accepted industry standards for like Services and considering the nature of the information contained in the Client Documents/Data), designed to protect your Confidential Information, including your Client Documents/Data. These measures will include the use of reasonable physical, administrative, and technical security techniques and systems (that are consistent with generally accepted industry standards for like Services and taking into consideration the nature of the information contained in the Client Documents/Data), designed to prevent unauthorized access and disclosure, maintain data accuracy, and ensure appropriate use of your Confidential Information. See Exhibit C; Service Level Schedule.

7.4 Upon termination or expiration of this Agreement, the receiving party will return to the disclosing party or destroy all Confidential Information delivered or disclosed to the receiving party (including, with respect to you as receiving party, the Downloaded Software), together with all copies in existence thereof at any time made by the receiving party, except those retained for compliance or legal purposes; provided that return of Client Documents/Data by DC to you is covered by Section 7.6 below.

7.5. Aspects of physical security at the physical premises where the host equipment, Customer Documents/Data and Customer Confidential Information are located shall be governed by Amazon Web Services (AWS) the owner and operator of the data center hosting the DocFinity Cloud SaaS offering. Customer may refer to the AWS security practices, policies and procedures at http://d0.awsstatic.com/whitepapers/Security/AWS%20Security%20Whitepaper.pdf. DC will maintain and enforce an information security program in relation to accessing the DocFinity application that will include organizational and DocFinity application based technical security measures consistent with commercially reasonable industry best practices to help ensure continued operation of the Software in accordance with this Agreement and to protect the Confidential Information of Customer from accidental, unauthorized, unlawful or intentional tampering misuse, access, disclosure, commingling, hacking, disruption, damage, modification or contamination.

a) DC shall maintain complete and accurate records related to its procedures, practices and policies to continuously monitor and protect Client Documents/Data and Customer Confidential Information, including any backup, redundancy, business continuity and disaster recovery procedures. Upon Customer's request, DC shall make all such records, appropriate personnel and relevant materials, including, but not limited to records of periodically conducted penetration testing conducted at DC's expense, available during normal business hours for inspection by Customer or an independent data security expert retained by Customer. DC shall have written hardware, software and data security policies and such policies are incorporated herein by reference as Exhibit C: Service Level Schedule. DC shall assist in investigating security breaches by retaining and providing to Customer all information reasonably requested by Customer, including, but not limited to, log files and forensic information.

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b) DC shall immediately report to Customer any breach of security or unauthorized access to Customer Confidential Information and Client Documents/Data that DC detects or of which it becomes aware. DC shall use diligent efforts to remedy such breach of security or unauthorized access in a timely manner and deliver to Customer, a root cause assessment and future incident mitigation plan with regard to any breach of security or unauthorized access affecting any Confidential Information of Customer or Client Documents/ Data that sets out written details regarding DC's investigation of such incident and, upon Customer's written request, provide a second more in-depth investigation and results of the findings. Without limiting the generality of the foregoing, Customer and DC will work together to formulate a plan to rectify all security breaches and unauthorized access concerning Customer Confidential Information and Client Documents/Data.

c) If a breach of security or confidentiality occurs necessitating notice to Customer's customers under the applicable privacy law, then: (i) DC shall immediately notify Customer of said breach of security or confidentiality, and (ii) Customer shall have the sole control and responsibility over the timing, content and method of the notice to Customer's customers. In the event that such breach has been determined to have taken place due to DC failure to execute on DC's obligations related to their information security program, measures, policies and procedures, then, DC's liability in relation to reimbursing or compensating Customer for costs and expenses incurred in giving notice of any breach to Customer's customers or any resulting compensation for identity and credit monitoring and protection for Customer's customers, or for any loss of revenue by Customer shall be limited to the subscription fees in aggregate paid by Customer for the DC Service under this Agreement for the most recent previous twenty four (24) month period preceding the breach.

d) Where investigation of data breach determines that DC has executed on and fulfilled all obligations under DC's security program, measures, policies and procedures, then, Customer assumes all related risk, resulting costs and expenses in relation to Customer notifying its customers, providing any identity and credit monitoring/protection services to its customers, or any other resulting impact of such data breach.

8 Term and Termination

8.1 This Agreement will be effective for an initial three (3) year term (the "**Initial Term**") as of the Effective Date detailed in Section 1. Thereafter, this Agreement shall renew at Customer's option for three (3) optional three (3) year terms. Customer shall provide DC with written notice of exercising its option to renew, or not, sixty (60) days in advance of current term expiration.

8.2 Either party may terminate this Agreement upon thirty (30) days prior written notice if the other party materially breaches any of the terms and conditions of this Agreement and such material breach is not cured within the thirty (30) day period. DC will have the right to suspend your use of or access to the Service upon notice to you in the event DC determines in its commercially reasonable discretion that you have breached this Agreement and you have not cured the alleged breach within the applicable cure period. Notwithstanding the foregoing, termination and suspensions relating to late payments by you are covered in Section 7.3 below.

8.3 If an undisputed payment becomes ten (10) business days or more overdue, DC reserves the right to suspend your access to the Service upon notice to you without liability to you, until undisputed payment is made in full. If any undisputed payment becomes thirty (30) days or more overdue, DC may terminate this Agreement upon notice to you.

8.4 Either party may terminate this Agreement without cause upon at least ninety (90) days prior written notice. In such event, you will be entitled to a refund of any prepaid amounts for Service not delivered. Additionally, Customer shall have the right to terminate this Agreement without any penalty or liability if DC fails to meet the acceptance testing as set forth in the Statement of Work to the commercially reasonable satisfaction of Customer.

8.5 The terms provided in Sections 2, 5, 7,10, 11, 12, 13, and 14 of this Agreement shall survive any termination of this Agreement. In addition, upon termination you shall promptly pay DC all outstanding amounts due to DC under this Agreement. If this Agreement is terminated by DC due to your breach, which you fail to cure after receipt of written notice, , then all fees unpaid for the remainder of the current term shall become immediately due and payable by you to DC as liquidated damages, without any further demand by DC. The parties acknowledge that DC's actual damages arising from such termination would be difficult to determine with accuracy and, accordingly, have agreed to the foregoing liquidated damages, which the parties acknowledge is a reasonable estimate of DC's potential losses.

8.6 Within ninety (90) days after termination, you may request in writing that DC provide you with access to a copy of all Client Documents/Data, and DC will provide such Client Documents/Data in platform agnostic format in exchange for the then-current standard fee for such service.

9 Independent Contractors; Publicity

9.1 The parties are and intend to be independent contractors with respect to the services contemplated hereunder. DC agrees that neither it, its employees nor its contractors shall be considered as having an employee status with you. No form of joint employer, joint venture, partnership, or similar relationship between the parties is intended or hereby created.

10 Warranties; Disclaimers

10.1 You and DC each warrant that they have full authority to enter into this Agreement and are not bound by any contractual or legal restrictions from fulfilling their obligations hereunder. In addition, DC warrants that the Service will materially conform to the written or electronic documentation provided by DC in connection with the Service. In the event of a breach of this warranty by DC, as your sole and exclusive remedy, DC will, at its expense, use commercially reasonable efforts to promptly cause the Service to conform.

10.2 You shall be solely responsible for your use of the Service, and, except as otherwise agreed in writing by the parties, for maintaining backup copies of the Client Documents/Data. You acknowledge and agree that the Service is strictly a tool to be used in conjunction with good and reasonable business judgment by competent personnel.

10.3 The Service may contain features, functionality and information that are provided through or by third-party content, software, web sites, and/or systems ("**Third-Party Materials**"). Your use and access of these features and functionality are subject to the terms published or otherwise made available by the third-party providers of Third-Party Materials. DC has no responsibility for any Third-Party Materials that are incorporated into the Service by Customer
10.4 DC further represents, warrants and covenants as follows: (i) The Services, including acceptance testing will be performed in a professional and workmanlike manner using personnel with the requisite skill, experience and qualifications and using all resources reasonably necessary to meet DC's obligations under this Agreement and the applicable Statement of Work; (ii) The Services, Site and Software will be operated, maintained and provided by DC in accordance with all applicable laws, rules and regulations of any governmental authority, agency, securities exchange or other self-regulatory organization or by which the activities to be

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conducted under this Agreement are governed or regulated and also not in contravention or breach of DC's obligations to or agreements with any third-party; (iii) subject to the limitations of liability set forth herein and the provision of the physical location security by AWS, DC shall be responsible and liable for any and all performance required hereunder, the acts and omissions of its employees, contractors, vendors, suppliers and anyone acting on behalf of DC and the employees and agents of the foregoing; (iv) DC has the knowledge, experience, technology and plans to sufficiently locate, isolate and extract the Client Documents/Data and Confidential Information should Customer desire to "leave the cloud" and bring such data and information in-house or migrate the same to a different vendor; and (v) the Site and Software are capable of audit trails and record-hold requests and DC can implement such trails and hold requests promptly and in a manner required to meet litigation and regulatory obligations as they arise. DC does not warrant that the Service will operate without interruption or error-free. To the extent that data is being transmitted over the Internet hereunder, you acknowledge that DC has no control over the functioning of the Internet, and DC makes no representations or warranties of any kind regarding the performance of the Internet. EXCEPT AS EXPRESSLY SET FORTH IN THIS AGREEMENT, DC MAKES NO WARRANTIES, EXPRESS OR IMPLIED, INCLUDING BUT NOT LIMITED TO ANY IMPLIED WARRANTIES OF MERCHANTABILITY, NONINFRINGEMENT, OR FITNESS FOR A PARTICULAR PURPOSE OR ANY WARRANTIES ARISING AS A RESULT OF CUSTOMER USAGE IN THE TRADE OR BY COURSE OF DEALING.

11 Insurance

11.1 DC shall maintain and shall require any subcontractor to maintain insurance coverage of at least the following amounts: A) Worker's Compensation: Pennsylvania statutory limits or such limits as may apply to the jurisdiction where the work is performed; B) General Liability Insurance: one million dollars ($1,000,000.00) per occurrence, two million dollars ($2,000,000 aggregate); C) Automobile Liability Insurance: one million dollars ($1,000,000) combined single limit per accident; D) Tech Errors and Omissions Insurance in the amount of three million dollars ($3,000,000); Cyber Liability Insurance in the amount of five million dollars ($5,000,000).

11.2 DC or any subcontractor, as applicable, shall certify any and all compliance with the required insurance coverage detailed in paragraph 10.1 upon execution of this Agreement and cause its insurance agent to submit to Customer a certificate of insurance and appropriate declaration pages demonstrating said compliance and evidence that the coverages are in place. In so doing Customer will have the benefit of knowing DC and any subcontractor, as applicable, carries sufficient insurance coverage on their staff, and furthermore Customer will have the benefit of knowing that DC and any subcontractor has insurance to respond to any necessary claims, suits, or actions alleging professional errors and omissions, security breaches, and privacy breaches. DC shall provide Customer with thirty (30) days prior written notice of any cancellation, non-renewal or material change in coverage, scope or amount of any the foregoing insurance policies. This Section contains minimum insurance requirements and is not intended to and shall not be construed in any manner as waiving, restricting or limiting the liability of DC under this Agreement.

12 Liability

12.1 The limit of either Party's liability (whether in contract, tort, negligence, strict liability in tort, or by statute or otherwise) to the other Party or to any third party concerning performance or non-performance by that Party, or in any manner related to this Agreement or the Service, for any and all claims shall not exceed in the aggregate the Subscription Fees paid by Customer to DC hereunder with respect to the Service at issue (excluding any additional Service Plan fees and fees or charges relating to approved expenses incurred by DC on behalf of you) during the twenty four (24) months prior to the date that the relevant cause of action occurred. The foregoing limitation of liability shall not be applicable to: (i) claims subject to indemnification under Section 11 or a breach by DC of its indemnification obligations; or (ii) the gross negligence or willful or intentional misfeasance of DC or anyone acting on its behalf.

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12.2 Except with respect to a breach by DC of Section 6 (Confidentiality and Security), in no event shall either party be liable for special, consequential, incidental, indirect or punitive loss, damage or expenses whether arising in contract or tort (including but not limited to lost profits, loss of documents or data, or the cost of recreating lost data), even if it has been advised of their possible existence.

12.3 The allocations of liability in this Section represent the agreed and bargained for understanding of the parties and DC's compensation reflects such allocation. These limitations of liability will apply notwithstanding any failure of essential purpose of any limited remedy.

13 Dispute Resolution

13.1 The parties agree to work together in good faith to resolve any dispute regarding this Agreement internally and by escalating it to higher levels of management and optional mediation, prior to resorting to binding arbitration.

13.2 This Agreement shall be interpreted, construed, and governed by the laws of the Commonwealth of Virginia, without regard to its conflict of law provisions. The United Nations Convention on Contracts for the International Sale of Goods shall not apply to this Agreement.

14 Miscellaneous

14.1 If you are located in the European Union, you consent to the processing of personal information in the United States by DC in connection with the Service.

14.2 Neither party shall be liable for any delay in the performance of its obligations due to causes beyond the reasonable control of the party affected, including but not limited to war, sabotage, insurrection, riot or other act of civil disobedience, strikes or other labor shortages, act of any government affecting the terms hereof, acts of terrorism, accident, fire, explosion, flood, hurricane, severe weather or other act of God, failure of telecommunication or internet service providers. Notwithstanding anything to the contrary contained in this Agreement, in no event shall any of the following be considered a Force Majeure Event: (i) shutdowns, disruptions or malfunctions of Site, Software and Services or any of DC's telecommunication or internet services other than as a result of general and widespread internet or telecommunications failures that are not limited to the Site, Software and Services; or (ii) the delay or failure of any personnel, supplier, vendor, contractor or subcontractor of DC to perform any obligation of DC hereunder unless such delay or failure to perform is itself by reason of a Force Majeure Event. No Force Majeure Event shall modify or excuse DC's obligations related to confidentiality, security, data backup and disaster recovery, business continuity, Indemnification, or service level credit obligations under this Agreement or an applicable service level agreement or service schedule.

14.3 This Agreement (including the Order Form, Exhibits, Schedules, and any attachments thereto specifically agreed by the parties) constitutes the entire understanding of the parties with respect to its subject matter, and supersedes all prior or contemporaneous written and oral communications, understandings or agreements with respect to its subject matter. No waiver of any provision of this Agreement, or of any rights or obligations of any party hereunder, will be effective unless in writing and signed by the party waiving compliance. The failure by any party to exercise any right provided herein shall not be deemed a waiver or forfeiture of any such right. Headings used in this Agreement are for convenience of reference only and shall not be deemed a part of this Agreement.

14.4 Neither party shall have the right to assign this Agreement or any of its obligations hereunder without the prior written consent of the other party. Notwithstanding the foregoing, for general corporate restructuring purposes, either Party may assign this Agreement and any of its

rights hereunder to an entity that is controlled by or under common management control with the assigning party.

14.5 Every provision of this Agreement is intended to be severable. If any section of this Agreement is found to be invalid or unenforceable, then such section will be deemed amended and interpreted, if possible, in a way that renders it enforceable. If such an interpretation is not possible, then the section will be deemed removed from this Agreement and the rest of this Agreement will remain in full force and effect.

14.6 This Agreement does not designate either party as the agent, employee, legal representative, partner or joint venture of the other party for any purpose whatsoever. There are no intended third-party beneficiaries under this Agreement.

14.7 You agree to comply with all relevant export laws and regulations, including, but not limited to, the U.S. Export Administration Regulations and Executive Orders ("**Export Controls**"). You warrant that you are not a person, company or destination restricted or prohibited by Export Controls ("**Restricted Person**"). You will not, directly or indirectly, export, re-export, divert, or transfer the Software or Service, any portion thereof or any materials, items or technology relating to DC's business or related technical data or any direct product thereof to any Restricted Person.

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15 Agreement and Amendments

15.1 By executing this Agreement and/or using the Service, you represent that you are 18 years old or older, are authorized to bind any legal entity that you represent, and agree to all of the terms in this Agreement.

15.2 This Agreement may be modified or amended only by a writing signed by the authorized representatives of both parties to this Agreement.

15.3 DC will periodically send emails regarding the DocFinity Live service, including general information about the technology and business. You can easily unsubscribe from email communications using our simple unsubscribe process.

Executed on the dates set forth below by the undersigned authorized representatives of the parties to be effective as of the Effective Date.

Longwood University
("Customer" or "You" or "you")

By: P Kenneth Copeland Jr.
Name: P. Kenneth Copeland, Jr.

Title: VP for Administration & Finance

Date: 12 / 13 / 2016

OPTICAL IMAGE TECHNOLOGY, INC.
DBA/ DocFinity Live ("DC")

By:

Name: Ronald Prichard
Title: President

Date: 12/8/2016

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Exhibit A: DC Support Plan Schedule

For a monthly support fee equal to 30% of your monthly user subscription and storage fees you receive full-system and application support as follows.

-Platform OS updates/patching
-VM Management
-Database management/maintenance
-Storage management
-Hardware management
-Network management
-Monitoring
-Anti-Virus
-SSL
-Real-Time intrusion detection
-Firewalls
-Data Security
-Security reviews
-SAS 70/SSAE 16/SOC 2
-Repository maintenance/backups
-Database backups
-Backup validation
-System Availability/up-time
-Disaster recovery
-Application updates/maintenance
-Documentation
-Knowledge Base
-Email based tech support
-Phone support during normal business hours
-Priority access to support staff
-4 hour response time during normal business hours
-Error related trouble shooting services
-Certified DocFinity Administrator to provide application system administration and maintenance services
-Access to schedule DocFinity services and development staff to review and discuss your application/use of the Service
-Recommendations on practices and approaches that will help you enhance your use of the Service.

*OIT is responsible for provision of application administration, user maintenance and support.

*OIT provides support for how-to and configuration questions and needs.

*Assistance with hardware, software, network at client site, BPM process design & consulting, and eForms development/design/consulting are not included in this fee and require professional services.

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Availability and Service Hour Schedule

WEEK DAY	INFRASTRUCTURE and DOCFINITY APPLICATION AVAILABILITY	NOTES
Monday	24 Hours	Hosting systems' availability is generally 24 x 7 x 365 with the exception of downtime for maintenance as noted below Infrastructure reliability is committed to be a minimum 99.5% as measured on a monthly basis
Tuesday	24 Hours	
Wednesday	24 Hours	
Thursday	24 Hours	
Friday	24 Hours	
Saturday	24 Hours	
Sunday	Normal Availability From 12:00 AM – 5:00 PM ET Planned Maintenance From 5:00 PM – 10:00 PM ET Resume normal support service after 10:00 PM	Every Sunday from 5:00 PM – 10:00 PM is the maintenance period used for all system software (other than the DocFinity application software) and hardware upgrades. Every Wednesday from 5am to 7am is the maintenance period for updating the DocFinity application software.

Note: Occasionally DocFinity requires extended Sunday maintenance down time beyond the maintenance period shown above. For these events, DocFinity provides 15-day notification to its Customers to avoid potential scheduling conflicts.

Emergency maintenance is an event where the DocFinity unexpectedly requires system downtime.

DocFinity is obligated to notify the Customer immediately in the event that any such emergency maintenance is required. Emergency maintenance will not count against the Availability SLA percentage if accomplished with zero business impact to Customer as determined by the Customer.

Customer shall appoint a DocFinity Administration team that will be the point of contact for use of and communications with the DocFinity Help Desk and Tech Support service. Customer shall limit this team with help desk and tech support contact access to no more than 3 individuals.

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Exhibit B: Virginia Association of State College & University Purchasing Professionals (VASCUPP) DocFinity Cloud Program

DocFinity Cloud is a Software-as-a-Service offering. The DocFinity software stack is hosted in the US East Region of the AWS data center offerings. You subscribe to use DocFinity Cloud paying monthly based on number of users, storage consumed, and maintenance/support/service level fee. No software at your site. No hardware and infrastructure for you to support. Users access the system through their browser. All customer data resides within the United States at all times. DocFinity Cloud, as stated above, is located in the US East Region of AWS. This region has 3 availability zones for redundancy and all are located within the United States. Data is replicated across these 3 zones only.

DocFinity is a complete end to end solution for document, content, business process and records management. The core is the foundation and comprised of all the underlying document and content management engines for capture, importing, indexing searching, viewing, editing, versioning, print/email, administration, audit trails and more. Utilizing the core with a number of concurrent users provides a basic document/content management system. Then we have host of add-on modules that all seamlessly integrate and function off of the same underlying set of database tables that come with the core installation. Add-ons are things such as BPM/Workflow, Records Management, eForms, Dashboards and more. As a subscriber to the DocFinity Cloud Service you are able scale your use of all modules at your own pace. This approach allows you to start small and scale up adding functionality as you grow the system to address deeper business requirements.

The user licensing is a concurrent model. All users licensed are potentially full production type users, however, through the assigning of rights you control which users or groups of users have access and their resulting levels of feature rights. So the University would have control to assign or specify the proper level of rights per your users groups (i.e. Business Super Users/Admin, Support Users, Secondary Users, Tertiary Users).

Indexing: Categorization of information so documents can be searched and retrieved quickly and easily.

Scanning: Converts paper documents to digital files to ease handling, speed processing and save space.

Viewing: Provides instantaneous, onscreen visibility for single documents or complete files.

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Searching: Enables keyword searches that provide intuitive inquiry of active databases and archives.

Administration: Gives you complete control over access, task assignment and monitoring, load balancing and security from a single, intuitive interface.

Import: Includes object, index, and email importers that let you automate the import of virtually any file type directly into the system or a workflow process, even from other document management systems.

Print Server: Enables ability to print multiple stored documents without having to open them, reducing network traffic and increasing productivity.

Versioning: Tracks changes to documents, files, metadata, and markup; preserving the history and evolution of a document and allowing reversions to previous versions.

Office Integration: Integrates DocFinity and Microsoft Office to allow Word documents to be directly imported to DocFinity and to open documents stored in DocFinity in Word.

DocFinity Exporter: Takes user-defined collections of documents and extracts the files and associated database records that identify those documents. The extracted content – written to the network folder or to the CD/DVD drive of choice — then can be used to transfer document collections reliably to third parties and/or other systems.

DocFinity Connect: Calls documents from the database with a single keystroke and integrates DocFinity into current line-of-business applications without programming.

Print to DocFinity: Indexes documents into the DocFinity repository from their native applications by selecting DocFinity PDF Printer as the printer. The PDF copy then opens so you can provide indexing metadata according to a pre--selected indexing scheme.

DocFinity HSM: HSM is a hierarchical storage management module that intelligently processes requests to retrieve, store and/or move data from multiple storage devices. This module has tools for data migration, prefetching (caching) and automatic purging of outdated, useless documents. It also supports the entire range of media, including magnetic drives, optical drives and jukeboxes. DocFinity HSM can be used for off-site, live backups and full-redundancy of data in separate locations.

BPM Workflow: Standardizes and expedites processes by pushing and pulling da ta and/or files – from email, voice mail, faxes, admin systems, and more – to people and/or systems. Easily design and modify robust workflows via the intuitive drag-and-drop, point-and-click de signer.

Records Management - Creates clear, auditable trails of evidence for every process performed on every record in the system. Groups related documents into Record Series and p provides mechanisms to automate management in basic retention policies —— including rules to map records to retention policies, approval process or record disposal, and rendering records in noneditable formats. Provides advanced retention policies, including legal hold.

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eForms - Enables users to design simple and complex electronic forms. It also enables forms to automatically trigger new workflow processes upon submission – and to be integrated into existing websites, portals, or any other system and software investments.

Enterprise Search - Queries the repository for text matches in non-text file formats such as PDF, TIFF, HTML, and JPEG. Locates structured and unstructured data contained in files and other documents— and combines keyword and full-text searching.

Dashboard - The purpose of DocFinity's dashboard module is to provide a clear picture of how the system is working and specifically how a business is functioning as it relates to DocFinity through comprehensive metrics of performance.

APIs: Allows all attendant systems, applications, and data sources to interface with DocFinity.

DocFinity Cloud/SaaS – Users Tiered Pricing		
Users	Less Than 10 Users Cost Per User	VASCUPP Cooperative Discounted User Pricing (requires a minimum of 10 users)
1-5	$159	$150
6-10	$139	$130
11-20	$119	$110
21-35	$104	$95
36-55	$94	$85
56-75	$84	$75
76-100	$74	$65
101-125	$64	$55
126-200	$54	$45
201+	$39	$32

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Additional VASCUPP Stepped Volume Discount Program:

The table below is a representation of the VASCUPP stepped volume discount program. The goal is to get more VASCUPP entities, and non-VASCUPP entities that are entitled, to sign up and use DocFinity Cloud. Longwood is the first adopter/subscriber. When the second entity signs up and begins subscription use Longwood will receive a 1% discount on their then total monthly subscription fee. When enitity number 3 signs up then Longwood receives 2% discount off of their original monthly subscription fee and entity number 2 then receives 1%. When entity #4 signs up Longwood receives 3%, entity 2 moves to 2%, and entity 3 achieves the 1%., and so on. The stepped discounts are capped for any and all VASCUPP subscribing entities once they achieve the 5% discount level. This is a progressive stepped discount program structured to provide incentive for more VASCUPP participation.

	Additional Discount w/#2	Additional Discount w/#3	Additional Discount w/#4	Additional Discount w/#5	Additional Discount w/#6	Additional Discount w/#7
Longwood/Entity #1	1%	2%	3%	4%	5% Capped	XXX
Longwood Monthly Subscription Fees Initially $2,265.90/mn	Net after 1% discount $2,243.24	Net after 2% discount $2,220.58	Net after 3% discount $2,197.92	Net after 4% discount $2,175.26	Net after 5% discount $2,152.61	XXX
Entity #2	XXX	1%	2%	3%	4%	5% Capped
Entity #3	XXX	XXX	1%	2%	3%	4%>
Entity #4	XXX	XXX	XXX	1%	2%	3%>>
Entity #5	XXX	XXX	XXX	XXX	1%	2%>>>
Entity #6	XXX	XXX	XXX	XXX	XXX	1%>>>>
Entity #7	XXX	XXX	XXX	XXX	XXX	XXX>>>>>

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VASCUPP Professional Services Advance Payment Discount Program:

Subscribing VASCUPP entities may receive discounts on DocFinity Professional Services by paying services in full and in advance of first task engagement. When a subscriber takes advantage of this option and pays in advance for services then DocFinity Cloud and the subscriber will agree, at time of agreement execution, on a mutually acceptable timeframe whereby subscriber shall use all service hours paid for in advance. Service hours paid for in advance are nonrefundable and must be used/consumed within the mutally agreed timeframe between the parties.

DocFinity professional services are required in order to get subscrbbers implemented and in production with the DocFinity Cloud offering. Such services include:

- Training
- System Design
- System Build/Configuration
- System Testing
- Process Analysis and Consulting
- Implementation Consulting
- Go Live Support
- Project Planning and Management

DocFinity Professional Services: VASCUPP Advance Discounted Service Rates		
DocFinity Professional Services	**DocFinity Professional Services Rates**	**VASCUPP Advance Discounted Rate**
Hourly Rate	$200/hr.	$180/hr.
Daily Rate	$1,500/hr.	$1,440/day

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Exhibit C: Longwood University Order Form

- **User pricing based on VASCUPP Cooperative Discounted User Pricing per table on page 19**

1) 10 – Subscribed Users	$140/user/month	$ 1,400 - Minimum User Subscription/month*
2) 700 GB Starting Storage /month	.49/GB/month	$ 343 Storage Fee/month*
3) **User Subscription +Storage Fees/month $ 1,743.00/month***		
4) Support Plan	30% of line #3 per month	$ 522.90/month*
5) **Total Monthly Fees/month (line 3 + 4) $ 2,265.90/month***		

Payment Terms:

DC shall invoice Customer monthly. Monthly payments are due in advance on the tenth (10th) of the month for the subsequent month's service to be active. Subject to Section 5.6, failure of Customer to remit monthly payments per the terms of this Agreement could result in the service becoming inaccessible to Customer. Monthly Subscription Fees commence and are due when access to the SaaS environment is first provided to Customer for Customer to work with the solution in initial project planning and design phases.

* Professional Service fees for costs associated with Initial Set-up, Training, Consulting, Custom Programming, and Support Services are not included in the costs detailed and agreed above. Such costs shall be determined, agreed, documented, and payable under a separate Statement of Work(s).

Billing Contact:

Name: _____

Title: _____

USPS Mailing Address: _____

Email Address: _____

Phone: _____

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Exhibit D: Service Level Schedule (SLS)

This service level schedule sets out what levels of availability and support the client is guaranteed to receive for specific parts of the DocFinity Cloud Software-as-a-Service offering (DC). It also explains what penalties will be applied to DC should it fail to meet these levels.

DocFinity Cloud Security Policies and Procedures:

DocFinity Cloud service is accessible through the internet via a browser over HTTPS protocol only. (see VPN and Firewall Rules) All data is transmitted using encryption and stored using encryption (see Customer Data). Single Sign On is not supported nor best practice for services provided over the public internet. DC does provide a way to synchronize existing domain accounts over LDAPS, and in addition two factor authentication may be implemented via professional services configuration costs (see Data Sources and Integration). All other access to DocFinity Cloud via OIT staff is done over a VPN tunnel. The customer can also request that their instance of DocFinity Cloud is accessible only by certain public addresses, which is recommended. For further security DC can also provide customer with a dedicated VPN tunnel and only allow connections to the service over that tunnel, dedicated tunnel would be an additional cost. Security and scanning reports are provided monthly.

Policies

Updates
Policies are updated and reviewed quarterly or immediately when a change is needed.

Staff
DocFinity Cloud team is responsible for the security policies.

Enforcement and training
Enforcement of policies are ongoing and training is held annually or immediately for a new team member.

Monitoring and Reporting
Monitoring and reporting on security policies are done bi-weekly.

Customer Data

Customer data is transferred to the DocFinity Cloud environment using an DC provided utility that utilizes Amazon S3 storage. This is an encrypted transfer that uses an Amazon Secret Access Key and Access Key ID to storage, and the storage is accessible only by that customer and the DocFinity Cloud team. All customer data is stored on encrypted volumes with restricted access. DocFinity Cloud is accessed via HTTPS by the client. In the event the customer wishes to leave DocFinity Cloud their data can be exported and then a utility is used to erase all data to DoD standards and provide a report that verifies the customer data has been permanently removed from the DocFinity Cloud environment.

All customer data resides within the United States at all times. DocFinity Cloud is located in the US East Region of AWS. This region has 3 availability zones for redundancy and all are located within the United States. Data is replicated across these 3 zones only.

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Physical Security

DocFinity Cloud is hosted within Amazon data centers so DC does not have physical access. Amazon provides and maintains the physical security and processes for the DocFinity Cloud environment. Please reference the Amazon AWS Security Process Whitepaper for information regarding physical security.
http://d0.awsstatic.com/whitepapers/Security/AWS%20Security%20Whitepaper.pdf

Disaster Recovery and Business Continuity

Backups
All EC2 instance snapshots are done weekly and accomplished during an off-line maintenance cycle. This creates a full image backup of the machine. All snapshots are retained for two cycles by default. ALL EBS volumes, where the repository is stored for example, have snapshots created daily and retained for 14 days. Because storage of backups are part of the customer storage costs, longer term retention cycles can be requested and accommodated.

The default DocFinity database maintenance plan is scheduled to keep the recovery window at twelve hours. The retention of the database backups are 14 days by default. Shorter recovery windows or longer retention can be requested by the client and the resulting adjustments for storage costs are then calculated in subsequent monthly fee billings.

Testing
The DR plan is tested yearly. In the event of a disaster the customer environment can be provisioned in a different availability zone within the same region or on a whole different AWS region via AWS administrative tools.

Account Management

Password policy and 2 step authentication
All members of the DocFinity Cloud team that access the AWS environment have strict password policies and must use 2 step authentication. Upon logging into the AWS console they must use a smartphone authenticator app to provide a code for complete login. The device is associated with that user and configured at user creation. Strict password policies are also in place for accessing the DocFinity Cloud software.

Roles
The following will define roles of access that DocFinity team members will have to the AWS hosted servers.

Support and Service personnel will only have access that permits what is needed for job function and/or for delegation of access for the purpose of necessary coverage.

DocFinity will keep and maintain an active list of team members who are assigned various roles per customer account provisioned within the AWS and windows security accounts.

Support Staff
Support staff will have remote desk top (RDP) accounts for connecting to the application server instance. These accounts will have restricted access for starting and stopping the DocFinity application server, and also for accessing the DocFinity drive locations for purposes of diagnosing repository issues and gathering log files. Elevated permissions can and will be applied by the DocFinity AWS administrator for issues that fall out of the normal scope and range of the support staff role. Elevated permissions are to be removed at the resolution of a support ticket where elevated permissions have been issued or as soon as elevated needs are no longer required, whichever comes first. All actions are audited and audit logs will be reviewed during security review meetings.

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Service Staff
Professional services staff members that are involved with initial implementation and service projects will be granted access to customer environments on a as needed basis. Service team staff will generally be involved with installation configuration and during any planned upgrades on future projects. At the time of support hand-off service staff accounts will be de-provisioned/disabled or a future date shall be scheduled for de-provisioning/disabling that is in line with the customer project requirements.

DocFinity AWS SQL DBA
Two qualified members of the DC DBA group will be provisioned SQL Enterprise Manager access to the customer AWS SQL instance. The DBA will have RDP access to a gateway machine within the AWS network and connect to the Enterprise Manager from within the network. No SQL connections are provisioned outside the AWS sub-net.

AWS Administration
Two or more DocFinity system administrators will be granted AWS account management permissions. The AWS administrator role will be responsible for AWS setup and provisioning for a customer environment. The AWS events are audited and reviewed during security review meetings.

DocFinity Administration
Two or more DocFinity staff members will have DocFinity administration ability to the DocFinity instance made available via a secure web connection to the customer servers. This role will be granted as an administrator to both production and test instances. No RDP, Windows Accounts, or SQL administration abilities will be granted to this role.

Security Team
The security team is comprised of at least one member from each role type defined above. They meet bi-weekly to review audit and security assessment reports, to define any mitigation and/or account decommissioning for purposes of maintaining and documenting accountability.

Termination
Terminated employees have all associated accounts and devices removed from AWS and DocFinity Cloud. The DC internal domain and email accounts are disabled as well.

VPN and Firewall Rules

Remote access
A VPN tunnel between DC and AWS provides RDP and SSH access to the environment. A machine must be on an DC subnet to utilize the VPN tunnel. The AWS console can be accessed from anywhere with an internet connection and the 2 step authentication is required.

Incoming and Outgoing Traffic
All traffic both incoming and outgoing from the AWS firewall is extremely limited. Incoming traffic consists of the VPN tunnel and access to the proxy routing traffic for DocFinity Cloud over port 443 SSL. Outgoing traffic is open for Microsoft updates only and can be further opened as needed. The customer can request that their instance of DocFinity Cloud is accessible only by certain public addresses which is recommended.

Data Sources and Integration

DocFinity Cloud can integrate with 3rd party systems and gather data from 3rd party data sources at a customer site. This communication must be opened on the customer side as well as the DocFinity Cloud AWS firewall. Secure encrypted protocols are always recommended such as HTTPS, IMAPS, Secure SMTP, and LDAPS. Configuring a VPN tunnel from the customer site to the DocFinity Cloud is an option that requires additional charges.

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Windows Virtual Machines

The Windows server VMs are a stock windows install provided by the AWS setup process. The images are the base-line, default having no roles assigned and no extra services installed.

Application servers only have the DocFinity Application server and security tools installed. SQL servers only have MS-SQL and security tools installed. Local windows accounts will be created by the AWS administrator. The AWS administrator will be the local administrator for the VM.

A local account named "docfinity-support" will be provisioned for the support staff to use for remote desktop connections. The support account will be a local power user role. The support account will also be utilized during the project phase by the assigned project team members once the project is transitioned to support the account password is changed by the AWS administrator.

Patch Management

Patches are installed weekly to all machines during the environment maintenance window. They are first installed to the QA/Test environment to ensure that there are no patch related issues. If there are no issues then patches are installed to Production during the maintenance window.

Anti-Virus

Kaspersky is installed on all machines. Clients report over the vpn tunnel to a central server at DC for reporting and notifications to the DocFinity Cloud team. Customers would be notified of any infection activity and the machine would be taken offline for remediation. Real time protection is always on and weekly full scans are scheduled during non-business hours.

Intrusion Detection

Host based intrusion detection is enabled on all machines. Detection is real time and communicates with a central server at DC over the VPN tunnel. Events are emailed immediately to the DocFinity Cloud team. Host intrusion detection systems alert of a possible breach and DocFinity Cloud team will alert the customer immediately of a possible data breach and take the systems offline and then continue investigations and reporting on the incident.

Vulnerability Scanning

Scans run weekly during non-business hours and detect any known vulnerabilities in software and configuration on all machines. Reports are reviewed weekly and any updates or changes would be done during the maintenance window.

Web Application Scanning and Penetration Testing

The DocFinity Cloud application is scanned monthly and reports are reviewed. The scans check the application for vulnerabilities and attacks such as cross site scripting, SQL injections, and weak credentials via brute force. The DocFinity application endures the same type of scans during regression testing before a new version is released.

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Auditing and Logging

Event logging of both Windows machines, SQL instances, and DocFinity application logs are enabled by default. Logs are retained for 30-days but inspected each week for alerts or errors that need further action. AWS actions are also audited and reviewed for compliance during the weekly security review.

Environment Maintenance

The DocFinity Cloud environment consists of a Testing environment and a production environment. Production runs 365/24/7 while testing is limited to 50 hours per week.
The testing environment maintenance window for patch installation is Wednesday 5pm to 10pm.
Production environment maintenance window for patch installation is Sunday 5pm to 10pm.

DocFinity Cloud software will require maintenance and upgrades also. The testing instance of DocFinity Cloud maintenance window is on demand with customer approval. The production instance of DocFinity Cloud maintenance window is Wednesday from 5am to 7am.

Service Commitment

DC will use commercially reasonable efforts to make the DC Service available with a Monthly Uptime Percentage of at least 99.50%, in each case during any monthly billing cycle (the "Service Commitment"). In the event DC does not meet the Service Commitment, you will be eligible to receive a Service Credit as described below.

Definitions:

- "Monthly Uptime Percentage" is calculated by subtracting from 100% the percentage of minutes during the month in which the DC Service was in the state of "Unavailable" due to a problem with the DC Service. The commitment to Monthly Uptime does not apply in the event unavailability is the result of your subscription being suspended due to a material breach on your part, or because of an outage in relation to your internet access and service, or due to issues with your equipment, software or other technology required of you to access and use the DC Service. Furthermore, the aforementioned regularly scheduled environmental and application maintenance periods are excluded from the measure of Monthly Uptime Percentage.

For purposes of tracking Monthly Uptime "Level 1 Unavailable" shall mean the DC Service has no external connectivity as a result of an issue with the physical environment or the DC Service application software. Level 1 Unavailable situations are tracked in full for Service Credits.

"Level 2 Unavailable" shall mean situations where DC Support has the right to verify the existence of a situation where users can log in and access the system but have notified DC Support that the DC application software is not responsive. In such situations DC Support shall have 1 hour to confirm if the DC application software is in fact unresponsive. When confirmed by DC support as unresponsive within the hour, then the situation is classed as a Level 2 Unavailable and shall be tracked for Service Credit purposes using time of report by Customer as the starting time of the system down situation.

When DC Support demonstrates and confirms the system is not down but Customer may be experiencing a slowness in responding and/or performance, these situations shall not be tracked

for Service Credits. DC Support and Customer shall provide best efforts to determine cause of slowness in performance and work toward resolution expediently.

- A "Service Credit" is a calculated dollar credit that will be issued as a credit to your account and applied to your next monthly DC Service billing. Service Credits are calculated as a percentage of the monthly subscription fees paid by you for user subscription, storage and support plan. One-time payments for professional services engagements are excluded.

Service Credit Percentage:

- Less than 99.50% but equal to or greater than 98.50% shall equal a service credit percentage of 5%.
- Less than 98.50% but equal to or greater than 97.50% shall equal a service credit percentage of 7%.
- Less than 97.50% but equal to or greater than 75% shall equal a service credit percentage of 12%.
- Less than 75% shall equal a service credit percentage of 20%.

DC will apply any Service Credits only against future DC Service monthly billings. Service Credits will not entitle you to any refund or other payment from DC. Except as set forth in the Master Subscription and Services Agreement, your sole and exclusive remedy for any unavailability is the receipt of a Service Credit in accordance with this SLS. In the event of failure by DC to meet the requirements of this Agreement with respect to the security of any Client Documents/Data or other Confidential Information of Customer, including any related backup, disaster recovery, business continuity or other policies, practices or procedures, is a material breach of this Agreement. Under such material breach, Customer's sole remedy shall be right of termination or credit in the amount of the fees paid by Customer for the DC Service over the most recent twenty four (24) month period preceding the material breach.

The customer has the right to terminate without penalty in the event where there are more than two severe incidents and/or more than four high incidents within a month or the monthly uptime is less than 50%.

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Support Response Schedule:

DC Severity/Priority Levels	DC Response Requirements	Resolution Path/Goals
1 – Severe The system or major application is down or seriously impacted, users cannot log in.	DC responds within one (1) hour to the initial issue submission by CUSTOMER.	DC begins continuous work on the problem, and a customer resource must be available at any time during the outage/down period hours to assist with problem determination and further to confirm when system comes back online and available. DC and CUSTOMER work together to determine if the problem is DC environmental, DC application software, or Customer internet/equipment/software/other technology required of Customer. DC will exhaust all resources to expediently determine the problem. When system being down has been determined to be DC environmental and/or DC application software DC will work around the clock to restore the DC Service.
2 - High The system or application is available but affected due to DocFinity application software issue or defect, but not Product design. There is no workaround currently available or the workaround is cumbersome to use.	DC responds within four (4) business hours.	DC will provide best effort for workaround or fix within 10 business days, once the problem is reproducible. DC may incorporate the resulting fix in a future release of the Product, if agreed to by DC.
3 - Medium The system or application issue is not critical. The system has not failed. The issue has been identified as DocFinity application software defect and not Product design. The defect does not hinder normal operation, or the situation may be temporarily circumvented using an available workaround. This is a feature failure with an existing and convenient workaround.	DC responds within 24 business hours.	DC will provide best effort for workaround or fix within 30 business days, once the problem is reproducible. DC may incorporate the resulting fix in a future release of the Product, if agreed to by DC.
4 – Low Non-critical issues, general questions, enhancement requests, or the functionality does not match documented specifications.	DC responds within 48 business hours.	Resolution of problem may appear in future release of the DocFinity application software, if agreed to by DC. If enhancement request is deemed to require custom programming then DC will engage CUSTOMER in a process of specification resulting in a custom programming specification document that defines the need, what CUSTOMER responsibilities are, what DC will provide as a solution and how, and an estimate on the time and cost required.

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Exhibit E: Commonwealth of Virginia/Longwood University

RFP #LU214-16-004

Response to
Request for Proposal

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LONGWOOD UNIVERSITY

Request for Proposal for
Enterprise Content Management System

RFP#LU214-16-004

Due Date: October 8, 2015 @ 2:00 PM

Contact:
Michael Stern
Account Manager
Optical Image Technology, Inc.
100 Oakwood Avenue
State College, PA 16803
Phone #: 215-260-0002
Email: mstern@docfinity.com

Transmittal Letter

October 8, 2015

Cathryn B. Mobley, CPA, CUPO, VCCO, VCO
Director of Financial Operations and Materiel Management
Bristow Hall, Room 218
Longwood University
Farmville, Virginia 23909

Cathryn:

Thank you for offering Optical Image Technology, Inc. the opportunity to be included in your evaluation of an Enterprise Content Management System. On behalf of Optical Image Technology (OIT), I am pleased to present our proposal.

We fully understand Longwood University's requirements for the project and are proposing our leading-edge DocFinity solution, and the experienced team behind it, to assist with this effort. As you specified, the DocFinity platform is a Commercial Off The Shelf (COTS) solution. As you may have seen from your research, our software suite provides a fully functional, state-of-the-art solution that provides institutions the needed flexibility and extensibility to integrate with line-of-business systems, including Banner.

Our team has over 28 years of experience implementing and supporting content management implementations in Higher Education across institutions of all sizes. The experience we've gained has given us the ability to deliver effective and efficient solutions.

We look forward to hearing from you soon and showing you what we can do.

Sincerely,

Michael Stern
Account Manager
Optical Image Technology, Inc.
Mob: 215-260-0002
Office: 814-238-0038
Email: mstern@docfinity.com

REQUEST FOR PROPOSALS (RFP)

Issue Date: August 28, 2015 RFP#LU214-16-004

Title: Enterprise Content Management (ECM) Solution Commodity Codes: 20447, 20655, 20656, 20880,

Issuing Agency: COMMONWEALTH OF VIRGINIA

Longwood University
Materiel Management
201 High Street, Bristow Hall, Room 218
Farmville, Virginia 23909

OPTIONAL PRE-PROPOSAL CONFERENCE:
September 10, 2015 at 1:30 p.m.
Bristow Hall, Room 211
Longwood University
Farmville, Virginia

Location Where Work Will Be Performed: Longwood University, Farmville, Virginia 23909

Initial Period Of Contract: From January 1, 2016 Through December 31, 2016. *Optional four (4) successive one (1) year renewals.

Sealed Proposals Will Be Received Until: September 22, 2015 at 2:00 p.m. Local Time For Furnishing The Goods/Services Described Herein. **Proposals Shall Be Date/Time Stamped By The University Upon Receipt**.

All Inquiries For Information Should Be Directed To: Cathryn B. Mobley, Director of Financial Operations and Materiel Management, faxed to (434) 395-2246 or emailed to mobleycb@longwood.edu using ATTACHMENT A – WRITTEN PRE-PROPOSAL QUESTION FORM. **Questions are due by 12:00 noon on September 15, 2015**.

IF PROPOSALS ARE MAILED, SEND DIRECTLY TO ISSUING AGENCY SHOWN ABOVE. IF PROPOSALS ARE HAND
DELIVERED, DELIVER TO: Materiel Management, Bristow Hall, Room 218, Corner of Main and Redford Streets, Farmville, Virginia. **Note: If you use an express delivery service, you may be told the University is a next day delivery location, but make sure the carrier guarantees arrival by 2:00 p.m.**

In Compliance With This Request For Proposals And To All The Conditions Imposed Therein And Hereby Incorporated By Reference, The Undersigned Offers And Agrees To Furnish The Services In Accordance With The Attached Signed Proposal Or As Mutually Agreed Upon By Subsequent Negotiation.

State Corporation Commission (SCC) ID#: F1546417 or statement describing why offeror is not required to have a SCC ID# must be furnished with your proposal.

DUNS #: 789388907

eVA Member: [X] Yes [ ] No

Check all that apply: Small Business [X]

Woman-Owned Business [ ]

Note: Offeror shall be a member of eVA on the date and time designated for receipt of proposals to be awarded this contract. See General Terms and

eVA Vendor ID#: C5866

DSBSD Certificate Number _____

Minority-Owned Business Certification Date _____/_____/_____

Expiration Date _____/_____/_____

Name And Address Of Firm:

Optical Image Technology
100 Oakwood Avenue
State College, PA 16803

Date: October 8 2015

By: _____
(Signature In Ink)

Name: Ronald Prichard
(Please Print or Type)

Title: President

E-mail: info@docfinity.com

Phone: (800) 678-3241
(Toll Free, if available)

Fax: (814)238-0011
(Toll Free, if available)

PRE-PROPOSAL CONFERENCE: An optional pre-proposal conference will be held on September 10, 2015 at 1:30 p.m. in Bristow Hall, Room 211. Please bring a copy of the RFP with you to the conference.

ADDENDUMS: Any changes resulting from the University's requirements will be issued in an addendum and will be posted on the eVA website, http://www.eVA.virginia.gov and the Longwood University Materiel Management website, http://tkts.longwood.edu/ifbrfp/reviewrfp.asp. Click on Proposal Number LU214-16-004. It is the sole responsibility of the Offeror to check these web pages for all changes to the RFP prior to submission. **Failure to sign and return addenda may cause your proposal to be scored lower**. Longwood University will not mail or fax these documents.

Note to Offerors: Parking is difficult, please plan to arrive early. If Offeror requires ADA accommodations to deliver proposal, please contact the Materiel Management Office at (434) 395-2093 twenty-four (24) hours prior to solicitation closing.

INCLEMENT WEATHER / SUSPENDED SCHEDULE: Proposal receipt deadline scheduled during a period of suspended state business operations, including school closing due to inclement weather, will be rescheduled for processing at the same time on the next regular business day. It is your responsibility to check Longwood's website or call for closing information. See the following website: http://www.longwood.edu or call the main number at 1-434-395-2000 after 6:00 a.m., to see if Longwood is going to be open or if a suspended schedule has been implemented.

Note: This public body does not discriminate against faith-based organizations in accordance with the *Code of Virginia*, § 2.2-4343.1 or against a bidder or offeror because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment.

ECM Project Timeline*

RFP Issued	August 28, 2015
Optional Pre-Proposal Conference	1:30 p.m. Local Time, September 10, 2015
Question Period Closes	12:00 noon Local Time, September 15, 2015
Proposals Due	2:00 p.m. Local Time, September 22, 2015
Follow-up Questions Issued (if necessary)	October 2015
Q&A Teleconference (if necessary)	October 2015
Two (2) offerors Invited to Prototype Session	November 2015
Contract Negotiations	November 2015
Contract Award	December 2015

*All dates after receipt of proposals are subject to change.

I. **PURPOSE**: The intent and purpose of this Request for Proposals (RFP) is to solicit sealed proposals from
qualified sources to establish a contract through competitive negotiations with one (or more) qualified contractor(s) to provide an Enterprise Content Management (ECM) Solution, as

outlined herein, for Longwood University, (hereinafter referred to as "Longwood" or "the University"), the University of Mary

Washington (UMW), and James Madison University (JMU); all higher education institutions of the Commonwealth of Virginia, as well as other entities per the Contract Participation clause (reference Special Terms and Conditions number 8. on page 43).

II. **GOVERNING RULES**: This solicitation is issued in accordance with the provisions of:

A. Purchasing Manual for Institutions of Higher Education and their Vendors: https://vascupp.org.

B. Governing Rules: https://vascupp.org.

III. **BACKGROUND**: Longwood, founded in 1839, is a public 4-year, coeducational institution located in the heart of Virginia. For more information about Longwood, go to http://www.longwood.edu/about.htm. Background information for other current participating entities (hereinafter referred to as Entities) can be found at http://www.umw.edu/about/ for UMW and at http://www.jmu.edu/about/index.shtml for JMU.

IV. **STATEMENT OF NEEDS**:

1. General Requirement

The Entities have been riding a Virginia Association of State College & University Purchasing Professionals (VASCUPP) cooperative contract that was competitively procured by Virginia Polytechnic Institute and State University (VT) and awarded to Nolij Corporation in June 2005.

The contract expires on 12/31/15 and is not going to be resolicited by VT. The incumbent is Lexmark Enterprise Software (formerly Perceptive Software). The Entities wish to obtain proposals from industry experts on the most current computer-based systems for an ECM solution that meets their specific requirements.

2. Specific Requirements (Longwood)

2.1 This section provides the relevant functional, technical, performance, and architectural requirements of the system Longwood is seeking. The ECM effort is currently among the top initiatives as prioritized by Longwood. The University

has over a dozen departments using Nolij Web to scan and store documents, but seeks an enterprise platform to move forward with campus-wide business process improvement initiatives including workflow and electronic forms, and to leverage information stored in the system to reduce redundancy, errors and time spent on processing. Longwood expects this project to be a multi-year implementation with year one focused on converting documents stored in the current system as well as implementing a solution in the University's Admissions Office.

2.2 Longwood has identified a need for enterprise workflows to support increased efficiency and effectiveness. Workflows must be able to integrate with both campus-based and cloud-based applications. A rich, flexible workflow engine is essential and workflow development and maintenance must be intuitive, user-friendly and not reliant upon programming.

2.3 Longwood is under increasing pressure to meet regulatory and compliance requirements for producing and safeguarding documents. A central repository of documents with the ability to *permanently* redact sensitive information would assist with meeting these requirements. Examples of these documents include admission application packages, disability records, contracts, personnel files, tenure review documents, student medical records, and payment records.

2.4 Business processes cross departments and applications at the University. Different areas frequently have a need to collaborate on projects or processes and consequently access the same documents. The same documents are quite often stored in multiple areas or have a need to be accessed from different software applications. A document management solution needs to demonstrate it will save many hours of locating, copying and re-filing documents as well as free up storage space.

2.5 Longwood continues to refine its business continuity and disaster recovery planning efforts, and the document management system will assist with those efforts. Security and backup of all digital content will be enhanced with an enterprise solution.

2.6 There continues to be a large number of paper forms used to support both academic and administrative services throughout the University. There are a significant number of forms-based processes that need to be automated; this project will include a solution to accommodate those needs.

2.7 Administrative offices utilize a mix of Microsoft Windows and Apple Mac workstations. A successful enterprise application must be equally adept on both platforms.

3. Goals (Longwood)

This RFP will be used to evaluate offerors' proposals with the intention of narrowing the offerors to two finalists.

The two finalists' products will be selected by the University for a live, hosted (cloud), prototype implementation. The offeror-led prototype implementation will include all aspects of standing up an ECM infrastructure with a single department's ECM processes. This effort will include:

- Create organization structure
- Create users
- Create roles
- Assign security to roles (users)
- Add documents: scan, from Outlook or Office
- Create a workflow and execute the workflow
- Create a simple eForm
- Build sufficient records management data to link document types to retention schedules
- Work with API/Web services sufficiently to understand their uses and requirements for setup and support
- If offeror proposes a means of desktop integration, work with that tool sufficiently to understand its uses and requirements for setup and support

The University Information Technology Services staff and key business users are interested in hands-on experience with the solutions to better understand the ease of support and ease of use. We anticipate the offeror will also demonstrate key aspects of the software to the business users as the prototype may not have sufficient data and documents to effectively demonstrate the solution.

It will be determined, following the evaluation of the proposals, whether an on-site demonstration will be necessary prior to the hosted test deployment. Offeror will be provided with about two weeks' notice prior to scheduling demonstrations and/or testdeployments.

4. ECM Functional Requirements (Longwood)

4.1 System Overview

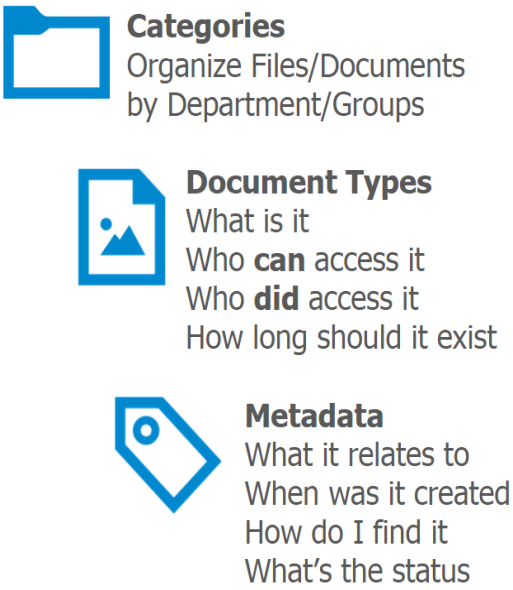
4.1.1 Glossary

Provide a glossary of terms that apply specifically to your system so that the evaluation committee is not confused by unfamiliar, offeror specific terminology.

DocFinity Response:

Classification – Classification in DocFinity consists of three simple hierarchical components. Those components from the most detailed are Metadata, Document Types and Categories. They are more clearly explained below.

Metadata – Also known as "tags", "indexing fields", "indexes"-- each file or document in DocFinity has its own unique set of "tags" for storage and retrieval of files and documents. In the case of Longwood University, a sample metadata object would likely include the student's "id". Other files or documents might also include enrollment information (course, term, etc.), dates, currency, or any other values useful for retrieval.



Document Type: An actual file or document type. For example, if you were presented with a piece of paper and asked what it was, the name you gave would be the "Document Type" in DocFinity. Each Document Type has one or more Metadata "objects" assigned to it for indexing and searching.

Category: A collection of Document types grouped together in a manner that make sense to Longwood faculty. Categories are ordinarily arranged by specific departments or groups, such as Admissions, Registrar, Human Resources, and Finance Office.

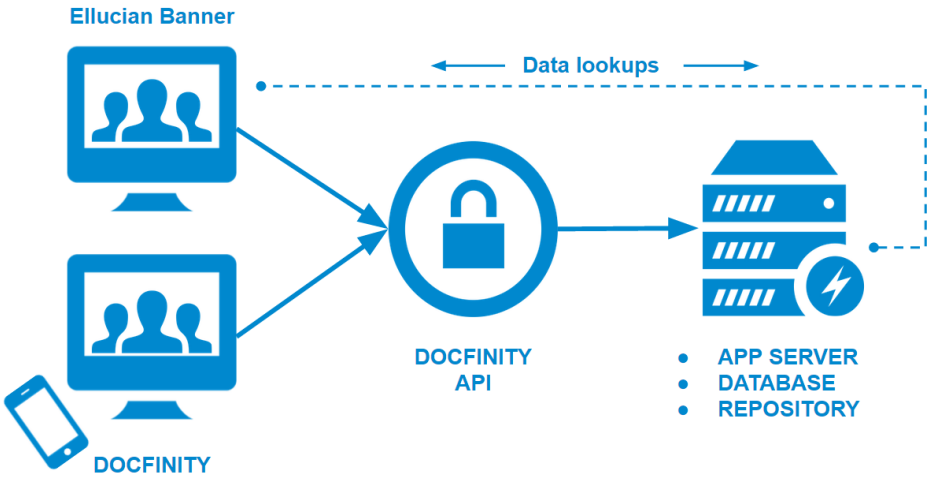
Workspaces and Panels: One of the unique features of DocFinity for end users is the ability to arrange the entire layout in a way that makes sense to them. These arrangements can be saved and recalled later. DocFinity allows for up to

4.1.2 System Overview

Introduce your overall system in layman's terms. Discuss the architecture of the system, design elements for higher education, and the typical software implemented for higher education. Use this section to explain the system design so that the readers of your response will have a better understanding of how the software flows and functions. Describe the tools and development environment for business analysts and developers.

DocFinity Response: DocFinity enterprise content management (ECM), business process management (BPM)/workflow, and records management suite is a completely web-based solution with one unified "front end" for all system functions. DocFinity is a commercial off the shelf (COTS) solution developed

over three decades of working with all facets of higher education including Admissions, Registrar, Financial Aid, AP/AR, Business Offices, HR, Procurement, IT and Student Records.



For a more comprehensive look, we have attached as Appendix C of this proposal the DocFinity Technical White Paper. This white paper provides details on architecture, scalability, hardware infrastructure support, integration, and module descriptions. DocFinity is a very highly configurable solution that fits well within a higher education organization. Each department can tailor the user experience to suit their needs. DocFinity Administrators can also assign limited access to department managers to manage the environment specific to their department. The following diagram shows each component of what is "DocFinity Core" and each additional piece that is pre-installed with DocFinity. In addition to the Core, includes common tools such as BPM/Workflow, eForms, and DocFinity Connect to hook applications in a matter of minutes. The DocFinity API is the single most useful integration piece with Banner and will be highlighted throughout this RFP.

Scanning: Convert paper-based documents to digital files to ease handling, save space, improve accessibility, and speed processing.

Indexing: Categorize files with metadata for quick retrieval. Automate indexing, use blind entry fields, and check data for validity.

Searching: Make intuitive keyword searches of active databases and archives. Users pull only files and contents they're authorized to view.

Viewing: Instantaneous, on screen visibility for single documents or complete files. Sensitive content can be redacted for some users.

Import: Object, index, and email importers automate the upload of any file type into the system or a workflow process. Importers are free with unlimited use.

Print Server: Print multiple stored documents without having to open them, reducing network traffic and increasing productivity.

Versioning: Track changes to documents, files, metadata, and markups. It preserves the history and allows you to recall or revert to previous versions.

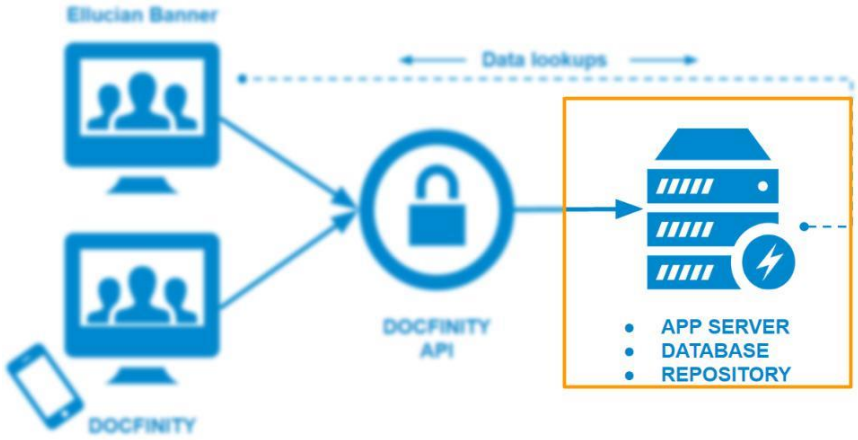
Microsoft Office Integration: Connect with Office applications like SharePoint, Word, and Outlook to upload files or request documents from DocFinity.

4.2 Knowledge-Oriented Efficiency Requirements

4.2.1 Repository and Import Functions

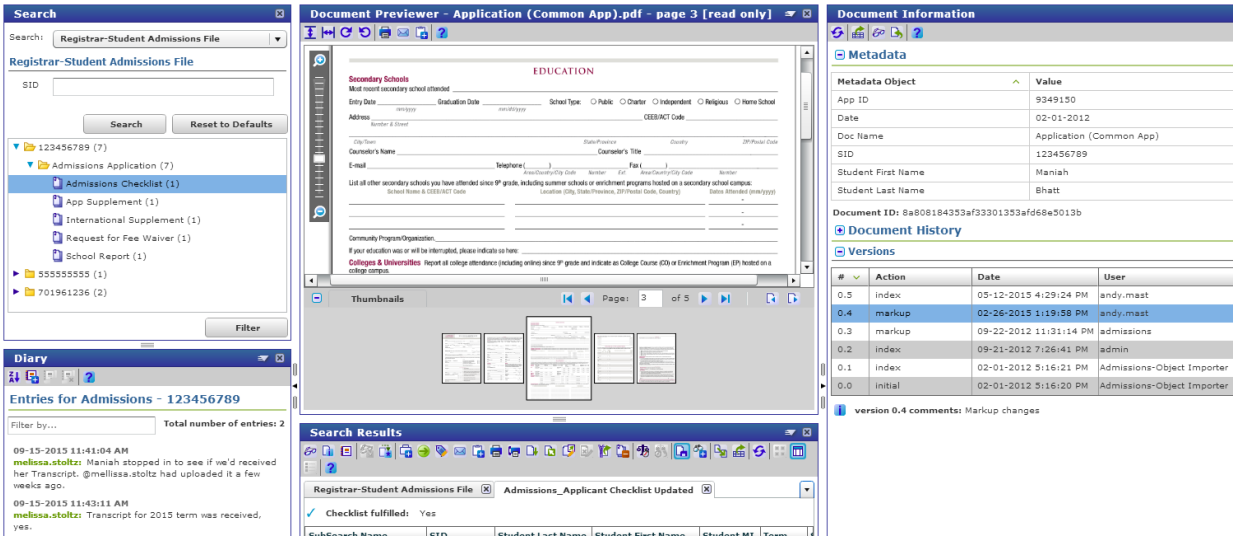
Provide a general overview of the repository and import functionality of the system including library functions (check-in/out) and renditions. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

DocFinity Response: The design of the DocFinity solution is quite simple: A file system for the physical files/documents, a database to store where those documents are located, and an application server with a Web Service API for users (and systems like Banner) to interact with DocFinity.



Content within the system is based off of classification as described in the glossary section 4.1.1 under "Classification". Each individual document type in DocFinity allows departments to control metadata choices, group role security, and feature access (such as diaries, stamps and redaction), searching, workflow triggers, versions, enterprise (OCR) searching, and more.

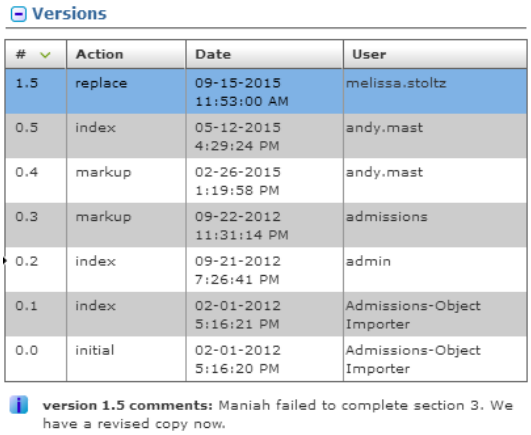
DocFinity allows users to find files and documents in any order they're accustomed to, simply based on metadata. The DocFinity Tree Search mimics a classic hierarchy of folders in a virtual and dynamic manner. Thus, each and every user can have it "their way".



In regard to Importing, DocFinity provides four distinct types of Importers out-of-the-box (free of charge), with which customers can create an unlimited number of instances. Importers include: Object Importer, Index Importer, Email Importer, and COLD Report Importer. In each case, business rules can be configured to automatically index based on supplied data, as well as data lookups as shown in section 4.1.2 (System Overview)

Lastly, DocFinity provides standard library functions including check-in/check-out and versioning. DocFinity stores both major (i.e. change in content) and minor (change in index and/or annotations) versions of the document.

At any time, a user with access can view the Document Information panel to view and (optionally) revert to previous versions, as well as view user's comments about the version they are viewing.

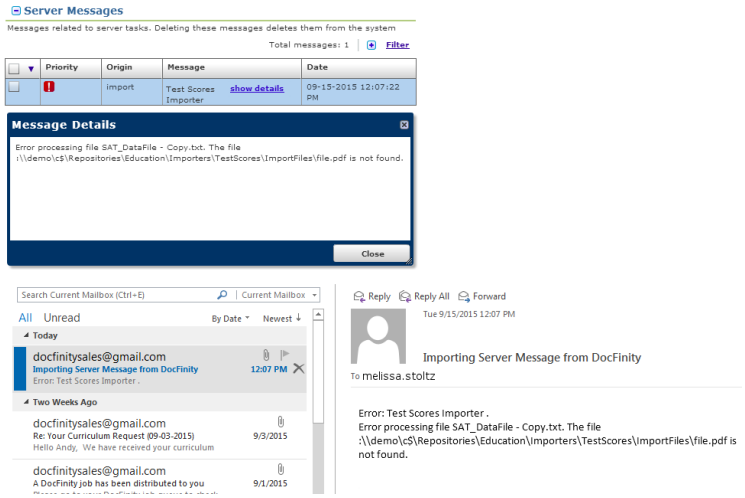


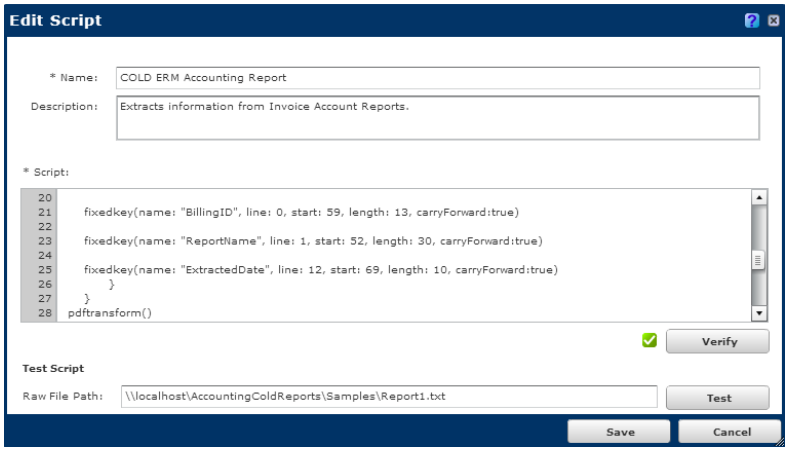
Versions

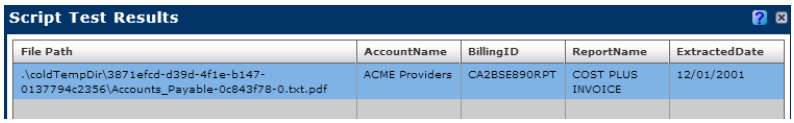
#	Action	Date	User
1.5	replace	09-15-2015 11:53:00 AM	melissa.stoltz
0.5	index	05-12-2015 4:29:24 PM	andy.mast
0.4	markup	02-26-2015 1:19:58 PM	andy.mast
0.3	markup	09-22-2012 11:31:14 PM	admissions
0.2	index	09-21-2012 7:26:41 PM	admin
0.1	index	02-01-2012 5:16:21 PM	Admissions-Object Importer
0.0	initial	02-01-2012 5:16:20 PM	Admissions-Object Importer

version 1.5 comments: Maniah failed to complete section 3. We have a revised copy now.

Item	Requirement
1.	Describe available functionality to update document checklists *internal to the ECM system* and to update Banner checklists automatically as documents are inserted into the ECM. Document insertions into the ECM include all document formats (scanned, email, PDF, etc.). Checklists will vary based on academic program. Some checklists may reside only in ECM (e.g. student recruiting) while others may reside in Banner (e.g. student admission). Identify other higher education clients where checklist interaction has been automated and briefly describe the processes in place. DocFinity Response: DocFinity has a checklist function for tracking collections of documents, determining if any are missing. This type of checklist data can easily be pushed to Banner as part of a workflow process, using database connections, web service calls or a stored procedure. Customers can create multiple checklists for different departments and processes, which will look and feel unique and specific to each of them.
2.	It would be very useful for the University to have the ability to mass import and classify emails and files from networked files/storage. Third party products may be appropriate but offeror experience or integration with a tool would be preferable. The import tool would use available metadata (folder names at all levels of the tree, file names, modification dates, from, to, subject, etc.) as index values and import filters. Describe any available functionality. DocFinity Response: The DocFinity Importer has the ability to utilize file and folder names within a system directory (folder structure) to index files. The DocFinity Importer tools are developed in-house and are seamlessly integrated with DocFinity Core. The Importers can also filter by file type whereby DocFinity will control what files will be processed, ignored, or handled uniquely. Lastly, the University is permitted to run an unlimited number of Importers that can monitor different locations without additional licensing. Importers run at a high rate of speed and can be scheduled.
3.	The University requires an import utility to ingest documents (e.g. check copies, student transcripts) with University-supplied indexing data. Describe available functionality and the indexing options available (e.g. xml, Excel, CSV, etc.). (See next question.) DocFinity Response: The DocFinity Index Importer supports tab-delimited and CSV for index file formats. In addition, DocFinity can utilize file names and file folder structures for index value assignments. In regard to error handling, DocFinity automatically creates folders within a monitored location: completed, completed-no rules matched, error, and processing. Files are logs are stored to track the progress of imports. When import begins, documents are placed in a processing folder and DocFinity processes

	each document, using indexing data fed to the importer, as well as database lookups against other systems like Banner for additional indexing data. After initial import, defined rules are evaluated to either index or escalate each document. Import rules can also trigger a business process. At any point during import, should errors occur, the errored files are automatically placed in the "error" folder, at which point DocFinity moves onto the next file to be imported. Users with access can view import errors and can be notified by email as well. (shown right) 
4.	Describe the system's ERM (COLD) capabilities, if available. In conjunction with the previous question, discuss options available to either import documents/indices created externally or use the ERM solution to process printed output files. DocFinity Response: COLD/ERM is one of DocFinity's staple features. Recently additional features have been added to make configuration quick and easy. The inclusion of a Groovy scripting interface with a test button allows the report user to instantly test the data extraction to ensure that it's extracting as expected. This eliminates hand editing of configuration files and testing by running batches of files. Reports can be outputted as text or compressed PDF.





5.	Describe any out-of-the-box functionality available to parse multi-document Word or PDF files into individual documents with associated metadata and ingest those documents into the ECM. For example, Banner generates merged letter files; each letter would be filed within the student's record in the ECM. DocFinity Response: DocFinity has several solutions in place that could be offered to Longwood University. Further discussions of requirements will help define the optimal path.
6.	Describe document version control. DocFinity Response: DocFinity tracks both major and minor versions. Any time a file's content is changed (replaced), a major version number is generated. If the information about a file is changed (such as metadata indexing values), a minor version number is generated. Each version contains comments that describe the version and what changed. Users who replace documents can also enter their own comments.
7.	Does the system offer content subscription services and content change notifications? (for example: a user would subscribe to content sources and they would be notified when documents are added, new versions checked in, etc.) Can subscriptions be established through an automatic function (e.g. subscribe all users in a department to a content source)? What notification options are offered? DocFinity Response: DocFinity does not currently have content subscription services out-of-the-box.
8.	Discuss how a document stored once will be made available in more than additional applications within the ECM (e.g. in two "folders" without duplicating the document). DocFinity Response: DocFinity provides the ability to create pointers so that different users

	can see the same file with indexing data relevant to their line of work. The pointer "points" to the original document, but can contain distinct classification and indexing values. There's no limit to how many pointers a document can have.
9.	Describe how, in conjunction with the object and data export, any artifact associated to a document such as annotations, redactions, comments/notebooks, etc. will be exported and retain its relationship to the source document. DocFinity Response: In DocFinity, artifacts are considered part of a record to conform to DocFinity Records Management. This includes (but is not limited to) diary entries, markup and redaction, versions, legal holds, and document history log. Therefore all of this information could be exported if desired.
10.	Describe rendition options that may be invoked as part of a document export such as rendering to PDF-A, TIFF, etc. How are the artifacts described in question 9 rendered when rendition occurs? What rendering options are available for long term digital preservation? DocFinity Response: Day to day, DocFinity Exporter allows users to create a package of files, and options to include or exclude redaction and markup, if the file is converted to a PDF or PDF/A. Original file formats can always be exported. The benefits of DocFinity Exporter include the ability to assign pre-packaged export configurations so that users simply select from a list the type of package they'd like to export without having to define each requirement of the package they're exporting. DocFinity does provide a plug-in architecture to allow for integration with third party applications.
11.	What additional repository and import functionality is likely to be available in the next release of your software? DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.2.2 Indexing/Metadata

Completing the required indexing template for insertion into the ECM must be as automated as possible to minimize user involvement and ensure the highest degree of accuracy. Integration with Banner or other business systems, barcodes, OCR or other best practices will be employed by the University at every opportunity.

Provide a general overview of the indexing (metadata and database) design of the system including what metadata standards are supported. Illustrate features that simplify the indexing process for the end user and ensure that entered indices are accurate. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

Item	Requirement
1.	Does the system have any limit on the number of indices? Are indices reused within the system? DocFinity Response: DocFinity supports any useful number of metadata objects (indexing fields). Once defined, metadata objects can be used with other document types.
2.	Does the system support cascading indices (e.g. selection of one index value limits options for the next set of index values)? Multi-value fields? DocFinity Response: DocFinity allows for both cascading indices and multi-value fields. The values that are presented can be text fields, date prompts and drop-downs.
3.	Does the system support a flexible indexing design that includes controlled vocabulary lists internal to the ECM or through a link to an external database? Indexing field values can be derived from several sources, including existing index values, static lists, SQL queries, web service calls, and plug-ins to external applications.
4.	All indexing screens (scanning, drag-and-drop, print-to-ECM, Office, Outlook, etc.) will provide integration with one or more database tables (within one database) for the validation of primary index fields and retrieval of secondary index fields. The indexing interface will function identically throughout the system. The database field selection will support multiple select statements. Discuss compliance with these statements. DocFinity Response: Indexing fields can play off of each other, where one selection changes the values of the subsequent field's values. The sources of those validations and populations often communicate with data sources external to DocFinity. DocFinity was designed to leverage the same functionality regardless as to where it's used. For example, with Searches, eForms and BPM/Workflow, the same strategy of lookups can be used as they are with indexing. Regarding multiple select statements, SQL based data sources allow for complex rules that cannot be made with simple lists.
5.	Does the system link a native, original file (e.g. Word) to its rendition (e.g. PDF) so that the relationship between parent and child is maintained? Also applies to a redacted document and the "child" document with the redactions burned in; comment. DocFinity Response: DocFinity maintains a copy of the original document, all thumbnails, renditions, and markup and redaction. It is packaged in a way that is portable and related in a logical manner. Redactions and Markup are dynamically generated and only burned in if desired when exported from the system.
6.	Are data sources defined once for the entire system? DocFinity Response: Data sources are defined once. Once defined, each data source is available for indexing fields, eForms fields, BPM/Workflow prompts, importers, searching—essentially anywhere in DocFinity where input is needed or processing is performed.

7.	What additional indexing functionality is likely to be available in the next release of your software? DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.2.3 Search, View, and Print

Search options will also include content searching in conjunction with discrete indices. With more and more documentation being created or received in digital form, keeping that documentation in the ECM in digital form allows for the University to leverage content searching; however, content searching does not replace discrete indexing but may allow for fewer discrete indices while relying on text search to further narrow the results.

Provide a general overview of the searching, viewing and printing functionality of the system. Describe the search and viewing options for the end users. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

DocFinity Response: DocFinity provides very robust searching options. Search options include:

- Template Search: Searching based on discrete indexes in the form of fields, dates, dropdowns and multiple selects. Users are able to create complex queries with a point/click interface and a mixture of fields and drop-downs to narrow the search. Template searches include the option to display a dynamic folder hierarchy consistent with a traditional file system folder structure.
- Enterprise Search (OCR): Provides the ability to search the content of an image or document for keywords and phrases. DocFinity Enterprise Search provides a rich set of options that go behind a simple keyword. It's important to note that content searches can be combined with other types of prompts, such as the Template Search described above or the Checklist Search described below.
- Checklist Search: Provides the ability to create a checklist of required documents whereby DocFinity searches the system for specific document types and provides notification if the document exists or not.
- Stored Procedure Search: Provides the ability to create a complex query using SQL Stored Procedures. Parameters for input in the procedures are presented as prompts to the user.

In regards to Viewing, DocFinity provides three view options:

- DocFinity Viewers: The Previewer provides the ability to view hundreds of different types of files, essentially eliminating the need for the user to have to open another application to work with them. The Viewers also provide immediate access to markup, redaction, stamps, footnotes, bookmarks, and dozens of other editing options.
- View as PDF: Converts native document to PDF and presents the file to the user.
- View in Native application: DocFinity invokes the Native application to view the document.

Figure 1 below is a snapshot of the Viewer and several redaction, markups and footnotes.

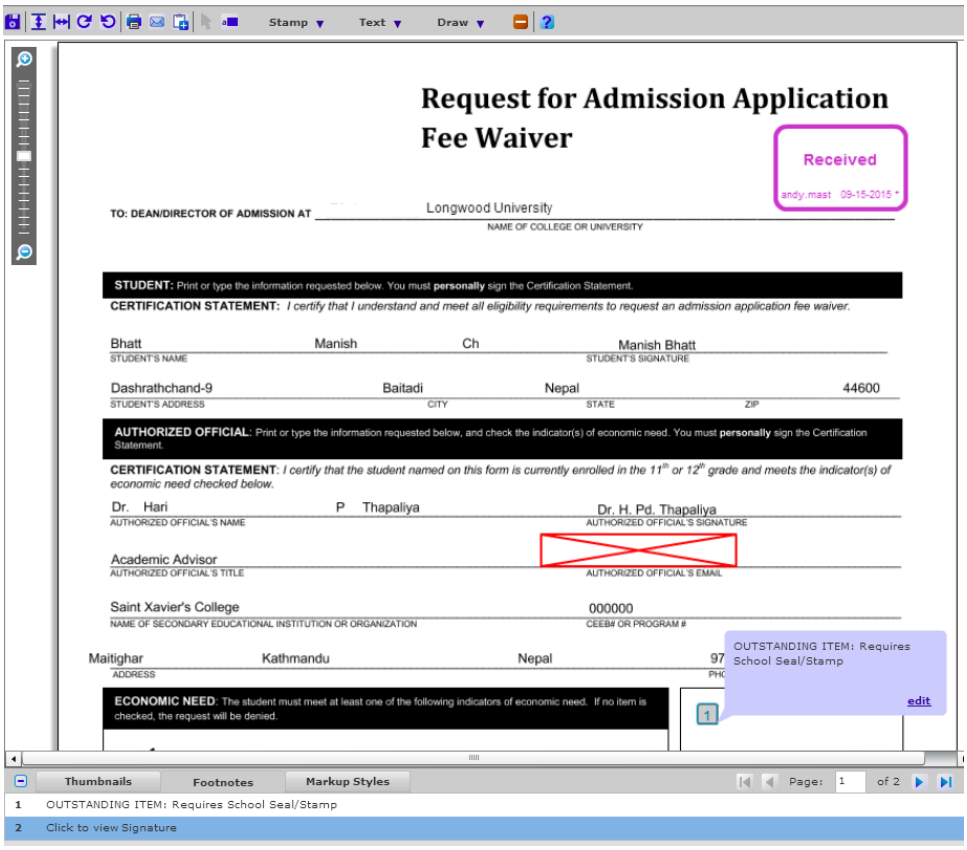


Figure 1 DocFinity Viewer for Markup and Redaction

Item	Requirement
1.	Does the client support Microsoft Windows-based clients for all search, viewing and printing functions? DocFinity Response: Yes, using Google Chrome, Microsoft Internet Explorer, and Mozilla Firefox.
2.	Does the client support Macintosh-based clients for all search, viewing and printing functions? DocFinity Response: Yes, using Safari. DocFinity is tested to the full extent against Macintosh to ensure full support in addition to Windows operating systems.
3.	Does the client support tablet clients for all search, viewing and printing functions? DocFinity Response: DocFinity supports mobile device access for searching, viewing and printing functions on both Android tablets and phones, in addition to Mac iPhone/iPad devices.

4.	Describe the content (full text) indexing and search functions available in the system. Content search results will be restricted by security access rights. Content searching results may be limited by one or many discrete index values. Provide documentation regarding the content searching options available with the tool; if there are optional content searching engines, please provide information. DocFinity Response: DocFinity Enterprise Search provides full featured full text search capabilities. DocFinity Enterprise Search utilizes Apache's Lucene engine for full text search capabilities and Nuance for Full Text OCR capabilities. Enterprise Search can be restricted by security and may be limited by one or more metadata values. • Content search results can be restricted by document access rights. • Content searching can be combined with one or more indexing fields to help filter the search even more. • Content searching is an option when creating searches. Users are able to configure what metadata values to display in the hit list and which columns to sort. • DocFinity provides content snippets of where the searched word or phrase is located in the within the document. DocFinity provides faceted searching via Apache Lucene.
5.	Describe general support for document annotations including security on annotations, the types of available annotations, and users' choices for annotation inclusion or exclusion when an annotated document is retrieved from the repository. What document types may be annotated? DocFinity Response: The DocFinity Viewer, which allows users the ability to create/edit/delete annotations, provides support for a wide variety of documents including Microsoft Office, PDF files and image formats. Annotations includes text, sticky notes, footnotes, rectangle, highlight, redaction, arrow, line and freehand. All annotations are stored in the database so the original document is never altered. In addition, there are 6 levels of security for each individual annotation. Users have the options to rendition, print or email with or without annotations. Administrators can control via security rights which users have the ability to print, email and/or fax out of the systems.
6.	Describe general support for document redactions including security on redactions, the types of available redactions, and users' choices for redaction inclusion or exclusion when a redacted document is retrieved from the repository. What document types may be redacted? Can the redactions be "burned in" (made permanent to the document) with your tool? Can viewing of redactions be controlled by user security? DocFinity Response: The same security mentioned in #5 above applies to the printing, emailing and saving of documents with redactions. Redaction and markup are ordinarily "burned in" when the file is printed, emailed, or otherwise exported from DocFinity. If the user has the security privileges, they can over-ride that restriction (show underlying content). All other users will have no access to underlying content and thus exports of files by any means will have their markup or redaction burned in.

7.	Does the system provide the ability to "rubber-band" a zone of a page, instantly OCR the zone and place the resulting text in the clipboard. DocFinity Response: DocFinity provides rubber-band OCR for document indexing using Kodak Capture Pro.
8.	Does the system provide a notebook function that is linked to an object in the repository (e.g. email message, image, Word document) to capture free form user comments? DocFinity Response: DocFinity provides multiple options for users to apply notes to objects in the repository. Notes can be applied as either text or sticky note annotations. The preferred method is the use of comments called, "Diary Entries". The system automatically captures and displays the notes along with who posted them and when. The notes log is fully text searchable and search results show a flag to indicate that a document has notes.
9.	What security options are applied to annotations for adding, editing, deletion, and to restrict access to confidential annotations? DocFinity Response: DocFinity provides the ability to limit who can create, edit, delete and/or view annotations for each individual document. In addition, administrators can filter that security down by metadata values (e.g. users have access to applications, but only those from a certain region).
10.	What additional search, view and print functionality is likely to be available in the next release of your software? DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.2.4 Microsoft Office Including Outlook/Entourage/Exchange Integration and Web Email

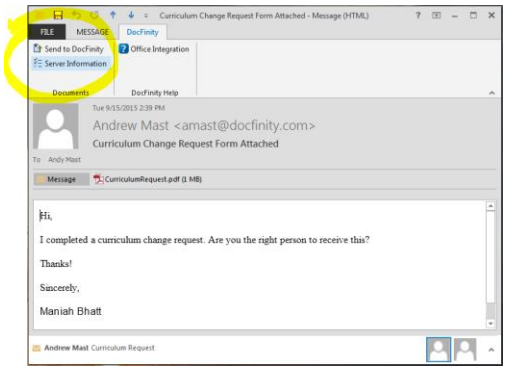
Integration into Microsoft Office 2010/2013 (and future releases) will allow for direct addition of documents from Office to the repository with prompting for indexing metadata. Today, emails are kept within Outlook, printed and filed, printed and scanned, or saved to a network drive. The University requires a simple way for the user to directly save emails into the repository with associated metadata indexing. However, the email integration must be straightforward and simple for the user.

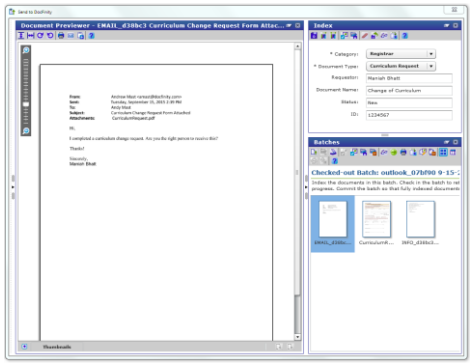
For either Office documents or email messages the software must have an intelligent interface with automatic capture of all metadata available to it (user id, department, date, etc.). For emails, the software must be "aware" of attachments and prompt the user to store email and attachments as directed by the user (e.g. keep message and attachment together, break out message and attachments separately, etc.).

Provide a general overview of Outlook/Exchange and Web Email integration functionality of the system. Illustrate features that simplify the process for the end user. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

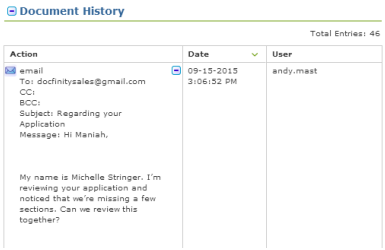
DocFinity Response: DocFinity's Outlook Integration provides the exact requirements listed above. When a user has an email they wish to archive, they will have instant access to the option to send the email to DocFinity. DocFinity will receive the email message in a PDF format, any attachments in their original format, as well as a special text file that can be stored for auditing purposes. Any of those file scan be indexed together or separately as your requirements state.

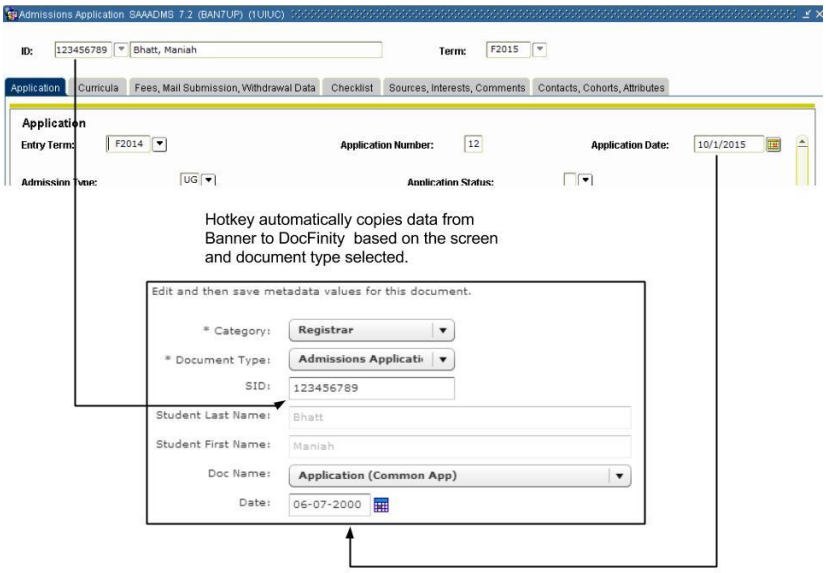
Example Sending Outlook Email to DocFinity. Left image shows an email from a student for a change of curriculum. It includes an attachment. Faculty click "Send to DocFinity" and are presented with a dialog to index the email and its attachments. Email fields (i.e. "from" address or date) can be captured automatically if desired.





Item	Requirement
1.	Directly from Microsoft Office the system will provide a "save to ECM" button or a menu selection to directly insert the document into the repository prompting the user to complete all unknown index values. Describe how index values can be defaulted. Discuss standard (out-of-the-box) Office integration. DocFinity Response: In addition to the Outlook email example shown in Requirement 4.2.4 (above), Microsoft Word will also include a "Send to DocFinity" button. This button can deliver a Word Document to DocFinity for indexing. Users will then select indexing values with dynamic data sources and other options that are available for any other method of indexing. If the Word document contains form fields (such as a mail merge), those fields can be mapped to indexing fields to transfer the information directly without manual entry. If the Word document was brought down from DocFinity for editing, comments will be added and a new version will be generated automatically.

2.	Directly from Microsoft Outlook/Entourage the system will provide a "save to ECM" button or a menu selection to directly insert the email into the repository prompting the user to complete all unknown index values. Describe how index values can be defaulted. Discuss standard (out-of-the-box) Outlook/Entourage integration. Specifically discuss options for handling email attachments. DocFinity Response: DocFinity offers direct integration with Outlook. From directly within Outlook, users can choose to forward messages and attachments to the repository. DocFinity automatically captures "To" addresses, "From" address, date sent, the date received, as well as the subject line. Attachment and emails are stored separately in the repository, in addition to a special audit text file. All attachments are captured in their Native format. As with all documents, users have the option to view the documents in either its Native format or as a PDF. Integration with any 3rd party system can be enhanced by use of DocFinity's plugin architecture for indexing.
3.	Integration with Office should be bi-directional so that documents can be retrieved for modification (check-out) from the repository from within Office. Likewise, a document can be inserted as an attachment in an email from the repository within the email. DocFinity Response: Item #1 of Section 4.2.4 above describes the exact behavior that this requirement has regarding checking in and out. As for inserting as attachments, DocFinity allows you to attach any selection of documents from a search result with a click of a button. When you open an email message to send, you simply click to "Attach" the selected documents and they will be uploaded. The benefit of this transaction is that DocFinity will audit this action.  *Figure 2 Email messages from DocFinity to Outlook are captured and audited.*
4.	The ability to export or print documents (including as an email attachment) must be restricted when annotations and/or redactions are present. Discuss the system logic, security and user options that control annotation and redaction print/export. DocFinity Response: The DocFinity Viewer, which allows users the ability to create/edit/delete annotations, provides support for a wide variety of documents including Microsoft Office, PDF files and image formats. Annotations includes text, sticky notes, footnotes, rectangle, highlight, redaction, arrow, line and freehand. All annotations are stored in the database so the original document is never altered. In addition, there are 6 levels of security for each individual annotation. Users have the options to rendition, print or email with or without annotations. Administrators can control via security rights which users have the ability to print, email and/or fax out of the systems.

5.	Supply evidence that your product synchs with new Office releases and leverages any new Office functionality as appropriate to your ECM integration. DocFinity Response: DocFinity provides documentation for Office integration through our documentation portal. Information includes which versions of Office are supported. DocFinity utilizes the standard APIs provided by Microsoft for integration.
6.	Document insertion logic will include linking to Banner or other business systems to facilitate automated metadata completion. Discuss and provide screen shot examples. DocFinity Response: DocFinity provides multiple options to automatically index documents based on data within Banner and other business systems. DocFinity provides the ability to configure dynamic data sources to perform database look-ups, real time, to third party data sources. In addition, DocFinity provides a plug-in architecture whereby we can directly scrape index information directly from Banner or other business screens using the DocFinity Connect instant integration tool. Below is a screen shot of DocFinity Indexing being populated from Banner via hotkey, as DocFinity Connect scrapes the Student ID from the Banner screen to initiate the indexing of the document. 
7.	Does your software require desktop client software or a browser plugin to implement the above referenced functionality? Discuss user options for adding content to the repository with or without client software for Office, Outlook/Entourage, Microsoft Explorer and/or Macintosh Finder. DocFinity Response: Indexing Integration does require a DocFinity Desktop Integration tray application to be running.

8.	Discuss the options to move email messages and attachments into the repository when the end user utilizes only a browser email client such as OWA. DocFinity Response: Users are still able to upload documents to the repository without the need of Desktop Integration using the standard DocFinity File Upload function within the Front-End. In addition, Importers can be configured where users can "drop" documents to a folder on the network that DocFinity is monitoring.
9.	Discuss any support offered for open source products or cloud based productivity tools such as Google Apps. DocFinity Response: Further inquiry with the University can include other open source or cloud-based tools as well. DocFinity includes plugin framework (in addition to its web services) to interact with various products in the market.
10.	What additional Office, Outlook/Entourage, and/or browser email-client integration functionality is likely to be available in the next release of your software? DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.3 IT Efficiency Requirements

4.3.1 Functional Security

Additional security questions are contained in the technical section of the RFP.

Provide a general, non-technical discussion of the security functionality available with the solution describing how the system controls access to documents and records. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

DocFinity RESPONSE: DocFinity provides extremely robust security. DocFinity offers a number of security features to control who can see and modify the documents and data at the University:

- Feature Rights control which groups of users can use specific application features and functions, such as searching, scanning, indexing, and administration.
- Document Security determines which groups of users have access to each Document Type.
- Permissions control which groups of users can perform specific actions per Document Type, such as viewing, deleting, seeing markup, updating data, or overriding redactions.
- Filter Security limits document access and permissions for a Document Type according to specific data values or ranges.
- Batch Security sets user access security over unindexed documents and files.
- Assigned Searches grant specific searching capabilities and rights to specific groups of users and return only the documents to which users are granted access.

- Restore and Purge functionalities enable backup options by administrators for user-deleted documents and allow only an administrator to permanently delete a document from the system, in accordance with compliance requirements.

Along with these security features, the capabilities of DocFinity BPM to streamline and automate business processes allow organizations to increase their control over access to documents and data.

DocFinity audits all state changes involving documents and data, as well as all user activities, including system administration actions. Audit records can confirm the validity of audit trails, and aided by a detailed audit guide, administrators can create customized audit reports from the database according to an organization's needs.

In addition to the security within the application, DocFinity can be easily set up to run on HTTPS in order to provide encryption and secure communication for sensitive data.

Item	Requirement
1.	The University requires flexibility for designating access restrictions based on key index fields (e.g. at the "folder" level) or document type/sub-type; discuss security functionality that meets this requirement. DocFinity Response: As discussed above, DocFinity offers Filter Security which can limit access to a document based on a range of data or specific metadata values.
2.	Designation of access rights must be able to be delegated to functional areas. Describe your method for decentralized delegation of access. DocFinity Response: DocFinity provides the ability for System Administrators to empower group managers with the ability to manage security within their specified groups. Administrators can determine exactly which administrator rights each group manager has.
3.	Access to documents may be needed by multiple functional areas. Describe how this can be accomplished. DocFinity Response: Master Administrators can empower power users or managers to manage security and permissions for their assigned group.
4.	Describe security restrictions that would be applicable to non-traditional faculty or student workers who need access to the system. DocFinity Response: There are many options to control public access to the repository. The best option would be integration with your current student or public portal. Your portal authenticates the user, and then they click on a URL to gain access to execute a search to view documents.
5.	What additional functional security functionality is likely to be available in the next release of your software?

	DocFinity Response: Our next release will include the ability to synchronize LDAP groups as well as its previously supported LDAP users. In that past, the users could be synched, but now the groups of users and their policies can be synched as well.

4.3.2 ECM Administration and Application Development

Provide a general, non-technical discussion of ECM application development describing how applications are created and maintained. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

DocFinity Response: DocFinity is truly integrated from the ground up. The solution is available through one installer. In essence, each customer gets all current DocFinity functionality and module and user access is controlled via an electronic license key. Our product has a click-to-configure philosophy; therefore no development or programming efforts are required to configure the system. There is one Administration panel that controls all system configurations. DocFinity Administrators can create roles for power users or department managers, so that they can tweak document security and feature access for their areas. Lastly, the entire solution includes access to the DocFinity Web Services API, free of charge, to assist with any integration effort to "front office" business applications (e.g. Banner).

Item	Requirement
1.	Discuss the system administration functions that would be delegated to department business analysts to create ECM applications with minimal assistance from the IT department. Discuss ease-of-use features that would make this approach practical. DocFinity Response: DocFinity Administrators initially provide business analysts with access to all of the various features they'd require. Once this has been done, analysts can work in their environment without continuous need for IT. This would include the DocFinity Process Designer for workflow designs. The Designer is a drag-and-drop interface utilizing our "click to configure" philosophy. Even preset database lookups, web service calls and other more advanced functions can be selected as options by analysts, without having to continually engage with IT. Those features and access controls are worked out initially with IT and can always be modified as needed.
2.	Describe how the system enables power-users within the business to create content-related solutions with minimal assistance from the IT department. DocFinity Response: DocFinity Administrators can empower power users and group managers with the ability to configure system components including the development of searches, workflows, eForms, scan profiles, RM policies and security for their specified group.
3.	Describe methods of extending and integrating ECM applications using scripts or programmatic tools. DocFinity Response: The following methods are available to you at no additional cost. Some of the tools require scripts or programming, while others offer point and click configuration.

	• Web Service API - SOAP and REST endpoints can allow an application to interact with DocFinity entirely, without any reliance on the DocFinity user interface. • URL API – A set of encoded URLs, which includes a wizard tool for easy creation of dynamic URLs that load content in DocFinity. • DocFinity Connect – A desktop tray app that can peer into Windows applications, web browser fields, and screen scraping to extract information for searching and indexing. • Plug-in Architecture (Allows for code to be plugged into various points in DocFinity, including Indexing, Repositories, Importing, and more.)

4.4 Process-Oriented Business Efficiency Requirements

4.4.1 Capture

Provide a general overview of the offeror-supplied Capture functionality.

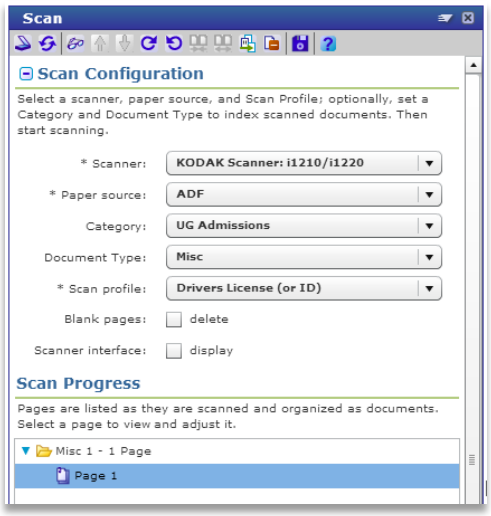
Include a discussion of:

- Batch processing capacity
- Distributed workgroup capture
- Quality control and rescanning
- Simplex/duplex capacity
- Resolution options
- Document preparation
- Support for OCR, ICR, OMR and barcode
- Identify which image formats/standards are supported

Answers to the following questions may be incorporated into this response; reference the question number and clearly identify the answer within your response.

If the offeror's preferred capture solution is provided by a third party, note the recommended vendor and provide the general overview for that vendor.

If there is ANY difference between operations of the capture software for Windows-based and Macintosh-based clients, duplicate this section and respond separately for both Windows and Macintosh offerings.



DocFinity Response: DocFinity Scanning, which is included with the licensing of the DocFinity Core Engine, provides a very robust scanning tool. Features include:

- Ability to support any industry standard TWAIN-driven scanner
- Ability to set scan properties including: scan resolution, paper size, scan mode, paper source, single/multi-page

TIFF, simplex/duplex, black and white/color/grayscale and much more
- Ability to configure scan profiles by document type
- Ability to utilize barcodes for batch separation
- Support for mail room-based scanning
- Support for document type-based scanning

DocFinity Scanning supports both Windows and Mac platforms due to the fact that our scanning is web-based and that the Desktop Integration Application is fully developed and tested on both Mac and Windows Platforms.

As an optional add-on module, the DocFinity Quick Scan module provides the ability to bring scanning to the point of entry into the organization. Features include:

- Requires little training or technical proficiency
- Scan settings are pre-configured per document type
- Hot keys can activate scans and expedite every scan action
- Offers the ability to send scanned images directly into a workflow process

Item	Requirement
1.	What scanning functionality is provided as part of the offeror's solution (e.g. not from a third party)? Does scanning software require a workstation software installation? DocFinity Response: DocFinity provides robust scanning functionality as part of a base solution. DocFinity scanning supports either 32-bit TWAIN or Kofax VRS driven scanners. DocFinity Scanning provides the following: • Administrators can create scan profiles that specify scan settings by Document Type to ensure consistent scan outcomes. • Security is assigned to scanned batches. • Scanned pages in a batch can easily be reordered. • Scanned pages can be combined into documents. • Multi-page documents can be separated into pages. • Pages can be rotated and resized. • A batch of documents can be partially indexed upon scanning with the Category and Document Type. • Documents can optionally be scanned to an external directory or server for preprocessing or to accommodate network security. DocFinity Scanning requires the installation of the DocFinity Desktop Integration. This utility secures the bridge between the scanner and the browser.
2.	What is the offeror's preferred third-party vendor offering to supply capture functionality that is not a part of the offeror's solution? What specific functionality or technical consideration in

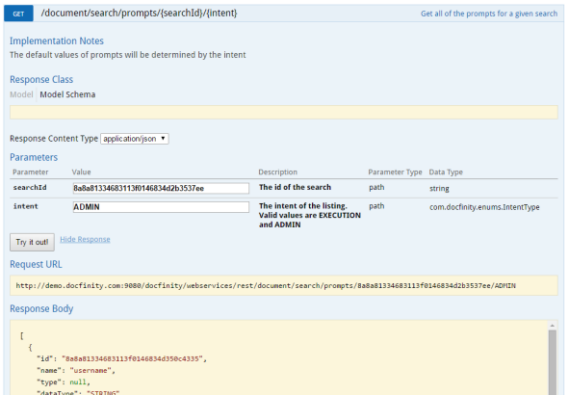
	higher education would necessitate the use of a third party solution or add-on? DocFinity Response: DocFinity Scanning provides all basic scan functionality up to barcode separation. For more advanced barcode recognition and basic OCR, DocFinity provides Kodak Capture Pro. For advanced forms processing, DocFinity partners with every industry-leading capture vendor. Based on needs, we can recommend the appropriate solution.
3.	Describe available functionality to enable desktop scanning directly to the repository with full indexing functionality. Indicate if any software or hardware is required on the desktop for either Windows client, Mac client or browser. DocFinity Quick Scan provides full-featured desktop scanning. The module even contains a plug-in to scrape index information from a third party business application (e.g. Banner). Quick Scan is currently Windows only. The standard DocFinity Scanning is web-based and supports both Windows and Mac clients.
4.	Describe how batch-file names are created or assigned? How is batch access controlled? What audit metrics are available for each scan batch? DocFinity Response: DocFinity provides the ability to configure the batch name. Users can choose from user name, timestamp, static text, user-defined text and document type. In addition, each ingestion method (e.g. email importer, object importer, etc.) allows batch name configuration. All batch activity is tracked within the audit trail.
5.	Does the scan software provided enhanced TWAIN configuration management in place of the standard TWAIN interface? DocFinity Response: DocFinity provides the ability to either have DocFinity control the TWAIN interface or have the TWAIN interface enabled at the point of scanning. In addition, DocFinity provides the ability to create a scan profile whereby users can pre-configure TWAIN controls including DPI, simplex or duplex, compression method, format, etc.
6.	Within the scanning and indexing interface, may a page be inserted anywhere within a multipage TIFF? DocFinity Response: DocFinity has the capability to provide split and merge images. Users are able to insert or replace individual pages of a document easily without the need to delete and re-scan. Via drag and drop, users are able to re-paginate.
7.	Describe the use of the capture software to capture digital documents such as faxes and pass them through the capture software's workflow. DocFinity Response: Fax servers can either place the viewable fax on a network folder or route via email. One of the DocFinity Importers (based on the available output options of the fax server) can be configured to monitor incoming faxes and send them directly to workflow for processing.

8.	Describe OCR software functionality within the imaging component including zonal OCR. What OCR engine(s) is used? DocFinity Response: DocFinity offers Kodak CapturePro for basic zonal OCR. In addition, CapturePro provides rubber band OCR for on demand OCR.
9.	Describe barcode "read" functions available at scan time. Confirm that the capture software supports barcode reading at scan time for document separation and indexing capture. What barcode formats are supported? What batch separation options are available? DocFinity Response: DocFinity utilizes Kodak CapturePro for barcode index extraction. CapturePro provides support for both Type 128 and Type 39 barcode fonts. In addition, CapturePro has built in support for 2-D barcodes as well. Lastly, CapturePro provides document and batch separation either via barcode or zonal OCR. DocFinity Intelligent Capture is another application that can dynamically classify and extract information from unstructured documents, and export that extracted information to update Banner (or other information systems and databases) as well as index documents and start business processes.
10.	Describe available functionality to print a document indexing cover sheet from an indexing, retrieval or a special purpose screen. DocFinity Response: The DocFinity Connect module is capable of scraping index information from a third party application and creating a barcode separator sheet.
11.	Describe available MFD copier interface; state whether third party tools are supported or the offeror supplies the software. DocFinity Response: DocFinity requires no third party tools for MFD image capture. MDF can place images on a network folder, which the DocFinity Importer can monitor. Images can then be placed into batch for processing.
12.	What system-wide data and/or reporting on scanning operations is available? Does the data/reports include batch AND desktop scanning? MFD scanning? DocFinity Response: DocFinity records all user and system activity with a secure audit trail within the database. In addition, DocFinity publishes the database tables and provides them to customers free of charge. Typically customers utilize a reporting tool of their choice, like Crystal Reports, to create customized reports of any kind.
13.	What additional capture functionality is likely to be available in the next release of your software? DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.4.2 Business Application Integration

User acceptance of ECM deployment will be enhanced with integration between the ECM and the University's administrative applications (both campus-hosted and SaaS). Integration that ties such applications to the ECM for document indexing and retrieval adds value and simplifies the user experience.

Item	Requirement
1.	The University requires point and click, or simple coding, for screen integration to administrative applications such as Banner. Integration will extract one-to-many index values from the application screen for indexing in the ECM screen. The ability to identify floating index values (e.g. not in a fixed position in the screen) will be required. Describe tools available for the integration of the ECM indexing and search screens to Banner (or other business system) screens. Clearly indicate how the integration is accomplished (e.g. parsing data stream, screen scrape, web services, etc.). DocFinity Response: DocFinity provides multiple options for image enabling business applications. DocFinity provides a web service API and URL API to customers free of charge. The third integration option is DocFinity Connect. Connect is a non-programmatic method for integration business application. It is a wizard-based application that utilizes screen scraping to grab values directly from the business application to execute the API calls. The solution can either scrape from an X and Y coordinate or the user can highlight the value then execute the short-cut key. In regard to indexing, DocFinity offers the ability to create indexing plug-ins to assist with indexing. Connect can be configured as a plug-in to pull index data directly from the business application screen. Behind the scenes, DocFinity can be configured to perform database look-ups based on dynamic data sources.
2.	Describe whether integration functionality is custom, scripted (semicustom), or whether an integration tool is available that does not require programming or scripting. DocFinity Response: DocFinity offers both a Web Service API, as well as a unique URL API. The URL API comes with a user friendly "wizard" that generates the API calls based on what you'd like to have the call do. Some of these options may some configuration in Banner to connect. As an alternative to making changes to Banner, DocFinity Connect provides a non-programmatic, screen scraping integration utility that works with almost any application, both Browser and Windows installed software.
3.	Describe software that will be required on the desktop to facilitate desktop integration and the desktop security rights required by the user. DocFinity Response: If utilizing our Web Service (or URL) API, no additional software will need to be installed on the desktop. DocFinity Connect requires the DocFinity Connect "tray app" that will run on the user's desktop tray. The same types of security credentials that are used

	throughout DocFinity are applicable for the user of "DocFinity Connect".
4.	Offeror will provide a robust application programming interface (API), preferable web services, for the majority of the ECM functionality. Well documented API with coding examples will be important to reduce learning curve. Describe available programming interfaces; include comments on the programming methods used (.NET class libraries, ActiveX controls, VB, J2EE, web services, etc.). DocFinity Response: In addition to a full DocFinity web service API document of each published call and all parameters, outputs and exceptions. Any modern programming interface (IDE) and library (i.e. .Net, Java, etc.) which can support web services can be used with DocFinity. For ease of learning, DocFinity includes a web-based tool that documents each available REST request and provides developers with instant access to running the calls from within a browser, seeing both the request and response. The URL API also includes a web-based 'wizard' which removes the requirement to comb through the documentation to test calls. DocFinity Connect (an instant integration tool) also includes a 'wizard' to walk through the entire setup process. 
5.	The University will require direct integration with the Banner database for bi-directional data exchange. Describe any out-of-the-box integration available with Banner. If offeror has experience with Banner integration at other clients, discuss client experience. DocFinity Response: • At a glance, users will be able to click a link directly from a screen/record in Banner and view documents relevant to that record. • Banner teams have also created the ability to use their own document viewer of choice to provide a seamless "look and feel" across both systems. • Users will be able to trigger business processes directly from their interaction with a record in Banner. • Users that would like to index documents won't have to copy and paste information from Banner to DocFinity. They will look up a record in Banner, click a hotkey, and DocFinity will capture the desired fields from Banner and copy the information to the relevant fields in

	DocFinity. • The indexing screen equally can also perform lookups to the Banner system to acquire additional information based on what a user types. For example, a student ID entered in DocFinity will result in additional fields and drop-downs being populated with information that was tied to the student's record. The goal with the integration is that user's day-to-day work will feel the same, but with the added functionality of a robust document management and workflow behind it.
6.	Indicate if there are any modules or functionality in the system that does not have an API toolkit. DocFinity Response: The entire DocFinity solution uses the DocFinity Web Service API. All features and functions can be accessed and used in other applications as desired.
7.	Describe current or planned support for social computing features such as blogs, wikis, tags, etc. DocFinity Response: Our plans in this area of "social" communication/content management are pointed at enabling of the content for sharing and collaboration in support of project teams, knowledge management use cases and specific line of business requirements. However, we are finding that this area is still lacking of legal endorsement by customers/users of our products. So there are still many questions around how this new content should be considered, treated and stored. What legal considerations should apply in your use cases? What are the business value considerations for you? What about ownership of the content? What principles and policies should apply under your line of business requirements? The point is we have a strategy for enabling such content but each organization that wants support of such social computing features first has many considerations and questions to answer.
8.	What additional system integration functionality is likely to be available in the next release of your software? DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.4.3 Workflow

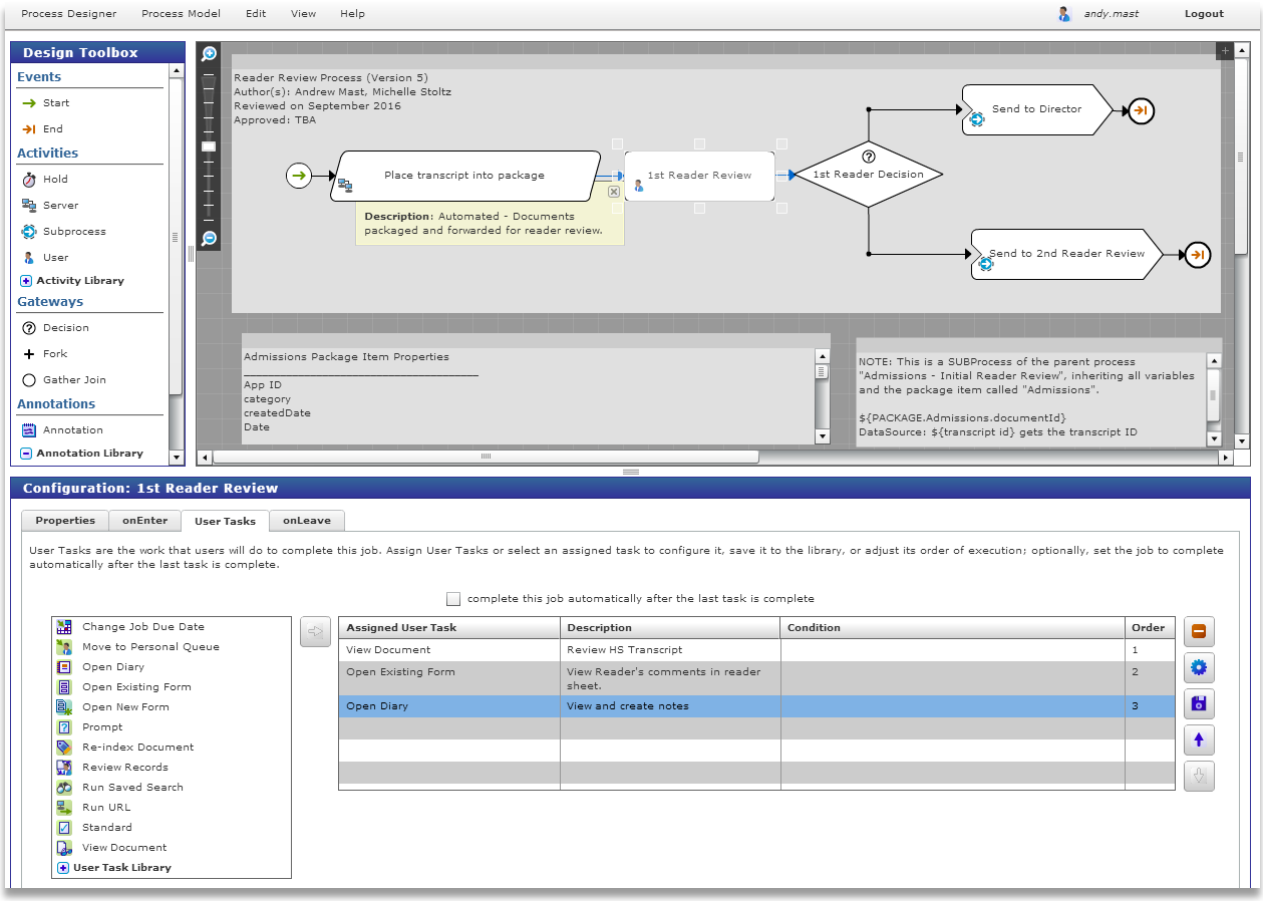
Provide a general overview of workflow/business process management functionality. Discuss workflow setup, flexibility, extensibility, integration to external systems and code, queuing options, workflow interaction with eForms and other functionality that shows the depth and flexibility of workflow functionality. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

The functionality described below must be user configurable without scripting, coding or IT support. If any of the described functionality requires scripting, coding or IT support state that requirement in your response.

DocFinity Response: DocFinity Workflow is very powerful software that accomplishes routing tasks electronically through an organization. As tasks are completed, they are automatically routed to the next person or group, until all of the tasks are done. DocFinity Workflow is a rules-based Workflow program that makes it possible for you to automatically create either job-centric, data-centric or document-centric workflow processes in a multi-company and/or multi-department environment. The DocFinity Workflow solution allows real-time routing for approval and other processes. User activity and workflow server activity is tracked within a secure audit trail within the database. DocFinity Workflow can notify users of a new job, and actions required, by email, text-messaging to a pager, or other mobile device. Only those users, who have appropriate security rights can create, edit, define, AND/OR manage workflows. User security is defined through the Administration feature.

Some of the features offered by DocFinity Workflow include:

- Completely web-based, point/click and drag/drop interface for modeling and designing workflow processes.
- Multiple distribution methods
- Ability to automatically distribute work to users
- Ability to e-mail users when work is assigned to them
- Ability to distribute work to multiple people simultaneously
- Ability to have Workflow jobs perform different actions based on various conditions
- Ability for Workflow jobs to perform multiple processes simultaneously
- Ability to set attendance so work does not get distributed to absent users
- Ability for conditional processing
- Ability for check-list hold functionality whereby the job will stay in hold until all required documents have been received in the repository.
- Ability to trigger workflow processes automatically when documents are ingested into the system no matter the capture method.
- Ability for advanced workflow functionality including running stored procedures, web services and/or 3rd party application executables.



Item	Requirement
1.	Describe the system's workflow development function and the tools used to create, access, and monitor workflows. The University expects the workflow development environment will have fully exposed functionality within the GUI (business rules, formatting, field selection, business system database connectivity, etc.) which can be used by a business power user with little or no IT support. DocFinity Response: DocFinity offers a point/click, drag-drop, web-based workflow processing modeling and design tool. Even though no IT support is required because of the ease of use, we feel that there needs to be some level of IT involvement for more advanced workflow functionality like executing Stored Procedures or Web Services. With DocFinity, IT can build advanced functionality in the Administration panel and, via the Designer, managers or designers just choose the name of the function from a list.
2.	Describe workflow role definition and the use of roles in workflow execution. What flexibility is provided to alter roles (if allowed by security) at the time of initiation? State whether there are any restrictions on workflow roles crossing department boundaries. DocFinity Response: Access to the Workflow Designer is controlled via Feature Rights security.

	In addition, workflow processes can be assigned by group so only authorized individuals can execute. In addition, the Process Monitoring panel which provides basic dashboard and management functionality is controlled by security rights as well. There are no restrictions on workflow roles crossing department boundaries.
3.	What options are provided for prioritizing and sorting worklists in a user's in-box? DocFinity Response: DocFinity provides the ability to force worklists so users must complete tasks and work items based on any criteria you specify. For example, if there are priority items by date, status, assignment, term, course, virtually anything, you can require work to be done in that order unless overridden. At the same time, users can sort on various titles (as well as filter drop-downs) to organize, find and prioritize their work.
4.	Does the workflow allow for data-only tasks and data-only workflows? DocFinity Response: Yes, DocFinity provides the ability to configure data-only tasks and processes. Therefore, DocFinity does not require a document to initiate a process. DocFinity supports both document-centric and data-centric workflows.
5.	Describe delegation of authority functionality (DOA) available. Include setup of DOA (roles based, ad hoc, etc.), method used to trigger DOA, external triggers for DOA (e.g. Banner or Outlook calendar), etc. DocFinity Response: DocFinity provides various capabilities to meet the needs of DOA. Proper admin rights can be granted to managers for purposes of them managing their workgroups and delegating of authority. Furthermore DocFinity provides role based assignment, runtime/ad-hoc capabilities and various other features to address process and task approval requirements. The features are configurable to fit the line of business need.
6.	The University requires an easy means of scanning and attaching images to a workflow transaction. Discuss how locally scanned or saved documents can be attached to a new or existing workflow instance. DocFinity Response: DocFinity provides the ability to assign document types to a specific business process. No matter the capture method (e.g. scanned, imported, uploaded, etc.), DocFinity will automatically trigger a workflow instance. As part of a workflow step, users can easily attach documents to a current item or items (or in DocFinity terms, "Package").
7.	Workflow will provide a means of validated electronic approval of transactions with full audit of all actions taken. Describe electronic approval actions and audit available. Specify how your workflow tools address ad-hoc, advanced, and spider-type workflows. DocFinity Response: DocFinity tracks all workflow activity within a secure audit trail within the database. Electronic approval can be accomplished as part of a workflow task. All approval actions as part of the workflow are captured within the audit trail.

8.	Discuss pre-defined routing rules with optional, and security controlled, manual routing… a. route-back to previous step b. route-back to any step c. route to a user-selected, ad hoc, participant DocFinity Response: DocFinity provides multiple options for job routing. Routing can be based on metadata information, manually selected by the user, and routed based on business rules. The business process will dictate how jobs and tasks are routed to individual users or groups. DocFinity Decision Nodes provide the ability to configure the routing based on virtually anything.
9.	Discuss workflow functionality to monitor the state of work in queues then triggering actions based on state changes, volume and/or time triggers. Include in the discussion automatic notification and a clear description of logic based escalation capabilities including messages to workflow in-baskets, task priority changes, email notification, and smart devices. DocFinity Response: DocFinity provides to trigger actions based on any of the options listed here. Designers can configure priority, email notifications and any sort of escalation should work not be completed by the due date or time. In the work basket, managers can monitor work queues and re-distribute work ad-hoc.
10.	For queue triggers as discussed above, will the queue trigger rules support time in minutes? DocFinity Response: Yes, DocFinity supports time based distribution in minutes.
11.	The concept of "document status" has applicability across the university to distinguish between document states as it moves through a business process; examples of status include: new, reviewed, approved, in-process, incomplete, etc. Discuss how document status would be applied to newly added documents, either manually or based on business rules, options to change the status, and standard workflow functionality that use the status field to drive workflow actions. Status changes will be tracked in the audit trail. DocFinity Response: Document status can either be tracked as a metadata value or a workflow variable. Based on business rules, DocFinity can automatically update document status once certain parameters are met. All status changes will be tracked within the audit trail.
12.	Discuss availability queue monitoring (manager's dashboard) for viewing of pertinent workflow activity by roles, workflow instances, task status, etc. at a glance. The queues should also allow granular, drill down ability as well as workflow management controls/actions from the dashboard. DocFinity Response: The Process Monitoring Panel provides workflow versions and number of workflow instances being processed. If needed, a user can further drill down and look at the individual instances including roles, status, etc. The DocFinity Dashboard module enables users to create customized dashboards, pie charts, bar graphs and the like. The charts and graphs are multi-layered and can eventually open up to view up a specific job that a user is

	working. These dashboards can be accessible by roles.
13.	What standard workflow reporting functionality is provided? For example, logging/auditing workflows (who, what, when, counts, etc.). DocFinity Response: Process Monitoring provides basic dashboard functionality, as discussed previously. In addition, DocFinity stores all workflow related information in the database audit trail. DocFinity publishes the entire database table chart and data dictionary whereby customers can create customized reports of any kind. A DocFinity-specific Reports and Dashboard module is available for users.
14.	What additional workflow and eForms functionality is likely to be available in the next release of your software? DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.4.4 eForms

Provide a general overview of eForm functionality. Discuss eForm creation, flexibility, extensibility, integration to one or more external systems for data pull and push. Indicate known limitations to the forms. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

The functionality described below should be user configurable without scripting, coding or IT support. If any of the described functionality requires scripting, coding or IT support state that requirement in your response.

DocFinity Response: DocFinity eForms enable capturing data in simply created, structured forms that can be customized in design and behavior. Forms are created by administrators in the Form Designer, which features an intuitive interface with drag-and-drop functionality for adding form components to the canvas. Forms can be designed to display dynamically depending on the data entered, and forms can feature multiple steps to be completed by different users or depending on different conditions. Forms can execute a variety of

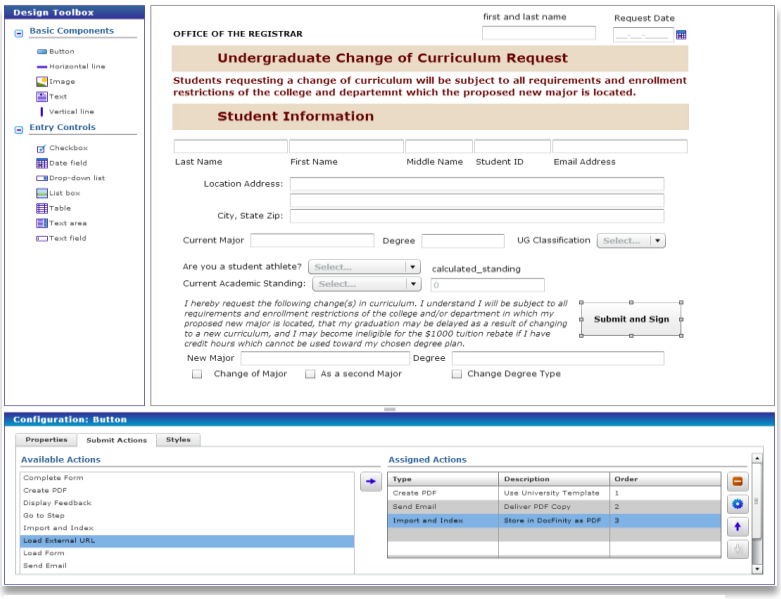


Figure 3 eForm Designer Requires No Programming

actions upon submission, from sending dynamic email messages, generating PDF versions of the form, storing data, and starting a DocFinity Business Process.

Users can complete forms within DocFinity, as well as receive and complete forms through a Business Process job. DocFinity forms and data can be indexed, searched, and retrieved just like other documents, and forms can be assigned and monitored in DocFinity Administration.

DocFinity eForms offers a number of options that enable integration. Forms can be linked to external data sources to automatically populate with existing data. Upon submission, forms can trigger running a stored procedure or sending data to an external database. Users external to DocFinity can also access and complete forms using web services. External access to eForms offers a powerful way to integrate with public-facing web pages or applications to capture data and enable self-service by users.

Item	Requirement
1.	Describe the process for eForm creation, maintenance and modification, and publishing to a web site for secure use. DocFinity Response: DocFinity offers a point/click, drag/drop interface to create eForms. Based on security controls, users have the ability to create, edit or maintain an eForm. Once activated, the forms can be accessed either via the DocFinity Front-End or an external portal via an API.
2.	The University requires an easy means of scanning and attaching images to an eForm that may or may not be part of an existing workflow instance; e.g. reimbursement receipts. DocFinity Response: DocFinity provides the ability to upload documents to associate with an eForm upon submission.
3.	Does the eForm designer support mathematical and Boolean logic? Describe mathematical or Boolean logic available. DocFinity Response: DocFinity enables users to create macros that can perform mathematical options including addition, subtraction, multiplication and division. DocFinity can also hide control fields by Boolean logic.
4.	Does the eForm provide functionality to autofill eForm fields, triggered using a value entered in one of the eForm fields, from an external database? Discuss available functionality to meet this requirement. DocFinity Response: DocFinity enables users to create dynamic data sources, which can dynamically perform database look-ups based on data. Once created in the Administration panel, these data sources can be called in indexing, workflow and eForms.

5.	Data entered into one form field, or returned from a database, can be used to trigger eForm actions such as expanding or shrinking the form, triggering a workflow instance or task, etc. Discuss available functionality to meet this requirement. DocFinity Response: DocFinity provides the ability to create controls and submit actions that are conditional. Form controls can be hidden or submit actions will be triggered unless certain data is entered in a particular field.
6.	How would an eForm be used within a portal? Does the offeror provide any specific functionality for eForms used in a student portal? DocFinity Response: DocFinity provides the ability to complete an eForm via a URL on an external student portal. This enables the ability to complete an eForm outside of DocFinity.
7.	What standard eForm reporting functionality is provided? For example, logging/auditing eForm transactions (who, what, when, counts, etc). DocFinity Response: DocFinity audits all eForm actions (including those operations described in this requirement) in the secure audit trail within the database. Customers typically use a reporting tool of their choice to create customized reports of any kind.
8.	Does the eForm designer provide the ability to intuitively create eForms that are object-oriented and directly input that data to new and existing databases. Data "created/captured" with an eForm should be independent of existing application for use of the data i.e. spreadsheet, PDF, and word processing. DocFinity Response: DocFinity eForms meets this requirement exactly as defined. All inputs in forms are stored in real time as references by unique names. Examples might be ${student_last_name} or ${term}. These references can be pushed to a database to store information, essentially making eForms a tool to capture information to store in a separate database or databases. There's no programming required, as DocFinity provides a user interface to assign each field to the corresponding database column.
9.	What additional eForms functionality is likely to be available in the next release of your software? DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.5 Compliance and Litigation Defense Requirements

4.5.1 Audit, Compliance, Regulatory and Quality Control

Provide a general overview of the functionality that supports Audit, Compliance, Regulatory and Quality Control requirements of higher education. Answers to the following questions may be incorporated

into this response; reference question number and clearly identify the answer within your response.

DocFinity Response: DocFinity is installed within many Educational and private sector organizations that have to comply with state and federal guidelines. Many of these guidelines deal mainly with how the software is installed at the customer site and how security is configured to ensure appropriate access. DocFinity tracks all user, server, and workflow activity within the audit trail within the database.

Item	Requirement
1.	The University must meet compliance and audit requirements for a variety of purposes including: • FAFSA/FERPA, • audit standards for federally funded FA loans , • HIPAA, • GASB, • AACRAO ethical practices, • IRS • and PCI records Discuss best practices developed by your company around these compliance standards. DocFinity Response: Because many of these regulations deal with how the software is implemented at the customer sites, compliance is a critical part of DocFinity's project implementation process. This process includes checks and balances to ensure all Longwood University requirements are met. Our main best practice is to work with our project implementation team closely to leverage our experience. Additionally, we sanction a direct channel between our higher education customers, to encourage shared best practices as well.
2.	User and system activity, including actions executed by the API, will be auditable using selective criteria including: view, add, delete, modify, annotate, print, email, redaction, version, etc. Describe the available audit options and information capture for documents and workflow processes including, if unique, eForms. Reference previous responses as appropriate rather than repeating content here. DocFinity Response: This requirement is fully met as described. DocFinity logs what specific event occurred, date-time, username (and network location), as well as the target of their action. An example target would be a document id. All of the audit information is stored in database tables which ensure flexible reporting.
3.	Describe standard audit reporting available. If no standard reporting, what reporting tool do you recommend? DocFinity Response: Customers can utilize a reporting tool of their choosing to create customized reports of any kind. The DocFinity Stored Procedure Search provides the ability to create reports using standard SQL. These queries can be saved like any other search and can be granted to users to run as any other standard search. As for recommendations of reporting

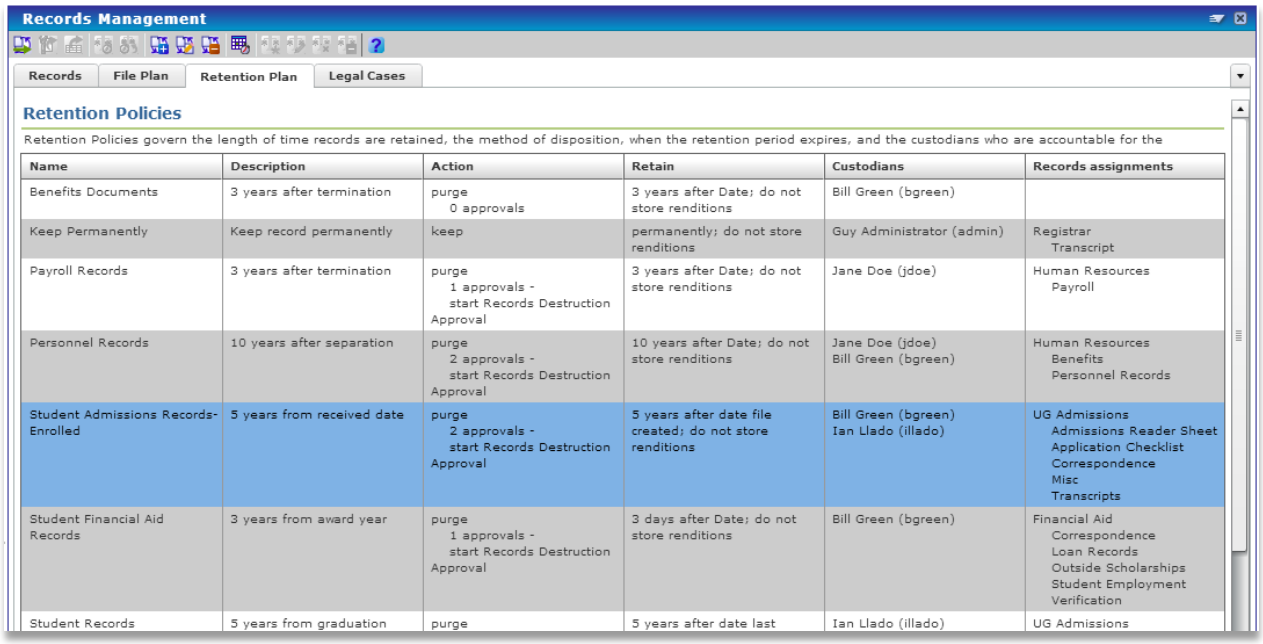
	tools, many of our customers utilize Crystal Reports or Microsoft Access.
4.	Are audit tables kept in the ECM database? DocFinity Response: The DocFinity audit table is stored within the DocFinity ECM database.
5.	Are audit tables able to be modified? If so, under what conditions? DocFinity Response: DocFinity Audit tables are not able to be modified.
6.	Audit database dictionary will be provided at no cost so that Longwood University may develop reports to meet their requirements. Indicate compliance. DocFinity Response: DocFinity publishes the entire DocFinity database structure free of charge, in several forms, including a full color poster diagram for group collaboration.
7.	What additional audit, compliance, regulatory and quality control functionality is likely to be available in the next release of your software? DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.5.2 Records Management

Provide a general overview of records management lifecycle functionality. Discuss how records management is set-up to ensure that documents entered into the repository are assigned the correct records retention rule; if user will have requirements to assign retention rules, discuss.

Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

DocFinity Response: DocFinity Records Management module is a full features records management module for electronic records. DocFinity utilizes the DocFinity Category and Document Type architecture as a basis for file plans. A user then applies appropriate retention policies to each individual document type. Retention Policies can be based on audit events (e.g. capture date, index date, date of last view, etc.) or metadata information. When configuring retention policies, administrators can configure the number of custodians required for proper disposition. Since Records Management is tightly integrated with the Core Engine, a workflow can be assigned to a retention policy to initiate the approval process for disposition. Lastly, DocFinity provides the ability to identify Legal Cases to apply litigation holds.



Records Management

Records | File Plan | Retention Plan | Legal Cases

Retention Policies

Retention Policies govern the length of time records are retained, the method of disposition, when the retention period expires, and the custodians who are accountable for the

Name	Description	Action	Retain	Custodians	Records assignments
Benefits Documents	3 years after termination	purge 0 approvals	3 years after Date; do not store renditions	Bill Green (bgreen)	
Keep Permanently	Keep record permanently	keep	permanently; do not store renditions	Guy Administrator (admin)	Registrar Transcript
Payroll Records	3 years after termination	purge 1 approvals - start Records Destruction Approval	3 years after Date; do not store renditions	Jane Doe (jdoe)	Human Resources Payroll
Personnel Records	10 years after separation	purge 2 approvals - start Records Destruction Approval	10 years after Date; do not store renditions	Jane Doe (jdoe) Bill Green (bgreen)	Human Resources Benefits Personnel Records
Student Admissions Records-Enrolled	5 years from received date	purge 2 approvals - start Records Destruction Approval	5 years after date file created; do not store renditions	Bill Green (bgreen) Ian Llado (illado)	UG Admissions Admissions Reader Sheet Application Checklist Correspondence Misc Transcripts
Student Financial Aid Records	3 years from award year	purge 1 approvals - start Records Destruction Approval	3 days after Date; do not store renditions	Bill Green (bgreen)	Financial Aid Correspondence Loan Records Outside Scholarships Student Employment Verification
Student Records	5 years from graduation	purge	5 years after date last	Ian Llado (illado)	UG Admissions

Item	Requirement
1.	How does the system prevent over-writing of existing documents or records? DocFinity Response: DocFinity stores the original document as it is captured. Edits can only be made by checking the document out. When the user checks the document in, DocFinity automatically updates the version number accordingly. In addition, DocFinity also tracks minor versions of documents which are defined by any changes to index and/or mark-up/annotations.
2.	Describe the record destruction process including generation of destruction lists, approval of items on list to be destroyed, and authorization of destruction. If your RM system includes paper management, include a brief synopsis of the paper destruction approval cycle. For digital document destruction, is a certified destruction document produced? Discuss how your solution prevents expunged records from being rebuilt or retrieved. DocFinity Response: When defining retention policies, administrators can define the number of custodians needed for destruction approval. Approval is achieved by assigning the appropriate approval process workflow. When defining retention policies, administrators define how the system disposes of records by either configuring a delete or a purge. A Delete removes the document from being retrieved by searches, but the document is still in the repository and a pointer is still in the database. A purge deletes both the document and pointer out of the database. The first release of Records Management will include only digital documents. Management of paper records will be available in a future release.
3.	Legal and other holds supported; legal holds restrict all held documents to “read only”.

	DocFinity Response: DocFinity allows you to set legal holds. An Administrator defines the legal action and the associated custodians who are permitted to release the legal hold. All documents on Legal Hold are restricted from modification and/or destruction. Placement of a legal hold and removal of a legal hold are separate feature rights, so organizations can assign the same user(s) for both functions or assign different user(s) for each individual function.
4.	At a minimum, the University wants the ECM to incorporate the University's retention schedule, which is based on the Library of Virginia Retention Schedules for State Agencies, which will be linked to document types in the ECM for lifecycle management of documents. Discuss available functionality. (See next question.) DocFinity Response: The DocFinity Records Management module provides this functionality.
5.	For record retention policies that are based on a variable, e.g. "6 years from last enrollment date", discuss how the variable would be set in the ECM. DocFinity Response: DocFinity Records Management provides the ability to set retention schedules based on audit information (e.g. capture date, index data, last view date, etc.) or metadata information. We would need to import and store variable triggers within the DocFinity database. The capture of the variable data can be an automated workflow process that grabs the data from the Student Information System or other business application.
6.	Preservation The university is concerned about the long term (more than 10 years) challenges of format obsolescence and media degradation. • Discuss offeror content repository functions that address these issues. • Discuss offeror's procedural best-practices to resolve these issues. • Discuss other long term digital preservations strategies employed by the offeror. DocFinity Response: DocFinity will provide the ability to rendition documents to the ISO-standard of PDF/A for industry-standard digital preservation.
7.	Indicate where you have implemented records management in other higher education institutions. DocFinity Response: DocFinity Records Management was released in December of 2011. Many of our customers have Records Management in their project pipeline and we will be implementing some of our Higher Education customers shortly.
8.	What additional RM functionality is likely to be available in the next release of your software? DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.6 Reporting

In addition to the reporting requirements listed in previous sections, provide a general overview of the out-of-the-box reports, dashboards, and ad hoc query capabilities provided. Answers to the following questions may be incorporated into this response; reference question number and clearly identify the answer within your response.

DocFinity Response: DocFinity records all user, server and workflow activity within a secure audit trail within the database. DocFinity also publishes the entire database table schema and data dictionary. DocFinity provides a Stored Procedure Search whereby users can create ad hoc queries against the audit table and bring back results in a hit list format. These queries can be saved and executed from the Searches menu. Customers can also use a reporting tool of their choosing to create customized reports of any kind.

Item	Requirement
1.	Describe standard reporting of application design (setup) and common database tables that document the ECM installation and support the administrative functions such as system map, document types by application, index definitions by application, access and control security profiles, group and role participants, administrative reports such as low disk warnings, SQL table layouts, etc. DocFinity Response: DocFinity provides a standard list of audit report queries that can be either executed by the DocFinity Stored Procedure Search and/or a reporting tool of the customer's choice. We have released a DocFinity Dashboard module that provides the capability to create customized dashboard including those listed here.
2.	Describe the data tables available to the University using a SQL or ODBC based reporting tool. An entity relationship diagram and data dictionary is preferred. DocFinity Response: DocFinity provides a standard list of audit report queries that can be either executed by the DocFinity Stored Procedure Search and/or a reporting tool of the customer's choice. Shortly, we will be releasing a DocFinity Dashboard module that will provide the capability to create customized dashboards including those listed here.
3.	Describe standard reports and dashboards that are provided. Examples include document transaction and aging reports, workflow status reports, user access reports (who has access to which documents), membership reports (security role and membership matrix), etc. DocFinity Response: As discussed, DocFinity released the DocFinity Reports and DocFinity Dashboard modules. The above reports can be created using our Stored Procedure Search and/or a reporting tool of your choosing in the meantime.
4.	What additional reporting functionality is likely to be available in the next release of your software?

	DocFinity Response: DocFinity Response: In addition to the full HTML5 release which will contain dozens of features and enhancements, our next release includes even more rendering and viewing capabilities of additional file types as a result of an updated rendering library.

4.7 Higher Education Best Practices

Referencing the responses provided above as appropriate, highlight offeror's experience with the following business functions. The University is looking for the experience of the offeror in these areas developing best practices and process improvements. The offeror may recommend or discuss alternatives that are not necessarily part of their solution but offered by third parties if it is pertinent to the overall solution offering.

DocFinity Response: DocFinity has been installing ECM solutions in the higher education community since 1986. Over the 29 year span, we have developed an implementation methodology that has proven to result in successful implementations. The methodology includes the following steps:

- Project Kick-Off/Discovery: Establish project team and communications for entering the project design phase. In addition, identify hardware requirements.
- DocFinity Core Training: To properly design the system, the project team must understand the concepts and architecture of the DocFinity solution.
- System Design: DocFinity works with Longwood's Project Team to design the indexing, capture and security plan. During this phase, the System Design document is completed.
- BPM Training: Attend the BPM Core Training Class.
- Process Analysis: DocFinity will work with Longwood to design and develop the first process model. We perform functional process analysis, map the data to process outputs and ensure quality assurance of the workflows.
- Integration Training/Consulting: Work with Longwood to establish the best method for integration for the two business applications.
- Installation of DocFinity: Complete installation of DocFinity software on all environments; production, back up/QA and testing
- End User Training: If requested, DocFinity can develop end user training based on the features and functions configured. Once the materials are developed, DocFinity can perform end user training on-site.
- QA Assurance/Testing: Conduct end-to-end testing and load testing.
- Production Roll-Out and Assistance: DocFinity will be at the ready to support IC during production roll out.

There are many factors that affect timeline of an implementation including staff availability, travel arrangements, internal University resources schedules. Taking those factors out of the equation, we would be looking at the following timeline:

- Training – 13 days
- System Design – 30 hours
- Workflow Design and Implementation – 40 hours
- Integration and Consulting – 40 hours
- Installation and Configuration – 30 hours
- QA Testing – 20 hours
- Go Live Support – 3 days
- Project Management – 20 hours

Total to stand up production environment: 16 days (on-site) and 180 hours (remote)

4.7.1 Admission

The University Undergraduate Admission office processed ~4,700 applications for the fall 2015 cohort. The University uses CollegeNet for Undergraduate applications and the files are downloaded using Nolij Transfer. Electronic transcripts and SAT/ACT scores are also downloaded and will need to be stored in the system. The Admissions Counselors use a reader sheet to capture information about the student as they read the application files; some of that data is used to update Banner. As documents are received, the Banner checklist is updated. The University would anticipate reading files on-line; reader applicant files would be all inclusive so that the reader has all documents and data in one place. The University would also anticipate utilizing a workflow process for making decisions online while reading and routing for approval (single individual, several single individuals, or even committee of individuals that can approve/comment separately) and/or locking in the final decision and having it load to Banner.

State how your solution can facilitate and maintain these functions (long-term) by non-programming staff within the Admissions office.

DocFinity Response: The DocFinity Importer will be configured to capture CollegeNet applications and associated supporting documents easily and use a unique identifier from CollegeNet or Nolij Transfer for auto-indexing. Using DocFinity eForms, the Reader Sheet can be created to automatically populate Banner student data for Counselor review. In addition, eForms can be configured to execute math macros to automatically perform grade normalization and calculate admissibility indexes. All features and functions are easily configured through a point/click interface requiring no dependence on us as a vendor. DocFinity can assist when necessary.

DocFinity provides embedded document checklist functionality. The DocFinity checklists can be comprised of a set of documents needed for a particular process like an Admissions process. Checklist can be comprised of required and non-required documents. Implemented within workflow, DocFinity will place a job in hold until all required documents of a checklist are ingested into the system.

This checklist data can easily be pushed to Banner as part of a workflow process as either a web service or a stored procedure. Customers can create multiple checklists for different departments and processes.

Regarding decision sheets, DocFinity provides the ability to create a sheet using eForms. Data can be populated directly from Banner as data sources. During the workflow review process, DocFinity can push the data to Banner.

DocFinity provides the ability to assign a business process to a particular document type (e.g. application). No matter the ingestion method, DocFinity will automatically trigger the associated process. As discussed above, a DocFinity eForm will be created to be the reader sheet for counselors to review candidates. All activities are tracked within the audit trail so users can check the status of an application at any time.

DocFinity is a completely web-based solution that provides an easy to use interface for all users. In addition, users have the ability to further customize their interface to their liking and save that back to the system. Any time the user logs in, DocFinity remembers their preferred layout. In addition, DocFinity provides the ability to integrate and image-enable an institution's Student Information System. No matter the integration method chosen, users can have single click access to documents, hit-lists and workflow queues.

4.7.2 Registrar

The Registrar Office has a variety of paper forms which are used by students. The office wishes to transition these to eForms with workflow routing, especially for internal routing and approval. eForm functionality that would be used includes:

- Identity verification through Active Directory and/or Banner
- Link eForms to Banner for data validation and auto-population of key fields
- Digital approval

The forms that could be included are, but are not limited to:

- Transcript request form
- Major/minor declaration or change form
- Add/withdrawal form
- Audit and Pass/Fail form
- Grade changes

State how your solution can facilitate and maintain these functions (long-term) by non-programming staff within the Registrar office.

DocFinity Response: All this functionality is possible with DocFinity. Via Workflow, DocFinity can automatically transfer record ownership from Admissions to the Registrar. Security will be automatically updated and if needed, users can transfer ownership back to Admissions if needed.

DocFinity has multiple options to trigger the purge of a record. The above requirement would be met by Workflow transferring ownership of documents to the Registrar, then update a metadata flag which will trigger the purging of unnecessary documents. In this scenario, workflow drives the document transfer process and requires user intervention only with the exceptions.

4.7.3 Financial Services: A/P Invoice and Expense Processing

Describe best practice deployments and/or out-of-the-box functionality provided by your solution to capture and integrate receipts for Expense processing as well as capturing packing slips locally and electronically delivering them to Accounts Payable for invoice processing.

State how your solution can facilitate and maintain these functions (long-term) by non-programming staff within the Finance offices.

DocFinity Response: DocFinity Email Importer (which comes standard with the licensing of the Core Engine) provides the ability to monitor an email in-box (e.g. finaid@longwood.edu). Once captured, the Importer will automatically trigger a workflow process to distribute the emails and attachment to the appropriate person for processing. This requires no custom coding. All functionality is included out-of-the-box and just requires configuration.

4.7.4 Human Resources

State how your solution can facilitate and maintain these functions (long-term) by non-programming staff within the Human Resources office.

DocFinity Response: Successful businesses depend on good people. The retention of the good people you have — or the identification, recruitment, and hiring of the good people you need — can't be compromised by unreliable record keeping; poor document management, untimely responsiveness; or simple, time-stealing disorganization. While you have to reduce operating expenses, you can't afford to lose good people to bad processes. That's why DocFinity:

- Integrates with Banner, Lawson, SAP, PeopleSoft, and other human capital management (HCM) software, leveraging the value and boosting the functionality of existing investments;
- Electronically stores and retrieves hiring and termination records; résumés, applications, credentials, certifications, personnel files, policy and procedures documents — all the capabilities you need you to manage HR documents throughout the employment lifecycle, including retention and disposition;
- Includes self-service features that enable staff members to submit benefits documents and other sensitive information securely and confidentially;
- Enables HR documents requiring approvals, signatures, processing, or other actions to automatically flow to the right people at the right time;
- Updates routine items such as job postings and policy changes automatically;
- Provides secure and comprehensive audit trails that demonstrate governance, help with compliance initiatives, and ensure transparency;

- Minimizes the need for storage space and its associated costs.

4.7.5 Financial Aid

State how your solution can facilitate and maintain these functions (long-term) by non-programming staff within the Financial Aid office.

DocFinity Response: Since aid is so critical for many college applicants, the ability to attract and retain the best applicants may depend on your level of service. Turnaround times can be shortened dramatically with immediate, secure access to — and efficient, reliable management of — financial aid documents. DocFinity makes processing easier because it keeps you connected to applications and all their attendant forms and documents. And it makes them accessible from within one, centralized repository. Flexible workflows allow you to process applications immediately upon receipt of a complete package, to collaborate with other parties to the application, and to return decisions quickly to help you increase enrollment. DocFinity enables you to:

- Automate processes such as approvals, denials, and signatures;
- Launch commands to perform regular actions such as form letters or automated calls requesting additional documentation;
- Expedite award decisions by decreasing backlogs, even during peak periods;
- Automate and process more verifications without increasing staff;
- Reduce waiting times, enhance services, and decrease processing costs.

DocFinity Email Importer (which comes standard with the licensing of the Core Engine) provides the ability to monitor an email in-box (e.g. finaid@longwood.edu). Once captured, the Importer will automatically trigger a workflow process to distribute the emails and attachment to the appropriate person for processing. This requires no custom coding. All functionality is included out-of-the-box and just requires configuration.

Please see the attached detail of how a State College Decreased Backlog from Six Weeks to Two Days.

5 Technical Requirements

5.1 Offeror's Solution Architecture

5.1.1 Solution Architecture

Provide a solution architecture diagram with associated textual description inclusive of all recommended hardware and software components. Specifically address:

- Software required on server components

- Identify where in the architecture firewalls are supported (or where they cannot be used)
- Define security for documents moving between components
- Define security for documents in the repository
- Define requirements for access from outside of the internal network, e.g. portal (DMZ, open ports, etc.)
- The University will not accept solutions where documents are stored on the web server.

Offeror may reference this diagram to support answers provided elsewhere in the technical section.

DocFinity Response: DocFinity is completely web-based and supports Windows, Mac, or Linux.

The hardware and software requirements for DocFinity are listed below:
Hardware Requirements for Client Workstations:

Windows
- Windows XP or Windows 7 (32 bit) or Windows 7 (64 bit)
- 512 MB available RAM minimum; 1 GB available RAM recommended
- Adobe Flash 9 or higher
- Internet Explorer v7 or v8 or Chrome 14 or Firefox 3.6 (with Java Plugin).

Mac
- Mac OSX 10.4- 10.5
- 512 MB available RAM minimum; 1 GB available RAM recommended
- Adobe Flash 9 or higher
- Safari 3.2.1 or Chrome 14

Linux
- 512 MB available RAM minimum; 1 GB available RAM recommended
- Adobe Flash 9 or higher
- Firefox 3 (with Java Plugin)

Required Software for Client Workstations

Flash Player 10.1 or higher. (For information about the version of Flash Player installed on your workstation, you can go to: http://macromedia.com/software/flash/about/ to view the Flash version installed locally.)

To print documents from a user workstation, Acrobat Reader Version 10.1 is required.

For BPM users running Process Models with Executable user tasks (tasks that automatically run another application on a user workstation), Java 1.6 JRE must be installed on the user's workstation.

Required Hardware Scan Workstations

Any workstations that will be performing scanning functions will need the DocFinity Desktop application installed. The following requirements are required for using DocFinity Desktop:

- For scanners rated 25 ppm and below: Dual core 1.6Ghz CPU or faster and 3GB of RAM
- For scanners rated between 25-120 ppm: Quad core CPU or faster and 8GB of RAM

5.1.2 Software Upgrades

1. Describe normal upgrade schedules for major and minor software releases.

   DocFinity Response: DocFinity has two major releases per year. Minor patch releases are provided on an as needed basis.

2. Discuss required versus optional upgrades, cumulative patch releases, impact on supportability if optional patches are ignored, and any other pertinent upgrade policy or practices of Offeror.

   DocFinity Response: As part of the DocFinity Annual Software Support and Maintenance program, customers are provided both major and minor releases of their licensed software. Even though it is recommended for customers to keep up to date with releases and patches, DocFinity still maintains and supports all releases currently in production at customer sites. DocFinity is built on top of one set of source code. One set of source code allows customers the ability to download the latest version of software and still get all features and functions from prior releases.

3. Discuss the impact on the ECM system's availability during patching and upgrading of components (e.g., must system be taken down, patch after hours, how are other components of the ECM or the University architecture are impacted)?

   DocFinity Response: When performing an upgrade, DocFinity will be unavailable to end users until the update is complete. The upgrade process is very easy and requires minimal time. The software installation process takes about twenty minutes. Installer steps administrators through installation and, in one step, requests which database to connect. Administrators point the installer to the current production database, and then complete the installation process.

4. Provide the upgrade history for all software updates (bug patches, security patches, minor and major upgrades, etc.) for the previous two years; include whether upgrade was optional or required.
   DocFinity Response: Below are the releases from the past two years. Upgrades are rarely required unless the upgrade contains a needed fix.

Release 10.6.2.34344 (12/10/12)

- Rendering memory leak and performance improvement with JPedal upgrade
- Fulltext memory leak fix
- Kerberos fix for desktop integration
- Fixed failed to lazily initialize error

Release 10.6.3.36989 (04/26/13)

- Memory leak in Job Views
- Full Text performance issue
- Print To/Send To duplicate metadata
- BCBS bug with due dates
- External user using the UserWebServices addUsers call
- Viewer does not load the document at the top of the viewer

Release 10.7.0.38621 (8/8/13)

- Mobile - 'Phase 1'
    - Support executing a user node from an email
    - Upload Photos from mobile device
    - Search and view documents from mobile device
- Split and joining files within indexing
- Datasources in Search Prompts
- Paging in Search
- Process Monitoring Redesign
- Support for Pointers in Migration Tool
- Addition of Export Profiles in System Transfer
- Instrumentation and visibility into Importers
- Graceful App Server Shutdown
- CustomServiceTask
- Improved performance of job views - count now fast
- Other Tasks:
    - Java 7 Upgrade
    - .NET 4.0 Upgrade
    - Batches performance rewrite
    - Viewer Rendering performance rewrite
    - Removal of Run Exe user task
    - Stop means stop for importers

Release 10.7.1.38690 (10/11/13)

- Bug Fixes including but not limited to:
    - Trusted Auth security issue
    - License clean up issue
    - Datasources issues
    - Process Monitoring issue
    - Saving Form issue
    - Office Integration Root Context
    - Form Designer Validation
    - System Transfer of user defined datasources
    - Checklist Search issue
    - Purging a document that was edited
    - URL API Search issue
    - Bootstrap Failure

Release 10.7.2.2 (11/05/13)

- Indexing DST Time Zone fix

Release 10.8.0.35 (12/11/13)

- COLD (Badger)
    - Allow running old 32 bit COLD simultaneously with new COLD
        - Keep report importer working with old COLD
    - Allow viewing all existing COLD reports
        - Goal w/o and conversion
    - Reduce disk storage
    - Incorporate Java based version
    - Resolve rendering issues by using COLD txt vs. normal txt
    - Decide on repository mechanism, add new repo type?
    - Add Adept support
    - Solve PSU one big PDF issue
        - Based on meeting 5/16/13 PSU can't import PDFs because some people want to import the report into Excel
        - The best solution for them, in their minds, is to store the text report and have "view as PDF" bring up a searchable PDF quickly.
        - If we can avoid image PDFs it might be fast. Either way we need to consider pre-rendering for them.
        - They refuse to talk to people to find out what they need so they can create the proper indexed report segments. This is not our problem, but everyone would prefer a searchable PDF.
    - Create searchable PDFs
        - We can use image PDFs for annotated documents and searchable for non-annotated docs to remove redaction security issue and exact placement problems
    - Do we support needed searching?
    - Allow setting viewer by doctype, it trumps user setting
- HSM - Handle purging deleted docs completely DocFinity+DEV:22289 (Cobra)
- Aston bug fixes
- Internal build changes to handle Mercurial (Elk)

Release 10.8.1.69 (1/22/14)

- Library removal
- Full text search changes
- Search user setting saved between sessions
- Prompt errors from 10.5

Release 10.8.2.93 (4/2/14)

- Logout URL for Mobile
- Stored Procedure Validation
- System Message for BPM Validation failures
- Configurable BPM Indexing Validation

Release 10.9.0.1 (5/7/14)

- *Aardvark* DocFinity Dashboards 10.9 Requirements
    - Realtime data visualization
    - Graphs, charts, & tables
    - Statistics gathering
    - BPM instrumentation
- *Flamingo* Translation Tool updates
- *Goose* Open Office replacement (10.9 Q2 14)
- *Iguana* COLD Enhancements(10.9 Q2 14)

Release 10.10.0.1 (8/21/14)

- *Dingo* Bug Fix release
- Move to Tomcat
    - Most areas show performance improvements, some as much as ??x
    - Java process memory reduced by 30-50%
    - Reduced CPU time by 7% overall
    - 15% improvement in startup time
    - 9-30% improvement in Importer speeds
    - DB Index Fragmentation significantly reduced, upto 4x less
    - Performance improvements
- Lockout account after x failed login attempts
- Restriction to reuse passwords - min X cycles
- Swagger Documentation
- Add a Literal Key Extractor to COLD
- System Messages Purge
- Add imap-SSL configuration to system properties
- Added support for IPv6
- More resilient DB connections
- Distinguished handling of dates vs. moments in time

Release 10.11.0.47 (11/12/14)

- Mobile Conversion to Kendo

ARGO Enhancements:

- Allow reusing windows with URL API ARGO Gap #2 "Performance of integrated viewer"
    - Support encrypting the URL API calls
    - Allow URL API to set hidden search prompt value
    - Enhance and integrate URL API Assistant
- Enhance Web Service Handling Nothing done here, using Custom Service Task solves it
    - Option to Export as one big PDF file instead of zip ARGO Gap #10 "Ability to combine multiple documents to into a single pdf for export and email"
    - Allow BPM to call Exporter
- Archive System Adapter ARGO Gap #0 "Image Right repository"
    - Allow downloading external documents
    - Allow migrating file from external repository to internal
    - Allow purging files from external repository

- Displaying DocID in the Document Information panel
- Allow toggling on/off all markups in viewer
- When viewing previous version show it's metadata in the Document Information panel and display version number in viewer
- Support un-managed documents, accessible through file paths, in the Exporter
- Allow for Indexing Integration Plugin data to set values for dropdowns
- Allow file cache to be cleaned up hourly

Release 10.12.0.9 (2/9/15)

- Auditing changes

- Send Email From Outlook

Release 10.12.1.21 (5/19/15)

- eForm Accessibility enhancements for screen readers
- Keane fix - Work around DB driver issue of creating too many threads
- Allow documents and links to be mailed anonymously
- AS400 and Sybase database support for Stored Procedure datasources and service tasks

Release 10.12.2.25 (6/19/15)

- Flex column bug in job views
- Printer list order

Release 10.12.3.1 (7/28/15)

- *Tamarin*
  - Flash 18 client issue, Flex 3.6 upgrade.
- COLD PSU Importer issue - Missing pages

Release 10.12.4.11 (8/13/15)

- Flex library upgrade regressions
- COLD PSU Importer issue - Missing characters

Release 10.12.5.15 (10/6/15)

- Rendering CPU fix (Fleishman)
- Scanning thread performance issue (Wells)

5. What upgrades would typically require offeror's professional services staff or be highly recommended for installation?

DocFinity Response: DocFinity does not require Professional Services assistance. Users who are trained in DocFinity will have more than adequate comfort with performing an upgrade with internal resources.

5.2 Hardware

5.2.1 Server Hardware

Provide server hardware configuration required for each of the components of your recommended solution. The University virtualizes server hardware at this time. In the last column, identify the scaling parameters that will impact the configuration. Add additional rows to the table if needed; place "NA" on any row that does not apply. Reference documentation if appropriate and if it is clearly cross referenced.

	Recommended configuration	Configuration scaling parameters
Application server	See below table for recommended configuration	The DocFinity solution initially is installed as one Application Server. DocFinity provides the ability to use multiple file repositories, such as extra storage, backup, archiving, and testing, as well as the option to adjust repository storage levels. DocFinity also supports functional clustering which allows the University the ability to scale the server resources when they are needed, such as for importing, BPM and/or end-user traffic. Functionality clusters instances can be purchased at a reduced rate
Web server		
Workflow server		
Database server		

DocFinity Application Server	Recommended Configuration
• Windows Server 2003 SP2 (32 and 64-bit) • Windows Server 2008 (32 and 64-bit) • Red Hat Enterprise Linux Release 4 Update 6+ • Suse Enterprise 10 and 11	• Dedicated physical server or VM instance • Dual Core Server • 3GB available memory • 1GB HDD Space for software • Flash Player 9.0.124+ (installed) • JDK 1.6+ (installed) • Adobe Reader 8+ (installed) • If using HTTPS or SSL on this server,, Java 1.6 JRE must be installed
Database Server	**Recommended Configuration**
• Microsoft SQL Server 2005 or 2008 • Oracle 10g or 11g • DB2 9.5+	• Dedicated physical server or VM instance • Dual Core Server • 3GB available memory • 1GB HDD Space for software • Flash Player 9.0.124+(installed) • JDK 1.6+ (installed) • Adobe Reader 8+ (installed)
Enterprise Search Server[1]	**Recommended Configuration**
• Microsoft Windows Server 2003, SP2 (32 and 64 bit) • Microsoft Windows Server 2008 (32 and 64 bit) • Red Hat Enterprise Linux, Release 4, Update 6+ • Suse Enterprise 10	• Dual Core Server • 2GB available memory • 6 MB HDD space for software • Hard disk space for amount of text indexed (text files-1:1 ratio. graphic files-1:40 ratio, and zipped text files-2:1 ratio) • Java 1.6 JRE installed
OCR Server[1]	**Recommended Configuration**
• Microsoft Windows Server 2003, SP 2 (32 and 64 bit) • Microsoft Windows Server 2008 (32 and 64 bit)	• Dual Core Server • 2GB available memory • 120 MB HDD space for software, 2GB+ for temp files • Microsoft IIS • Microsoft .NET Framework 2.0 • Java 1.6 JRE
DocFinity COLD Server[2]	**Recommended Configuration**
• Microsoft Windows Server 2003, SP2 (32 and 64 bit) • Microsoft Windows Server 2008, SP2 (32 and 64 bit)	• Dual Core Server • 2GB available memory • 1GB HDD space for software
Kodak Capture Pro-Auto Import Server[3]	**Recommended Configuration**
• Windows Server 2003, R2 (32 bit)	• Pentium IV • 2.8 GHz (or equivalent) CPU • 2GB RAM recommended • 1 GB HDD
Database Server	**Recommended Configuration**
• Microsoft SQL Server 2005 or 2008	• Dedicated physical server or VM instance

• Oracle 10g or 11g • DB2 9.5+	• Dual Core Server • 3GB available memory • 1GB HDD Space for software • Flash Player 9.0.124+(installed) • JDK 1.6+ (installed) • Adobe Reader 8+ (installed)
Storage Repository	
This server/storage device houses the DocFinity repository where the data objects (images, etc.) are stored. This repository must be accessible from the DocFinity Application Server via a Windows UNC path with read/write/delete access.	
Backup/Test Environments	
Contractually, the customer is entitled to create Backup and/or Test environments to support the integrity, redundancy and validity of the production environment. Whenever possible, OIT recommends that separate Backup and Test environments be created on dedicated physical servers or VM instances that mimic the production environment as closely as possible, as described above. If dictated by a lack of resources, the Backup and Test environments may coexist on one server, if necessary, as long as volume is limited and there are enough resources available to support the multiple, concurrent instances.	

NOTES
[1]-Required if licensing DocFinity Enterprise Search
[2]-Required if licensing DocFinity COLD-ERM
[3]-Required if utilizing barcodes for batch separation and index extraction

Minimum hardware requirements for a DocFinity software installation are a dedicated Application Server and a dedicated Database Server. If scaling to a higher level of production and/ or utilizing additional features, the hardware requirements are higher, as further detailed in the sections below.

Production Server Environment
The customer should have the server environment ready for DocFinity software installation (refer to the DocFinity Prerequisites documentation below). This should be a dedicated physical server or VM instance as OIT does not recommend or support running multiple instances of the product on the same machine. The customer will need to create an 'Administrator equivalent' domain user account (e.g. *OIT Admin*) that will be utilized by the DocFinity Implementation Analyst to gain access to the applicable servers during installation.

In addition, a domain account will need to be created as the Service Login for the DocFinity (Instance Name) Service. This account must have network access to the DocFinity Repository (File Server/Network Storage described below) and will replace the default Local System account created during installation.

Network
The Customer's Network needs to be set up, configured, and stable in order to meet DocFinity's requirements outlined in this section. Network user logons and rights for these users should be set up prior to the Implementation. The network will contain a combination of server machines and client workstations as part of the DocFinity Solution.
If the client's security allows for remote access to their networks, they should open up specific ports on the firewalls and routers to allow DocFinity support professionals access to the network. The customer can choose to

allow Support to use Remote Desktop on port 3389 by giving the support professional the information used to connect into your network, or use DocFinity's Remote Support tool. The DocFinity
Remote Support Tool uses VNC over IP Address: 216.169.169.17 and customer will need to open outgoing ports range 5900-5920; this is run on an 'as needed' basis.

5.2.2 Object Storage

1. Describe the repository storage subsystem requirements. Describe how it utilizes and/all of the following: CIFS, NFS, Windows file system, Linux file system.

   DocFinity Response: DocFinity can be configured to support one or many storage devices. The only requirement is that the device can be seen over the network as a UNC. The DocFinity HSM provides the ability to manage these various repositories. In addition, administrators can create profiles for object migration between devices and purging. Within the file system, DocFinity stores the objects as follows:

+Repository Name

+Year

+Day

+Hours

+GUID

2. Describe the stored-object file naming convention.

   DocFinity Response: DocFinity assigns a GUID for every object stored in the repository. DocFinity also stores the original file name within the repository.

3. Describe product support for encryption of stored objects.

   DocFinity Response: DocFinity provides the ability to integrate with 3rd party drive encryption software like BitLocker.

4. Describe any functionality provided by the offeror (not operating system or storage vendor) for the complete backup and restoration of the ECM system.

   DocFinity Response: The DocFinity HSM module provides the ability to migrate objects from one storage device to another (e.g. main repository to back-up) based on business rules. In addition, DocFinity provides

the ability to export the entire system configuration as a XML file that can be imported into a different environment (e.g. test/development to production).

5.2.3 Hardware Components

1. Please identify any non-standard hardware that is required by your applications.

   DocFinity Response: DocFinity does not require any proprietary hardware components.

2. Please address whether software or hardware keys (dongles) are used as part of the security, licensing or scanning functions of your system. If so, describe their purpose and the method which is used to register the software/hardware controlled, such as NIC MAC address.

   DocFinity Response: DocFinity does not require any dongles or similar devices. All licensing is managed by an electronic license key.

5.3 Host Environment Integration

The ECM will interface with Longwood University business systems—both campus-hosted and SaaS (cloud based). The purpose of the integration is:

- To recall objects from the ECM system using data passed from the host system;
- To pass data from the host system to the ECM system (index/metadata values) using lookup key(s);
- Passing data from the ECM environment to the business system (e.g. from an eForm, from workflow, OCR output, etc.).

Offeror will describe their available methods of ECM integration with University business systems using infrastructure integration; that is, server and/or API integration as opposed to workstation integration.

1. Describe software that will be required on the server to facilitate server integration.

   DocFinity Response: Development will need to be done within the application that executes the DocFinity Web Services to perform various functions as described. Using Banner, customers have been able to code the Web Service calls to DocFinity easily.

2. Describe the security credentials required for API integration and the communication protocols invoked between the servers and desktop.

   DocFinity Response: User credentials can be passed along with the Web Service for audit purposes. If trusted authentication is used at the application level, a generic API user can be created to provide limited functionality (e.g. view an image).

3. Specifically discuss integration nimbleness when Longwood University upgrades Banner or other administrative applications; what effort will be required by IS staff when upgrading business systems?

   DocFinity Response: When the business system is upgraded, web service execution will need to be updated as well (e.g. buttons created in the previous version will need to be re-created). The public facing DocFinity Web Service (i.e. those services that can be utilized by business application to gain access to DocFinity) will never be changed as part of the development process. In short, the changes will only need to occur on the application side, not DocFinity.

5.3.1 Business system and ECM Infrastructure Integration – Technical

Offeror will describe their available methods of ECM integration with University business systems using infrastructure integration; that is, server and/or API integration as opposed to workstation integration.

1. Describe software that will be required on the server to facilitate server integration.

   DocFinity Response: Development will need to be done within the application that executes the DocFinity Web Services to perform various functions as described. Using Banner, customers have been able to code the Web Service calls to DocFinity easily.

2. Describe the security credentials required for API integration and the communication protocols invoked between the servers and desktop.

   DocFinity Response: User credentials can be passed along with the Web Service for audit purposes. If trusted authentication is used at the application level, a generic API user can be created to provide limited functionality (e.g. view an image).

3. Specifically discuss integration nimbleness when the University upgrades Banner or other administrative applications; what effort will be required by IS staff when upgrading business systems?

   DocFinity Response: DocFinity includes a "development" and "testing" instance in addition to the production environment. Typically the University's IS staff will have early access to the release before it's put into production. This is their time to sort out any tweaks that may need to be made so that when upgrades to either Banner or DocFinity are put into production, they have been tested and work as expected.

5.4 <u>Security Authorization and Authentication</u>

Longwood University uses Active Directory for internal authentication and CAS (and possibly Shibboleth) for federated (cloud computing) authentication.

1. Describe how your system will authenticate against Active Directory domains for user authentication, authorization, personal information and group memberships. Does the ECM retain its own USERID and PSWD account list synchronized to the AD domain or is validation real time with tokens passed to the ECM security module?

DocFinity Response: DocFinity provides out-of-the-box integration with LDAP. DocFinity retains its own USERID and PSWD account list that can be synchronized with the LDAP domain.

   a. Is AD used to authenticate staff and student identities throughout the system? Does workflow re-authenticate identities each time a user touches an active work instance/task?

   DocFinity Response: All actions can be done once authenticated via Single Sign On so we don't need to re-authenticate in workflow. Once someone is authenticated and enters the DocFinity system, the audit trail tracks all user activity including user log-ins, log-offs, and any other actions they perform.

   b. Describe authentication options for user authentication, authorization, personal information and group memberships.

   DocFinity Response: Being as DocFinity is a Commercial Off the Shelf (COTS) solution, it provides out-of-the-box integration with LDAP. DocFinity retains its own USERID and PSWD account list that can be synchronized with the LDAP domain. DocFinity provides the ability to import group security permissions from third party applications like Banner. But, there are feature rights that are specific to DocFinity that must be controlled from within the application itself. Lastly, DocFinity can be leveraged behind SSO solutions that can pass DocFinity the trusted user token.

2. Will ECM security lock a user account after a set number of unsuccessful login attempts? If so, can the parameters for this ability be modified? What is the process for "unlocking" accounts?

DocFinity Response: DocFinity can be configured to lock an account after a set number of unsuccessful login attempts. Re-activating accounts is done via the administrator within the Administration Panel.

3. Student data must be encrypted (SSL or similar) when transmitted across the wire in order to meet FERPA and other security and privacy requirements. All network communication involved in any way with authentication will be encrypted through a commonly recognized encryption scheme

   a. What encryption scheme is used?

   DocFinity Response: DocFinity can be configured using HTTPS for secure data transmission.

   b. If a proprietary encryption scheme is used, justify why.

   DocFinity Response: DocFinity utilizes industry-standard SSL for data encryption.

4. Does the system encrypt sensitive information in the database? If so, describe options for defining which data elements and/or objects will be encrypted.

DocFinity Response**:** Ideally, and considering best practices, Longwood University should not store sensitive information in the database. Instead we would work with you to identify other linked identifiers to be used as the data elements. Industry standard databases such as MS SQL and Oracle take care of data encryption as a function of the database and DocFinity works with these databases.

5. Describe how your security allows user or role level authorization the ability to see, update or delete data and/or objects (tiered access control).

DocFinity Response: DocFinity provides extremely robust security. First, group level feature rights control access to system features and functions. At the document type level, administrators can also configure document permissions. Permissions include list, view, delete, update, edit, override redactions, and view mark-ups. Furthermore, administrators can filter permissions based on metadata values.

6. Discuss options to inherit security roles from administrative applications such as Banner.

DocFinity Response: DocFinity provides the ability to import group security permissions from third party applications like Banner. Noteworthy is that there are feature rights that are specific to DocFinity that must be controlled from within the application itself.

7. The University desires that the system allow for a unified logon to the various components (e.g., object repository, viewing, workflow, etc). Discuss unified logon and any exception to unified logon.

DocFinity Response: DocFinity has one unified logon for all system functions.

7. Describe the system's capabilities to routinely log all failed authentications or unauthorized attempts to access Restricted or Highly Restricted information. Canned summary reports which highlight "suspicious activity" are preferred but not required.

DocFinity Response: DocFinity records all unauthorized logon attempts within the audit trail. Via permissions, DocFinity can control what is listed within the result sets when running queries. If a user is not permitted to view a particular document type, the result will not even appear in the hit list even though it meets the search criteria. Lastly, DocFinity can provide report queries which can run via the reporting tool of your choice to highlight suspicious activity.

8. Does system log administrative activities such as creating applications, modifying applications, adding users, changing security, etc.? Do any administrative activities trigger security alerts?

DocFinity Response: DocFinity logs all administrative activities within the secure audit trail within the database.

5.5 <u>Operating Software, Database and Languages</u>

1. What server operating systems are supported? In what order are the server operating systems tested for new releases? What is the offeror's preferred server operating system?

   DocFinity Response: DocFinity supports and is tested against both Windows and Linux. Our customer's operating system preferences vary, and we test both platforms in parallel.

2. What databases are supported? In what order are the databases tested for new releases? What is the offeror's preferred database?

   DocFinity Response: DocFinity supports Microsoft SQL Server and Oracle. Our database server preferences vary, and we test both platforms in parallel.

3. Please comment on support for Linux and Oracle for your entire product suite.

   DocFinity Response: Our QA policy is to test the current shipping version of Microsoft SQL Server and Oracle, as well as prior two versions.

4. Is the database entity relationship model published for our use with integration and reporting?

   DocFinity Response: Yes. It includes a full poster sized chart for convenience.

5. What database management functions are required and at what frequency? Does the offeror provide any services to automate or facilitate the database management functions?

   DocFinity provides database schema and complete relational data dictionary documentation to assist with database maintenance and health. Furthermore we provide a database maintenance guide as a best practices approach for maintaining database health, performance, and efficiency. Periodic database maintenance includes such things as adding database indexes to appropriate columns and tables, tuning indexes, running stack traces to monitor performance, database clean up performed under the guide lines of retention policies, and consistent backing up of the database.

   What programming language(s) is (are) used in your product development?

   DocFinity Response: The entire DocFinity Application Server is written in Java and will continue to be so. For the user interface, the next major release leverages modern HTML5 and JavaScript.

6. Discuss your system's use of separately licensed and installed software as compared to software that is embedded and self-contained in your product. Indicate if there is any separately licensed software that the University would need to purchase.

DocFinity Response: DocFinity includes all the necessary components for proper operation of the system. The only application that needs to be licensed outside of DocFinity is Kodak Capture Pro or any other third party capture solution for barcode and OCR processing provided by DocFinity Intelligent Capture, if desired.

5.6 Administration

5.6.1 Internally Support ECM

The University is equally willing to administer, maintain and grow the ECM system with internal resources or a hosted (cloud) option. The system must, at a minimum, provide the capability for University personnel to modify the following items without offeror involvement:

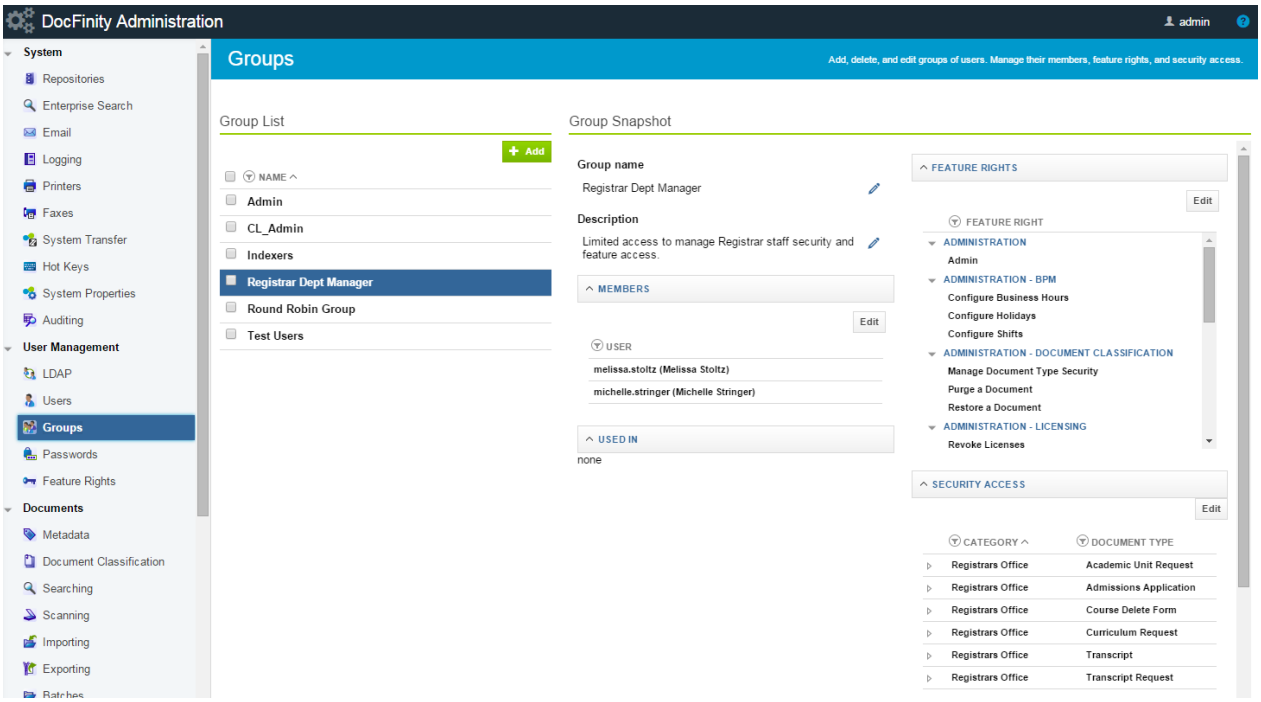
- User Setup/Authorization/Privileges
- System Security
- Interface interaction with host environment
- Add, change and delete imaging and ERM applications, document types, controlled value lists, etc.
- Record retention administration
- Perform backup and restore of the entire system
- Migrate applications, workflows, scripts etc. from test to dev or dev to production
- Disaster recovery

1. The offeror must describe, in detail, any parts of the solution, other than program object code, that requires offeror involvement for configuration.

DocFinity Response: DocFinity provides a complete training curriculum to provide the University with the product knowledge to administer and manage the system internally. No DocFinity involvement is required moving forward.

2. Discuss the process by which you delegate administration of access controls to the information owner (or designated custodian). List the administrative functions which may be delegated with limited rights (e.g. to departmental admin).

DocFinity Response: DocFinity permits the ability to assign any administrative function to departmental managers. This is all done though a point/click interface.



2. System Administration: Standard reports that describe applications and common tables are useful for documenting the installation and in support of administrative functions. At a minimum, the following reports should be available standard in the system or developed as part of deployment.

- System map
- Document types by application
- Index definitions by application
- Access and control security profiles: system and by application
- Where-used
  - Roles across applications and workflow
  - Users across applications
- Group and role participants
- Administrative reports such as low disk warnings, SQL table layouts, etc.
- Change tracking: application modifications, security modifications, role modifications, additions/deletions, rights changes, etc.

DocFinity Response: DocFinity provides the entire database entity schema and data dictionary. As for reporting, currently we provide a Stored Procedure Search to create reports using SQL, exports of all metadata searches into spreadsheets, and a wealth of data mining for multi-layer charts and graphs using DocFinity Dashboards. Many customers have a reporting tool which they use to create reports as well. Authentication of a user to the DocFinity database is required.

5.6.2 General System Access

1. The University requires complete access to the database and objects stored in the ECM system. Does the University have full rights to access the ECM database and ECM stored objects, including exporting/converting to another system, without the need for separately licensing software or the need to contract for services with the offeror?

   DocFinity Response: Yes, the database(s) and all content therein is accessible to the University without any separate licensing.

2. Has the access described above been made available to the University with the proposed software solution?

   DocFinity Response: We include the database schema and data dictionary free of charge to all licensees.

5.6.3 Redundant/Test Environment

The University requires that the solution have a fully redundant test environment and/or development environment separate from the production system. The goal of this system is to provide a "sandbox" for testing new releases, custom code, etc. and as a recovery site in the event that the production system becomes unavailable for any reason.

This redundant environment must allow the University to create, modify and test all aspects of the system. In addition, the system must allow the testing of integration between the ECM system and other University systems.

A. Please provide guidance on setting up test and dev environments including recommended hardware requirements separate from the production environment.

DocFinity Response: Contractually, customers are entitled to create Backup and/or Test environment to support the integrity, redundancy and validity of the production environment. Whenever possible, we recommend that separate Backup and Test environments be created on dedicated physical servers or VM instances that mimic the production environment as closely as possible.

If dictated by a lack of resources, the Backup and Test environments may co-exist on the one server, if necessary, as long as volume is limited and there are enough server resources available to support the multiple, concurrent instances.

B. Describe how software is migrated from test to dev, and dev to the production environment. Be specific.

DocFinity Response: Section 5.6.3 (Requirement #1) covers how DocFinity provides for separate stand-alone environments. When it's time to copy a configuration or setup from a test environment to production, DocFinity provides a tool that allows the administrator to pick and choose various configurations that they'd like to copy over. Once selected, they export to their desktop and drag the transfer file into their production environment. There is no file editing required.

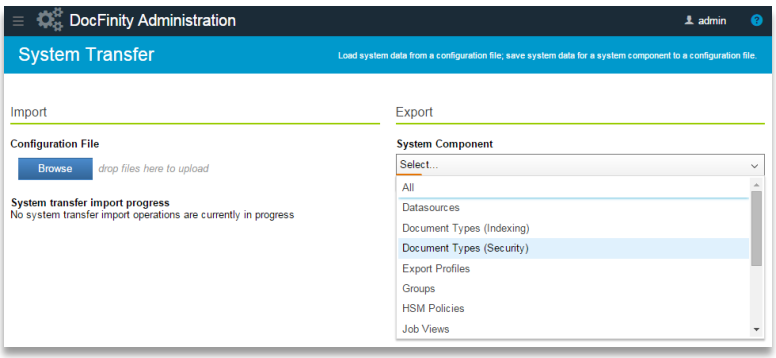


Figure 4 Administrator chooses which components to copy. "All" is optional.

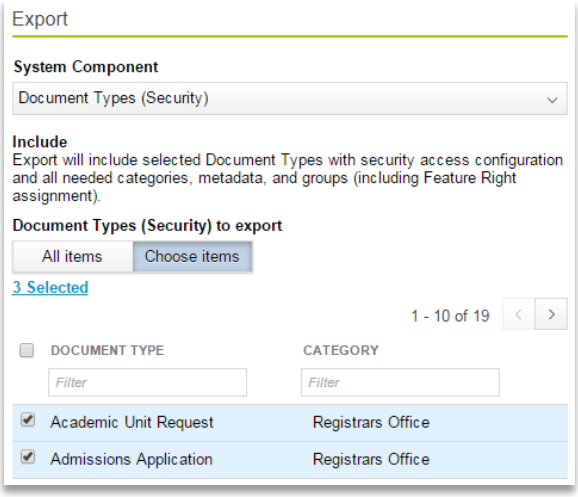


Figure 5 Administrator can more finely identify which items will be transferred.

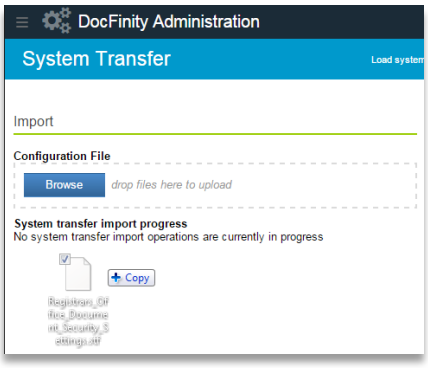


Figure 6 Drag and Drop Configuration into Target Production Environment.

6. Implementation and Support (Longwood)

6.1 Service and Maintenance

1. Offerors will describe software services and maintenance program options for the University for service and support programs including, at a minimum, 1) 8am to 5pm EST, 2) 6am to 6pm EST, and 3) available project-based off-hours support (weekend upgrades, etc.). Pricing must be included in Section XII.

   DocFinity Response: Technical Support is available Monday through Friday (excluding holidays) between 7:00AM through 7:00PM, EST. Emergency support is available at all other times for critical problems that, in the customer's reasonable opinion, must be addressed prior to the next scheduled commencement of regular Technical Support hours. Emergency support services are billable services that are not included in the annual software maintenance and support fees.

   All support communication channels are monitored around the clock. From 7AM to 7PM, Eastern Time, OIT staff handles call live. From 7PM to 7AM, Eastern Time, OIT support staff is on call. Our Support department is accessible by telephone (an 800 number) and email. Support issues are submitted by an online support ticket. Pricing is included in the pricing spreadsheet as requested.

2. Offerors will describe the office location from which training or support personnel will be dispatched to Farmville, VA. In addition, offerors will list the number of support locations by city and state (for any location that may provide support resources for the University) as well as the number of support personnel at each location. Note: Sales and administrative personnel are not to be included as support personnel.

   DocFinity Response: All professional services staff (including Training Staff) are dispatched from our corporate offices in State College, Pennsylvania. Any support issues flow through our Support Department there. This is designed to minimize the time to identify and remedy any support issues as soon as possible. There are currently 10 full time DocFinity Support Engineers backed up by a dedicated group from our QA (Quality Assurance) Department as well as a dedicated staff from our Development Team. The University will be assigned a DocFinity Support Engineer for a single point contact for communication.

3. Describe the warranty offered with your product(s). Do the same support commitments apply during the warranty period (that is, response time, and so on) as during the maintenance contract period?

   DocFinity Response: OIT warranty is supplied within the Software License Agreement.

OIT makes no Warranties except as expressly provided herein.

OIT warrants that the media on which a Product is furnished to be free from defects in materials and workmanship for the life of the products from the date of delivery to CUSTOMER. OIT warrants that the Licensed Software, as delivered by OIT, is an accurate version and will reasonably conform to the material specifications as described in The Licensed Documentation. OIT warrants the provision of expedient and professional service and support when problems and errors with the software occur in a manner consistent with industry standards. CUSTOMER acknowledges that OIT's performance with regard to software maintenance and support is governed by the terms and conditions set forth in this Master Agreement.

OIT shall replace any media that is defective in materials and workmanship throughout the life of the Products. Such defective media must be returned to OIT, or its assigns together with a copy of CUSTOMER's receipt or other proof of payment. OIT shall replace defective media within 5 business days of CUSTOMER's notification to OIT that said media is defective.

OIT warrants, and accepts liability in the event that such should occur, that the source code of the Products contain no specific code, mechanisms, or features intended to shut down or terminate, either automatically or remotely, the Products. Though software error, user error, or hardware/network problems could cause the Products to not function or to shut down, there is no programmed "time bomb" feature within the source code of the Products.

Lastly, the support commitments are consistent through the warranty period and maintenance contract period.

4. Please describe services available through offeror's knowledge base portal, offeror support portal, etc.

DocFinity Response: OIT provides a documentation portal that can be accessed by any customer current with maintenance. The OIT support portal includes software documentation, release notes, Frequently Asked Questions, discussion and user group forums, as well as our Customer Alliance Board (CAB) webinars and shared best-practice information.

6.2 Training

1. List the locations of your training facilities. Will offeror host training sessions at the University?

DocFinity Response: DocFinity provides training based on customer choice. We can provide training on-site, training at our headquarters in State College, and/or on line web based training sessions. Typically, initial training is usually conducted on site. Additional training can occur via remote web based sessions.

2. Describe your approach to training system administrators, business analysts and technical leads.

DocFinity Response: DocFinity provides curriculum-based training classes for system administrators, business analysts and technical leads. All project team members are encouraged to attend the DocFinity Core Training. This provides a foundation for the remainder of module-based classes.

3. Describe your approach to training end users prior to going live.

DocFinity Response: Typically, OIT works in a "train the trainer" mode. If end user training is required, OIT offers customized end-user training with solution-specific documentation and class delivery.

4. List all required and recommended classes and cost in the Pricing Schedule in Section XII.

DocFinity Response: Please see attached Pricing Schedule.

5. List all online training options.

DocFinity Response: Our complete curriculum is currently offered via online training.

Please see attached Training Courses and Syllabus.

6. Describe your approach to new employee training and continuous improvement.

DocFinity Response: Training is available upon customer request. We can provide training on site or a trainer hosted online session. Furthermore, we provide a self-paced on line option that can be leveraged as the client requires based on their own time table and pace. This can be part of a continuous training and improvement program.

6.3 Implementation Requirements

6.3.1 Year 1 Implementation Personnel Requirements

Year 1 implementation will focus on the Admission process and converting documents currently stored in Nolij Web by other departments. If time allows, a second implementation will also be undertaken that year.

Offerors will present their standard implementation methodology for standing up the ECM system and building out the first department (Undergraduate Admission). What is a reasonable expectation for the number of days' professional services that would be required to stand up the system and support the University staff as they create application(s) and workflows for the Admission process that will include:

a. Application definition (doc types, indices, controlled value lists, roles, security, etc.)
b. Scanning application
c. Simple records retention assignment
d. Approval and routing workflows with reporting
e. Viewing with annotation and other toolkit tests

DocFinity Response: We can offer this as a guideline right know. As we work with you and better understand the needs of the University, these numbers may vary. Typically we find that this results in less days needed. There are many factors that affect timeline of an implementation including staff availability, travel arrangements, internal University resources schedules. Taking those factors out of the equation, we would be looking at the following timeline:

Training – 13 days
System Design – 30 hours
Workflow Design and Implementation – 40 hours
Integration and Consulting – 40 hours
Installation and Configuration – 30 hours
QA Testing – 20 hours
Go Live Support – 3 days
Project Management – 20 hours

Total to stand up production environment: 16 days (on-site) and 180 hours (remote)

2. Offerors will briefly describe the University and offeror's business and technical resources (roles) required during the design, planning and implementation stages of the project year 1 implementation.

DocFinity Response: Based on experience, DocFinity would recommend the following resources for the project. Some of these skill sets may reside in the same physical resource:

System Administrator
Departmental Content Experts
Business Analysts

DB Administrator
Server Support
Desktop Support
Training
Programmer

From the DocFinity side, we would assign various resources throughout the project based on needs and requirements:

DocFinity Consultant: A DocFinity consultant is a versatile individual that combines technical expertise with the ability to teach and collaborate with your team. They are tasked with the actual installation, configuration, and initial testing of the installed DocFinity environment. Consultants also provide end-user training on the implemented solution so that your personnel are ready to immediately begin working with DocFinity.

Technical Architect: Optimization and maintenance of the installed environment are critical to maintaining an outstanding level of performance. Hardware needs and day-forward planning of system architecture needs are a technical architect's area of expertise. They are highly accomplished in the knowledge of DocFinity design and best practices, and they work with your system administrators to ensure that your DocFinity solution continues to deliver outstanding performance for many years to come.

Project Manager: Manages the overall scope, communication, budgetary resources, and progress of the project. The Project Manager is the primary point of contact for communication with your own project team.

Solution Architect: The overall scale and shape of DocFinity can be greatly customized to fit each customer's circumstances. A solution architect evaluates the enterprise content management needs of your business, in order to map the best possible system design strategy for the upcoming professional services.

Business Analyst: The business analyst is engaged to work together with your team in focused process design discussions, the goal of which is to construct business process model designs that best meets the current and future needs of your institution.

Implementation Analyst: Understanding the customer environment parameters and methodology by which the DocFinity software will function is the role of the implementation analyst. They work closely with the customer project team to evaluate and establish the specifics of the installation configuration, so that DocFinity can be specifically tailored to the customer's systems and procedures.

Trainer: Delivers the DocFinity curriculum courses.

3. For the University and offeror, provide the recommended time commitment for each resource as a percentage of an FTE (for more than one FTE, use a percentage greater than 100%; e.g., 1 ½ FTE equals 150%). Use your experience in similar institutions as a basis.

	Longwood University	
Resource	**% of FTE implementation**	**% of FTE post implementation**
System administrator	100	50
Department SME	20	20
Business Analyst	75	10
Database Administrator	10	5
Server support	50	15
Desktop support	25	15
Trainer	100	0
Programmer	50	10

4. Offerors will provide costs for their recommended implementation support professional services in Section XII.

DocFinity Response: See attached Pricing Schedule..

6.3.2 Post Implementation Personnel Requirements

1. Offerors will present their typical on-going implementation support methodology and recommendation after Year 1 (first implementation).

DocFinity Response: During production roll-out, DocFinity Professional Services provides remote production support. In this scenario, we are here to provide production assistance should any issues arise. Should the issue be software related, this will be handed off to our Technical Support team for resolution.

2. Offerors will briefly describe typical University and offeror business and technical resources required during the ongoing deployment across campus. These estimates should be based on a University-wide deployment as well as offeror/integrator experience in similar institutions. State assumptions.

DocFinity Response: At our current sites, expansion is mostly done by the customer themselves. DocFinity Professional Services provides a support role whenever necessary. It is highly recommended to budget a specified amount for DocFinity Professional Services each year to assist when needed. We only bill for actual time used. Success of expansion at an institution is very dependent on the team at the University.

6. Higher Education Specific Support

Describe the offeror's knowledge of ECM implementations in higher education, use of best practices gleaned from past higher education implementations, and general on-site and phone support that is knowledgeable about, and dedicated to, the higher education market.

DocFinity Response: DocFinity has been implementing solutions in Higher Education since 1986. We have over 25 years of experience installing ECM within the various areas of a university including student services, administrative areas, and academic colleges. Many members of our staff have implemented and managed ECM solutions (including DocFinity) within institutions prior to joining DocFinity. Our Director of Professional Services developed and managed one of our implementations at The Pennsylvania State University. One of our Business Analysts was a System Analyst and Consultant at The Ohio State University assisting the various departments with implementation of DocFinity in their particular business processes. We have a Customer Alliance Board (called CAB) that advises Executive Management at DocFinity on product and company direction. Our convener of CAB is a Director with one of our Higher Education customers. Lastly, our staff has provided presentations at many of the Higher Education conferences. In short, we have many years implementing and supporting ECM within higher education and provide the needed knowledge and best practices to successfully assist the University.

7. Additional Functionality Available

The University or any institution accessing the contract, reserves the right to add additional functionality/products during the life of the contract. Please provide information regarding the additional functionalities below and any others available for the Entities to consider.

7.1 Overview of Current Environment (UMW)

UMW is seeking a web-based applicant/recruitment data matching, review and upload solution(s). It is expected that the fully automated solution will improve efficiency and decrease the time and costs associated with entering applications, application supplemental documents, prospective student records, transcripts, test scores, awards, etc. into the Banner Database.

UMW operates on a Windows client-based and Windows and Linux Server-based environment running on Intel architecture. Software solutions run in a 64-bit architecture physical server or virtual (VMware) environment. The University uses open architecture and Open Database Compliant (ODBC) compatibility. The University runs Oracle RDBMS and Microsoft SQL Server as its database. The University runs its Enterprise Network on a switched Ethernet environment.

7.1.1 Specifications (UMW)

A. **Required Features (UMW)**

1. Integration directly with Banner software and tables.
2. Support for all currently supported releases of ORACLE
3. Support for API interface with 3rd outside parties
4. Ability to upload information collected through web forms, electronic data files, and virtually any other data format.
5. Secure login, end user security interface and ability to create custom data loads.
6. Customizable imports including a full-featured programmable user interface for in-house usage, maintenance and enhancements.
7. The ability to upload electronic data from Common Application, XAP, CollegeNet, College Board, Educational Testing Service, and other providers.
8. Capture and load hand printed data from paper applications and prospect cards.
9. Compare input records to potential matches in Banner and automatically add or update information in real time using data matching rules established by UMW.
10. Provide automated formatting and address standardization, code lookups and data validations provided by UMW.
11. Provide detailed auditing and reporting capabilities.
12. Must be an open web based system with all matching and uploading steps fully configurable by UMW staff with role level access.
13. Provide online and specialized training and User Support.
14. Provide reports of data matching and upload statistics.

B. **System Specifications and Operations (UMW)**

- Provide an overview of network architecture requirements.
- Provide an overview of the system architecture
- Specify security capabilities and levels, including password management and encryption, controlling access to staff functions, audit trails, and encrypted communications.
- Describe capabilities for integrating the system with campus LDAP and/or CAS.
- What is the vendor-recommended server configuration for the software (processing power, disk space and memory needed)?
- What is the vendor recommended OS for the solution/application? i.e. Windows, Linux

- What are the vendor recommended/required database software and maintenance requirements for the system/application i.e. Oracle, Microsoft Sequel?
- What are the vendor recommended/required web-browser requirements for workstations running the system/application? (manufacturer, version, required plug-ins)
- What are the vendor recommended/required hardware and OS requirements for workstations running the system/application?
- What are the vendor's recommendations/requirements/suggestions for backing up the application and/or data?
- What is the vendor's recommendation for configuring the software/system for fault tolerance and redundancy?
- What is the vendor's process for configuring the software solution (include multiple user environments, internal and external interfaces, telecommunications links, and security)?
- Does the vendor require remote access to UMW systems?
- Does the vendor offer consulting services for implementation of the solution and if so at what rates?
- Does the software solution support multiple environments (i.e. ability to run concurrently for development, testing, training, and production)?
- Does the contractor allow UMW to have multiple instances of the software solution installed without incurring additional costs (i.e. development, test, training, production)?
- How is the product licensed? (site, concurrent users, named users, etc.)
- What type of support is provided to users of the service/system – both technical, and functional?
- How are upgrades, patches and other maintenance performed?
- What training offerings (online, or otherwise) does the vendor offer for implementation?
- How often are new features introduced?
- What is the vendor timeframe for future enhancements or functionality requested but not yet available?
- What is the vendor's ADA Section 508 compliance? Can you provide a copy of the "Voluntary Product Accessibility Template (VPAT)"?
- Provide a list of other items not noted elsewhere that are required for implementation or maintenance of your system as well as an explanation of their benefits.

- Provide a list of other items not noted elsewhere that may be useful for implementation or maintenance of your system as well as an explanation of their benefits.
- Describe procedures, such as source code escrow, to protect an institution's use of the software if the vendor enters bankruptcy proceedings.

V. **PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS**:

A. GENERAL INSTRUCTIONS:

1. RFP Response: In order to be considered, offerors must submit a complete response to
Longwood by the due date and time stated in this RFP. Offerors are required to submit

one (1) signed original hardcopy (paper) of the entire proposal including all attachments and proprietary information; five (5) additional hardcopies (paper) including all attachments and proprietary information and one (1) copy of the proposal as a PDF file including all attachments and proprietary information must be submitted in electronic format (e.g., CD or Flash Drive). If the proposal contains proprietary information, a redacted copy of the proposal in electronic format must also be submitted. The offeror shall make no other distribution of the proposals.

2. Proposal Preparation:

a. Proposals shall be signed by an authorized representative of the offeror. All information requested should be submitted. Failure to submit all information requested may result in the purchasing agency requiring prompt submission of missing information and/or giving a lowered evaluation of the proposal. Proposals which are substantially incomplete or lack key information may be rejected by the purchasing agency. Mandatory requirements are those required by law or regulation or are such that they cannot be waived and are not subject to negotiation.

b. Proposals should be prepared simply and economically, providing a straightforward, concise description of capabilities to satisfy the requirements of the RFP. Emphasis should be placed on completeness and clarity of content.

c. Proposals should be organized in the order in which the requirements are presented in the RFP. All pages of the proposal should be numbered. Each paragraph in the proposal should reference the paragraph number of the corresponding section of the RFP. It is also helpful to cite the paragraph number, subletter, and repeat the text of the requirement as it appears in the RFP. If a response covers more than one page, the paragraph number and subletter should be repeated at the top of the next page. The proposal should contain a table of contents which cross-references the RFP requirements. Information which the offeror desires to present that does not fall within any of the requirements of the RFP should be inserted at an appropriate place or be attached at the end of the proposal and designated as additional material. Proposals that are not organized in this manner risk elimination from consideration if the evaluators are unable to find where the RFP requirements are specifically addressed.

d. As used in this RFP, the terms “must”, “shall”, “should” and “may” identify the criticality of requirements. “Must” and “shall” identify requirements whose absence will have a major negative impact on the suitability of the proposed solution. Items labeled as “should” or “may” are highly desirable, although their absence will not have a large impact and would be useful, but are not necessary. Depending on the overall response to the RFP, some individual “must” and “shall” items may not be fully satisfied, but it is the intent to satisfy most, if not all, “must” and “shall” requirements. The inability of an Offeror to satisfy a “must” or “shall” requirement does not automatically remove that Offeror from consideration; however, it may seriously affect the overall rating of the Offerors’ proposal.

e. Each copy of the proposal should be bound or contained in a single volume where practical. All documentation submitted with the proposal should be contained in that single volume.

f. Ownership of all data, materials, and documentation originated and prepared for the State pursuant to the RFP shall belong exclusively to the State and be subject to public inspection in accordance with the *Virginia*

Freedom of Information Act. Trade secrets or proprietary information submitted by an offeror shall not be subject to public disclosure under the *Virginia Freedom of Information Act*; however, the offeror must invoke the protections of § 2.24342F of the *Code of Virginia*, in writing, either before or at the time the data or other material is submitted. The written notice must specifically identify the data or materials to be protected and state the reasons why protection is necessary. The proprietary or trade secret material submitted must be identified by some distinct method such as highlighting or underlining and must indicate only the specific words, figures, or paragraphs that constitute trade secret or proprietary information. The classification of an entire proposal document, line item prices, and/or total proposal prices as proprietary or trade secrets is not acceptable and will result in rejection of the proposal.

3. Oral Presentation: Offerors who submit a proposal in response to this RFP may be required to give an oral presentation of their proposal to the agency. This provides an opportunity for the offeror to clarify or elaborate on the proposal. This is a fact finding and explanation session only and does not include negotiation. The issuing agency will schedule the time and location of these presentations. Oral presentations are an option of the purchasing agency and may or may not be conducted, therefore, proposals should be complete when submitted.

B. SPECIFIC PROPOSAL INSTRUCTIONS: Proposals should be as thorough and detailed as possible so that the Entities may properly evaluate the offeror's capabilities to provide the required goods/services. Offerors are required to submit the following items as a complete proposal:

1. Return the RFP cover sheet and all addenda acknowledgments, if any, signed and filled out as required.

2. Return Offeror Data Sheet, included as an attachment to the RFP.

3. A written narrative statement to include:

    a. A brief company history, to include number of employees in the company and the number of employees working in the ECM segment, by job description.

    b. Description of qualifications and experience providing the goods/services described herein.

c. Information on current software clients, including:

(i) Total number of clients

(ii) List of clients with similar needs using the same solution(s) proposed.

(iii) Evidence of successful completion of a project of a similar size/complexity.

(iv) List of higher education ECM customers added in the past three (3) years.

(v) List of higher education ECM customers who have ceased using your solution.

(vi) Geographic reach of the offeror.

DocFinity Response: DocFinity has 25 years of experience satisfying the needs of the Higher Education industry and being a leader in the enterprise content management (ECM) marketplace. DocFinity delivers a modern enterprise solution where main design goals include: ease of use, flexibility, and robustness – all of which needed to be delivered at a realistic price point. For the past 25 years we've backed this solution with solid and industry recognized support and professional services.

These, as well as the points below, are the main differentiators between us and our competitors:

- A flexible platform
- Modern architecture
- Simple administration
- Published Web Services/API's
- Continuous upgrades and enhancements available
- Responsive, dedicated technical support
- Up-to-date technologies
- Configurable workflow/BPM

In addition, DocFinity is widely recognized within our industry and community for producing leading-edge products and the benefits we afford our customers.

Some awards include:

- 2012 Winner, AIIM Carl E. Nelson Best Practices Award, Large Company Category, Loyola University Chicago ECM Implementation
- 2011, Awarded Kodak Top Capture Pro ISV
- 2011 Winner, AIIM Carl E. Nelson Best Practices Award, Small Company Category, ECM Implementation
- 2010 University Business Models of Efficiency Award-University Business (for Palm Beach State College's implementation of DocFinity in Financial Aid)
- 2010 Finalist, AIIM Carl E. Nelson Best Practices Award, Small Company Category, ECM Implementation
- 2009 KM Promise Award, Finalist-KM Word Magazine
- 2009 Winner, AIIM Carl E. Nelson Best Practices Award, Large Company Category, ECM Implementation
- 2008 I-Cubed Award-Integrated Solutions Magazine (Penn State University's AIS department)

OIT currently employs 61 employees. Current employee breakdown includes:

- Development – 32%
- Technical Support – 20%
- Testing Q/A – 16%
- Sales/Marketing – 11%
- Professional Services – 16%
- Administration – 5%

DocFinity has licensed over 3000 servers, over 100,000 concurrent users, and billions of managed pages in organizations worldwide.

Customer	Date Licensed
Association of American Medical Colleges	3/16/2000
Connecticut Student Loan	5/4/2000
Florida State University	10/23/2000
Iowa State University	6/2/2004
Loyola University of Chicago	7/22/2008
Marywood University	11/23/2009
National Education Servicing	3/31/2001
Nichols College	3/17/2014
Ohio State University	2/27/2001
Palm Beach State College	9/27/2006
Penn State University	8/12/1997
Shippensburg University	8/1/1993
St. Catherine's University	9/11/2012
State College Area School District	4/11/2005
UNID University	8/21/2015
Vanderbilt University	7/1/2000
Wesleyan University	3/12/2014
Williams College	2/11/2013
University of Chicago	10/17/2001
University of Detroit Mercy	8/20/1993
University of PA Health Systems	11/24/2003

d. Additional goods/services the offeror can provide for Longwood to consider.

4. Provide income statement and balance sheet for each of the two most recently completed fiscal years, certified by a public accountant.

DocFinity Response: Please see attached financial information package.

5. If offeror will be working with a Value Added Reseller (VAR), offeror shall provide the same information for the VAR as above. The University will consider procuring the ECM solution directly from the manufacturer or through a qualified VAR.

DocFinity Response: Optical Image Technology sells & supports its own products.

6. List all of the higher education contracts offeror has been awarded that are similar to the University in size and requirements (i.e., ~5,000 students with one main campus, small satellite locations, graduate programs and professional studies) and which have been installed with at least one department "live" for one year. For each institution, provide the year of the first installation.

Customer	Date Licensed
Association of American Medical Colleges	3/16/2000
Connecticut Student Loan	5/4/2000
Florida State University	10/23/2000
Iowa State University	6/2/2004
Loyola University of Chicago	7/22/2008
Marywood University	11/23/2009
National Education Servicing	3/31/2001
Nichols College	3/17/2014
Ohio State University	2/27/2001
Palm Beach State College	9/27/2006
Penn State University	8/12/1997
Shippensburg University	8/1/1993
St. Catherine's University	9/11/2012
State College Area School District	4/11/2005
UNID University	8/21/2015

Vanderbilt University	7/1/2000
Wesleyan University	3/12/2014
Williams College	2/11/2013
University of Chicago	10/17/2001
University of Detroit Mercy	8/20/1993
University of PA Health Systems	11/24/2003

7. Provide the names, qualifications and experience (resume) of personnel to be assigned to the project.

   DocFinity Response: Please see the attached Overview & Qualifications of our team.

8. Specific plans for providing the proposed goods/services including:

   a. A complete and detailed description of the offeror's methodology and plan for providing the goods/services described herein.

      DocFinity Response: Please see attached Project Outline.

   b. Timeline for providing the goods/services described herein.
      DocFinity Response: Please see attached Project Outline.

9. Proposed Price (see Section XII. of the RFP).

   DocFinity Response: Please see attached pricing schedule.

10. Small Business Subcontracting Plan (SBSP) – Summarize the planned utilization of DSBSD-certified small businesses which include businesses owned by women and minorities, when they have received DSBSD small business certification, under the contract to be awarded as a result of this solicitation. This is a requirement for all prime contracts in excess of $100,000 unless the solicitation has been set-aside for small businesses or no subcontracting opportunities exist. A SBSP template is included in this RFP as Attachment B and must be returned with the proposal.

VI. **EVALUATION AND AWARD CRITERIA**:

A. EVALUATION CRITERIA: Proposals will be evaluated by the best value perceived by Longwood using the following criteria:

	CRITERIA	POINT VALUE
1.	Company profile demonstrating long-term financial stability and depth of industry experience	5
2.	Product functionality and ability to meet the requirements set forth herein, specifically those functions unique to higher education	20
3.	Product technical platform	20
4.	Training and implementation support, including resources to train new staff and support for continuous improvement	20
5.	Small Business Subcontracting Plan	20
6.	Price	10
7.	References	5
	TOTAL	100

B. AWARD OF CONTRACT: Selection shall be made of two or more offerors deemed to be fully qualified and best suited among those submitting proposals on the basis of the evaluation factors included in the RFP, including price, if so stated in the RFP. Negotiations shall be conducted with the offerors so selected. After negotiations have been conducted with each offeror so selected, Longwood shall select the offeror(s) which, in its opinion, has made the best proposal, and shall award the contract to the offeror(s). Longwood may cancel this RFP or reject proposals at any time prior to an award, and is not required to furnish a statement of the reasons why a particular proposal was not deemed to be the most advantageous. (Section 11-65D, *Code of Virginia*.) Should Longwood determine in writing and in its sole discretion that only one offeror is fully qualified, or that one offeror is clearly more highly qualified than the others under consideration, a contract may be negotiated and awarded to that offeror. The award document will be a contract incorporating by reference all the requirements, terms and conditions of the solicitation and the offeror's proposal as negotiated.

VII. **CONTRACT ADMINISTRATION**: Upon award of the contract, Longwood shall designate, in writing, the name of the Contract Administrator who shall work with the contractor in formulating mutually acceptable plans and standards for the operations of this service. The

Contract Administrator shall use all powers under the contract to enforce its faithful performance. The Contract Administrator shall determine the amount, quality and acceptability of work and shall decide all other questions in connection with the work. All direction and order from Longwood shall be transmitted through the Contract Administrator, or their designee(s) however, the Contract Administrator shall have no authority to approve changes which shall alter the concept or scope of the work or change the basis for compensation to the contractor.

VIII. **OPTIONAL PRE-PROPOSAL CONFERENCE**: An optional pre-proposal conference will be held on September 10, 2015 at 1:30 p.m. in the Bristow Hall Conference Room (#211). The purpose of this conference is to allow potential offerors an opportunity to present questions and obtain clarification relative to any facet of this solicitation.

While attendance at this conference will not be a prerequisite to submitting a proposal, offerors who intend to submit a proposal are encouraged to attend. Please bring a copy of the solicitation with you. Any changes resulting from this conference will be issued in a written addendum to the solicitation.

IX. **GENERAL TERMS AND CONDITIONS**:

A. **PURCHASING MANUAL:** This solicitation is subject to the provisions of the Commonwealth of Virginia's Purchasing Manual for Institutions of Higher Education and Their Vendors and any revisions thereto, which are hereby incorporated into this contract in their entirety. A copy of the manual is available for review at the purchasing office. In addition, the manual may be accessed electronically at https://vascupp.org.

B. **APPLICABLE LAWS AND COURTS:** This solicitation and any resulting contract shall be governed in
all respects by the laws of the Commonwealth of Virginia and any litigation with respect thereto shall be brought in the courts of the Commonwealth. The agency and the contractor are encouraged to resolve any issues in controversy arising from the award of the contract or any contractual dispute using Alternative Dispute Resolution (ADR) procedures (*Code of Virginia*, § 2.2-4366). ADR procedures are described in Chapter 9 of the *Vendors Manual.* The contractor shall comply with all applicable federal, state and local laws, rules and regulations.

C. **ANTI-DISCRIMINATION:** By submitting their proposals, offerors certify to the Commonwealth that they will conform to the provisions of the Federal Civil Rights Act of 1964, as amended, as well as the Virginia Fair Employment Contracting Act of 1975, as amended, where applicable, the Virginians With Disabilities Act, the Americans With Disabilities Act and § 2.2-4311 of the *Virginia Public Procurement Act (VPPA).* If the award is made to a faith-based organization, the organization shall not discriminate against any recipient of goods, services, or disbursements made pursuant to the contract on the basis of the recipient's religion, religious belief, refusal to participate in a religious practice, or on the basis of race, age, color, gender or national origin and shall be subject to the same rules as other organizations that contract with public bodies to account for the use of the funds provided; however, if the faith-based organization segregates public funds into separate accounts, only the accounts and programs funded with public funds shall be subject to audit by the public body. (*Code of Virginia*, § 2.2-4343.1E).

In every contract over $10,000 the provisions in 1. and 2. below apply:

1. During the performance of this contract, the contractor agrees as follows:

   a. The contractor will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment, except where there is a bona fide occupational qualification reasonably necessary to the normal operation of the contractor. The contractor agrees to post in

conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.

b. The contractor, in all solicitations or advertisements for employees placed by or on behalf of the contractor, will state that such contractor is an equal opportunity employer.

c. Notices, advertisements and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient for the purpose of meeting these requirements.

2. The contractor will include the provisions of 1. above in every subcontract or purchase order over $10,000, so that the provisions will be binding upon each subcontractor or vendor.

D. **ETHICS IN PUBLIC CONTRACTING:** By submitting their proposals, offerors certify that their proposals are made without collusion or fraud and that they have not offered or received any kickbacks or inducements from any other offeror, supplier, manufacturer or subcontractor in connection with their proposal, and that they have not conferred on any public employee having official responsibility for this procurement transaction any payment, loan, subscription, advance, deposit of money, services or anything of more than nominal value, present or promised, unless consideration of substantially equal or greater value was exchanged.

E. **IMMIGRATION REFORM AND CONTROL ACT OF 1986:** By entering into a written contract with
the Commonwealth of Virginia, the Contractor certifies that the Contractor does not, and shall not during the performance of the contract for goods and services in the Commonwealth, knowingly employ an unauthorized alien as defined in the federal Immigration Reform and Control Act of 1986.

F. **DEBARMENT STATUS:** By submitting their proposals, offerors certify that they are not currently debarred by the Commonwealth of Virginia from submitting bids or proposals on contracts for the type of goods and/or services covered by this solicitation, nor are they an agent of any person or entity that is currently so debarred.

G. **ANTITRUST:** By entering into a contract, the contractor conveys, sells, assigns, and transfers to the Commonwealth of Virginia all rights, title and interest in and to all causes of action it may now have or hereafter acquire under the antitrust laws of the United States and the
Commonwealth of Virginia, relating to the particular goods or services purchased or acquired by the Commonwealth of Virginia under said contract.

H. **MANDATORY USE OF STATE FORM AND TERMS AND CONDITIONS FOR IFBs AND RFPs:** Failure to submit a proposal on the official state form provided for that purpose may be a cause for rejection of the proposal. Modification of or additions to the General Terms and Conditions of the solicitation may be cause for rejection of the proposal; however, the Commonwealth reserves the right to decide, on a case by case basis, in its sole discretion, whether to reject such a proposal.

I. **CLARIFICATION OF TERMS:** If any prospective offeror has questions about the specifications or other solicitation documents, the prospective offeror should contact the buyer whose name appears on the face of the solicitation no later than five working days before the due date. Any revisions to the solicitation will be made only by addendum issued by the buyer.

J. **PAYMENT:**

1. To Prime Contractor:

a. Invoices for items ordered, delivered and accepted shall be submitted by the
contractor directly to the payment address shown on the purchase order/contract. All invoices shall show the state contract number and/or purchase order number; social security number (for individual contractors) or the federal employer identification number (for proprietorships, partnerships, and corporations).

b. Any payment terms requiring payment in less than 30 days will be regarded as requiring payment 30 days after invoice or delivery, whichever occurs last. This shall not affect offers of discounts for payment in less than 30 days, however.

c. All goods or services provided under this contract or purchase order, that are to be paid for with public funds, shall be billed by the contractor at the contract price, regardless of which public agency is being billed.

d. The following shall be deemed to be the date of payment: the date of postmark
in all cases where payment is made by mail, or the date of offset when offset proceedings have been instituted as authorized under the Virginia Debt Collection Act.

e. **Unreasonable Charges**. Under certain emergency procurements and for most time and material purchases, final job costs cannot be accurately determined at the time orders are placed. In such cases,

contractors should be put on notice that final payment in full is contingent on a determination of reasonableness with respect to all invoiced charges. Charges which appear to be unreasonable will be researched and challenged, and that portion of the invoice held in abeyance until a settlement can be reached. Upon determining that invoiced charges are not reasonable, the Commonwealth shall promptly notify the contractor, in writing, as to those charges which it considers unreasonable and the basis for the determination. A contractor may not institute legal action unless a settlement cannot be reached within thirty (30) days of notification. The provisions of this section do not relieve an agency of its prompt payment obligations with respect to those charges which are not in dispute (*Code of Virginia,* § 2.2-4363).

2. To Subcontractors:

   a. A contractor awarded a contract under this solicitation is hereby obligated:

      (1) To pay the subcontractor(s) within seven (7) days of the contractor's receipt of payment from the Commonwealth for the proportionate share of the payment received for work performed by the subcontractor(s) under the contract; or

      (2) To notify the agency and the subcontractor(s), in writing, of the contractor's intention to withhold payment and the reason.

   b. The contractor is obligated to pay the subcontractor(s) interest at the rate of
   one percent per month (unless otherwise provided under the terms of the contract) on all amounts owed by the contractor that remain unpaid seven (7) days following receipt of payment from the Commonwealth, except for amounts withheld as stated in (2) above. The date of mailing of any payment by U. S. Mail is deemed to be payment to the addressee. These provisions apply to each sub-tier contractor performing under the primary contract. A contractor's obligation to pay an interest charge to a subcontractor may not be construed to be an obligation of the Commonwealth.

3. Each prime contractor who wins an award in which provision of a SWAM procurement plan is a condition to the award, shall deliver to the contracting agency or institution, on or before request for final payment, evidence and certification of compliance (subject only to insubstantial shortfalls and to shortfalls arising from subcontractor default) with

the SWAM procurement plan. Final payment under the contract in question may be withheld until such certification is delivered and, if necessary, confirmed by the agency or institution, or other appropriate penalties may be assessed in lieu of withholding such payment.

4. The Commonwealth of Virginia encourages contractors and subcontractors to accept electronic and credit card payments.

K. **PRECEDENCE OF TERMS:** Paragraphs A through J of these General Terms and Conditions and the
Commonwealth of Virginia Purchasing Manual for Institutions of Higher Education and their

Vendors, shall apply in all instances. In the event there is a conflict between any of the other General Terms and Conditions and any Special Terms and Conditions in this solicitation, the Special Terms and Conditions shall apply.

L. **QUALIFICATIONS OF OFFERORS:** The Commonwealth may make such reasonable investigations as deemed proper and necessary to determine the ability of the offeror to perform the services/furnish the goods and the offeror shall furnish to the Commonwealth all such information and data for this purpose as may be requested. The Commonwealth reserves the right to inspect offeror's physical facilities prior to award to satisfy questions regarding the offeror's capabilities. The Commonwealth further reserves the right to reject any proposal if the evidence submitted by, or investigations of, such offeror fails to satisfy the Commonwealth that such offeror is properly qualified to carry out the obligations of the contract and to provide the services and/or furnish the goods contemplated therein.

M. **TESTING AND INSPECTION:** The Commonwealth reserves the right to conduct any test/inspection it may deem advisable to assure goods and services conform to the specifications.

N. **ASSIGNMENT OF CONTRACT:** A contract shall not be assignable by the contractor in whole or in part without the written consent of the Commonwealth.

O. **CHANGES TO THE CONTRACT:** Changes can be made to the contract in any of the following ways:

1. The parties may agree in writing to modify the terms, conditions, or scope of the contract. Any additional goods or services to be provided shall be of a sort that is ancillary to the contract goods or services, or within the same broad product or service categories as were included in the contract award. Any increase or decrease in the price

of the contract resulting from such modification shall be agreed to by the parties as a part of their written agreement to modify the scope of the contract.

2. The Purchasing Agency may order changes within the general scope of the contract at any time by written notice to the contractor. Changes within the scope of the contract include, but are not limited to, things such as services to be performed, the method of packing or shipment, and the place of delivery or installation. The contractor shall comply with the notice upon receipt, unless the contractor intends to claim an adjustment to compensation, schedule, or other contractual impact that would be caused by complying with such notice, in which case the contractor shall, in writing, promptly notify the Purchasing Agency of the adjustment to be sought, and before proceeding to comply with the notice, shall await the Purchasing Agency's written decision affirming, modifying, or revoking the prior written notice. If the Purchasing Agency decides to issue a notice that requires an adjustment to compensation, the contractor shall be compensated for any additional costs incurred as the result of such order and shall give the Purchasing Agency a credit for any savings. Said compensation shall be determined by one of the following methods:

   a. By mutual agreement between the parties in writing; or

   b. By agreeing upon a unit price or using a unit price set forth in the contract, if the work to be done can be expressed in units, and the contractor accounts for the number of units of work performed, subject to the Purchasing Agency’s right to audit the contractor’s records and/or to determine the correct number of units independently; or

   c. By ordering the contractor to proceed with the work and keep a record of all costs incurred and savings realized. A markup for overhead and profit may be allowed if provided by the contract. The same markup shall be used for determining a decrease in price as the result of savings realized. The contractor shall present the Purchasing Agency with all vouchers and records of expenses incurred and savings realized. The Purchasing Agency shall have the right to audit the records of the contractor as it deems necessary to determine costs or savings. Any claim for an adjustment in price under this provision must be asserted by written notice to the Purchasing Agency within thirty (30) days from the date of receipt of the written order from the Purchasing Agency. If the parties fail to agree on an amount of adjustment, the question of an increase or decrease in the contract price or time for performance shall be resolved in accordance with the procedures for resolving disputes provided by the Disputes Clause of this contract or, if there is none, in accordance with the disputes provisions of the Commonwealth of Virginia *Vendors Manual*. Neither the existence of a claim nor a dispute resolution process, litigation or any other provision of this contract shall excuse the contractor from promptly complying with the changes

ordered by the Purchasing Agency or with the performance of the contract generally.

P. **DEFAULT:** In case of failure to deliver goods or services in accordance with the contract terms and conditions, the Commonwealth, after due oral or written notice, may procure them from other sources and hold the contractor responsible for any resulting additional purchase and administrative costs. This remedy shall be in addition to any other remedies which the Commonwealth may have.

Q. **TAXES:** Sales to the Commonwealth of Virginia are normally exempt from State sales tax. State sales and use tax certificates of exemption, Form ST-12, will be issued upon request. Deliveries against this contract shall usually be free of Federal excise and transportation taxes. The Commonwealth's excise tax exemption registration number is 54-73-0076K.

R. **USE OF BRAND NAMES:** Unless otherwise provided in this solicitation, the name of a certain brand, make or manufacturer does not restrict offerors to the specific brand, make or manufacturer named, but conveys the general style, type, character, and quality of the article desired. Any article which the public body, in its sole discretion, determines to be the equivalent of that specified, considering quality, workmanship, economy of operation, and suitability for the purpose intended, shall be accepted. The offeror is responsible to clearly and specifically identify the product being offered and to provide sufficient descriptive literature, catalog cuts and technical detail to enable the Commonwealth to determine if the product offered meets the requirements of the solicitation. This is required even if offering the exact brand, make or manufacturer specified. Normally in competitive sealed bidding only the information furnished with the bid will be considered in the evaluation. Failure to furnish adequate data for evaluation purposes may result in declaring a bid nonresponsive. Unless the offeror clearly indicates in its proposal that the product offered is an equivalent product, such proposal will be considered to offer the brand name product referenced in the solicitation.

S. **TRANSPORTATION AND PACKAGING:** By submitting their proposals, all offerors certify and warrant that the price offered for FOB destination includes only the actual freight rate costs at the lowest and best rate and is based upon the actual weight of the goods to be shipped. Except as otherwise specified herein, standard commercial packaging, packing and shipping containers shall be used. All shipping containers shall be legibly marked or labeled on the outside with purchase order number, commodity description, and quantity.

T. **INSURANCE:** By signing and submitting a proposal under this solicitation, the offeror certifies that if awarded the contract, it will have the following insurance coverage at the time the contract is awarded. For construction contracts, if any subcontractors are involved, the subcontractor will have workers' compensation insurance in accordance with §§ 2.2-4332 and 65.2-800 et seq. of the *Code of Virginia*. The offeror further

certifies that the contractor and any subcontractors will maintain these insurance coverage during the entire term of the contract and that all insurance coverage will be provided by insurance companies authorized to sell insurance in Virginia by the Virginia State Corporation Commission.

MINIMUM INSURANCE COVERAGES AND LIMITS REQUIRED FOR MOST CONTRACTS:

1. Workers' Compensation - Statutory requirements and benefits. Coverage is compulsory for employers of three or more employees, to include the employer. Contractors who fail to notify the Commonwealth of increases in the number of employees that change their workers' compensation requirements under the *Code of Virginia* during the course of the contract shall be in noncompliance with the contract.

2. Employer's Liability - $100,000.

3. Commercial General Liability - $1,000,000 per occurrence and $2,000,000 in the aggregate. Commercial General Liability is to include bodily injury and property damage, personal injury and advertising injury, products and completed operations coverage. The Commonwealth of Virginia must be named as an additional insured and so endorsed on the policy.

4. Automobile Liability - $1,000,000 combined single limit. (Required only if a motor vehicle not owned by the Commonwealth is to be used in the contract. Contractor must assure that the required coverage is maintained by the Contractor or third party owner of such motor vehicle.)

Profession/Service	**Limits**
Accounting	$1,000,000 per occurrence, $3,000,000 aggregate
Architecture	$2,000,000 per occurrence, $6,000,000 aggregate
Asbestos Design, Inspection or Abatement Contractors	$1,000,000 per occurrence, $3,000,000 aggregate
Health Care Practitioner (to include Dentists, Licensed Dental Hygienists, Optometrists, Registered or Licensed Practical Nurses, Pharmacists, Physicians, Podiatrists,	

Chiropractors, Physical Therapists, Physical Therapist Assistants, Clinical Psychologists, Clinical Social Workers, Professional Counselors, Hospitals, or Health Maintenance Organizations.) $1,725,000 per occurrence, $3,000,000 aggregate

(Limits increase each July 1 through fiscal year 2031, as follows:

July 1, 2013 - $2,100,000, July 1, 2014 - $2,150,000. This complies with *Code of Virginia* §8.01-581.15.

Insurance/Risk Management	$1,000,000 per occurrence, $3,000,000 aggregate
Landscape/Architecture	$1,000,000 per occurrence, $1,000,000 aggregate
Legal	$1,000,000 per occurrence, $5,000,000 aggregate
Professional Engineer	$2,000,000 per occurrence, $6,000,000 aggregate
Surveying	$1,000,000 per occurrence, $1,000,000 aggregate

U. **ANNOUNCEMENT OF AWARD:** Upon the award or the announcement of the decision to award a contract over $50,000, as a result of this solicitation, the purchasing agency will publicly post such notice on the DGS/DPS eVA web site (www.eVA.virginia.gov) for a minimum of 10 days.

V. **DRUG-FREE WORKPLACE:** During the performance of this contract, the contractor agrees to (i) provide a drug-free workplace for the contractor's employees; (ii) post in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance or marijuana is prohibited in the contractor's workplace

and specifying the actions that will be taken against employees for violations of such prohibition; (iii) state in all solicitations or advertisements for employees placed by or on behalf of the contractor that the contractor maintains a drug-free workplace; and (iv) include the provisions of the foregoing clauses in every subcontract or purchase order of over $10,000, so that the provisions will be binding upon each subcontractor or vendor.

For the purposes of this section, "*drug-free workplace"* means a site for the performance of work done in connection with a specific contract awarded to a contractor, the employees of whom are prohibited from engaging in the unlawful manufacture, sale, distribution, dispensation, possession or use of any controlled substance or marijuana during the performance of the contract.

W. **NONDISCRIMINATION OF CONTRACTORS**: An offeror or contractor shall not be discriminated against in the solicitation or award of this contract because of race, religion, color, sex, national origin, age, disability, faith-based organizational status, any other basis prohibited by state law relating to discrimination in employment or because the bidder or offeror employs ex-offenders unless the state agency, department or institution has made a written determination that employing ex-offenders on the specific contract is not in its best interest. If the award of this contract is made to a faith-based organization and an individual, who applies for or receives goods, services, or disbursements provided pursuant to this contract objects to the religious character of the faith-based organization from which the individual receives or would receive the goods, services, or disbursements, the public body shall offer the individual, within a reasonable period of time after the date of his objection, access to equivalent goods, services, or disbursements from an alternative provider.

X. **eVA BUSINESS-TO-GOVERNMENT VENDOR REGISTRATION, CONTRACTS, AND ORDERS:** The eVA Internet electronic procurement solution, website portal www.eVA.virginia.gov, streamlines and automates government purchasing activities in the Commonwealth. The eVA portal is the gateway for vendors to conduct business with state agencies and public bodies. All vendors desiring to provide goods and/or services to the Commonwealth shall participate in the eVA Internet eprocurement solution by completing the free eVA Vendor Registration. All bidders or offerors must register in eVA and pay the Vendor Transaction Fees specified below; failure to register will result in the bid/proposal being rejected.

Vendor transaction fees are determined by the date the original purchase order is issued and the current fees are as follows:

a. For orders issued July 1, 2011 thru December 31, 2013, the Vendor Transaction Fee is:

(i) DMBE-certified Small Businesses: 0.75%, capped at $500 per order.

(ii) Businesses that are not DMBE-certified Small Businesses: 0.75%, capped at $1,500 per order.

b. For orders issued January 1, 2014 and after, the Vendor Transaction Fee is:

(i) DMBE-certified Small Businesses: 1%, capped at $500 per order.

(ii) Businesses that are not DMBE-certified Small Businesses: 1%, capped at $1,500 per order.

For orders issued prior to July 1, 2011 the vendor transaction fees can be found at www.eVA.virginia.gov.

The specified vendor transaction fee will be invoiced, by the Commonwealth of Virginia Department of General Services, approximately 30 days after the corresponding purchase order is issued and payable 30 days after the invoice date. Any adjustments (increases/decreases) will be handled through purchase order changes.

Y. **AVAILABILITY OF FUNDS:** It is understood and agreed between the parties herein that the agency shall be bound hereunder only to the extent of the funds available or which may hereafter become available for the purpose of this agreement.

Z. **SET-ASIDES:** This solicitation is set-aside for DMBE-certified small business participation only when designated "SET-ASIDE FOR SMALL BUSINESSES" in the solicitation. DMBE-certified small businesses are those businesses that hold current small business certification from the Virginia Department of Minority Business Enterprise. This shall not exclude DMBE-certified women owned and minority-owned businesses when they have received the DMBE small business certification. For purposes of award, offerors shall be deemed small businesses if and only if they are certified as such by DMBE on the due date for receipt of proposals.

AA. **BID PRICE CURRENCY:** Unless stated otherwise in the solicitation, offerors shall state offer prices in US dollars.

BB. **AUTHORIZATION TO CONDUCT BUSINESS IN THE COMMONWEALTH:** A contractor organized as

a. stock or nonstock corporation, limited liability company, business trust, or limited partnership or registered as a registered limited liability partnership shall be authorized to transact business in the Commonwealth as a domestic or foreign business entity if so required by Title 13.1 or Title 50 of the *Code of Virginia* or as otherwise required by law.

Any business entity described above that enters into a contract with a public body pursuant to the *Virginia Public Procurement Act* shall not allow its existence to lapse or its certificate of authority or registration to transact business in the Commonwealth, if so required under Title 13.1 or Title 50, to be revoked or cancelled at any time during the term of the contract. A public body may void any contract with a business entity if the business entity fails to remain in compliance with the provisions of this section.

X. **SPECIAL TERMS AND CONDITIONS**:

1. **AUDIT:** The contractor shall retain all books, records, and other documents relative to this contract for five (5) years after final payment, or until audited by the Commonwealth of Virginia, whichever is sooner. The agency, its authorized agents, and/or state auditors shall have full access to and the right to examine any of said materials during said period.

2. **AWARD TO MULTIPLE OFFERORS:** Selection shall be made of two or more offerors deemed to be fully qualified and best suited among those submitting proposals on the basis of the evaluation factors included in the Request for Proposals, including price, if so stated in the Request for Proposals. Negotiations shall be conducted with the offerors so selected. Price shall be considered, but need not be the sole determining factor. After negotiations have been conducted with each offeror so selected, the agency shall select the offeror(s) which, in its opinion, has made the best proposal, and shall award the contract to the offeror(s). The Commonwealth may cancel this Request for Proposals or reject proposals at any time prior to an award, and is not required to furnish a statement of the reasons why a particular proposal was not deemed to be the most advantageous (*Code of Virginia,* § 2.2-4359D). Should the Commonwealth determine in writing and in its sole discretion that only one offeror is fully qualified, or that one offeror is clearly more highly qualified than the others under consideration, a contract may be negotiated and awarded to that offeror. The award document will be a contract incorporating by reference all the requirements, terms and conditions of the solicitation and the contractor's proposal as negotiated.

3. **CANCELLATION OF CONTRACT:** The purchasing agency reserves the right to cancel and terminate any resulting contract, in part or in whole, without penalty, upon 60 days written notice to the contractor. In the event the initial contract period is for more than 12 months, the resulting contract may be terminated by either party, without penalty, after the initial 12 months of the contract period upon 60 days written notice to the other party. Any contract cancellation notice shall not relieve the contractor of the obligation to deliver and/or perform on all outstanding orders issued prior to the effective date of cancellation.

4. **COMPLIANCE WITH LAW:** All goods and services provided to Longwood University shall be done
so in accordance with any and all local, state and federal laws, regulations and/or requirements. This includes any applicable provisions of FERPA or the "Government Data Collection and Dissemination Practices Act" of the Commonwealth of Virginia.

5. **CONFIDENTIALITY (Commonwealth):** The Commonwealth agrees that neither it nor its employees, representatives, or agents shall knowingly divulge any proprietary information with respect to the operation of the software, the technology embodied therein, or any other trade secret or proprietary information related thereto, except as

specifically authorized by the contractor in writing or as required by the Freedom of Information Act or similar law. It shall be the contractor's responsibility to fully comply with § 2.2-4342F of the *Code of Virginia*. All trade secrets or proprietary information must be identified in writing or other tangible form and conspicuously labeled as "proprietary" either prior to or at the time of submission to the Commonwealth.

6. **CONFIDENTIALITY OF PERSONALLY IDENTIFIABLE INFORMATION (Contractor):** The contractor assures that information and data obtained as to personal facts and circumstances related to clients will be collected and held confidential, during and following the term of this agreement, and unless disclosure is required pursuant to court order, subpoena or other regulatory authority, will not be divulged without the individual's and the agency's written consent and only in accordance with federal law or the Code of Virginia. Contractors who utilize, access, or store personally identifiable information as part of the performance of a contract are required to safeguard this information and immediately notify the agency of any breach or suspected breach in the security of such information. Contractors shall allow the agency to both participate in the investigation of incidents and exercise control over decisions regarding external reporting. Contractors and their employees working on this contract may be required to sign a confidentiality statement.

7. **CONTINUITY OF SERVICES:**

a. The Contractor recognizes that the services under this contract are vital to the Agency and must be continued without interruption and that, upon contract expiration, a successor, either the Agency or another contractor, may continue them. The Contractor agrees:

(i) To exercise its best efforts and cooperation to effect an orderly and efficient transition to a successor;

(ii) To make all Agency owned facilities, equipment, and data available to any successor at an appropriate time prior to the expiration of the contract to facilitate transition to successor; and

(iii) That the Agency Contracting Officer shall have final authority to resolve disputes related to the transition of the contract from the Contractor to its successor.

b. The Contractor shall, upon written notice from the Contract Officer, furnish phasein/phase-out services for up to ninety (90) days after this contract expires

and shall negotiate in good faith a plan with the successor to execute the phase-in/phase-out services. This plan shall be subject to the Contract Officer's approval.

c. The Contractor shall be reimbursed for all reasonable, pre-approved phase-in/phase-out
costs (i.e., costs incurred within the agreed period after contract expiration that result from phase-in, phase-out operations) and a fee (profit) not to exceed a pro rata portion of the fee (profit) under this contract. All phase-in/phase-out work fees must be approved by the Contract Officer in writing prior to commencement of said work.

8. **CONTRACT PARTICIPATION:** Under the authority of §*6 of the Rules Governing Procurement of Goods, Services, Insurance and Construction by a Public Institution of Higher Education of the Commonwealth of Virginia (copy available at http://www.longwood.edu/materielmanagement)*, Cooperative Procurement, it is the intent of this solicitation and resulting contract to allow for cooperative procurement. Accordingly, any public body, public or private health or educational institutions, or affiliated corporations may access any resulting contract if authorized by the Contractor.

Participation in this cooperative procurement is strictly voluntary. If authorized by the Contractor, the resultant contract may be extended to the entities indicated above to purchase at contract prices in accordance with the contract terms. The Contractor shall notify Longwood University in writing of any such entities accessing the contract. No modification of this contract or execution of a separate contract is required to participate. The Contractor will provide semiannual usage reports for all entities accessing the Contract. Participating entities shall place their own orders directly with the Contractor and shall fully and independently administer their use of the contract to include contractual disputes, invoicing and payments without direct administration from Longwood University. Longwood University shall not be held liable for any costs or damages incurred by any other participating entity as a result of any authorization by the Contractor to extend the contract. It is understood and agreed that Longwood University is not responsible for the acts or omissions of any entity, and will not be considered in default of the contract no matter the circumstances. Use of this contract does not preclude any participating entity from using other contracts or competitive processes as the need may be.

9. **DATA AND INTELLECTUAL PROPERTY PROTECTION:**

1. Definitions

- "Customer" means the individuals authorized by the University to access and use the Services provided by the Contractor.

- "Personally Identifiable Information" includes but is not limited to: personal identifiers such as name, address, phone number, date of birth, Social Security number, and student or personnel identification number; "personal information" as defined in Virginia Code section 18.2-186.6 and/or any successor laws of the Commonwealth of Virginia; personally identifiable information contained in student education records as that term is defined in the Family Educational Rights and Privacy Act, 20 USC 1232g; "medical information" as defined in Virginia Code Section 32.1-127.1:05; "protected health information" as that term is defined in the Health Insurance Portability and Accountability Act, 45 CFR Part 160.103; nonpublic personal information as that term is defined in the Gramm-Leach-Bliley Financial Modernization Act of 1999, 15 USC 6809; credit and debit card numbers and/or access codes and other cardholder data and sensitive authentication data as those terms are defined in the Payment Card Industry Data Security Standards; other financial account numbers, access codes, driver's license numbers; and state- or federal identification numbers such as passport, visa or state identity card numbers.

- "Security Breach" means a security-relevant event in which the security of a system or procedure used to create, obtain, transmit, maintain, use, process, store or dispose of data is breached, and in which University Data is exposed to unauthorized disclosure, access, alteration, or use.

- "University Data" includes all data relating to the University's and its End Users' use of Selected Vendor services under this agreement, including University Records and Personally Identifiable Information.

- "University Records" are defined by and are subject to the Virginia Public Records Act. The term means recorded information that documents a transaction or activity by or with any appointed board member, officer, employee, or agent of the University. Regardless of physical form or characteristic, the recorded information is a University Record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of university business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a University Record. University Records include but are not limited to: personnel records, student records, research records, financial records, patient records and administrative records. Record formats/media include but are not limited to: email, electronic databases, electronic files, paper, audio, video and images (photographs).

2. Rights and License in and to the University Data

The parties agree that as between them, all rights including all intellectual property rights in and to University Data shall remain the exclusive property of Longwood, and Contractor has a limited, nonexclusive license to use these data as provided in this Agreement solely for the purpose of performing its obligations hereunder. The contract does not give a party any rights, implied or otherwise, to the other's data, content, or intellectual property, except as expressly stated in the Agreement.

3. Intellectual Property Rights/Disclosure

Unless expressly agreed to the contrary in writing, all goods, products, materials, documents, reports, writings, video images, photographs or papers of any nature including software or computer images prepared or provided by the contractor (or its subcontractors) for Longwood will not be disclosed to any other person or entity without the written permission of Longwood. Contractor warrants to Longwood that Longwood will own all rights, title and interest in any and all intellectual property rights created in the performance or otherwise arising from the contract and will have full ownership and beneficial use thereof, free and clear of claims of any nature by any third party including, without limitation, copyright or patent infringement claims. Contractor will execute any assignments or other documents needed for Longwood to perfect such rights.

4. Data Privacy

a. Contractor will use Longwood data only for the purpose of fulfilling its duties under the contract and will not share such data with or disclose it to any third party without the prior written consent of Longwood or as otherwise required by law.

b. All Longwood data will be stored and processed on servers located solely within the Continental United States.

c. Contractor will provide access to Longwood data only to those employees and subcontractors who need to access the data to fulfill contractor obligations. Contractor will ensure that employees who perform work under the contract have read, understood, and received appropriate instruction as to how to comply with the data protection provisions of the contract prior to being granted access to Longwood data.

5. Data Security

a. Contractor will store and process Longwood data in accordance with commercial best practices, including appropriate administrative, physical, and technical safeguards, to secure such data from unauthorized access, disclosure, alteration, and use. Such measures will be no less protective than those used to secure Contractor's own data of a similar type, and in no event less than reasonable in view of the type and nature of the data involved. Without limiting the foregoing, Contractor warrants that all Longwood data will be encrypted in transmission (including via web interface) and stored at no less than 256-bit level encryption.

b. Contractor will use industry-standard and up-to-date security tools and technologies such as anti-virus protections and intrusion detection methods in providing Services under the contract.

6. Audits

1. Contractor will at its expense conduct or have conducted at least annually a:

   - Type 2 SSAE 16 audit with audit objectives deemed sufficient by Longwood, or other security audit with audit objectives deemed sufficient by Longwood, which attests the Contractor's security policies, procedures and controls;

   - vulnerability scan, performed by a scanner approved by Longwood, of Contractor's systems and facilities that are used in any way to deliver Services under the contract; and
   - formal penetration test, performed by a process and qualified personnel approved by Longwood, of Contractor's systems and facilities that are used in any way to deliver Services under the contract.

2. Contractor will provide Longwood upon request the results of the above audits, scans and tests, and will promptly modify its security measures as needed based on those results in order to meet its obligations under the contract. Longwood may require, at its expense, Contractor to perform additional audits and tests, the results of which will be provided promptly to Longwood. In the event that the Contractor has not had security audits performed of systems that are used in any way to deliver services under the contract, Longwood reserves the right to have their own auditors perform on site audits of Contractor's operations at Contractor's expense.

7. Data Authenticity and Integrity

Contractor will take reasonable measures, including audit trails, to protect Longwood data against deterioration or degradation of data quality and authenticity. The Contractor shall be responsible for ensuring that Longwood data, per the Virginia Public Records Act, "is preserved, maintained, and accessible throughout their lifecycle, including converting and migrating

electronic data as often as necessary so that information is not lost due to hardware, software, or media obsolescence or deterioration."

8. Security Breach Response

a. Immediately upon becoming aware of a Security Breach, or of circumstances that could have resulted in unauthorized access to or disclosure or use of Longwood data, Contractor will notify Longwood, fully investigate the incident, and cooperate fully with Longwood's investigation of and response to the incident. Except as otherwise required by law, Contractor will not provide notice of the incident directly to the persons whose data were involved, regulatory agencies, or other entities, without prior written permission from Longwood.

b. Notwithstanding any other provision of the contract, and in addition to any other remedies available to Longwood under law or equity, Contractor will reimburse Longwood in full for all costs incurred by Longwood in investigation and remediation of such Security Breach, including but not limited to providing notification to third parties whose data were compromised and to regulatory agencies or other entities as required by law or contract; the offering of one year's credit monitoring to the affected individuals if the data exposed during the breach could be used to commit financial identity theft; and the payment of legal fees, audit costs, fines, and other fees imposed by regulatory agencies or contracting partners as a result of the Security Breach.

9. Response to Legal Orders, Demands or Requests for Data

1. Except as otherwise expressly prohibited by law, Contractor will:

- immediately notify Longwood of any subpoenas, warrants, or other legal orders, demands or requests received by Contractor seeking Longwood data;
- consult with Longwood regarding its response;
- cooperate with Longwood's reasonable requests in connection with efforts by Longwood to intervene and quash or modify the legal order, demand or request; and
- upon Longwood's request, provide Longwood with a copy of its response.

2. If Longwood receives a subpoena, warrant, or other legal order, demand (including request pursuant to the Virginia Freedom of Information Act) or request seeking Longwood data maintained by the Contractor, Longwood will promptly provide a copy to the Contractor. Contractor will promptly supply Longwood with copies of data required for Longwood to respond, and will cooperate with Longwood's reasonable requests in connection with its response.

10. Data Transfer Upon Termination or Expiration

1. In the event that the University requests sanitization of its data, Selected Firm/Vendor agrees to Sanitize all data in its possession and in the possession of any subcontractors or agents to which the Selected Firm/Vendor might have transferred University data. The Selected Firm/Vendor agrees to provide documentation of data sanitization to the University.

2. Selected Firm/Vendor will work closely with its successor to ensure a successful transition to the new equipment, with minimal downtime and effect on the University, all such work to be coordinated and performed in advance of the formal, final transition date.

10. **eVA BUSINESS-TO-GOVERNMENT CONTRACTS AND ORDERS:** The solicitation/contract will result in multiple purchase orders with the eVA transaction fee specified below assessed for each order.

a. For orders issued July 1, 2011 thru December 31, 2013, the Vendor Transaction Fee is:

(i) DMBE-certified Small Businesses: 0.75%, capped at $500 per order.

(ii) Businesses that are not DMBE-certified Small Businesses: 0.75%, capped at $1,500 per order.

b. For orders issued January 1, 2014, and after, the Vendor Transaction Fee is:

(i) DMBE-certified Small Businesses: 1%, capped at $500 per order.

(ii) Businesses that are not DMBE-certified Small Businesses: 1%, capped at $1,500 per order.

The eVA transaction fee will be assessed approximately 30 days after each purchase order is issued. Any adjustments (increases/decreases) will be handled through eVA change orders.

Internet electronic procurement solution, website portal www.eVA.virginia.gov , streamlines and automates government purchasing activities in the Commonwealth. The portal is the gateway for vendors to conduct business with state agencies and public bodies.

Vendors desiring to provide goods and/or services to the Commonwealth shall participate in the eVA Internet e-procurement solution and agree to comply with the following:

If this solicitation is for a term contract, failure to provide an electronic catalog (price list) or index page catalog for items awarded will be just cause for the Commonwealth to reject your bid/offer or terminate this contract for default. The format of this electronic catalog shall conform to the eVA Catalog Interchange Format (CIF) Specification that can be accessed and downloaded from www.eVA.virginia.gov. Contractors should email Catalog or Index Page information to eVA-catalog-manager@dgs.virginia.gov.

11. **E-VERIFY PROGRAM:** EFFECTIVE 12/1/13. Pursuant to *Code of Virginia*, §2.2-4308.2., any employer with more than an average of 50 employees for the previous 12 months entering into a contract in excess of $50,000 with any agency of the Commonwealth to perform work or provide services pursuant to such contract shall register and participate in the E-Verify program to verify information and work authorization of its newly hired employees performing work pursuant to such public contract. Any such employer who fails to comply with these provisions shall be debarred from contracting with any agency of the Commonwealth for a period up to one year. Such debarment shall cease upon the employer's registration and participation in the E-Verify program. If requested, the employer shall present a copy of their Maintain Company page from E-Verify to prove that they are enrolled in E-Verify.

12. **EXCESSIVE DOWNTIME:** Equipment or software furnished under the contract shall be capable of continuous operation. Should the equipment or software become inoperable for a period of more than 24 hours, the contractor agrees to pro-rate maintenance charges to account for each full day of inoperability. The period of inoperability shall commence upon initial notification. In the event the equipment or software remains inoperable for more than two (2) consecutive calendar days, the contractor shall promptly replace the equipment or software at no charge upon request of the procuring agency. Such replacement shall be with new, unused product(s) of comparable quality, and must be installed and operational within two (2) days following the request for replacement.

13. **IDENTIFICATION OF PROPOSAL ENVELOPE:** If a special envelope is not furnished, or if return in the special envelope is not possible, the signed proposal should be returned in a separate envelope or package, sealed and identified as follows:

From: Optical Image Technology, Inc. 9/22/2015 2:00 p.m.
Name of Offeror Due Date Time

100 Oakwood Ave, Suite 700 LU214-16-004

Street or Box Number RFP No.

State College, PA 16803 Enterprise Content Management (ECM) Solution

City, State, Zip Code RFP Title

Name of Purchasing Officer Cathryn B. Mobley, Director of Financial Operations and Materiel Management

14. **LATE PROPOSALS:** To be considered, proposals must be received at the specific office location specified in this solicitation on or before the date and time designated in this solicitation. Offerors are responsible for the delivery of the proposal and if using U.S. Mail or a delivery service, should ensure that the proposal is addressed properly (see 9 above). The Purchasing Department will contact the Offeror to arrange for pick up or destruction of the late proposal. The official time used in receipt of proposals shall be the time on the automatic time stamp machine of Longwood's Purchasing office, address and location on cover page of solicitation.

15. **LATEST SOFTWARE VERSION:** Any software product(s) provided under the contract shall be the latest version available to the general public as of the due date of this solicitation.

16. **LIMITATION OF USE:** The Commonwealth's right to use computer software developed entirely at private expense may be limited by the contractor as stipulated in this contract. Notwithstanding any provision to the contrary however, the Commonwealth shall have at a minimum: unlimited use of the software on the equipment for which it is purchased; use of the software on a secondary system for backup purposes should the primary system become unavailable, malfunction, or is otherwise rendered inoperable; use of the software at another Commonwealth site should the system be entirely transferred to that location; the right to make a backup copy for safekeeping; the right to modify or combine the software with other programs or materials at the Commonwealth's risk; and the right to reproduce any and all documentation provided

such reproduction is for the sole use of the Commonwealth. These rights are perpetual and irrevocable; in the event of any actual or alleged breach by the Commonwealth, the contractor's sole remedy shall be to pursue a monetary claim in accordance with § 2.2-4363 of the *Code of Virginia*.

17. **MAINTENANCE:** Upon expiration of the specified warranty period and at the Commonwealth's option, the contractor shall provide up to four (4) additional one-year periods of on-site maintenance (including labor, parts, and travel) at the prices set forth in the pricing schedule. Maintenance shall not include external electrical work, providing supplies, and adding or removing accessories not provided for in the contract. Maintenance shall also not include repairs of damage resulting from: acts of God, transportation between state locations, negligence by state personnel, or other causes not related to ordinary use in the production environment in which installed. Each successive year of maintenance may be ordered by the Commonwealth in writing at least ninety (90) days prior to expiration of the existing maintenance period.

18. **NONVISUAL ACCESS TO TECHNOLOGY**: All information technology which, pursuant to this agreement, is purchased or upgraded by or for the use of any State agency or institution or political subdivision of the Commonwealth (the "Technology") shall comply with the following nonvisual access standards from the date of purchase or upgrade until the expiration of this agreement:

(i) effective, interactive control and use of the Technology shall be readily achievable by nonvisual means;

(ii) the Technology equipped for nonvisual access shall be compatible with information technology used by other individuals with whom any blind or visually impaired user of the technology interacts;

(iii) Nonvisual Access Technology shall be integrated into any networks used to share communications among employees, program participants or the public; and

(iv) the Technology for nonvisual access shall have the capability of providing equivalent access by nonvisual means to telecommunications or other interconnected network services used by persons who are not blind or visually impaired.

Compliance with the foregoing nonvisual access standards shall not be required if the head of the using agency, institution or political subdivision determines that (i) the Technology is not available with nonvisual access because the essential elements of the Technology are visual and (ii) nonvisual equivalence is not available.

Installation of hardware, software or peripheral devices used for nonvisual access is not required when the Technology is being used exclusively by individuals who are not blind or visually impaired, but applications programs and underlying operating systems (including the format of the data) used for the manipulation and presentation of information shall permit the installation and effective use of nonvisual access software and peripheral devices.

If requested, the Contractor must provide a detailed explanation of how compliance with the foregoing nonvisual access standards is achieved and a validation of concept demonstration.

The requirements of this Paragraph shall be construed to achieve full compliance with the Information Technology Access Act, §§ 2.2-3500 through 2.2-3504 of the *Code of Virginia*.

19. **OPTIONAL PRE-PROPOSAL CONFERENCE:** An optional pre-proposal conference will be held at 1:30 p.m. on Thursday, September 10, 2015 in Bristow Hall, Room 211 on the Longwood University campus in Farmville, VA. The purpose of this conference is to allow potential offerors an opportunity to present questions and obtain clarification relative to any facet of this solicitation.
While attendance at this conference will not be a prerequisite to submitting a proposal, offerors who intend to submit a proposal are encouraged to attend. Please bring a copy of the solicitation with you. Any changes resulting from this conference will be issued in a written addendum to the solicitation, if necessary.

20. **OWNERSHIP OF PRINTING MATERIALS:** All artwork, camera-ready copy, negative, dies, photos, and similar materials used to produce a printing job shall become the property of the Commonwealth. Any furnished materials shall remain the property of the Commonwealth. All such items and materials shall be delivered to the ordering agency in usable condition after completion of the work, and prior to submission of the invoice for payment.

21. **PAYMENT CARAD INDUSTRY DATA SECURITY STANDARDS (PCI-DSS) COMPLIANCE:** Longwood
University requires that the contractor shall at all times maintain compliance with the most current PCI-DSS. The contractor will be required to provide written confirmation of compliance.

Contractor acknowledges responsibility for the security of cardholder data as defined within the PCI-DSS. Contractor acknowledges and agrees that cardholder data may only

be used for completing the contracted services as described in the full text of this document, or as required by the PCI-DSS, or as required by applicable law. In the event of a breach or intrusion or otherwise unauthorized access to cardholder data stored at or for the contractor, contractor shall immediately notify Financial Operations at 434-395-2416, Farmville, VA 23909, to allow the proper PCI-DSS compliant breach notification process to commence. The contractor shall provide appropriate payment card companies, acquiring financial institutions and their respective designees' access to the contractor's facilities and all pertinent records to conduct a review of the contractor's compliance with the PCI-DSS requirements.

In the event of a breach or intrusion the contractor acknowledges any/all costs related to breach or intrusion or unauthorized access to cardholder data entrusted to the contractor deemed to be the fault of the contractor shall be the liability of the contractor. Contractor agrees to assume responsibility for informing all such individuals in accordance with applicable law and to indemnify and hold harmless the Commonwealth of Virginia, Longwood University and its officers and employees from and against any claims, damages or other harm related to such breach.

The contractor shall provide to Longwood University an Attestation of Scanned Compliance (AOSC) quarterly and an Attestation of Compliance (AOC) annually, as applicable within ten (10) business days upon request at no cost to the University.

Contractor agrees that the University may terminate the Agreement immediately without penalty upon notice to the contractor in the event the contractor fails to maintain compliance with the PCI-DSS or fails to maintain the confidentiality or integrity of any cardholder data, or requires processing procedures that prevent Longwood University from maintaining its PCI-DSS Compliance.

22. **PRIME CONTRACTOR RESPONSIBILITIES:** The contractor shall be responsible for completely supervising and directing the work under this contract and all subcontractors that he may utilize, using his best skill and attention. Subcontractors who perform work under this contract shall be responsible to the prime contractor. The contractor agrees that he is as fully responsible for the acts and omissions of his subcontractors and of persons employed by them as he is for the acts and omissions of his own employees.

23. **PROPOSAL ACCEPTANCE PERIOD:** Any proposal in response to this solicitation shall be binding on the offeror for (90) calendar days following the proposal due date. Any proposal on which the offeror shortens the acceptance period may be rejected. At the end of the (90) days, the proposal may be withdrawn at the written request of the

offeror. If the proposal is not withdrawn at that time it remains in effect until an award is made or the solicitation is canceled.

24. **REFERENCES:** Offerors shall provide four (4) colleges or universities where similar goods and/or services have been provided. An Offeror Data Sheet is provided as Attachment C and must be completed and returned with your proposal.

25. **RENEWAL OF CONTRACT:** This contract may be renewed by the Commonwealth upon written agreement of both parties for four (4) successive one (1) year periods, under the terms of the current contract, and at a reasonable time (approximately 90 days) prior to the expiration.

26. **RFP DEBRIEFING:** In accordance with §49 of the *Governing Rules*, Longwood is not required to furnish a statement of the reasons why a particular proposal was not deemed to be the most advantageous. However, upon request, we will provide a scoring summary, the award justification memo from the evaluation committee and brief, general comments submitted by evaluation committee members. Formal debriefings are generally not offered.

27. **SOFTWARE UPGRADES:** The Commonwealth shall be entitled to any and all upgraded versions of the software covered in the contract that becomes available from the contractor. The maximum charge for upgrade shall not exceed the total difference between the cost of the Commonwealth's current version and the price the contractor sells or licenses the upgraded software under similar circumstances.

28. **SMALL BUSINESS SUBCONTRACTING AND EVIDENCE OF COMPLIANCE:**

    A. It is the goal of the Commonwealth that 42% of its purchases be made from small businesses. This includes discretionary spending in prime contracts and subcontracts. All potential offerors are required to submit a Small Business Subcontracting Plan. Unless the offeror is registered as a DSBSD-certified small business and where it is practicable for any portion of the awarded contract to be subcontracted to other suppliers, the contractor is encouraged to offer such subcontracting opportunities to DSBSD-certified small businesses. This shall not exclude DSBSD-certified women-owned and minority-owned businesses when they have received DSBSD small business certification. No offeror or subcontractor shall be considered a Small Business, a Women-Owned Business or a Minority-Owned Business unless certified as such by the Department of Small Business and Supplier Diversity (DSBSD) by the due date for receipt of bids or proposals. If small business subcontractors are used, the prime contractor agrees to report the use of small business subcontractors by providing the purchasing office at a minimum the following information: name of small business with the DSBSD certification number, phone number, total dollar amount subcontracted, category type (small, women-owned, or minority-owned), and type of product/service provided.

B. Each prime contractor who wins an award in which provision of a small business subcontracting plan is a condition of the award, shall deliver to the contracting agency or institution on a quarterly basis, evidence of compliance (subject only to insubstantial shortfalls and to shortfalls arising from subcontractor default) with the small business subcontracting plan. When such business has been subcontracted to these firms and upon completion of the contract, the contractor agrees to furnish the purchasing office at a minimum the following information: name of firm with the DSBSD certification number, phone number, total dollar amount subcontracted, category type (small, women-owned, or minority-owned), and type of product or service provided. Payment(s) may be withheld until compliance with the plan is received and confirmed by the agency or institution. The agency or institution reserves the right to pursue other appropriate remedies to include, but not be limited to, termination for default.

C. Each prime contractor who wins an award valued over $200,000 shall deliver to the contracting agency or institution on a quarterly basis, information on use of subcontractors that are not DSBSD-certified small businesses. When such business has been subcontracted to these firms and upon completion of the contract, the contractor agrees to furnish the purchasing office at a minimum the following information: name of firm, phone number, total dollar amount subcontracted, and type of product or service provided.

29. **SPECIAL EDUCATIONAL OR PROMOTIONAL DISCOUNTS:** The contractor shall extend any special educational or promotional sale prices or discounts immediately to the Commonwealth during the term of the contract. Such notice shall also advise the duration of the specific sale or discount price. These discounts shall also be extended to any public body, public or private health or educational institutions, or affiliated corporations accessing the contract (reference Special Terms and Conditions 6).

30. **SUBCONTRACTS:** No portion of the work shall be subcontracted without prior written consent of the purchasing agency. In the event that the contractor desires to subcontract some part of the work specified herein, the contractor shall furnish the purchasing agency the names, qualifications and experience of their proposed subcontractors. The contractor shall, however, remain fully liable and responsible for the work to be done by its subcontractor(s) and shall assure compliance with all requirements of the contract.

31. **THIRD PARTY ACQUISITION OF SOFTWARE:** The contractor shall notify the procuring agency in writing should the intellectual property, associated business, or all of its assets be acquired by a third party. The contractor further agrees that the contract's terms and conditions, including any and all license rights and related services, shall not be affected by the acquisition. Prior to completion of the acquisition, the contractor shall

obtain, for the Commonwealth's benefit and deliver thereto, the assignee's agreement to fully honor the terms of the contract.

32. **TITLE TO SOFTWARE:** By submitting a bid or proposal, the bidder or offeror represents and warrants that it is the sole owner of the software or, if not the owner, that it has received all legally required authorizations from the owner to license the software, has the full power to grant the rights required by this solicitation, and that neither the software nor its use in accordance with the contract will violate or infringe upon any patent, copyright, trade secret, or any other property rights of another person or organization.

33. **WARRANTY AGAINST SHUTDOWN DEVICES:** The contractor warrants that the equipment and software provided under the contract shall not contain any lock, counter, CPU reference, virus, worm, or other device capable of halting operations or erasing or altering data or programs. Contractor further warrants that neither it, nor its agents, employees, or subcontractors shall insert any shutdown device following delivery of the equipment and software.

XI. **METHOD OF PAYMENT**: Longwood will authorize payment to the contractor after receiving satisfactory service and receipt of the contractor's correct invoice for services rendered.

Offer shall describe how Longwood will be invoiced. Invoices shall include the contract number and purchase order number. Invoices must correspond with contract prices. Unless specified otherwise in a purchase order change form or a contract modification agreement, invoices shall be sent to the following address:

Longwood University

Accounting and Financial Reporting

201 High Street, Lancaster 215A

Farmville, Virginia 23909

XII. **PRICING SCHEDULE**:

1. Product Licensing

List all pricing options.

DocFinity Response: See attached Pricing Schedule. See below for Cloud pricing.

DocFinity Cloud Solution: The DocFinity software is hosted in our Amazon Web Services center and you subscribe to use the web based solution. This instance is based on number of users, storage consumed and support you may require. Users access the system through their browser.

The following Cloud/SaaS option quotation provides the software for your use (everything quoted in the Enterprise Bundle plus the additional modules line itemed after the 2 tables below).

DocFinity Cloud Solution Option - Preliminary Quotation			
DocFinity Solution Description	Cost	# of Users/Amount of Storage	Total per Month
DocFinity Cloud Users	$149	10	$1490
DocFinity Cloud Storage (700 GB Start up Storage @ $.49 cents/GB)	$.49/GB	700	$343
Monthly Sub Total			$1,833
Monthly Support & Maintenance Plan	30% of Monthly Sub-total		$550
Total User, Storage & Support Fees per month			**$2,383**

DocFinity Cloud/SaaS Option – Tiered Cloud Pricing Model	
Users	Cost Per User
1-5	$159
6-10	$139
11-20	$119
21-35	$104
36-55	$94
56-75	$84
76-100	$74
101-125	$64
126-200	$54
201+	$39

The DocFinity Cloud includes:

Licensing: Licensing for 10 concurrent users to start

Indexing: Categorization of information so documents can be searched and retrieved quickly and easily.

Scanning: Converts paper documents to digital files to ease handling, speed processing and save space.

Viewing: Provides instantaneous, onscreen visibility for single documents or complete files.

Searching: Enables keyword searches that provide intuitive inquiry of active databases and archives.

Administration: Gives you complete control over access, task assignment and monitoring, load balancing and security from a single, intuitive interface.

Import: Includes object, index, and email importers that let you automate the import of virtually any file type directly into the system or a workflow process, even from other document management systems.

Versioning: Tracks changes to documents, files, metadata, and markup; preserving the history and evolution of a document and allowing reversions to previous versions.

Office Integration: Integrates DocFinity and Microsoft Office to allow Word documents to be directly imported to DocFinity and to open documents stored in DocFinity in Word.

DocFinity Exporter: Takes user-defined collections of documents and extracts the files and associated database records that identify those documents. The extracted content – written to the network folder or to the CD/DVD drive of choice — then can be used to transfer document collections reliably to third parties and/or other systems.

DocFinity Connect: Calls documents from the database with a single keystroke and integrates DocFinity into current line-of-business applications without programming.

Print to DocFinity: Indexes documents into the DocFinity repository from their native applications by selecting DocFinity PDF Printer as the printer. The PDF copy then opens so you can provide indexing metadata according to a pre--selected indexing scheme.

DocFinity HSM: HSM is a hierarchical storage management module that intelligently processes requests to retrieve, store and/or move data from multiple storage devices. This module has tools for data migration, prefetching (caching) and automatic purging of outdated, useless documents. It also supports the entire range of media, including magnetic drives, optical drives and jukeboxes. DocFinity HSM can be used for off-site, live backups and full-redundancy of data in separate locations.

BPM Workflow: Standardizes and expedites processes by pushing and pulling data and/or files – from email, voice mail, faxes, admin systems, and more – to people and/or systems. Easily design and modify robust workflows via the intuitive drag-and-drop, point-and-click de signer.

APIs: Allows all attendant systems, applications, and data sources to interface with DocFinity.

DocFinity eForms: The DocFinity eForms module creates and processes electronic, web-based forms that work with the document management and business process management suite.

DocFinity Records Management: Creates clear, auditable trails of evidence for every process performed on every record in the system. Groups related documents into Record Series and provides mechanisms to automate management in basic retention policies - including rules to map records to retention policies, approval process or records disposal, and rendering records in non-editable formats. Provides advanced retention policies, including legal hold.

DocFinity Dashboards: The purpose of DocFinity's dashboard module is to provide a clear picture of how the system is working and specifically how a business is functioning as it relates to DocFinity through comprehensive operational metrics of performance.

DocFinity Cloud Support Includes:

- Platform OS updates/patching
- VM Management
- Database management/maintenance
- Storage management
- Hardware management
- Network management
- Monitoring
- Anti-Virus
- SSL
- Real-Time intrusion detection
- Firewalls
- Data Security
- Security reviews
- Repository maintenance/backups
- Database backups
- Backup validation
- System Availability/up-time
- Disaster recovery
- Application updates/maintenance
- Documentation
- Knowledge Base
- Error related trouble shooting services
- 24x7 access to tech support
- Certified DocFinity Administrator to provide application system administration and maintenance services

- Access to schedule DocFinity services and development staff to review and discuss your application/use of the Service
- Recommendations on practices and approaches that will help you enhance your use of the Service

2 Professional Services

Provide costs for service.

DocFinity Professional Service Estimates			
DocFinity Services Description	**Cost**	**Qty**	**Total**
System Design Planning	200	30 hrs	$ 6,000.00
BPM Process Analysis/Design	200	40 hrs	$ 8,000.00
System Integration Consulting	200	40 hrs	$ 8,000.00
System Installation and Configuration	200	30 hrs	$ 6,000.00
QA Testing	200	20 hrs	$ 4,000.00
Go Live Support	1500	3 days	$ 4,500.00
Project Management	200	20 hrs	$ 4,000.00
TOTAL ESTIMATED PROFESSIONAL SERVICES COSTS			**$ 40,500**

SaaS 5Yr TCO	Yr1	Yr2	Yr3	Yr4	Yr5	Totals
SaaS Fees	$ 28,596	$ 28,596	$ 28,596	$ 28,596	$ 28,596	$ 142,980
Training	$19,500	xx	xx	xx	xx	$19,500
Services	$40,500	xx	xx	xx	xx	$40,500
Totals	$ 88,596	$ 28,596	$ 28,596	$ 28,596	$ 28,596	$202,980

*Please note that the SaaS Fees figure includes all technical support and maintenance programs.

3 Training

List all required and recommended classes and cost.

Overview of DocFinity Course Training

The standard Professional Services rate for full-day DocFinity Course Training is $1,500 per day.

DocFinity Core Training

Initial DocFinity Cloud Solution Training Provides a high-level overview of the DocFinity software solution. Covering core concepts that all other course content assumes as basic knowledge. End user tools and administrative overviews are covered in this class. Also included is how to gather a document inventory and establish metadata and security needs for developing an indexing plan. Class steps students through a typical departmental discovery through design process with hands-on exercises using design documents to configure the system design.	3 Days
Advanced DocFinity Administration Hands-on out of the box security administration of groups and users to secure your organization's sensitive information. Document category and type classifications for document metadata structures. Establish scanning and indexing profiles. Import from file directories and email drop points.	2 Days

DocFinity Module Specific Training

DocFinity BPM Core for Designers Class covers the three main BPM components: client, designer, and server. Course designed for anyone who will design and/or modify BPM designs.	5 Days
DocFinity BPM Concepts for Managers Overview class for managers to understand BPM core concepts and process integration to best be able to contribute to process consulting engagements.	1 Day
DocFinity COLD Hands-on configuration and management of computer report output and how to configure indexing and automate the capture stream process.	3 Days
DocFinity API Hands-on class that covers the DocFinity URL API and the web-services based DocFinity API.	1 Day
DocFinity eForms The DocFinity eForms module creates and processes electronic, web-based forms that work with the document management and business process management suite. The class will cover eForms administration, and eForms designer functionality with hands-on activities that illustrate how to create and design eForms.	2 Days
Records Management The DocFinity Records Management module is designed to help you comply with your own corporate record retention policies, government regulations, and record retention and discovery for legal cases. Records Management automates complicated and intense company policies that are burdensome. By enforcing policies and regulations with the automated features, Records Management offers a necessary protection.	1 Day
SQL 101 SQL 101 class is a one day Training of SQL. This particular course aims to provide non-DBAs (Database Administrators) everything they need to know about the basics of Structured Query Language. Basic Database Concepts, Relational Database, SQL Queries and Syntax are discussed in this course among other topics.	1 Day

DocFinity Dashboards The DocFinity Dashboard class is comprised of two days. The first day will concentrate on using SQL to gather your Key Performance Indicators (KPIs) and how to create data sources in DocFinity for those. The second day will show you how to use those data sources to create charts and dashboards for reporting purposes.	2 Days

XIII. **ATTACHMENTS**:

WRITTEN PRE-PROPOSAL QUESTION FORM **ATTACHMENT A – WRITTEN PRE-PROPOSAL QUESTION FORM**

Project: Enterprise Content Management (ECM) Solution

Longwood University

Farmville, Virginia 23909

Attention: Cathryn B. Mobley, CPA, CUPO, VCCO, VCO

Director of Financial Operations and Material Management

Bristow Hall, Room 218

Longwood University

Farmville, Virginia 23909

Fax: 434-395-2246 | Email: mobleycb@longwood.edu

The following questions are against RFP#LU214-16-004.

Section, Page, Paragraph, Line(s)	Question
1	Numbers - How many total users will be using the solution?
2	Cloud or Longwood Managed - Our product allows for both on premise and cloud platforms. Does the university require pricing for one or the other or both options?
3	Scope - Our understanding was that this was for Longwood University. The RFP, however, states that other institutions like JMU or UMW, etc might be involved. Are the requirements for this RFP solely for Longwood University? Should the focus be solely on Longwood University with the idea that other entities could then be involved after a successful implementation with Longwood? Or are they looking at this now for their individual institutions as well?
4	Integration - What version of Banner (release number and version please) is Longwood integrating with? Would it be possible to get a quality screen shot of the student records page from your current version of Banner?

All questions shall be received by **12:00 Noon, September 15, 2015**. All responses to questions will be made by addendum.

Question(s) submitted by:

Michael Stern DocFinity/Optical Image Technology

Name Company

Email Address: mstern@docfinity.com

Phone # Cell: 215-260-0002 Office: 814-238-0038 Fax # 814-238-0011

ATTACHMENT B SMALL BUSINESS SUBCONTRACTING PLAN

1 Definitions

DSBSD: Department of Small Business and Supplier Diversity.

Small Business: "Small Business" means an independently owned and operated business which, together with affiliates, has 250 or fewer employees, or average annual gross receipts of $10 million or less averaged over the previous three years. Note: This shall not exclude DSBSD-certified women- and minority-owned businesses when they have received DSBSD small business certification.

Women-Owned Business: Women-owned business means a business concern that is at least 51% owned by one or more women who are citizens of the United States or non-citizens who are in full compliance with United States immigration law, or in the case of a corporation, partnership or limited liability company or other entity, at least 51% of the equity ownership interest is owned by one or more women who are citizens of the United States or non-citizens who are in full compliance with United States immigration law, and both the management and daily business operations are controlled by one or more women who are citizens of the United States or non-citizens who are in full compliance with the United States immigration law.

Minority-Owned Business: Minority-owned business means a business concern that is at least 51% owned by one or more minority individuals or in the case of a corporation, partnership or limited liability company or other entity, at least 51% of the equity ownership interest in the corporation, partnership, or limited liability company or other entity is owned by one or more minority individuals and both the management and daily business operations are controlled by one or more minority individuals.

All small businesses must be certified by DSBSD by the due date of the solicitation to participate in the SWaM program. Certification applications are available through DSBSD online at www.dmbe.virginia.gov (Customer Service).

Offeror's Name: _____

Preparer Name: _____ **Date:** _____

2 Instructions

A. If you are certified by DSBSD as a small business, complete only Section A of this form. This shall not exclude DSBSD-certified women-owned and minority-owned businesses when they have received DSBSD small business certification.

B. If you are not a DSBSD-certified small business, complete Section B of this form. For the offeror to receive
credit for the small business subcontracting plan evaluation criteria, the offeror shall identify the portions of the contract that will be subcontracted to DSBSD-certified small business in this section. Points will be assigned based on each offeror's proposed subcontracting expenditures with DSBSD-certified small businesses for the initial contract period as indicated in Section B in relation to the offeror's total price.

3 Section A

If your firm is certified by DSBSD, are you certified as a (**check only one below**):

Small Business Certification Number: _____

Small and Women-owned Business

Small and Minority-owned Business Certification Date: _____

4 Section B

Populate the table below to show your firm's plans for utilization of DSBSD-certified small businesses in the performance of this contract. This shall not exclude DSBSD-certified women-owned and minority-owned businesses when they have received the DSBSD small business certification. Include plans to utilize small businesses as part of joint ventures, partnerships, subcontractors, suppliers, etc.

5 Plans for Utilization of DSBSD-Certified Small Businesses for this Procurement

Small Business Name & Address DSBSD Certificate #	Status if Small Business is also: Women (W) Minority (M)	Contact Person, Telephone & Email	Type of Goods and/or Services	Planned Involvement During Initial Period of the Contract	Planned Contract Dollars During Initial Period of the Contract
Totals $					

6 ATTACHMENT C OFFEROR DATA SHEET (TO BE COMPLETED BY OFFEROR AND RETURNED WITH PROPOSAL)

A. **Qualification of Offeror:** The Offeror must have the capability and capacity in all respects to fully satisfy all of the contractual requirements. Indicate your company's ownership, history, size, strategic partners and length of time you have been in business providing the goods/services required herein.

B. **References:** List four (4) colleges or universities for whom you have provided this type of goods/services that Longwood has your permission to contact. For each reference, provide a brief description of the implementation including:

a. Offices installed;
b. Approximate number of users (specify web client, rich client, or desktop full client) in each office;
c. ECM modules in use in each office;
d. Workflows in use in each office or institution wide; and
e. Names and contact information for a functional and technical reference.

DocFinity Response: Please see attached Reference List.

7 ATTACHMENT D LONGWOOD UNIVERSITY THIRD-PARTY NON-DISCLOSURE AGEEMENT

CONFIDENTIALITY OF AGENCY INFORMATION:

1. Contractor shall take all precautions and measures necessary to ensure the integrity, nondisclosure, confidentiality and protection of all data and information obtained from Longwood University or derived therefrom, including but not limited to all original reporting forms and data in any other form.

2. Prior to the commencement of any work Longwood University, the contractor shall declare in writing that he or she understands that all data and information obtained from Longwood University or derived therefrom is sensitive and will be held in the strictest confidence by Contractor, its officers, directors, agents, and employees and that Contractor, its officers, directors, agents, and employees shall be governed by, and comply with, Federal and State laws prohibiting the disclosure of information obtained or compiled during the course of their work for Longwood University.

3. All information obtained and work performed under this agreement and the Contractor's Longwood University contract/order is considered sensitive, requires use of sensitive and

personal data and information and falls under one or more categories of information that is subject to protection from disclosure and misuse, including but not limited to: personal information and highly restricted personal information in connection with motor vehicle records under the Federal Drivers Privacy Protection Act, 18 USC 2721 *et seq.*, law enforcement sensitive data and information, the Privacy Act of 1974, 5 U.S.C. § 552a *et. seq.*, the Family Educational Rights and Privacy Act of 1974, 20 U.S.C. § 1232g *et seq.* (FERPA), personal, vehicle and driver information as defined under and governed by Va. Code § 46.2-208 *et seq.* and personal information as defined under and governed by the Government Data Collection and Dissemination Practices Act, Va. Code § 2.2-3800 *et seq.*

4. All source materials/data/information and resultant work products compiled or created and any information or portion of information derived therefrom are the property of Longwood University and must not be used by the contractor for any purpose other than the purpose outlined by the contract/order and this agreement.

5. Neither Contractor, nor its officers, directors, agents, or employees shall divulge, sell, or distribute any information obtained from Longwood University or derived therefrom at any point in time, even after termination or expiration of a contract/order, except as may otherwise be required by law.

6. If Longwood University has released education records to the Contractor pursuant to FERPA, then Contractor and its authorized representatives specifically agree to protect the records in a manner that does not permit the disclosure of personally identifiable information of individuals to third parties; and Contractor shall destroy such records when they are no longer needed for the purpose for which they were released.

7. Except as specifically authorized by the contract/order, Contractor, its officers, directors, agents, and employees are prohibited from reproducing Longwood University source media, written products, or any portion thereof.

8. The contractor shall notify each of its officers, directors, agents, and employees having access to Longwood University information that such information may be used only for the purpose and to the extent authorized in this contract.

9. Contractor agrees to comply with the applicable requirements from the current version of the ISO/IEC 27002 standard.

10. Contractor agrees to comply with all applicable federal and state statutes, rules and regulations and understands that disclosure of any information, by any means, for a purpose or to an extent unauthorized herein, shall be grounds for immediate termination of the contact/order and this agreement, and may subject the offender to criminal and civil sanctions.

11. Contractor shall indemnify, defend, and hold harmless the Commonwealth, the Virginia and Longwood University, its officers, directors, employees and agents from and against all losses, liabilities, damages and all related costs and expenses (including reasonable attorneys' fees and

disbursements and costs of investigation, litigation, settlement, judgments, interest and penalties), incurred in connection with any action or proceeding arising directly or indirectly from unauthorized use or disclosure by Contractor, its agents, directors, officers or employees, of any data or information obtained from Longwood University pursuant to this agreement, or derived therefrom.

12. Contractor shall disclose to Longwood University any breach of the security of the system following discovery that unencrypted Longwood University personal information was, or is reasonably believed to have been, acquired by an unauthorized person. The disclosure must be made in the most expedient time possible and without unreasonable delay.

To Whom It May Concern:

Optical Image Technology, Inc. (OIT) makers of the DocFinity Solution Suite, is a wholly owned subsidiary of Blue Cross Blue Shield of South Carolina.

Every year our enterprise is audited and a resulting credit report compiled. Due to the scope of this effort it requires time. Attached is the most current version of that report along with some additional financial information.

We request that you consider and accept the enclosed credit report and financial information as evidence of our viability and financial strength.

Please do not hesitate to contact me for discussion.

Thank you.

Respectfully,

Ronald Prichard, President
Optical Image Technology, Inc.

* 3 8 5 2 0 2 0 1 4 2 0 1 0 0 1 0 0 *

ANNUAL STATEMENT

As of December 31, 2014

of the Condition and Affairs of the

Blue Cross and Blue Shield of South Carolina

NAIC Group Code.....661, 661 (Current Period) (Prior Period) NAIC Company Code..... 38520 Employer's ID Number..... 57-0287419

Organized under the Laws of South Carolina State of Domicile or Port of Entry South Carolina Country of Domicile US

Licensed as Business Type Accident and Health Is HMO Federally Qualified? Yes [ ] No [X]

Incorporated/Organized..... December 10, 1946 Commenced Business..... April 1, 1947

Statutory Home Office	2501 Faraway Drive..... Columbia ..... SC ..... US ..... 29219 *(Street and Number) (City or Town, State, Country and Zip Code)*		
Main Administrative Office	2501 Faraway Drive..... Columbia ..... SC ..... US ..... 29219 *(Street and Number) (City or Town, State, Country and Zip Code)*	803 *(Area Code)*	788-3860 *(Telephone Number)*
Mail Address	4101 Percival Road, AX-200..... Columbia ..... SC ..... US ..... 29229 *(Street and Number or P. O. Box) (City or Town, State, Country and Zip Code)*		
Primary Location of Books and Records	4101 Percival Road..... Columbia ..... SC ..... US ..... 29229 *(Street and Number) (City or Town, State, Country and Zip Code)*	803 *(Area Code)*	788-3860 *(Telephone Number)*
Internet Web Site Address	www.southcarolinablues.com		
Statutory Statement Contact	Lori Hair *(Name)*	803 *(Area Code)*	264-2034 *(Telephone Number) (Extension)*
	lori.hair@bcbssc.com *(E-Mail Address)*	803 *(Fax Number)*	870-8656

OFFICERS

David Stephen Pankau President and Chief Executive Officer	Michael John Mizeur Chief Financial Officer and Treasurer	Judith Monastra Davis Chief Legal Officer and Corporate Secretary

VICE PRESIDENTS

Rolanda Yvette Aiken	Allen Keith Gardner	Martha June Plummer Mahaffey	William Fredrick Rowell
Ann Thomas Burnett	Danny Rowell Grunsky	Renee Shirer McCormick	Ronald Layne Rushton
Charles Brian Campbell	Michael Ellis Harris	Louis Manigault McElveen	Matthew McGrogan Shaffer
Anne Florkiewicz Castro	Bruce Edward Honeycutt	Duncan Scott McIntosh	Mary Mazzola Spivey
Cynthia Bowyer Cooper	Bruce Wayne Hughes, Jr.	Stephen Carter Parham #	Heather Lynn Srulevich
James Andrew D'Alessio	Raad Wilcox Joseph	Terry Annette Peace	Timothy Lynn Vaughn
Jill Renee Davis	Barbara Ann Kelly	Edmund Steele Pendleton, Jr.	Stephen John Von Fange
James Allen Deyling	Keith Miller Killian	William Augustus Reynolds, Jr.	Stephen Kyle Wiggins
Patricia Lee Dickerson	Manuel John Licata	Dale Linder Rish	Jeffrey Bryn Williams
Eric Bart Galvin	Laura Bird Long, M.D.		

DIRECTORS OR TRUSTEES

Joseph Rozier Blanchard #	Elizabeth Anne Fleming #	Edwin Erwin Maddrey II	Minor Mickel Shaw
Helen Ehrhardt Clawson	John George Foos	David Stephen Pankau	Joseph Francis Sullivan
Merl Floyd Code	Robert Alan Leichtle	Malcolm Edward Sellers	

State of..... South Carolina
County of..... Richland

The officers of this reporting entity being duly sworn, each depose and say that they are the described officers of said reporting entity, and that on the reporting period stated above, all of the herein described assets were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as herein stated, and that this statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to, is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended, and have been completed in accordance with the NAIC *Annual Statement Instructions* and *Accounting Practices and Procedures* manual except to the extent that: (1) state law may differ; or, (2) that state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively. Furthermore, the scope of this attestation by the described officers also includes the related corresponding electronic filing with the NAIC, when required, that is an exact copy (except for formatting differences due to electronic filing) of the enclosed statement. The electronic filing may be requested by various regulators in lieu of or in addition to the enclosed statement.

(Signature)	(Signature)	(Signature)
David Stephen Pankau	Michael John Mizeur	Judith Monastra Davis
(Printed Name)	(Printed Name)	(Printed Name)
President and Chief Executive Officer	Chief Financial Officer and Treasurer	Chief Legal Officer and Corporate Secretary
(Title)	(Title)	(Title)

Subscribed and sworn to before me

This 25 day of February 2015

a. Is this an original filing? Yes [X] No [ ]

b. If no: 1. State the amendment number

2. Date filed

3. Number of pages attached

ASSETS

	Current Year 1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	Prior Year 4 Net Admitted Assets
1. Bonds (Schedule D)	534,648,444		534,648,444	600,204,609
2. Stocks (Schedule D):				
2.1 Preferred stocks			0	
2.2 Common stocks	1,109,257,319	596,534	1,108,660,785	1,086,795,673
3. Mortgage loans on real estate (Schedule B):				
3.1 First liens			0	
3.2 Other than first liens			0	
4. Real estate (Schedule A):				
4.1 Properties occupied by the company (less $.....0 encumbrances)	143,127,252		143,127,252	144,769,470
4.2 Properties held for the production of income (less $.....0 encumbrances)	4,824,562		4,824,562	4,239,561
4.3 Properties held for sale (less $.....0 encumbrances)	1,955,588		1,955,588	2,540,588
5. Cash ($.....243,262,101, Schedule E-Part 1), cash equivalents ($.....0, Schedule E-Part 2) and short-term investments ($.....19,453,304, Schedule DA)	262,715,405		262,715,405	150,522,041
6. Contract loans (including $.....0 premium notes)			0	
7. Derivatives (Schedule DB)			0	
8. Other invested assets (Schedule BA)	720,985,229	4,481,106	716,504,123	659,253,540
9. Receivables for securities			0	15,024,732
10. Securities lending reinvested collateral assets (Schedule DL)			0	
11. Aggregate write-ins for invested assets	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11)	2,777,513,799	5,077,640	2,772,436,159	2,663,350,214
13. Title plants less $.....0 charged off (for Title insurers only)			0	
14. Investment income due and accrued	5,558,464		5,558,464	6,234,838
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection	98,364,400	3,199,124	95,165,276	31,130,426
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including $.....0 earned but unbilled premiums)			0	
15.3 Accrued retrospective premiums	2,239,410		2,239,410	1,092,406
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers	15,862,329	384,514	15,477,815	1,150,793
16.2 Funds held by or deposited with reinsured companies	579,465		579,465	643,032
16.3 Other amounts receivable under reinsurance contracts	7,150		7,150	11,892
17. Amounts receivable relating to uninsured plans	79,124,151	8,985,774	70,138,377	78,923,240
18.1 Current federal and foreign income tax recoverable and interest thereon	21,278,692		21,278,692	12,274,045
18.2 Net deferred tax asset	88,643,574	22,060,647	66,582,927	37,191,984
19. Guaranty funds receivable or on deposit	1,299,149		1,299,149	476,493
20. Electronic data processing equipment and software	20,557,526	8,747,929	11,809,597	13,218,583
21. Furniture and equipment, including health care delivery assets ($.....0)	21,329,881	21,329,881	0	
22. Net adjustment in assets and liabilities due to foreign exchange rates			0	
23. Receivables from parent, subsidiaries and affiliates	21,833,511		21,833,511	29,078,603
24. Health care ($.....52,944,093) and other amounts receivable	87,974,048	7,898,405	80,075,643	79,588,848
25. Aggregate write-ins for other than invested assets	57,170,630	25,720,750	31,449,880	28,734,359
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25)	3,299,336,179	103,404,664	3,195,931,515	2,983,099,756
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts			0	
28. TOTALS (Lines 26 and 27)	3,299,336,179	103,404,664	3,195,931,515	2,983,099,756

DETAILS OF WRITE-INS

1101.			0	
1102.			0	
1103.			0	
1198. Summary of remaining write-ins for Line 11 from overflow page	0	0	0	0
1199. Totals (Lines 1101 thru 1103 plus 1198) (Line 11 above)	0	0	0	0
2501. CSV on Life Insurance Policies	30,008,951		30,008,951	28,734,359
2502. Employee Advances and Deposits	8,343	8,343	0	
2503. Prepaid assets	24,320,990	24,320,990	0	
2598. Summary of remaining write-ins for Line 25 from overflow page	2,832,346	1,391,417	1,440,929	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above)	57,170,630	25,720,750	31,449,880	28,734,359

LIABILITIES, CAPITAL AND SURPLUS

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less $.....3,648,133 reinsurance ceded)	242,105,049		242,105,049	222,413,112
2. Accrued medical incentive pool and bonus amounts			0	
3. Unpaid claims adjustment expenses	15,307,812		15,307,812	16,834,538
4. Aggregate health policy reserves, including the liability of $.....11,950,000 for medical loss ratio rebate per the Public Health Service Act	78,856,506		78,856,506	15,666,848
5. Aggregate life policy reserves			0	
6. Property/casualty unearned premium reserve			0	
7. Aggregate health claim reserves	372,710		372,710	311,377
8. Premiums received in advance	26,265,251		26,265,251	27,897,605
9. General expenses due or accrued	158,118,074		158,118,074	133,451,377
10.1 Current federal and foreign income tax payable and interest thereon (including $.....0 on realized capital gains (losses))	25,576,124		25,576,124	17,484,820
10.2 Net deferred tax liability			0	
11. Ceded reinsurance premiums payable	893,790		893,790	922,344
12. Amounts withheld or retained for the account of others	248,554,238		248,554,238	253,628,367
13. Remittances and items not allocated	6,935,804		6,935,804	4,933,543
14. Borrowed money (including $.....0 current) and interest thereon $.....0 (including $.....0 current)			0	
15. Amounts due to parent, subsidiaries and affiliates	1,301,917		1,301,917	228,424
16. Derivatives			0	
17. Payable for securities			0	18,285,131
18. Payable for securities lending			0	
19. Funds held under reinsurance treaties with ($.....0 authorized reinsurers, $.....0 unauthorized and $.....0 certified reinsurers)			0	
20. Reinsurance in unauthorized and certified ($.....0) companies			0	
21. Net adjustments in assets and liabilities due to foreign exchange rates			0	
22. Liability for amounts held under uninsured plans	18,232,866		18,232,866	9,907,824
23. Aggregate write-ins for other liabilities (including $.....83,538,691 current)	207,090,831	0	207,090,831	107,848,807
24. Total liabilities (Lines 1 to 23)	1,029,610,972	0	1,029,610,972	829,814,117
25. Aggregate write-ins for special surplus funds	XXX	XXX	38,498,000	0
26. Common capital stock	XXX	XXX		
27. Preferred capital stock	XXX	XXX		
28. Gross paid in and contributed surplus	XXX	XXX	26,766	26,766
29. Surplus notes	XXX	XXX		
30. Aggregate write-ins for other than special surplus funds	XXX	XXX	0	0
31. Unassigned funds (surplus)	XXX	XXX	2,127,795,777	2,153,258,873
32. Less treasury stock at cost:				
32.1 .....0.000 shares common (value included in Line 26 $.....0)	XXX	XXX		
32.2 .....0.000 shares preferred (value included in Line 27 $.....0)	XXX	XXX		
33. Total capital and surplus (Lines 25 to 31 minus Line 32)	XXX	XXX	2,166,320,543	2,153,285,639
34. Total liabilities, capital and surplus (Lines 24 and 33)	XXX	XXX	3,195,931,515	2,983,099,756

DETAILS OF WRITE-INS

2301. Other Payables	9,400,296		9,400,296	4,917,918
2302. Assumed P&C Claim Reserve for Worker's Compensation	44,007,652		44,007,652	55,359,197
2303. Escheat Liability	7,399,325		7,399,325	6,681,111
2398. Summary of remaining write-ins for Line 23 from overflow page	146,283,558	0	146,283,558	40,890,581
2399. Totals (Lines 2301 thru 2303 plus 2398) (Line 23 above)	207,090,831	0	207,090,831	107,848,807
2501. Segregated Special Surplus	XXX	XXX	38,498,000	
2502.	XXX	XXX		
2503.	XXX	XXX		
2598. Summary of remaining write-ins for Line 25 from overflow page	XXX	XXX	0	0
2599. Totals (Lines 2501 thru 2503 plus 2598) (Line 25 above)	XXX	XXX	38,498,000	0
3001.	XXX	XXX		
3002.	XXX	XXX		
3003.	XXX	XXX		
3098. Summary of remaining write-ins for Line 30 from overflow page	XXX	XXX	0	0
3099. Totals (Lines 3001 thru 3003 plus 3098) (Line 30 above)	XXX	XXX	0	0

STATEMENT OF REVENUE AND EXPENSES

	Current Year 1 Uncovered	Current Year 2 Total	Prior Year 3 Total
1. Member months	XXX	14,958,556	14,430,633
2. Net premium income (including $.....39,959,966 non-health premium income)	XXX	2,409,556,280	2,124,264,025
3. Change in unearned premium reserves and reserve for rate credits	XXX	(69,315,165)	23,640,999
4. Fee-for-service (net of $.....0 medical expenses)	XXX		
5. Risk revenue	XXX		
6. Aggregate write-ins for other health care related revenues	XXX	28,752,552	30,159,747
7. Aggregate write-ins for other non-health revenues	XXX	0	0
8. Total revenues (Lines 2 to 7)	XXX	2,368,993,667	2,178,064,771
Hospital and Medical:			
9. Hospital/medical benefits		1,000,165,742	958,844,746
10. Other professional services		141,811,966	131,198,501
11. Outside referrals		43,855,532	39,652,689
12. Emergency room and out-of-area		260,362,142	227,082,661
13. Prescription drugs		357,032,445	312,479,350
14. Aggregate write-ins for other hospital and medical	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts			
16. Subtotal (Lines 9 to 15)	0	1,803,227,827	1,669,257,947
Less:			
17. Net reinsurance recoveries		(36,556,413)	(40,532,163)
18. Total hospital and medical (Lines 16 minus 17)	0	1,839,784,240	1,709,790,110
19. Non-health claims (net)		24,749,600	49,094,124
20. Claims adjustment expenses, including $.....34,209,276 cost containment expenses		104,702,684	109,008,329
21. General administrative expenses		275,521,731	206,277,084
22. Increase in reserves for life and accident and health contracts including $.....0 increase in reserves for life only)		7,808	(15,743)
23. Total underwriting deductions (Lines 18 through 22)	0	2,244,766,063	2,074,153,904
24. Net underwriting gain or (loss) (Lines 8 minus 23)	XXX	124,227,604	103,910,867
25. Net investment income earned (Exhibit of Net Investment Income, Line 17)		28,764,201	42,649,615
26. Net realized capital gains or (losses) less capital gains tax of $.....24,069,486		(49,979,090)	20,841,965
27. Net investment gains or (losses) (Lines 25 plus 26)	0	(21,214,889)	63,491,580
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered $.....0) (amount charged off $.....0)]			
29. Aggregate write-ins for other income or expenses	0	(20,520,831)	(28,523,165)
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29)	XXX	82,491,884	138,879,282
31. Federal and foreign income taxes incurred	XXX	44,381,294	56,639,991
32. Net income (loss) (Lines 30 minus 31)	XXX	38,110,590	82,239,291

DETAILS OF WRITE-INS

0601. Other health care revenue	XXX	28,752,552	30,159,747
0602.	XXX		
0603.	XXX		
0698. Summary of remaining write-ins for Line 6 from overflow page	XXX	0	0
0699. Totals (Lines 0601 thru 0603 plus 0698) (Line 6 above)	XXX	28,752,552	30,159,747
0701.	XXX		
0702.	XXX		
0703.	XXX		
0798. Summary of remaining write-ins for Line 7 from overflow page	XXX	0	0
0799. Totals (Lines 0701 thru 0703 plus 0798) (Line 7 above)	XXX	0	0
1401.			
1402.			
1403.			
1498. Summary of remaining write-ins for Line 14 from overflow page	0	0	0
1499. Totals (Lines 1401 thru 1403 plus 1498) (Line 14 above)	0	0	0
2901. Net Administrative Income on Government Contracts		2,123,388	1,483,125
2902. Net Other Income (Expenses)		(22,644,219)	(30,006,290)
2903.			
2998. Summary of remaining write-ins for Line 29 from overflow page	0	0	0
2999. Totals (Lines 2901 thru 2903 plus 2998) (Line 29 above)	0	(20,520,831)	(28,523,165)

STATEMENT OF REVENUE AND EXPENSES (Continued)

CAPITAL AND SURPLUS ACCOUNT	1 Current Year	2 Prior Year
33. Capital and surplus prior reporting period	2,153,285,639	1,961,635,669
34. Net income or (loss) from Line 32	38,110,590	82,239,291
35. Change in valuation basis of aggregate policy and claim reserves		
36. Change in net unrealized capital gains and (losses) less capital gains tax of $.....(12,988,851)	71,602,374	79,103,105
37. Change in net unrealized foreign exchange capital gain or (loss)		
38. Change in net deferred income tax	38,462,739	(20,428,826)
39. Change in nonadmitted assets	(6,740,638)	132,244,987
40. Change in unauthorized and certified reinsurance		
41. Change in treasury stock		
42. Change in surplus notes		
43. Cumulative effect of changes in accounting principles		
44. Capital changes:		
44.1 Paid in		
44.2 Transferred from surplus (Stock Dividend)		
44.3 Transferred to surplus		
45. Surplus adjustments:		
45.1 Paid in		
45.2 Transferred to capital (Stock Dividend)		
45.3 Transferred from capital		
46. Dividends to stockholders		
47. Aggregate write-ins for gains or (losses) in surplus	(128,400,161)	(81,508,587)
48. Net change in capital and surplus (Lines 34 to 47)	13,034,904	191,649,970
49. Capital and surplus end of reporting period (Line 33 plus 48)	2,166,320,543	2,153,285,639

DETAILS OF WRITE-INS

4701. Change in unassigned funds - SSAP92/SSAP102 adoption	(128,400,161)	(81,508,587)
4702.		
4703.		
4798. Summary of remaining write-ins for Line 47 from overflow page	0	0
4799. Totals (Lines 4701 thru 4703 plus 4798) (Line 47 above)	(128,400,161)	(81,508,587)

CASH FLOW

	1 Current Year	2 Prior Year
CASH FROM OPERATIONS		
1. Premiums collected net of reinsurance	2,335,004,239	2,150,788,341
2. Net investment income	42,193,504	45,425,338
3. Miscellaneous income	28,752,552	30,159,747
4. Total (Lines 1 through 3)	2,405,950,295	2,226,373,426
5. Benefit and loss related payments	1,857,706,942	1,748,212,936
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts		
7. Commissions, expenses paid and aggregate write-ins for deductions	387,035,819	339,609,673
8. Dividends paid to policyholders		
9. Federal and foreign income taxes paid (recovered) net of $.....24,069,486 tax on capital gains (losses)	69,364,123	62,934,361
10. Total (Lines 5 through 9)	2,314,106,884	2,150,756,970
11. Net cash from operations (Line 4 minus Line 10)	91,843,411	75,616,456
CASH FROM INVESTMENTS		
12. Proceeds from investments sold, matured or repaid:		
12.1 Bonds	138,252,667	95,689,711
12.2 Stocks	399,954,416	183,344,105
12.3 Mortgage loans		
12.4 Real estate	12,500	
12.5 Other invested assets	134,100,305	103,156,186
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments		
12.7 Miscellaneous proceeds	15,024,732	18,285,131
12.8 Total investment proceeds (Lines 12.1 to 12.7)	687,344,620	400,475,133
13. Cost of investments acquired (long-term only):		
13.1 Bonds	81,972,131	154,981,549
13.2 Stocks	456,200,724	195,099,373
13.3 Mortgage loans		
13.4 Real estate	3,253,998	2,445,872
13.5 Other invested assets	120,383,864	114,641,836
13.6 Miscellaneous applications	18,285,131	15,024,732
13.7 Total investments acquired (Lines 13.1 to 13.6)	680,095,848	482,193,362
14. Net increase (decrease) in contract loans and premium notes		
15. Net cash from investments (Line 12.8 minus Lines 13.7 minus Line 14)	7,248,772	(81,718,229)
CASH FROM FINANCING AND MISCELLANEOUS SOURCES		
16. Cash provided (applied):		
16.1 Surplus notes, capital notes		
16.2 Capital and paid in surplus, less treasury stock		
16.3 Borrowed funds		
16.4 Net deposits on deposit-type contracts and other insurance liabilities		
16.5 Dividends to stockholders		
16.6 Other cash provided (applied)	13,101,181	53,688,617
17. Net cash from financing and miscellaneous sources (Lines 16.1 to 16.4 minus Line 16.5 plus Line 16.6)	13,101,181	53,688,617
RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS		
18. Net change in cash, cash equivalents and short-term investments (Line 11 plus Line 15 plus Line 17)	112,193,364	47,586,844
19. Cash, cash equivalents and short-term investments:		
19.1 Beginning of year	150,522,041	102,935,197
19.2 End of year (Line 18 plus Line 19.1)	262,715,405	150,522,041

Note: Supplemental disclosures of cash flow information for non-cash transactions:

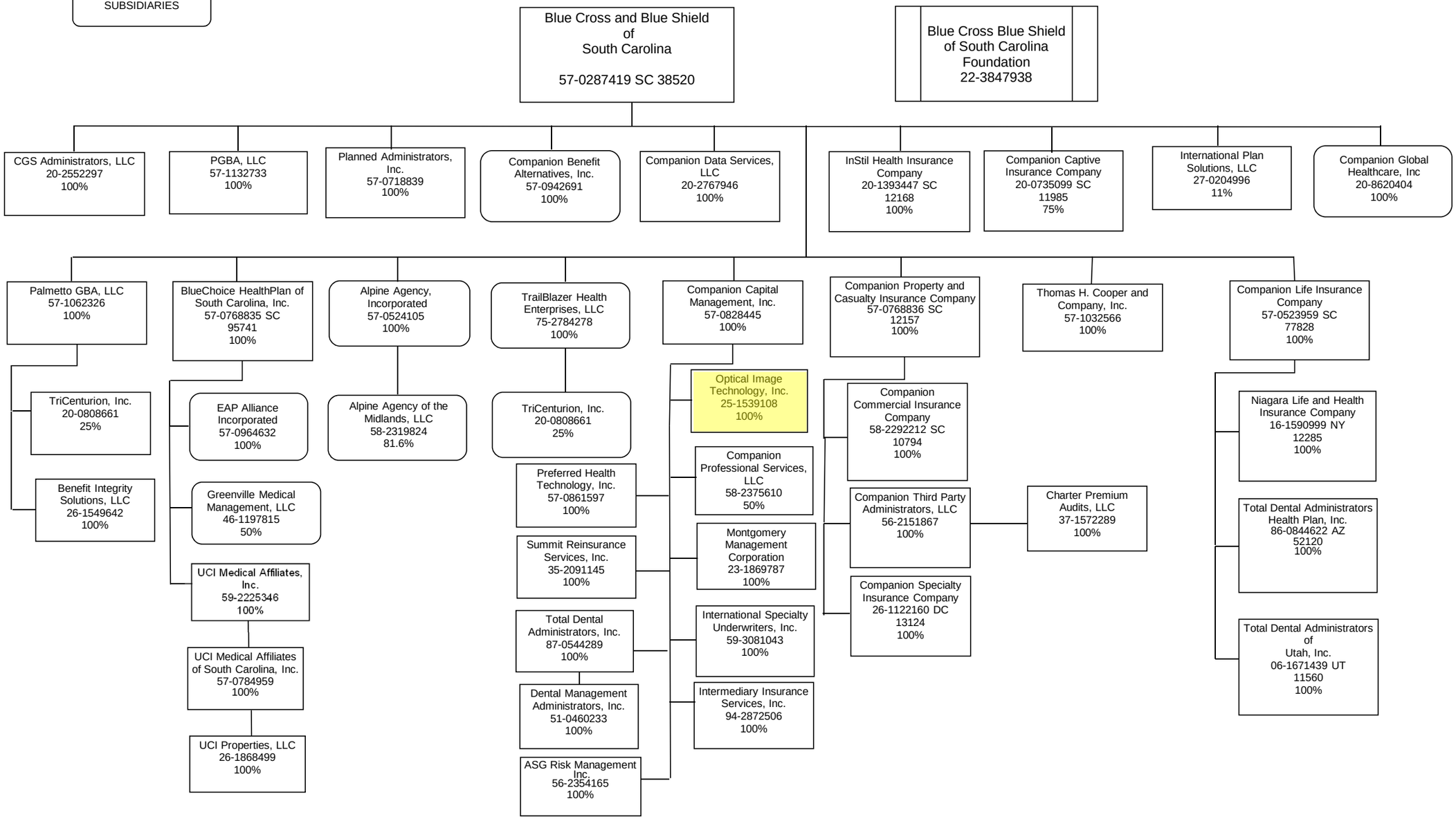
20.0001		

SCHEDULE Y - INFORMATION CONCERNING ACTIVITIES OF INSURER MEMBERS OF A HOLDING COMPANY GROUP

Blue Cross and Blue Shield of South Carolina and Subsidiaries

Part 1 Organizational Chart

As of December 31, 2014



001727 - Blue Cross and Blue Shield of South Carolina

Report Revision Date: 02/12/2015

Rating and Commentary [1]	*Financial* [2]	*General Information* [3]
Best's Credit Rating: 02/12/2015	**Time Period:** 3rd Quarter - 2014	**Corporate Structure:** 08/14/2014
Rating Rationale: 02/12/2015	**Last Updated:** 02/11/2015	**States Licensed:** 09/18/2001
Report Commentary: 07/10/2014	**Status:** Quality Cross Checked	**Officers and Directors:** 07/08/2014

Best's Credit Rating Methodology | Disclaimer | Best's Rating Guide

Additional Online Resources

Related News
Rating Activity and Announcements
Company Overview
Archived AMB Credit Reports
Corporate Changes & Retirements
AMB Country Risk Reports - United States

[1] The **Rating and Commentary** dates outline the most recent updates to the company's Best's Credit Rating, Rating Rationale, and Report Commentary for key rating and business changes. Report Commentary may include significant changes to the Business Profile, Risk Management, Operating Performance, Balance Sheet Strength, or Reinsurance sections of the report.

[2] The **Financial** dates reflect the current status of the financial tables and charts found within the AMB Credit Report, including whether the data was loaded "As Received" or had been run through A.M. Best "Quality Cross Checks".

[3] The **General Information** dates cover key changes made to Corporate Structure, States Licensed, or Officers and Directors.

Ultimate Parent: Blue Cross&Blue Shield of South Carolina

Blue Cross and Blue Shield of South Carolina

2501 Faraway Drive, Columbia, South Carolina, United States 29219
Mailing Address: 4101 Percival Road, Suite AX-200, Columbia, South Carolina, United States 29229

Tel.: 803-788-0222 **Web:** www.SouthCarolinaBlues.com **Fax:** 803-870-8656

AMB #: 001727 **Ultimate Parent #:** 001727 **NAIC #:** 38520 **FEIN#:** 57-0287419

Best's Credit Ratings

Best's Financial Strength Rating: A+ **Outlook:** Stable

Best's Issuer Credit Rating: aa- **Outlook:** Stable

Rating Effective Date: 02/12/2015

Financial Size Category: XV

Report Revision Date: 02/12/2015

Rating Rationale

The following text is derived from A.M. Best's Credit Report on Blue Cross & Blue Shield of South Carolina Group (AMB# 069149).

Rating Rationale: The ratings of Blue Cross and Blue Shield of South Carolina (BCBS SC) reflect its dominant market share, business diversity, and long history of profitability. Offsetting factors include a challenging economic and regulatory environment, business mix changes and margin compression in certain lines of business.

BCBS SC dominates South Carolina's health care marketplace. The organization's infrastructure, with its multiple specialty insurance and administration subsidiaries, was strategically developed to operate in a complementary and highly efficient manner allowing BCBS SC to be the only health insurer and administrator to compete in all customer segments in South Carolina. In conjunction with other Blue Cross and Blue Shield partners, BCBS SC operates a National Alliance program that provides significant diversification to the organization's business and membership mix. The organization has strong information technology, administrative and service capabilities that have placed it as a leader in the distribution of government programs, while its membership in the Blue Cross and Blue Shield Association provides access to national commercial business through the National BlueCard program. The organization's stable operations are evident by over twenty consecutive years of profitability. On a consolidated basis BCBS SC derives a material portion of overall revenue and earnings from non-regulated business, which somewhat balances the earnings pressure from its core health insurance business.

The consolidated commercial membership has remained relatively stable over the past few years. Membership has been partially pressured by the competitive nature of the business as well as the general state of the economy. Competition among health insurers remains high causing some margin pressure on existing and new business. Additionally, the regulatory landscape in the industry remains challenging and it is uncertain what the impact will be for 2015. Similar to 2014, the insurance industry is expected to continue to face new rules and requirements that could affect how companies operates. However, BCBSSC continues to expand its compliance and oversight activities in order to keep close eye on potential changes and shifting healthcare environment. The company's business mix continues to shift more toward self-funded accounts; additionally, Medicaid has become a growing market segment for the organization. Both self-funded business and Medicaid business generally have lower margins than insured commercial business. While South Carolina is not expanding its Medicaid program, additional enrollment is anticipated as eligible individuals are identified through the health care exchange. Although general market conditions have somewhat stabilized, investment income could continue to be depressed due to the low interest rate environment. Additionally, BCBS SC continues to make investments in its infrastructure and operations in order to address the marketplace changes and dynamics for the individual and small group market segments as a result of the health care exchange.

Rating Rationale (Continued ...)

Given the stable outlooks, upward rating movement for BCBS SC remains unlikely in the near-to-medium term. However, negative rating movement could occur if BCBS SC sees substantial negative effects from new business obtained through the health insurance exchange, regulatory and/or operational changes required under the Patient Protection and Affordable Care Act, negative operating trends in its core group health insurance business or reports a material decline in risk-adjusted capital.

Five Year Rating History

	BEST'S	
Date	FSR	ICR
02/12/2015	A+	aa-
01/17/2014	A+	aa-
01/17/2013	A+	aa-
12/19/2011	A+	aa-
12/23/2010	A+	aa-

Key Financial Indicators

	Statutory Data ($000)				
Year	Assets	Total Capital & Surplus	Net Premiums Written	Total Revenues	Net Income
2013	2,983,100	2,153,286	2,124,264	2,192,191	82,239
2012	2,744,799	1,961,636	2,143,512	2,175,911	76,978
2011	2,641,561	1,780,787	2,075,446	2,097,187	60,724
2010	2,438,273	1,696,041	1,914,299	1,947,023	96,214
2009	2,328,125	1,500,109	1,772,505	1,876,658	66,089
09/2014	3,186,609	2,145,916	1,826,877	1,774,956	85,778
09/2013	2,915,737	2,141,654	1,590,767	1,617,352	76,026

(*) Within several financial tables of this report, this company is compared against the Total US Life & Health Blue Cross/Blue Shield Companies.
(*) Data reflected within all tables of this report has been compiled from the company-filed statutory statement.

Corporate Overview

BCBS SC was established in 1946. The organization consists of approximately 49 insurance and non-insurance subsidiaries. BCBS SC's main line of business is as a health insurance company, but the organization also has substantial health benefits administration and government programs lines of business. BCBS SC also provides life insurance, property and casualty insurance, and information technology services through its subsidiaries. BCBS SC's strategy is to operate as a diversified corporation offering a complementary package of products and services that supports its core health and government programs.

BlueChoice HealthPlan of South Carolina, Inc. (BlueChoice HealthPlan) is BCBS SC's core health maintenance organization (HMO). InStil Health Insurance Company (InStil Health) provides the healthcare network for TRICARE beneficiaries in SC under a subcontract with Humana Military Healthcare Services, Inc.

Corporate Overview (Continued ...)

Companion Life Insurance Company (Companion Life), a wholly owned subsidiary of BCBS SC, and its subsidiary, Niagara Life and Health Insurance Company, sell and administer group life, accidental death, short-term and long-term disability, dental, vision, hearing and group medical excess loss insurance. Companion Life acquired Total Dental Administrators Health Plan and Total Dental Administrators of Utah in 2011. Both entities sell and administer dental insurance products.

Companion Property and Casualty Insurance Company, a wholly owned subsidiary of BCBS SC, underwrites and issues commercial lines of property and casualty insurance, including workers' compensation, commercial multiple peril, commercial automobile, commercial property, commercial umbrella, surety and other liability lines of business. The company also provides various insurance policy, claims and financial administration services to workers' compensation assigned risk plans and self-insured accounts on a fee-for-service basis. In 2014, the company divested of AmFed Casualty Insurance Company and AmFed National Insurance Company, both of which primarily sold workers compensation business in Mississippi.

Non-regulated subsidiaries include the following entities:

· Alpine Agency, an insurance agency.

· Companion Benefit Alternatives coordinates and manages mental health and substance abuse benefits for BCBS SC, BlueChoice HealthPlan and Planned Administrators, as well as designated administrative services contracts.

· Companion Capital Management performs merger and acquisition services for BCBS SC and its subsidiaries.

· Companion Data Services (CDS) runs a second independent data center dedicated to CMS work. CDS also provides Medicare data processing and support services to Palmetto GBA, LLC (Palmetto GBA) and Trailblazer Health Enterprises, LLC (TrailBlazer).

· EAP Alliance, Inc. and UCI Medical Affiliates, Inc. are subsidiaries of BlueChoice HealthPlan. EAP Alliance contracts with employers to provide and administer employee assistance programs. UCI Medical, Inc. provides non-medical management and administrative services to freestanding medical centers.

· Palmetto GBA, TrailBlazer and CGS Administrators, LLC are third-party administrators (TPAs) for various Medicare and or Medicaid contracts.

· PGBA, LLC, primarily functions as a fiscal intermediary and management information service company for the Department of Defense under TRICARE Managed Care Support contracts.

· Planned Administrators, Inc. (PAI) and Thomas H. Copper & Co. are TPAs.

Corporate Structure

AMB#	Company Name	Domicile	% Own
001727	Blue Cross&Blue Shield of SC	SC	
068593	BlueChoice HealthPlan of SC	SC	100
008064	Companion Life Insurance Co	SC	100
060566	Niagara Life and Health Ins Co	NY	100
065078	Total Dental Admin Health Plan	AZ	100
065720	Total Dental Administrators UT	UT	100
001979	Companion Prop and Cas Ins Co	SC	100
012069	Companion Commercial Ins Co	SC	100
013915	Companion Specialty Ins Co	DC	100
076603	Companion Captive Insurance Co	SC	75
013586	InStil Health Insurance Co	SC	100

Business Profile

The following text is derived from A.M. Best's Credit Report on Blue Cross & Blue Shield of South Carolina Group (AMB# 069149).

BCBS SC is a for-profit, mutual insurance company, and is the largest health insurer and health benefits administrator domiciled in the state. On a national basis, BCBS SC has become one of the largest suppliers of administrative services for both the TRICARE and Medicare federal government health insurance programs.

In addition to the core health care insurance, health benefits administration and government programs lines of business, BCBS SC also provides life insurance, property and casualty insurance, and information technology services through its subsidiaries.

Scope of Operations

Scope of Operations: The BCBS SC management team oversees the majority of its business via three divisions: Private Business, Celerian Group (formerly Government Programs) and Information Systems.

The Private Business Division provides a portfolio of health insurance products for individuals and employers of all sizes, as well as health benefit administration services for employers and employer associations. The division's primary subsidiaries include BCBS SC, BlueChoice HealthPlan of South Carolina, Inc. (BlueChoice HealthPlan), an HMO and PAI, a third-party administrator.

BCBS SC and BlueChoice HealthPlan - offer a comprehensive insured product portfolio. Individual products include the Personal BluePlan products, Medicaid managed care, Medicare supplement, Medicare Advantage and Medicare Prescription Drug (Part D) products. The Personal BluePlan products include a variety of benefit design and coverage options as well as a short term health plan. BlueChoice HealthPlan is also licensed in 46 of South Carolina's counties to offer a Medicaid product. Furthermore, BCBS SC offers both a standard and a select Medicare supplemental product as well as a Medicare Advantage Preferred Provider Organization (PPO) product and a stand-alone Medicare Prescription Drug (Part D) product.

Products for businesses with 2 to 50 employees include the Business Blue, Business True Blue, Business Blue High Deductible Health Plan and MyBlueDental. The organization offers three Business Blue plans with varying levels of coverage, deductibles, co-payments and co-insurance. Business True Blue is a group health plan available to local members of participating chambers of commerce. Business Blue High Deductible Health Plan has ten different plan designs with varying deductibles, benefit levels and out-of-pocket maximums with optional Health Savings Accounts. MyBlueDental can be paired with health coverage or purchased as dental-only coverage and it offers two options with different levels of allowances for covered dental services.

In addition to the varying benefit levels included within the Preferred Blue PPO offered by BCBS SC, businesses with more than 50 employees can select from various products offered by BlueChoice HealthPlan including Primary Choice, BlueChoice Advantage, BlueChoice Advantage Plus and High Deductible Health Plans. Primary Choice is a traditional HMO. The open access plans, BlueChoice Advantage and BlueChoice Advantage Plus, do not require a member to select a primary care physician (PCP) or obtain a referral to visit a contracting specialist. Dental coverage can also be included with the Preferred Blue PPO and BlueChoice HealthPlan product offerings. PAI provides health benefit administrative services for self-funded and partially funded group benefit plans with more than 50 employees. The administrative fee charged by PAI covers claims adjudication, subrogation, member services, use of provider networks, utilization management, individual case management and disease/health management programs.

BCBS SC also provides an administrative service product, the National Alliance program, which offers multi-state account back-office services for a number of other Blue Cross and Blue Shield plans. Partnerships resulting from the National Alliance program continue to provide additional revenue to BCBS SC through its core administrative service competency.

BCBS SC markets its products and services through a multi-channel network of captive and independent distributors. The channels utilize specialty brokers, captive agents and internal account executives to work with national consulting firms, large accounts, and group and individual clients. The majority of large group business is sold through agents, brokers, and senior account executives. Affiliations with other Blue Plans through the BlueCard program and BluesCONNECT, a consortium of BCBS-sponsored HMOs, provide additional distribution opportunities. The small group and individual under-65 markets use independent agents and the Alpine Agency, a wholly owned subsidiary that also sells certain non-competing products of other companies. Telemarketing efforts are devoted mainly to sell Medicare policies to the 65 and over market and Personal Blue Plan products for the under-65 market. In addition, telemarketing serves to generate agency leads for the small group market.

Scope of Operations (Continued ...)

Additionally, BCBS SC has a long-standing relationship with the State of South Carolina Employees Health Plan and enrolls a majority of the employees eligible to participate in the state's plan, either into the administrative services PPO or insured HMO product through BlueChoice. The company also participates in the Federal Employees Health Benefit Program (FEHBP) and has the largest federal employee enrollment in South Carolina.

The Celerian Group (formerly Government Programs Division) is the second-largest division of the organization based upon revenues, and services the TRICARE, Medicare and Medicaid programs. The division was renamed as part of a branding and marketing campaign to build brand awareness in the government contracting sector. The Celerian Group subsidiary companies include PGBA, LLC (PGBA); InStil Health Insurance Company (InStil Health); Palmetto GBA, LLC (Palmetto GBA); Trailblazer Health Enterprises, LLC (TrailBlazer); and CGS Administrators, LLC. BCBS SC has leveraged its advanced information technology platform to provide efficient, low-cost claims processing capacity and to deliver responsive customer service for Government contracts. The company has also developed its expertise in the area of payment safeguard functions, such as fraud detection, medical/utilization review and provider audits.

The TRICARE administrative services line of business operates as PGBA. The TRICARE program provides funding for health care services received by dependents of active duty military personnel, military retirees and their dependents. TRICARE contracts are awarded for each of three distinct regions. PGBA holds the administrative services subcontracts for all three contracts.

TRICARE HealthCare Risk and Managed Care Services is a subcontracting arrangement with Humana Military Healthcare Services, one of the primary TRICARE contract holders, whereby BCBS SC through its subsidiary, InStil Health, participates in the program for beneficiaries located within South Carolina. The company's responsibilities include marketing, network development, medical management and coordination of care matters.

The Medicaid Administrative Services unit functions as a fiscal intermediary under a contract with the State of South Carolina. Related functions include claim collection, data entry, audit and file maintenance.

Medicare administrative services is comprised of three subsidiaries: Palmetto GBA, TrailBlazer and CGS Administrators, LLC. Much of the work associated with this line of business relates to customer service and payment safeguard functions because of the relatively high level of electronic claims submission. BCBS SC has one of the largest market shares among competing carriers.

The Information Systems Division operates as Companion Data Services. BCBS SC has pursued a strategy of innovation and development of operational scale to enable the company to achieve a low marginal cost position in the health care marketplace. The systems development strategy relies upon extensive industry experience to define business requirements, which then serve as a basis for the development of functional integrated solutions. The organization has strengthened its position by enhancing its many services to include a national provider identifier (NPI), summary explanation of benefits (EOB), electronic medical record submission, Web-based electronic billing for small and large group accounts, administrative services accounts and individuals, Web-based enrollment for small and large groups and other industry uplifting changes that will serve to modernize the way health care providers, members and agents do business with the BCBS SC organization. A.M. Best believes that the technology approach taken by BCBS SC has resulted in significant benefits to the company. The division is a good source of non-regulated cash flows for the organization and its contracts allow for the absorption of fixed administrative overhead and the division contributed positively to consolidated net income. The focus on information management has enabled the company to diversify its business risk and to compete effectively.

Scope of Operations (Continued ...)

Total Premium Composition & Growth Analysis

Period Ending	Direct Premiums Written		Reinsurance Premiums Assumed		Reinsurance Premiums Ceded		Net Premiums Written	
	($000)	(%Chg)	($000)	(%Chg)	($000)	(%Chg)	($000)	(%Chg)
2013	1,991,887	-1.2	142,093	3.1	9,716	2.8	2,124,264	-0.9
2012	2,015,108	2.4	137,857	18.0	9,452	4.8	2,143,512	3.3
2011	1,967,670	9.5	116,792	-12.5	9,015	-42.9	2,075,446	8.4
2010	1,796,673	7.1	133,409	20.0	15,783	0.2	1,914,299	8.0
2009	1,677,067	2.2	111,192	494.2	15,753	-5.3	1,772,505	7.8
5-Yr CAGR	XX	3.9	XX	50.0	XX	-10.2	XX	5.3
09/2014	1,735,129	16.4	XX	XX	XX	XX	1,826,877	14.8
09/2013	1,491,168	-1.5	XX	XX	XX	XX	1,590,767	-1.3

Territory

The company is licensed in South Carolina.

Business Trends

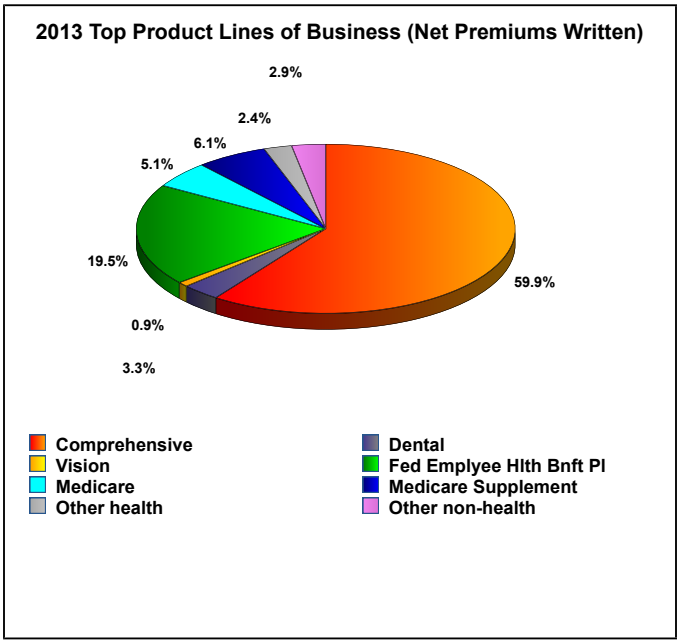
Business Trends: BCBS SC has reported good premium and enrollment growth over the last four years. Although unemployment remains relatively high in BCBS SC's primary market, the company has reported moderate membership gains in government sponsored and federal employee health plans which have offset enrollment losses in insured commercial business. Additionally, the company continues to derive a bigger portion of total revenues from self-funded business.

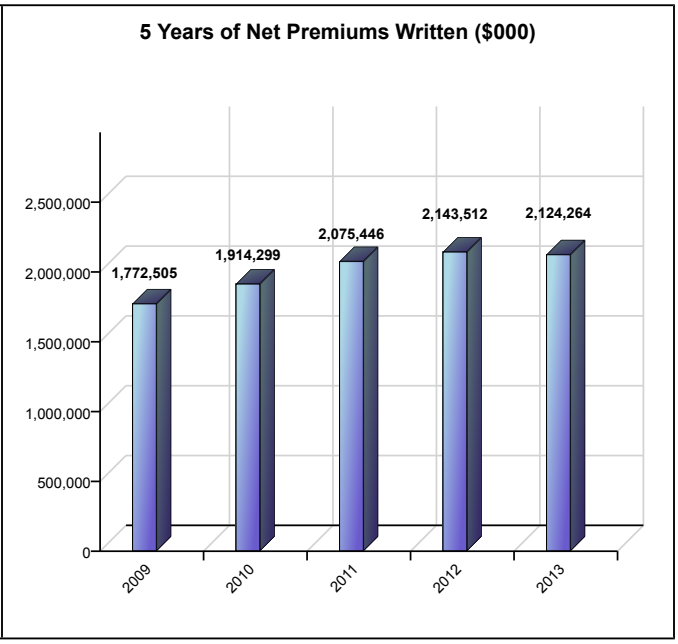
Although individual enrollment does not make up a significant portion of BCBS SC's overall business, this market sector is anticipated to show growth beginning in 2014 through enrollment gains from the healthcare exchange in South Carolina.

2013 By-Line Business

Product Line	Direct Premiums Written		Reinsurance Premiums Assumed		Reinsurance Premiums Ceded		Net Premiums Written	
	($000)	(%)	($000)	(%)	($000)	(%)	($000)	(%)
Comprehensive	1,198,303	60.2	75,500	53.1	828	8.5	1,272,975	59.9
Dental	69,766	3.5	...	...	...	...	69,766	3.3
Vision	18,176	0.9	...	...	...	...	18,176	0.9
Fed Emplyee Hlth Bnft Pln	413,784	20.8	...	...	...	...	413,784	19.5
Medicare	108,372	5.4	...	...	...	...	108,372	5.1
Medicare Supplement	128,098	6.4	501	0.4	...	...	128,599	6.1
Other health	55,387	2.8	4,731	3.3	8,888	91.5	51,230	2.4
Other non-health	...	...	61,362	43.2	...	...	61,362	2.9
Total	1,991,887	100.0	142,093	100.0	9,716	100.0	2,124,264	100.0

Business Trends (Continued ...)





By-Line Reserve ($000)

Product Line	2013	2012	2011	2010	2009
Comprehensive	7,261	11,676	16,364	...	...
Fed Emplyee Hlth Bnft Pln	6,744	29,431	44,502	37,853	44,040
Medicare supplement	360	477	529	846	971
Other health	1,613	1,480	1,270	1,052	879
Total	15,978	43,064	62,664	39,751	45,890

Summary Of Managed Care Operations

	Enrollment		% Change in Member Months	Utilization (Per 1,000 Members)			
Years	Total Members	Member Months		Average Length Membership	Physicians Visits	Hospital Days	Participating Physicians
2013	1,223,371	14,430,633	0.3	11.8	2,939	207	18,768
2012	1,204,829	14,383,179	6.6	11.9	3,019	204	17,558
2011	1,131,629	13,493,978	6.9	11.9	3,407	195	16,694
2010	1,060,876	12,626,323	12.7	11.9	3,765	193	16,774
2009	932,953	11,199,133	-3.6	12.0	4,164	226	9,628
09/2014	1,242,397	11,199,307	3.7	...	2,008	139	XX
09/2013	1,212,187	10,802,374	...	...	2,155	153	XX

Business Trends (Continued ...)

By-Line Enrollment

Product Line	2013	2012	2011	2010	2009
Comprehensive	371,124	357,324	359,568	360,480	354,145
Dental	273,349	273,494	236,335	228,176	203,303
Vision	247,377	223,611	193,427	150,359	44,097
Fed Emplyee Hlth Bnft Pln	80,088	79,631	79,215	77,064	77,137
Medicare	12,617	24,751	22,522	11,788	9,026
Medicare supplement	54,230	51,995	49,859	50,394	52,005
Other health	184,586	194,023	190,703	182,615	193,240
Total	1,223,371	1,204,829	1,131,629	1,060,876	932,953

Market Share / Market Presence

BCBS SC and its subsidiaries hold a significant market share in South Carolina in its core health insurance business. Since the company carries the Blue Cross and Blue Shield license, it is unable to market its branded health insurance products outside of the state. To ensure revenue growth and for business diversification, the company operates a number of non-Blue-branded insurance entities, as well as unregulated subsidiaries. Other insurance operations include property/casualty, voluntary worksite, life and disability, medical stop loss and dental. Although all of these business lines have shown good growth, none hold a large market share in any one state.

Geographical Breakdown By Direct Premium Writings ($000)

	2013	2012	2011	2010	2009
South Carolina	1,991,887	2,015,108	1,967,670	1,796,673	1,677,067
Total	1,991,887	2,015,108	1,967,670	1,796,673	1,677,067

Risk Management

The following text is derived from A.M. Best's Credit Report on Blue Cross & Blue Shield of South Carolina Group (AMB# 069149).

BCBS SC is actively working towards a formal Enterprise Risk Management (ERM) program. The company's ERM program is coordinated by the Corporate Audit and Compliance Department. The company has engaged an outside consulting company to assist in the development of the program framework. BCBS SC will then complete the identification and documentation of key risks, document current risk management activities, identify and address any gaps, develop risk appetite statements, risk tolerance and quantification of risk exposure.

The company has historically examined its risk management practices for key business/operational risks. Areas of focus are Corporate Code of Conduct Program and Five Key Areas of Risk which include Credit, Underwriting, Investment, Operational and Strategic.

The Corporate Compliance Program outlines topics such as ethics, privacy and security and provides new employee training, as well as an annual refresher course for all employees. An annual conflict of interest report is also submitted by all employees and Board members. Credit risk exposure for BCBS SC is primarily reinsurance. The organization maintains long term relationship with highly rated reinsurers and limits its exposure to its stop loss business. There is also moderate credit exposure to self-funded accounts, for which receivables are monitored on a weekly and monthly basis. Additionally, large accounts are sometimes required to post collateral. To monitor underwriting risk results from each market segment are analyzed monthly and an extensive trend analysis is completed quarterly. To manage investment risk BCBS SC maintains a conservative investment portfolio. The company has a detailed investment policy which is updated periodically. The majority of the consolidated investment portfolio is externally managed and detailed monitoring and reporting is completed quarterly. Operational risk is reviewed at under three subcategories; business continuity, disaster recovery and data security. BCBS SC has a well-documented business continuity program with a dedicated staff. Plans are reviewed and updated every six months. Disaster recovery is tied to the business continuity plan and provides for restoration of computer processing at an off-site facility in the event the main corporate data center is unable to function. A recovery exercise is performed annually to test the plan. To ensure data security BCBS SC has a corporate policy on this and employees are trained on protection of personal health information (PHI). Additionally laptops encryption and email are screened to further ensure protections of PHI. BCBS SC has extensive data center and system security which is monitored by the Information Assurance Group and Internal Audit. Other operational risk mitigation practices include fraud detection, Model Audit Rule (MAR) testing to evaluate controls over financial reporting and management succession planning. Strategic risk examines the company's surplus level, public perception of BCBS SC and the organization's positioning for Health Care Reform. BCBS SC perform operational, financial and compliance audits annually. Audit plans are approved by the Audit Committee of the Board, and reporting to the Board by the Audit Committee chair is done quarterly.

Operating Performance

The following text is derived from A.M. Best's Credit Report on Blue Cross & Blue Shield of South Carolina Group (AMB# 069149).

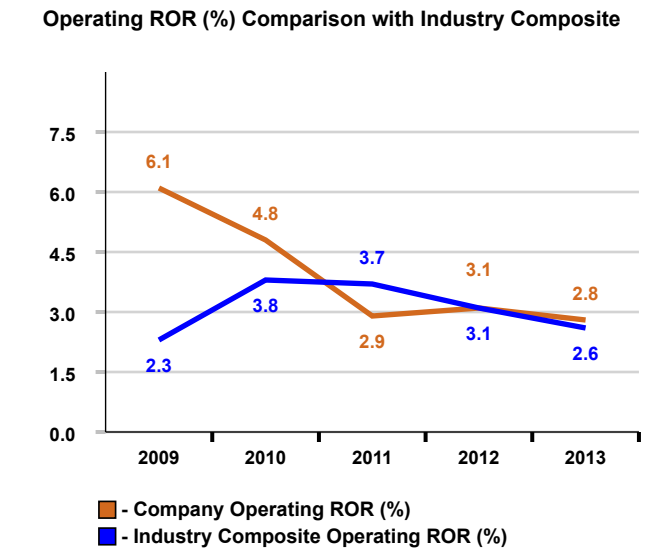
Operating Results: BCBS SC has reported steady premium revenue development through 2012, premiums declined slightly in 2013 as some commercial business shifted to its subsidiaries HMO product. Additionally, the rate of premium revenue growth has slowed as commercial risk membership continues to decline and more of BCBS SC business is derived from administrative service and self-funded business, as well as government sponsored programs. BCBS SC has consistently reported favorable underwriting results over the last five years. Underwriting, over the last three years, has benefited from favorable medical utilization trends. Operating results have also been favorably impacted by a stable administrative cost ratio over this time period.

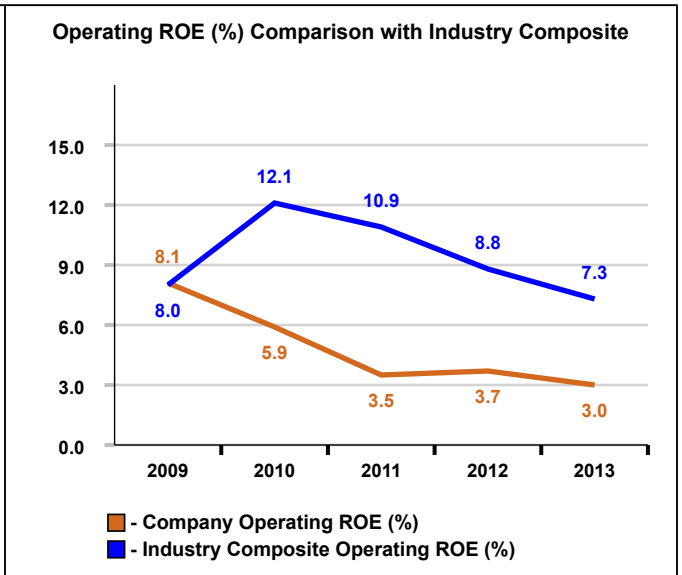
Although income from investments has consistently had a positive impact on net income for the last five years, net investment income and realized capital gains/losses on invested assets have fluctuated widely over this time period. The instability is mainly attributable to the volatile equity market, a declining interest rate environment and results attributable to subsidiaries. BCBS SC looks to supplement its underwriting income with returns on its invested assets; as such, the company is not heavily reliant on investment income to achieve positive net income.

Profitability Analysis ($000)

	Company						Industry Composite	
Period Ending	Pre-tax Net Operating Income	Net Operating Gain	Net Income	Total Return	Operating ROR (%)	Operating ROE (%)	Operating ROR (%)	Operating ROE (%)
2013	118,037	61,397	82,239	161,342	2.8	3.0	2.6	7.3
2012	75,973	68,302	76,978	156,998	3.1	3.7	3.1	8.8
2011	68,536	60,531	60,724	113,043	2.9	3.5	3.7	10.9
2010	47,826	93,830	96,214	208,823	4.8	5.9	3.8	12.1
2009	131,726	114,114	66,089	179,036	6.1	8.1	2.3	8.0
5-Yr Avg/Tot	442,098	398,175	382,244	819,241	3.9	4.6	3.1	9.4
09/2014	108,747	55,481	85,778	39,185	3.1	2.4	XX	XX
09/2013	100,920	65,598	76,026	152,189	4.1	4.5	XX	XX

Operating Performance (Continued ...)





Underwriting Results

Profitability Tests

Year	Loss Ratio	Administrative Expense Ratio	Combined Ratio	NOG to Total Assets	NOG to Total Revenues	Operating Return on Equity	Net Yield	Total Return
2013	81.9	14.3	96.2	2.1	2.8	3.0	1.69	5.68
2012	82.8	14.3	97.0	2.5	3.1	3.7	1.27	5.10
2011	82.9	14.0	96.9	2.4	2.9	3.5	1.65	4.05
2010	81.9	16.5	98.4	3.9	4.8	5.9	1.34	7.07
2009	80.5	16.9	97.4	5.2	6.1	8.1	4.66	8.33
5-Yr Avg	82.1	16.0	98.1	3.1	3.9	4.6	2.03	5.92
09/2014	82.4	17.1	99.5	1.7	3.1	2.4	1.73	1.58
09/2013	83.8	14.9	98.7	3.2	4.1	4.5	1.05	4.13

Underwriting Results (Continued ...)

Net Underwriting Gains ($000)

Product Line	2013	2012	2011	2010	2009
Comprehensive	57,743	66,689	68,807	62,542	29,424
Dental	4,671	4,132	1,877	1,114	953
Vision	2,505	1,733	1,972	-28	69
Fed Emplyee Hlth Bnft Pln	6,464	2,907	3,810	2,763	790
Medicare	-8,177	-14,310	-12,196	-2,428	1,708
Medicare supplement	18,118	15,837	9,124	14,545	7,310
Other health	30,895	16,872	15,314	-16,194	4,894
Other non-health	-8,309	-8,695	-34,431	-8,646	-6,822
Total	103,911	85,164	54,277	53,668	38,326

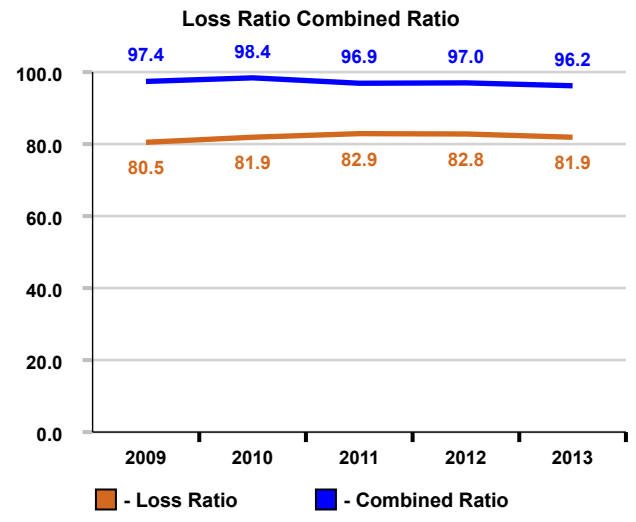
By-Line Underwriting Results

Product Line	Net Premiums Written ($000)	Net Premiums Earned ($000)	Loss Ratio	Administrative Expense Ratio	Combined Ratio
Comprehensive	1,272,975	1,273,930	79.1	17.4	96.5
Dental	69,766	69,766	85.2	8.1	93.3
Vision	18,176	18,176	79.9	6.3	86.2
Fed Emplyee Hlth Bnft Pln	413,784	436,470	94.0	6.0	100.0
Medicare	108,372	108,372	85.8	21.8	107.5
Medicare Supplement	128,599	128,599	65.1	20.8	85.9
Other health	51,230	51,230	80.3	-16.9	63.4
Other non-health	61,362	61,362	80.0	33.5	113.5
Total	2,124,264	2,086,543	81.9	14.3	96.2

By-Line Loss Ratio

Product Line	2013	2012	2011	2010	2009
Comprehensive	79.1	78.6	78.7	78.0	76.6
Dental	85.2	86.1	87.8	88.8	83.9
Vision	79.9	83.6	79.2	92.8	86.7
Fed Emplyee Hlth Bnft Pln	94.0	94.8	94.7	94.7	95.0
Medicare	85.8	90.9	90.4	87.8	80.6
Medicare supplement	65.1	66.5	69.9	66.6	65.4
Other health	80.3	79.7	81.1	81.8	88.9
Other non-health	80.0	77.1	109.0	67.5	67.3
Total	81.9	82.8	82.9	81.9	80.5

Underwriting Results (Continued ...)



2013 Pure Loss Ratio by Product Line

Data not available

By-Line Combined Ratio

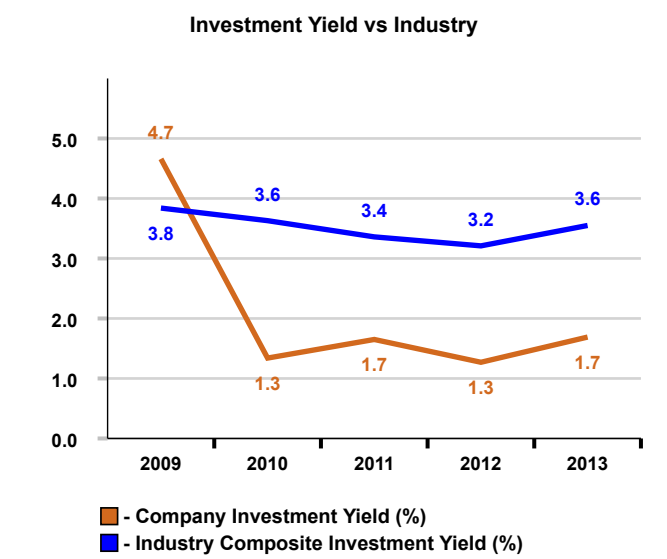
Product Line	2013	2012	2011	2010	2009
Comprehensive	96.5	95.5	95.0	95.7	97.2
Dental	93.3	93.9	96.6	97.9	97.9
Vision	86.2	89.4	85.7	100.3	94.8
Fed Emplyee Hlth Bnft Pln	100.0	100.7	100.2	100.8	99.9
Medicare	107.5	107.0	106.8	102.6	97.5
Medicare supplement	85.9	86.2	91.8	87.2	93.7
Other health	63.4	90.9	93.6	155.2	89.3
Other non-health	113.5	113.0	151.4	108.7	108.1
Total	96.2	97.0	96.9	98.4	97.4

Investment Results

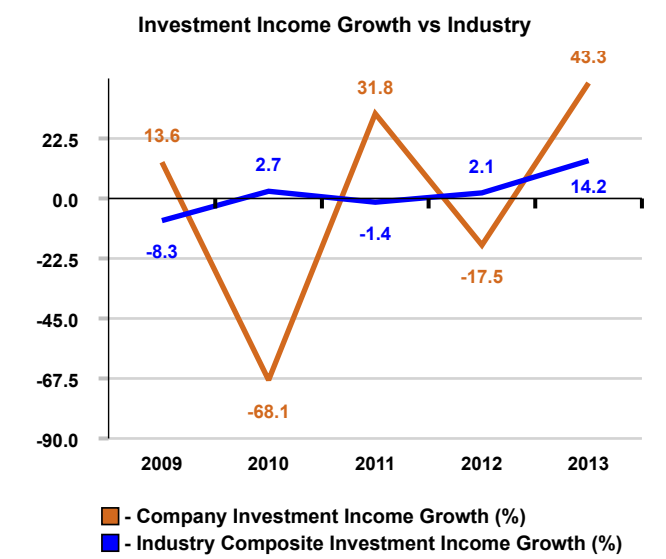
Investment Results (Continued ...)

Investment Gains ($000)

	Company							Industry Composite	
Year	Net Investment Income ($000)	Realized Capital Gains ($000)	Unrealized Capital Gains ($000)	Investment Income Growth (%)	Investment Yield (%)	Return on Invested Assets (%)	Total Return (%)	Investment Income Growth (%)	Investment Yield (%)
2013	42,650	20,842	79,103	43.3	1.7	2.5	5.68	14.2	3.6
2012	29,759	8,676	80,020	-17.5	1.3	1.6	5.10	2.1	3.2
2011	36,053	193	52,318	31.8	1.7	1.7	4.05	-1.4	3.4
2010	27,353	2,383	112,609	-68.1	1.3	1.5	7.07	2.7	3.6
2009	85,750	-48,025	112,946	13.6	4.7	2.0	8.33	-8.3	3.8
5-Yr Avg/Tot	221,565	-15,931	436,997	-12.9	2.0	1.9	5.92	1.7	3.5
09/2014	21,471	30,297	-46,593	17.5	1.7	3.2	1.58	XX	XX
09/2013	18,271	10,428	76,163	-17.7	1.1	1.5	4.13	XX	XX



* Industry Composite - Total US Life & Health Blue Cross/Blue Shield Companies



* Industry Composite - Total US Life & Health Blue Cross/Blue Shield Companies

Balance Sheet Strength

Capitalization

The following text is derived from A.M. Best's Credit Report on Blue Cross & Blue Shield of South Carolina Group (AMB# 069149).

Capitalization: BCBS SC is favorably capitalized in support of its insurance and investment risks. The organization has reported over twenty consecutive years of favorable operating performance, along with strong results from regulated and unregulated subsidiaries which has resulted in the accumulation of a strong level of risk-adjusted capital. BCBS SC's compound aggregate growth rate (CAGR) for capital and surplus remained strong during 2013 and continues to outpace premiums growth. It is anticipated that BCBS SC will maintain a strong capital and surplus balance in support of its business and investment risk.

Current BCAR: 192

Capital Generation Analysis

	Source Of Surplus Growth ($000)							% Change in Capital & Surplus
Year	Pre-Tax Net Operating Gain	Realized Capital Gains	Income Taxes	Unrealized Capital Gains	Net Contributed Capital	Other Changes	Change in Capital & Surplus	
2013	118,037	20,842	56,640	79,103	...	30,308	191,650	9.8
2012	75,973	8,676	7,671	80,020	...	23,850	180,848	10.2
2011	68,536	193	8,005	52,318	...	-28,296	84,747	5.0
2010	47,826	2,383	-46,005	112,609	...	-12,891	195,931	13.1
2009	131,726	-48,025	17,612	112,946	...	-1,654	177,382	13.4
5-Yr Total	442,098	-15,931	43,923	436,997	...	11,317	830,558	10.2
09/2014	108,747	30,297	53,267	-46,593	...	-46,555	-7,370	-0.3
09/2013	100,920	10,428	35,322	76,163	...	27,830	180,019	9.2

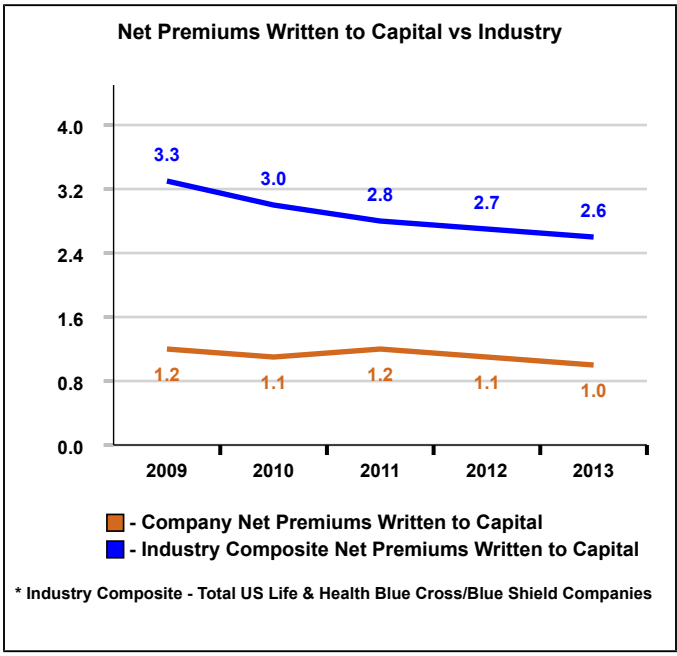
Quality of Surplus ($000)

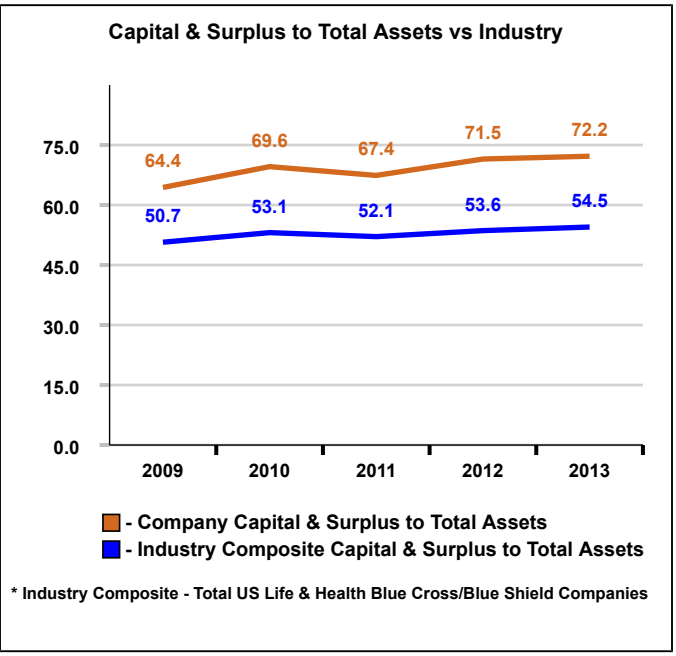
Year	Surplus Notes	Other Debt	Contributed Capital	Unassigned Surplus	Year End Capital & Surplus	Conditional Reserves	Adjusted Capital & Surplus
2013	...	...	27	2,153,259	2,153,286	XX	2,153,286
2012	...	...	27	1,961,609	1,961,636	XX	1,961,636
2011	...	...	27	1,780,761	1,780,787	XX	1,780,787
2010	...	...	27	1,696,014	1,696,041	XX	1,696,041
2009	...	...	27	1,500,082	1,500,109	XX	1,500,109
09/2014	...	...	27	2,117,016	2,145,916	XX	2,145,916
09/2013	...	...	27	2,141,628	2,141,654	XX	2,141,654

Underwriting Leverage

Leverage Analysis

	Company						Industry Composite	
Year	Liabilities to Assets	Net Premiums Written to Capital	Debt to Capital & Surplus	Equity Per Member Per Month	Capital & Surplus to Total Assets	Months Reserves	Net Premiums Written to Capital	Capital & Surplus to Total Assets
2013	27.8	1.0	...	149.22	72.2	12.5	2.6	54.5
2012	28.5	1.1	...	136.38	71.5	11.2	2.7	53.6
2011	32.6	1.2	...	131.97	67.4	10.5	2.8	52.1
2010	30.4	1.1	...	134.33	69.6	10.7	3.0	53.1
2009	35.6	1.2	...	133.95	64.4	10.3	3.3	50.7
09/2014	32.7	1.1	...	144.72	67.3	11.6	XX	XX
09/2013	26.5	1.0	...	148.86	73.5	12.7	XX	XX





Underwriting Leverage (Continued ...)

Ceded Reinsurance Analysis

	Company				Industry Composite		
Year	Affiliated Reinsurance Recoverable / Capital & Surplus	Total Reinsurance Recoverable / Capital & Surplus	Surplus Relief	Reinsurance Leverage	Total Reinsurance Recoverable / Capital & Surplus	Surplus Relief	Reinsurance Leverage
2013	...	0.1	...	0.1	0.2	...	0.8
2012	...	0.1	...	0.1	0.9	...	1.7
2011	...	0.1	...	0.1	0.9	...	1.7
2010	...	0.1	...	0.1	0.3	...	0.7
2009	...	0.1	...	0.1	0.4	...	1.0

Liquidity

The following text is derived from A.M. Best's Credit Report on Blue Cross & Blue Shield of South Carolina Group (AMB# 069149).

Liquidity: Blue Cross and Blue Shield of South Carolina's investment portfolio is allocated approximately two-fifths equities, one-quarter other invested assets and one-fifth fixed income securities, with the remainder allocated to real estate and cash and short-term investments. BCBS SC's investment portfolio has a moderate exposure to equities; however, almost two-thirds of the company's equities are attributable to affiliated entities. Affiliated insurance entities maintain positive equity, appropriate risk-adjusted capital and mostly positive cash flows to satisfy their cash requirements. Although these entities currently contribute positively to the organization, the parent company, BCBS SC, is ultimately responsible for their financial and capital requirements. Unaffiliated equity investments are sufficiently diversified by sector with some moderate overweight allocations to financial and consumer sectors. Fixed instruments are almost entirely held in investment grade securities, with an average maturity of just under four years. All mortgage-based securities are from government-sponsored entities. One-third of other invested assets are held in deferred compensation trust and the remaining two-thirds are held in joint venture investments with non-regulated affiliated companies. Real estate investments mainly are comprised of company-occupied properties.

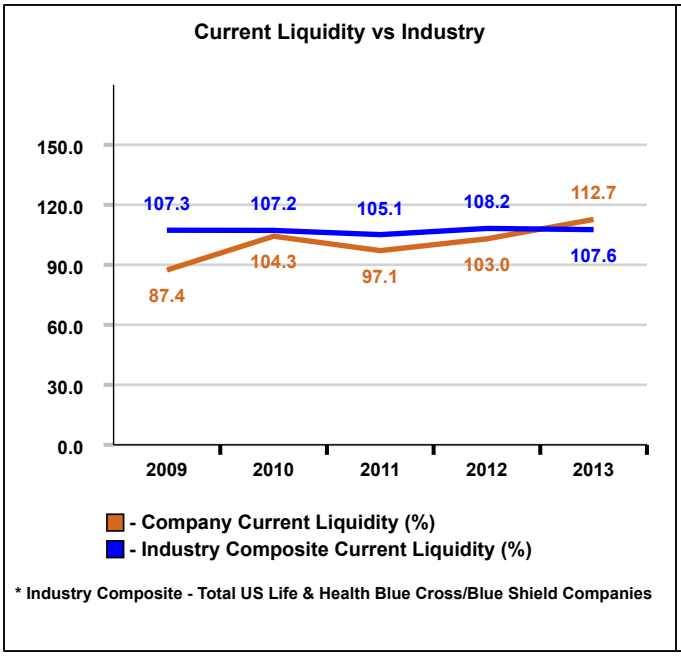
BCBS SC exhibited strong liquidity measures in 2013. Overall liquidity is high and has been sustained over the past five years. The combination of favorable operating cash flows and high quality marketable securities has provided the organization with the ability to pay claim obligations, increase investment purchases and insure favorable return on investments.

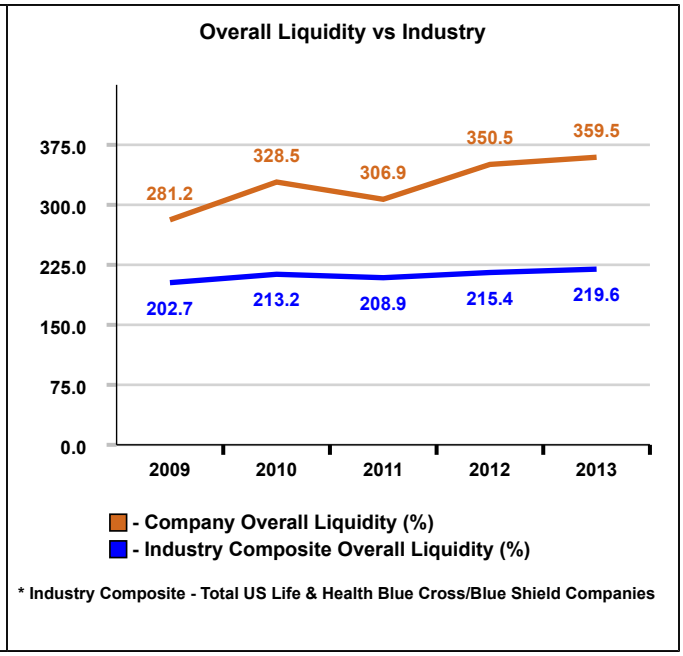
BCBS SC has no debt and maintains over ten months of reserves to pay claims. Over the past five years, premium leverage has measured approximately 1.1 times capital, which is considered a strong score.

Liquidity (Continued ...)

Liquidity Analysis

	Company							Industry Composite	
Year	Current Liquidity	Overall Liquidity	Premium Receivable Turnover (months)	Cash to Claims & Payables	Claims to NPE	Health Average Claims Pay Period (days)	Total Health IBNR Pay Period (days)	Current Liquidity	Overall Liquidity
2013	112.7	359.5	0.2	999.9	11.0	47.5	38.4	107.6	219.6
2012	103.0	350.5	0.3	999.9	10.6	45.4	37.8	108.2	215.4
2011	97.1	306.9	0.4	960.7	11.5	49.5	41.7	105.1	208.9
2010	104.3	328.5	0.4	999.9	10.0	44.3	39.0	107.2	213.2
2009	87.4	281.2	0.5	999.9	9.9	44.5	41.0	107.3	202.7
09/2014	XX	306.2	0.5	999.9	...	49.8	XX	XX	XX
09/2013	XX	376.7	0.3	999.9	...	47.0	XX	XX	XX





Investments

Investments (Continued ...)

Investment Yields

Year	Net Yield	Bonds	Stocks	Mortgages	Cash & Short-Term	Real Estate		Investment Expense Ratio
						Gross	Net	
2013	1.69	3.15	0.63	...	0.01	3.38	0.06	16.21
2012	1.27	4.07	0.77	...	0.08	2.82	...	17.92
2011	1.65	5.33	0.60	0.67	0.18	3.84	0.05	17.48
2010	1.34	2.87	0.50	3.37	0.16	5.21	1.75	19.80
2009	4.66	5.52	0.39	...	0.55	7.18	3.96	6.38

Investments - Bond Portfolio

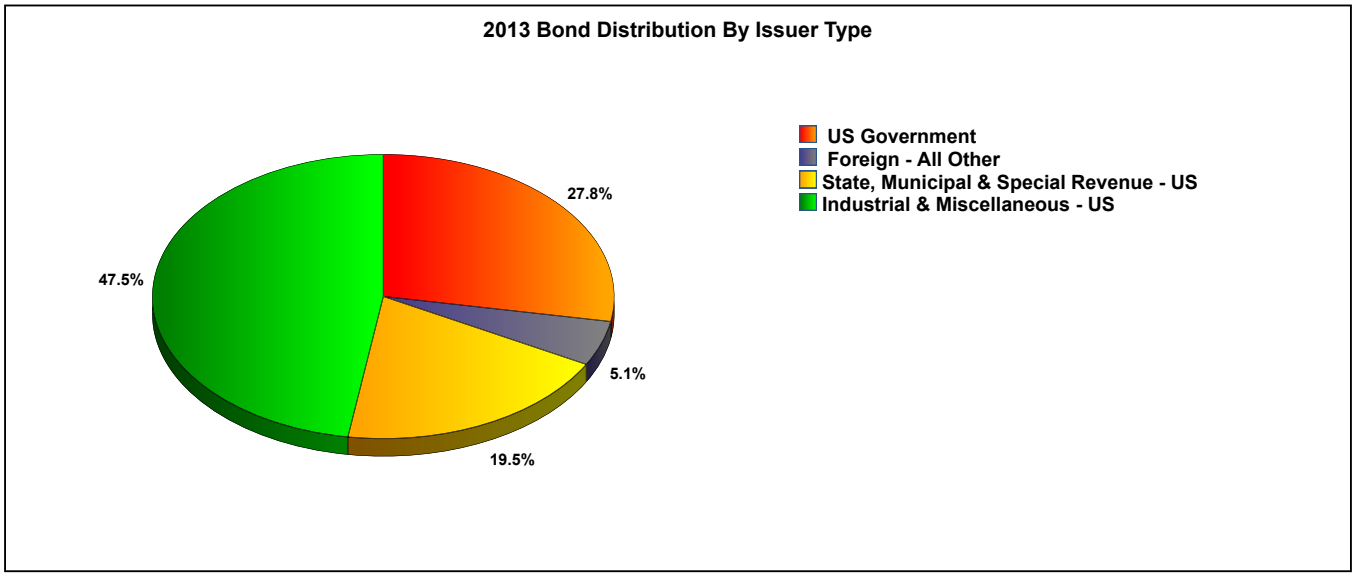
2013 Distribution By Maturity

	Years					Years Average Maturity
	0-1	1-5	5-10	10-20	20+	
Government	7.8	13.0	4.2	1.9	0.3	4.0
Govt Agencies	2.9	7.7	6.2	2.2	0.1	5.6
Industry & Miscellaneous	10.6	34.2	8.8	0.2	...	3.3
Total	21.4	54.9	19.1	4.3	0.4	3.9

Investments - Bond Portfolio (Continued ...)

Bond Distribution By Issuer Type

	2013	2012	2011	2010	2009
Bonds ($000)	600,205	553,801	556,062	590,569	601,902
US Government	27.8	16.0	8.7	9.7	12.8
Foreign - All Other	5.1	6.2	6.8	6.4	2.5
State, Municipal & Special Revenue - US	19.5	22.4	28.0	32.1	50.3
Industrial & Miscellaneous - US	47.5	55.4	56.5	51.8	34.4



Bond Percent Private vs Public

	2013	2012	2011	2010	2009
Private Issues	0.3	0.3	0.6	0.2	0.2
Public Issues	99.7	99.7	99.4	99.8	99.8

Bond Quality Percent

	2013	2012	2011	2010	2009
Class 1	77.1	74.1	75.1	77.8	86.8
Class 2	22.3	25.3	24.8	22.1	13.0
Class 3	0.7	0.5	0.2	0.2	0.1
Class 4	...	...	...	...	...

Investments - Equity Portfolio

	2013	2012	2011	2010	2009
Total Stocks ($000)	1,086,796	991,950	898,086	807,377	696,349
Unaffiliated Common	26.5	25.4	28.5	27.0	21.8
Affiliated Common	73.6	74.7	71.5	73.1	78.4

Investments - Mortgage Loans And Real Estate

	2013	2012	2011	2010	2009
Total Mortgages ($000)	...	...	...	695	1,590
Commerical	...	...	...	100.0	100.0

Real Estate

	2013	2012	2011	2010	2009
Total Real Estate ($000)	151,550	154,176	151,831	145,999	147,489
Property Occupied by Co	95.5	96.9	97.1	97.3	97.3
Property Held for Inc	2.8	2.8	2.9	2.7	2.7
Property Held for Sale	1.7	0.4	...	...	...

Investments - Other Invested Assets

	2013	2012	2011	2010	2009
Total Other Invested Assets ($000)	824,800	700,793	690,750	563,695	553,988
Cash	16.5	13.5	18.7	10.2	12.7
Short-Term	1.7	1.2	0.8	1.6	1.1
Schedule BA Assets	79.9	85.3	80.5	88.2	86.2
All Other	1.8	...	...	...	...

History

Date Incorporated: 12/10/1946 **Date Commenced:** 04/01/1947 **Domicile:** SC

Officers And Directors

Officers

President and CEO: David S. Pankau
President: James A. Deyling (Blue Cross Blue Shield Private Business Division)
President: Bruce W. Hughes (Clereian Group)
EVP and Chief Information Officer: Stephen K. Wiggins
EVP, Secretary and Chief Legal Officer: Judith M. Davis
EVP, Treasurer and CFO: Michael J. Mizeur
SVP: Eric B. Galvin
SVP: Raad W. Joseph
SVP: Mary Mazzola-Spivey
SVP: Terry A. Peace
SVP: E. Steele Pendleton, Jr.
SVP: Matthew M. Shaffer

Directors

Jospeh R. Blanchard
Helen E. Clawson
Merl F. Code
Elizabeth A. Fleming
John G. Foos
Robert A. Leichtle
E. Erwin Maddrey II
David S. Pankau
M. Edward Sellers (Chairman)
Minor M. Shaw
Joseph F. Sullivan

Regulatory

An examination of the financial condition was made as of December 31, 2011, by the insurance department of South Carolina. The 2013 annual independent audit of the company was conducted by Deloitte & Touche, LLP. The annual statement of actuarial opinion is provided by William A. Reynolds, Jr., Senior Actuary.

Balance Sheet ($000)

Admitted Assets	12/31/2013	12/31/2012
Bonds	600,205	553,801
Preferred Stocks	...	...
Common Stocks	1,086,796	991,950
Mortgage Loans	...	...
Real Estate	151,550	154,176
Cash & short-term investments	150,522	102,935
Other Invested Assets	659,254	597,858
Net Deferred Tax Asset	...	...
Premiums & consideration due	32,223	54,015
Healthcare & other receivables	79,589	71,728
Receivable from affiliates	...	...
Accrued investment income	6,235	6,111
Uninsured A&H plans	78,923	88,759
Other Assets	137,805	123,467
Total Assets	2,983,100	2,744,799

Liabilities & Surplus	12/31/2013	12/31/2012
Claims payable	222,413	214,821
Unpaid claims adjustment expenses	16,835	19,475
Advance premiums	27,898	20,466
Commissions, taxes & expenses	150,936	158,347
Unallocated items	...	...
Health policy reserves	15,667	42,784
Health claim reserves	311	280
Life policy reserves	...	...
Payable for securities	18,285	...
Other liabilities	377,469	326,991
Total liabilities	829,814	783,163
Paid in and contributed capital	27	27
Unassigned surplus	2,153,259	1,961,609
Total liabilities and Capital & Surplus	2,983,100	2,744,799

Interim Balance Sheet ($000)

Admitted Assets	03/31/2014	06/30/2014	09/30/2014
Bonds	604,256	571,332	537,296
Common stocks	1,103,959	1,213,479	1,233,540
Mortgage Loans	...	...	...
Real Estate	151,659	151,829	150,748
Cash & short-term Investments	112,916	99,964	156,109
Other invested assets	667,573	690,760	715,809
Healthcare & other receivables	80,909	80,550	75,053
Premiums & considerations due	...	103,986	104,484
Accrued investment income	6,013	5,739	5,540
Uninsured A&H plans	107,057	111,711	80,775
Other assets	135,936	111,954	127,255
Total Assets	2,970,278	3,141,305	3,186,609

Liabilities & Surplus	03/31/2014	06/30/2014	09/30/2014
Claims payable	251,280	250,636	249,130
Unpaid claims adjustment expenses	15,639	15,612	16,053
Advance premiums	27,821	23,837	23,026
Commissions, taxes & expenses	163,695	178,087	204,016
Unallocated items	...	...	...
Amounts due to affiliates	...	...	77,681
Health policy reserves	10,044	97,471	89,398
Health claim reserves	268	368	360
Other liabilities	356,214	399,200	381,029
Total liabilities	824,961	965,211	1,040,694
Paid in and contributed capital	27	27	27
Special surp funds	9,630	19,260	28,874
Unassigned surplus	2,135,660	2,156,807	2,117,016
Total liabilities and Capital & Surplus	2,970,278	3,141,305	3,186,609

Summary Of 2013 Operations ($000)

Income	12/31/2013	Disbursements	12/31/2013
Net premium income	2,147,905	Increase in accident & health reserves	-16
Fee-for-service	...	Hospital/medical services	958,845
Risk revenue	...	Other professional services	131,199
Net investment income	42,650	Outside referrals	39,653
Net gain/loss from agents balances	...	Emergency room and out of area	227,083
Other revenues	1,637	Prescription drugs	312,479
		Incentive pool & withheld adjustments	...
		Other medical & hospital expenses	...
		Net reinsurance recoveries	-40,532
		General administrative expenses	206,277
		Other expenses	158,102
Total revenue	2,192,191	Total disbursements	2,074,154
		Pre-tax operating income	118,037
		Federal income tax	56,640
		Net operating income	61,397

Interim Summary Of Operations ($000)

Income	Period Ended 09/30/2014	Period Ended 09/30/2013	Increase / Decrease
Net premium income	1,747,632	1,599,604	148,027
Fee-for-service	...	...	...
Risk revenue	...	...	...
Net investment income	21,471	18,271	3,200
Net gain/loss from agents balances	...	...	...
Other revenues	5,854	-523	6,377
Total revenue	1,774,956	1,617,352	157,605

Disbursement	Period Ended 09/30/2014	Period Ended 09/30/2013	Increase / Decrease
Increase in accident & health reserves	83	63	20
Hospital/medical services	744,389	702,174	42,215
Other professional services	107,189	98,633	8,556
Outside referrals	32,162	30,220	1,942
Emergency room and out of area	187,008	166,534	20,474
Prescription Drugs	261,749	229,705	32,044
Incentive pool & withheld adjustments	...	...	...
Other medical & hospital expenses	...	...	...
Net reinsurance recoveries	-32,444	-29,482	-2,963
General administrative expenses	187,070	131,485	55,584
Other expenses	114,115	128,136	-14,021
Total disbursements	1,666,209	1,516,432	149,777
Pre-tax operating income	108,747	100,920	7,827
Federal income tax	53,267	35,322	17,945
Net operating income	55,481	65,598	-10,117

A Best's Financial Strength Rating opinion addresses the relative ability of an insurer to meet its ongoing insurance obligations. The ratings are not assigned to specific insurance policies or contracts and do not address any other risk, including, but not limited to, an insurer's claims-payment policies or procedures; the ability of the insurer to dispute or deny claims payment on grounds of misrepresentation or fraud; or any specific liability contractually borne by the policy or contract holder. A Financial Strength Rating is not a recommendation to purchase, hold or terminate any insurance policy, contract or any other financial obligation issued by an insurer, nor does it address the suitability of any particular policy or contract for a specific purpose or purchaser.

A Best's Debt/Issuer Credit Rating is an opinion regarding the relative future credit risk of an entity, a credit commitment or a debt or debt-like security.

Credit risk is the risk that an entity may not meet its contractual, financial obligations as they come due. These credit ratings do not address any other risk, including but not limited to liquidity risk, market value risk or price volatility of rated securities. The rating is not a recommendation to buy, sell or hold any securities, insurance policies, contracts or any other financial obligations, nor does it address the suitability of any particular financial obligation for a specific purpose or purchaser.

In arriving at a rating decision, A.M. Best relies on third-party audited financial data and/or other information provided to it. While this information is believed to be reliable, A.M. Best does not independently verify the accuracy or reliability of the information. Any and all ratings, opinions and information contained herein are provided "as is," without any express or implied warranty.

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OPTICAL IMAGE TECHNOLOGY, INC. (OIT)

DOCFINITY

PRELIMINARY CLOUD QUOTATION FOR

LONGWOOD UNIVERSITY

October 6, 2015

Please Note: All quotations herein are valid for 60 days from the date noted above.

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1 DocFinity License Options

DocFinity Cloud Solution: The DocFinity software is hosted in our Amazon Web Services center and you subscribe to use the web based solution. This instance is based on number of users, storage consumed, and support you may require. Users access the system through their browser.

The following Cloud/SaaS option quotation provides the software for your use (everything quoted in the Enterprise Bundle plus the additional modules line itemed after the 2 tables below).

DocFinity Cloud Solution Option - Preliminary Quotation			
DocFinity Solution Description	Cost	# of Users/Amount of Storage	Total per Month
DocFinity Cloud Users	$149	10	$1490
DocFinity Cloud Storage (700 GB Start up Storage @ $.49 cents/GB)	$.49/GB	700	$343
Monthly Sub Total			$1,833
Monthly Support Plan	30% of Monthly Sub-total		$550
Total User, Storage & Support Fees per month			**$2,383 per month**

DocFinity Cloud/SaaS Option – Tiered Cloud Pricing Model	
Users	Cost Per User
1-5	$159
6-10	$139
11-20	$119
21-35	$104
36-55	$94
56-75	$84
76-100	$74
101-125	$64
126-200	$54
201+	$39

The DocFinity Cloud includes:

Licensing: Licensing for 10 concurrent users to start

Indexing: Categorization of information so documents can be searched and retrieved quickly and easily.

Scanning: Converts paper documents to digital files to ease handling, speed processing and save space.

Viewing: Provides instantaneous, onscreen visibility for single documents or complete files.

Searching: Enables keyword searches that provide intuitive inquiry of active databases and archives.

Administration: Gives you complete control over access, task assignment and monitoring, load balancing and security from a single, intuitive interface.

Import: Includes object, index, and email importers that let you automate the import of virtually any file type directly into the system or a workflow process, even from other document management systems.

Versioning: Tracks changes to documents, files, metadata, and markup; preserving the history and evolution of a document and allowing reversions to previous versions.

Office Integration: Integrates DocFinity and Microsoft Office to allow Word documents to be directly imported to DocFinity and to open documents stored in DocFinity in Word.

DocFinity Exporter: Takes user-defined collections of documents and extracts the files and associated database records that identify those documents. The extracted content – written to the network folder or to the CD/DVD drive of choice — then can be used to transfer document collections reliably to third parties and/or other systems.

DocFinity Connect: Calls documents from the database with a single keystroke and integrates DocFinity into current line-of-business applications without programming.

Print to DocFinity: Indexes documents into the DocFinity repository from their native applications by selecting DocFinity PDF Printer as the printer. The PDF copy then opens so you can provide indexing metadata according to a pre--selected indexing scheme.

DocFinity HSM: HSM is a hierarchical storage management module that intelligently processes requests to retrieve, store and/or move data from multiple storage devices. This module has tools for data migration, prefetching (caching) and automatic purging of outdated, useless documents. It also supports the entire range of media, including magnetic drives, optical drives and jukeboxes. DocFinity HSM can be used for off-site, live backups and full-redundancy of data in separate locations.

BPM Workflow: Standardizes and expedites processes by pushing and pulling da ta and/or files – from email, voice mail, faxes, admin systems, and more – to people and/or systems. Easily design and modify robust workflows via the intuitive drag-and-drop, point-and-click de signer.

APIs: Allows all attendant systems, applications, and data sources to interface with DocFinity.

DocFinity eForms: The DocFinity eForms module creates and processes electronic, web-based forms that work with the document management and business process management suite.

DocFinity Dashboards: The purpose of DocFinity's dashboard module is to provide a clear picture of how the system is working and specifically how a business is functioning as it relates to DocFinity through comprehensive operational metrics of performance.

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Training Options			
Service Description	Cost	Quantity	Total
DocFinity Cloud Solution	$1,500	3 days	Included**
Advanced Administration	$1,500	2 days	$3,000
BPM/Workflow	$1,500	5 days	$7,500
eForms	$1,500	2 days	$3,000
Dashboard	$1,500	2 days	$3,000
SQL 101	$1,500	1 day	$1,500

*Our Professional Services team will work with you to establish and define a project plan, identify the necessary hardware and resources to run the system, provide the necessary level of consulting to fit the system to your purpose and need, and detail appropriate acceptance criteria to ensure your requirements are fulfilled.

Initial Estimated Professional Services typically run less than 50-75% of total annual DocFinity Cloud costs. Depending on requirements developed through discovery, we can help create a more targeted strategic roadmap and project plan.

This quotation shall serve as the base document for us to enter additional conversations and engage the professional services staff to arrive at a formal quotation and statement of work.

**Initial self-paced training is included. $1500 for each day includes a live instructor.

DocFinity Cloud Support Includes:

- Platform OS updates/patching
- VM Management
- Database management/maintenance
- Storage management
- Hardware management
- Network management
- Monitoring
- Anti-Virus
- SSL
- Real-Time intrusion detection
- Firewalls
- Data Security
- Security reviews
- Repository maintenance/backups
- Database backups
- Backup validation
- System Availability/up-time
- Disaster recovery
- Application updates/maintenance
- Documentation
- Knowledge Base
- Error related trouble shooting services
- 24x7 access to tech support
- Certified DocFinity Administrator to provide application system administration and maintenance services
- Access to schedule DocFinity services and development staff to review and discuss your application/use of the Service
- Recommendations on practices and approaches that will help you enhance your use of the Service

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Overview of DocFinity Course Training

The standard Professional Services rate for full-day DocFinity Course Training is $1,500 per day.

DocFinity Core Training

Initial DocFinity Cloud Solution Training Provides a high-level overview of the DocFinity software solution. Covering core concepts that all other course content assumes as basic knowledge. End user tools and administrative overviews are covered in this class. Also included is how to gather a document inventory and establish metadata and security needs for developing an indexing plan. Class steps students through a typical departmental discovery through design process with hands-on exercises using design documents to configure the system design.	3 Days
Advanced DocFinity Administration Hands-on out of the box security administration of groups and users to secure your organization's sensitive information. Document category and type classifications for document metadata structures. Establish scanning and indexing profiles. Import from file directories and email drop points.	2 Days

DocFinity Module Specific Training

DocFinity BPM Core for Designers Class covers the three main BPM components: client, designer, and server. Course designed for anyone who will design and/or modify BPM designs.	5 Days
DocFinity BPM Concepts for Managers Overview class for managers to understand BPM core concepts and process integration to best be able to contribute to process consulting engagements.	1 Day
DocFinity COLD Hands-on configuration and management of computer report output and how to configure indexing and automate the capture stream process.	3 Days
DocFinity API Hands-on class that covers the DocFinity URL API and the web-services based DocFinity API.	1 Day
DocFinity eForms The DocFinity eForms module creates and processes electronic, web-based forms that work with the document management and business process management suite. The class will cover eForms administration, and eForms designer functionality with hands-on activities that illustrate how to create and design eForms.	2 Days
Records Management The DocFinity Records Management module is designed to help you comply with your own corporate record retention policies, government regulations, and record retention and discovery for legal cases. Records Management automates complicated and intense company policies that are burdensome. By enforcing policies and regulations with the automated features, Records Management offers a necessary protection.	1 Day
SQL 101 SQL 101 class is a one day Training of SQL. This particular course aims to provide non-DBAs (Database Administrators) everything they need to know about the basics of Structured Query Language. Basic Database Concepts, Relational Database, SQL Queries and Syntax are discussed in this course among other topics.	1 Day
DocFinity Dashboards The DocFinity Dashboard class is comprised of two days. The first day will concentrate on using SQL to gather your Key Performance Indicators (KPIs) and how to create data sources in DocFinity for those. The second day will show you how to use those data sources to create charts and dashboards for reporting purposes.	2 Days

TRAINING COURSES AND DESCRIPTIONS

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Training Overview

Maximize the Performance of Your Investment

Thorough and relevant training is critical in helping staff to maximize the use of the powerful tools you are entrusting to them. Training eases the transition to DocFinity® and helps managers, IT staff, and end users envision the most effective ways to use the products to streamline work within their company.

Training is offered at our offices, on-site, or interactively through the web. Self-paced training is also available via the DocFinity Online Training Portal. Our comprehensive training curriculum includes training for database and network administrators as well as end users. Our courses cover:

- DocFinity products
- system architecture
- security
- functionality
- benefits
- user interfaces
- maintenance
- and more...

Administrator-based training courses focus on simplifying and effectively administering the software, as well as designing automation processes to run smoothly behind the scenes.

We offer foundation courses for end users covering scanning and administration, as well as in-depth training on modules such as DocFinity BPM/Workflow, eForms, API, COLD, Dashboards, and Records Management.

Detailed instructional and reference materials are included with each course, and a certificate of completion is awarded to attendees who complete each class or course. Learn more about the monthly series of training courses that are available for DocFinity users.

Self-Paced Training

Optical Image Technology is pleased to offer self-paced, web-based training of all courses as an available option for its DocFinity Version 10 customers. This option allows attendees to set their own pace in learning the prepared course material, while still having the advantages of instructor-led group activities. Activity handouts will be made available before each instructor-led group activity. Access to the online interface is not restricted to traditional desktop/laptop computers; it can also be used on mobile devices. Project handouts of the PowerPoint slides, and also full DocFinity manuals in PDF format, can be made available to attendees, if desired.

There are several considerations to keep in mind when choosing self-paced, web-based DocFinity Course Training. While attendees are encouraged to go at their own pace in studying the course materials, ALL the named attendees must attend the activity sessions together at the same time. This date and time must be scheduled beforehand to ensure attendee and instructor availability. Named attendees will be provided with 6 months of online system access, so the full course should be completed within that timeframe. Unlike a standard training class, fees for self-paced training are billed at the time that the Statement of Work (or Fast Track document) is signed.

We're Here to Help

OIT's professional services team values the uniqueness of our customers and their individual needs. Our staff partners with each and every customer to ensure the success they expect and deserve.

If you would like to speak with a member of our services team to discuss training opportunities, please contact us at training@docfinity.com. To view our training schedule, go to www.docfinity.com/support/schedule.

DocFinity 101

Duration: 1 Day

To enroll, please contact training@docfinity.com.

Course Description

DocFinity 101 is the first day of the CORE Training and the keystone course of the Training Program. This high-level overview of the DocFinity software solution provides the foundation necessary for applying DocFinity to daily practices. This course covers core concepts that all other course content assumes as basic knowledge. End-user tools and administrative overviews are covered in this course.

This root course includes a description of electronic document management and the benefits, features, and core functionality of DocFinity.

DocFinity 101 also provides a description and demonstration of the main functions, actions, and operations available to users. Fundamental DocFinity terminology is also defined and the user interfaces are shown. Also included is an introduction to DocFinity Business Process Management, eForms, and Records Management.

Target Audience

This course is valuable to administrators, DocFinity system managers, IT personnel, network administrators, database administrators, company trainers, and system design team members who are new to version 10 of DocFinity. All subsequent courses use DocFinity 101 as a building block to those respective courses.

Course Syllabus

Introduction
- What is DocFinity?
- How does DocFinity work?
- Software Features
- User Interface
- Workspaces and Panels

Introduction to Searching
- Search Results
- Document Viewer

Document Classification
- Categories
- Document Types
- Metadata Objects

Searching
- Category Search
- Tree Search
- Template Search
- Checklist Search
- Enterprise Search

Document Capture
- Scanning
- DocFinity Desktop Integration
- Upload Files
- Send To/Print To
- Scan To
- Office Integration

Indexing
- Batches
- Index Configuration

Search Results, Document Output
- Interacting with Documents and Data
- Editing and Versioning Documents

Document Viewer
- Document Viewing Methods
- Markup and Annotations
- Redactions

DocFinity Mobile
- Upload
- Search
- Viewing Documents

eForms Overview
- Forms Workspace

BPM Overview
- Job Assignments Workspace
- Job Views
- Job Queues

Records Management
- Records Management Workspace
- File Plans and Retention Policies
- Legal Holds

DocFinity Administration

Duration: 3 Days

To enroll, please contact training@docfinity.com.

Prerequisite Courses

- DocFinity 101

Course Description

DocFinity Administration consists of days 2-4 of the DocFinity CORE Training. This course provides the hands-on, security administration of groups and users needed to secure your organization's sensitive information. The document architecture setup is covered in depth, including the Document category and document type classifications used for metadata assignment, scanning profiles, and indexing profiles. Leveraging functionality like datasources and validators to ensure your capture is efficient and correct is also addressed, along with importing from file directories and email drop points. Administrators are also taught how to plan for easy and efficient document retrieval by designing useful searches for end-users. Managing functions behind the scenes such as batches, scan profiles, deleted documents, licensing, and server setup are also covered.

DocFinity Administration provides a description and demonstration of the main functions, actions, and operations available to DocFinity administrators. Fundamental DocFinity terminology is also defined and the administration interfaces are shown.

Target Audience

This course is valuable to administrators, DocFinity system managers, IT personnel, network administrators, database administrators, company trainers, and system design team members. Subsequent courses use DocFinity Administration as a building block to those respective courses.

Course Syllabus

User Management

- Add Users
- Reset Password
- LDAP Users
- Groups

Document Classification and Security

- Document Classification Overview
- Categories
- Document Types
- Metadata Objects
- Assign Metadata Objects to Document Types
- Document Type Security
- Metadata Filter Security Permissions

Indexing

- Indexing Configuration
- Indexing Properties

Searching

- Category Search
- Template Search Configuration
- Checklist Search
- Stored Procedure Search
- eForms as Search Output

Data Setup

- Database Connections
- Datasources
- Searching with Datasources (Linked Output Columns)
- Validators
- Web Services

Document Administration

- Scanning Administration
- Batch Management
- Deleted Documents
- Edited Documents
- HSM (Hierarchical Storage Manager)

Licensing

- Dedicated Licenses
- Group Licenses
- License Monitoring
- License File

Administration System Menu

- Repositories
- Servers
- Logging
- Printers and Faxes
- System Transfer
- Hot Keys
- System Properties

Importers

- Index Importer
- Object Importer
- Object Importer, Subfolders
- Object Importer, Datasources
- Email Importer
- Using Conditions to Set Rules

DocFinity System Design

Duration: 1 Day

To enroll, please contact training@docfinity.com.

Prerequisite Courses

- DocFinity 101
- DocFinity Administration

Course Description

DocFinity System Design is day 5 of the CORE Training. This course gives the design team the tools necessary to develop their own DocFinity system. Topics include gathering a document inventory, establishing metadata, scanning requirements, search methods, and security needs to develop an indexing plan. This course steps the student through a typical departmental discovery through design process, with hands-on exercise using design documents to configure the system design.

Target Audience

This course is valuable to administrators, DocFinity system managers, IT personnel, network administrators, database administrators, company trainers, and system design team members.

Course Syllabus

What is System Design?

System Design in DocFinity

Design Tools

Content Inventory

- Cataloging
- Grouping

Metadata

- Document Assessment
- Searching Needs

Content Modeling

- Categories
- Document Types
- Metadata Objects

Assigning Metadata

- Editable Objects
- Required Objects
- Display Value
- Indexing Order

Configure Indexing

- Datasources
- Validators

Group Management

- Business Unit Model
- Functional Model
- Security Groups
- Feature Right Groups
- Searching Groups

Searching

Capture

- Scanning Assessment
- Scan Profiles
- Importing

BPM Core for Designers

Duration: 5 Days

To enroll, please contact training@docfinity.com.

Prerequisite Courses

- DocFinity 101
- DocFinity Administration

Course Description

Learn about the DocFinity Business Process Management tools – Designer, Monitoring, Administration, Job Assignments – and how they work together to automate and manage a paperless business process. Configuration, setup and use of each component are covered in this course, along with the presentation of a formal methodology to help you manage your BPM project.

The BPM Designer is explored in detail as attendees learn the terminology, components, configuration options, and theory used in building business process designs. Build a variety of process models using the Designer's interface and learn tips to enhance your models. Designers will learn how to customize process models to work with your own data and documents, and to integrate with your own systems. Also presented in this course is BPM Monitoring, including how to manage BPM models and troubleshoot business process instances. BPM Administration is also covered, including all aspects of DocFinity Administration that affect BPM design and implementation. Attendees will learn to build custom job views and thoroughly navigate all options in the Job Assignments workspace.

Target Audience

This course is most valuable to BPM designers and analysts, and DocFinity system administrators. The course includes many hands-on activities and in-depth discussions of all BPM-related concepts and configurations.

Key Concepts

Some of the key terms and concepts that will be covered for Designers are as follows:

- Process Designer Functionality
- BPM Monitoring
- BPM Administration
- Distribution methods
- User, Server, Hold and Subprocess Activities
- Task Types
- Activity and Task Libraries
- BPM Package Items and Variables
- Decision, Fork and Join Gateways
- BPM and Checklist Search
- Subprocesses
- Job Views

BPM Core for Designers (continued)

Course Syllabus

Day 1

1. Introduction

- BPM Benefits
- Terminology
- BPM Components
  - Process Designer
  - Process Monitoring
  - Process Administration
  - Job Assignments Workspace
  - Starting Business Process Jobs
- Process Initiating Methods

2. Process Designer Overview

- Overview
- Design Toolbox
- User Activities
- Configuration Panel
- Overview of Design Process
- Process Designer Menus

3. Distribution Methods

- Distribution Methods and Configuration
- Distribution w/ Variables
- Distribution and Attendance

4. BPM Administration and Admin Review

- BPM Feature Rights
- Concept of BPM Groups
- Turn on Logging for BPM
- Document Classification and Business Processes
- Importing
- DB Connections and Datasources
- Web Services
- Roles and Proxies
- Business Hours
- Business Holidays
- Shifts

5. Process Monitoring

- Business Processes
- Instance Details
- Server Alerts, My Desktop

Day 2

6. Process Instance Variables

7. Package Item Properties

8. User Activities

- Job Priority
- Due Date
- Elapsed Time
- User Task Library
- Standard Task
- View Document
- Move to Personal Queue
- Run Saved Search
- Reindex Document
- Open Diary
- Prompt Task
- Open New Form
- Open Existing Form
- Change Job Due Date
- Run URL

Day 3

9. Server Activities

- Import to DocFinity
- Add Package Item
- Send Email
- Index Metadata
- Set Process Instance Variable, with datasources
- Set Package Item Properties
- Add Diary Entry
- Run Stored Procedure
- Run Web Service
- Run URL Service Task
- Run Executable
- Delete Document
- Change Repository
- onEnter, onLeave Service Tasks
- eForms and BPM Capabilities

Day 4

10. Hold Activity

- Hold Settings
- Hold for Checklist
- Evaluate Hold Release Methods

11. Gateways

- Fork
- Gather Join
- Decision Gateway
- Macros

Day 5

12. Job Views

- Basic Filters
- Configure Columns
- Priority and Forced Sort
- User Prompts and Filters
- Heads Down Task Processing

13. Subprocesses

- Subprocess Configuration
- Send/Receive Variables and Package Items
- Process Monitoring and Subprocesses

14. Business Process Methodology

15. Review and Design Time

BPM Core for Managers

Duration: 1 Day

To enroll, please contact training@docfinity.com.

Course Description

Learn about the DocFinity Business Process Management tools – Designer, Monitoring, Administration, Job Assignments – and how they work together to automate and manage a paperless business process. Configuration, setup and use of each component are covered in this course, along with the presentation of a formal methodology to help you manage your BPM project.

Attendees will learn all of the options available in the Job Assignments workspace, where end-users interact with jobs and document. An overview of the BPM designer is presented, and attendees learn the terminology, components, and theory used in building a business process design, including distribution and user tasks. Also presented in this course is BPM Monitoring, including how to manage BPM models and troubleshoot business process instances, and BPM Administration, such as setting up business process calendars and roles.

Target Audience

This course is most valuable to BPM managers and trainers. The course includes high-level discussions of all BPM-related concepts and provides valuable insight for implementing and managing a BPM project.

Key Concepts

Some of the key terms and concepts that will be covered for Managers are as follows:

- Process Designer overview
- User, Server, Hold and Subprocess Activities
- User Task types and options
- Distribution methods

Attendees will come out of this course with knowledge of the following Monitoring options:

- Activating, Deactivating, Importing, Exporting and Deleting Process Models
- Viewing and Locating Process Instances
- Viewing Process Instance Errors
- Viewing Package Items
- Viewing BPM Server Alerts for errors

Attendees will come out of this course with knowledge of the following BPM-related options in DocFinity Administration:

- BPM Groups and Users
- BPM-related feature rights
- Roles and Proxies
- Business Hours
- Business Holidays
- Shifts
- Job Views

Learn how to perform actions in the Job Assignment workspace, such as:

- Navigate Job Views
- View Personal and Common Queue jobs
- Check out Jobs
- Set a Job Priority
- Release a Job from Hold
- Complete tasks
- Move jobs

Learn how to manage your BPM project using a formal methodology that includes the following steps:

- Choose a process to implement
- Observe and document existing processes
- Analyze Processes
- Build a prototype
- Test and modify
- Implement into Production
- Train
- Measure

eForms

Duration: 2 Days

To enroll, please contact training@docfinity.com.

Prerequisite Courses

- DocFinity 101
- DocFinity Administration

Course Description

DocFinity eForms attendees will create and processes electronic, web-based forms and documents that are integrated into the DocFinity business process and document management suite. The class will cover eForms administration, design, and process integration, with hands-on activities that illustrate these concepts.

Target Audience

This course is most valuable to form designers, process designers, process analysts, and DocFinity system administrators. The course includes many hands-on activities and in-depth discussions of eForms and BPM-related concepts and configurations.

Course Syllabus

Day 1

Introduction and Overview

- Submitting Forms
- Searching Forms

Form Designer Overview

- Form Designer Menus
- Design Toolbox
- Canvas
- Configuration Panel
- eForms Administration

Index and Import Submit Action

- Configure Submit Action
- Index Field Mapping
- Form Components and Controls
  - Basic Components
  - Entry Controls
  - Entry Control Properties
  - Checkbox
  - Date Field
  - Drop-down List
  - List Box
  - Text Area
  - Text Field
  - Form Styles

Form Control Configuration

- Datasources
- Form Control Properties
- Conditional Form Controls
- Macros
- Validation
- Search Results and eForm Output

Day 2

Submit Actions

- Display Feedback
- Load External URL
- Load Form
- Send Email
- Create PDF
- Write to Table
- Datastores

Multi-step Forms

- Go To Step Submit Action
- Complete Form Submit Action

Business Process Integration

- eForms/BPM capabilities
- Start Business Process Submit Action
- BPM User Tasks for eForms
- Form Package Item Properties
- BPM Form Variables
- BPM Create Form Service Task

DocFinity API

Duration: 1 Day

To enroll, please contact training@docfinity.com.

Course Description

System integrators are immersed in teachings of both the DocFinity URL API and the DocFinity Web Services API. Attendees learn the fundamental structure of URL construction when working with the DocFinity URL API and interact directly with a subset of the vast capabilities of the DocFinity Web Services API. Demonstration of the DocFinity URL API will instruct participants how DocFinity can simply and quickly integrate with other business applications. Participants will leave the class knowing how to instruct DocFinity (via URL API) to interact and perform functions based on business needs.

Interaction with the DocFinity Web Services API shows attendees the capabilities and possiblities available for integration. The DocFinity Web Services API interacts directly with DocFinity data and is the same Web Services API that is used by the DocFinity UI. Participants view WSDLs and interact directly with the Web Services via soapUI (an open source Web Service communication tool) which is the same tool used by OIT to test and support the Web Services.

The samples and exercises provided in the class give a very strong foundation of DocFinity API knowledge that allows participants to immediately use and understand concepts needed for integration with 3rd party applications.

Key Concepts

Attendees will come out of this course knowing about:

- DocFinity Authentication Methodology
- DocFinity URL API
- DocFinity Web Services API
- API support structure
- API change control

Target Audience

This course is designed for integration stakeholders/developers. A knowledge of Web Services and core DocFinity functionalities is recommended.

Course Syllabus

DocFinity URL API

- Authentication
- Document Lifecycle
- URL API Assistant and Building URLs
    - Open batches
    - Viewing documents
    - Uploading files
    - Viewing BPM jobs
    - Searching

DocFinity Web Services API

- Overview of public Web Services
- DocFinity Servlets
- Using SoapUI
    - Uploading and indexing a file
    - Retrieving and marking up a document
    - Initiate and completing a process instance

DocFinity COLD (Computer Output to Low-Cost Disk)

Duration: 3 Days

To enroll, please contact training@docfinity.com.

Course Description

This course is designed to provide an understanding of how various print streams can be manipulated to be "DocFinity-Ready" and made available for retrieval by various business functions like any other object stored in the DocFinity System. The focus of this course is on identifying various print streams and the tools necessary to format output, extract index values and commit the results to the DocFinity Document Management System.

Target Audience

Attendees of this course should be Administrators or Supervisors working with the DocFinity system. Network and Database Admins would gain valuable information about the module and its integration with the DocFinity system while System Administrators and Business Supervisors learn useful configuration information. Users of COLD products would benefit from attending this course as well, though we recommend that they be familiar with the product before attending. Company trainers are also recommended to attend.

Course Syllabus

Day 1

What is COLD-ERM?

Viewing the raw report

COLD Importer

Creating a Script
- Conditions
- Pagination
- Coalescing
  - Fixed Key
  - Pattern Key
  - Repeating Patter Key
- Transform Task
- Manifest Task

Building a Script for Fixed Key Report

Building a Script for Pattern Key Report

Building a Script for Repeating Pattern Key Report

Working with Regular Expressions in Scripts
- Literal Characters
- Special Characters
- Anchors
- Characters
- Quantifiers
- Character Classes
- Character Escapes

Day 2

Working with Overlays

Report Definitions – Coded Print Streams
- Working with Adept
- Importing Adept Reports into DocFinity

Records Management

Duration: 1 Day

To enroll, please contact training@docfinity.com.

Course Description

The DocFinity Records Management module is designed to help you comply with your own corporate record retention policies, government regulations, and record retention and discovery for legal cases. Records Management automates complicated and intense company policies that are burdensome. By enforcing policies and regulations with the automated features, Records Management offers a necessary protection.

Target Audience

This course is valuable to Record Managers who are responsible for the retention and disposition of documents in their system.

Course Syllabus

- Terminology & Features of Records Management
- Creating Retention Policies
- Setting Disposition
- Setting File Plans
- Records Search
- Legal Cases and Legal Holds
- Security
- Exporting Records
- Records Management & BPM

SQL 101

Duration: 1 Day

To enroll, please contact training@docfinity.com.

Course Description

SQL 101 class is a one day Training of SQL. This particular course aims to provide non-DBAs(Database Administrators) everything they need to know about the basics of Structured Query Language. Basic Database Concepts, Relational Database, SQL Queries and Syntax are discussed in this course among other topics.

Target Audience

This course is valuable to anyone (IT and non-IT) interested in learning the basics of Structured Query Language (SQL).

Course Syllabus

Database Concepts

- What is a Database?
- Entities, Attributes, Relationships
- Tables – Columns, Rows, Data Types

SQL (Structured Query Language)

- What is SQL?
- Capabilities of SQL
- What is a Query?
- SELECT-FROM-WHERE
  - Retrieving Individual Columns
  - Retrieving Multiple Columns
  - Retrieving All Columns
- Sorting
- Filtering
  - Using Compound Conditions
  - Order Of Evaluation
  - Wildcard Filtering
- Date Types
- Date Manipulation
- Creating Calculated Fields
- Summarizing Data
- Subqueries
- Multiple Table Queries
  - Types of Join
  - Combining Queries
  - Using Case Expressions

Dashboards

Duration: 2 Days

To enroll, please contact training@docfinity.com.

Course Description

The DocFinity Dashboard class is comprised of two days. The first day will concentrate on using SQL to gather your Key Performance Indicators (KPIs) and how to create Datasources in DocFinity for those. The second day will show you how to use those datasources to create charts and dashboards for reporting purposes.

Target Audience

This course is valuable to those Administrators, Managers and Reporters who want to build charts and dashboards to report on valuable data from DocFinity.

Course Syllabus

Day 1

Terminology

Capturing Data

Using the Data

Pre-Built Dashboards
- System Health
- Documents
- BPM

Building Dashboards

Building Charts
- Area Graph
- Bar Chart
- Gauge
- Line Graph
- Pie Chart
- Table
- Text

Adding Charts to Dashboards
- Set Input Parameters
- Drilldowns

Manage Dashboards

Day 2

Overview of Dashboards
- What drives a Dashboard
- How to use the data

Key Performance Indicators (KPIs)
- Definition
- Types
- DocFinity KPIs
- DocFinity Audit System
- Auditing KPIs

Stored Procedures
- Definition
- Use cases
- Advantages/Disadvantages
- Creating Stored Procedures

Datasources
- Definition
- Types
- Creating Datasources from KPIs

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DocFinity Professional Services

Project Planning
Business Process Improvement
Risk Assessment
Change Management
Disaster Recovery
Training

Optical Image Technology's (OIT) Professional Services team offers specialized services that address the unique needs of organizations. We provide personalized consulting, configuration, business process analysis, and improvement. We can also assist as needed with customized integration to address your changing needs as your organization grows.

Project Planning

Project planning is essential to the overall success of any project. You'll benefit from our high level of technical and business expertise. Project discovery, design, and review of hardware requirements serve to define and outline clear expectations. Together with our customers, we identify project phases, set timelines, and recognize key milestones. Indexing plans are created to eliminate the frustration that is associated with unsuccessful document retrieval, security and retention.

Business Process Improvement Methodology

We provide training, shoulder-to-shoulder consulting, and services to verify existing business processes. OIT then provides document inventories and flowchart diagrams, making customer processes more efficient and ease the transition to electronic workflows. In addition, we help customers create and execute test cases for workflow projects prior to implementing flows in a production environment.

Risk Assessment, Change Management, and Disaster Recovery

Professional Services helps customers develop a risk assessment plan regarding procedures for personnel changes, unmet deadlines, cost changes, or other calculated — but unwanted — risks. Communication strategies and change management plans help organizations embrace new IT projects at all levels. Data recovery plans are developed in the event of a natural or man-made disaster. OIT works with customers to prioritize which information is needed most, and explains the effect of each step in the plan.

Training

Our comprehensive training curriculum is designed to help customers take full advantage of the software features. Customers learn to use each module as effectively and efficiently as possible.

docfinity
optical image technology, inc.

phone: 814.238.0038 \ fax: 814.238.0011 \ email: info@docfinity.com \ web: www.docfinity.com

Project Management

The Process

> For more than ten years, the OIT staff has worked diligently to understand our institution's requirements and deliver the solutions we need. They are an important partner in our success.
>
> - Shelley Butler, Penn State University

Kickoff	Training	Design	Build	Testing	Production
√ Onsite Meeting √ Team Introduction √ Goals √ Timeline √ Training Plan √ Site Review √ Document Review √ Hardware Review √ Change Management	√ Core Training √ Administration √ BPM √ BPM for Managers √ eForms √ COLD √ API	√ Document Taxonomy √ Capture √ Indexing √ Security √ Searches √ Importers √ Datasources √ Integration √ Scheduling √ BPM Designs √ eForm Designs √ Retention	√ Categories √ Document Types √ Metadata √ Importers √ Groups √ Data Validation √ Scan Profiles √ Validation √ API URL's	√ Unit √ Load √ End-User Training √ End-User √ Acceptance	√ Test System √ Validation √ System Transfer √ Production √ Validation √ Go-Live Support √ Support Hand-Off
√ Attend Meeting √ Present Team √ Provide Change Management Plans	√ Attend Training	√ Participate with Implementation Plan √ Assist with System Design	√ Validate Test System √ Validate Prod System √ Search Results √ BPM Results √ eForms	√ Provide Test Data √ Acceptance Criteria √ Scan Station Validation √ Perform Tests √ Load Metrics √ End User Sign-Off	√ First Level Support to Users √ Keep Design √ Documents Up to √ Date with Changes

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DocFinity Resources

ROLE	Project Manager	System Engineer	Implementation Analyst	Business Process Analyst	Trainer
EXPERTISE	*Solution Project Management*	*Industry and Operations Functionality*	*Field Implementation and Application Functionality*	*Business Process Development*	*User Education and Working Knowledge*
RESPONSIBILITIES	√ Serves as primary point of contact throughout the project √ Manages all phases of the project: • Coordinates all project meetings • Maintains all reports and tracking tools • Directs all communication √ Tracks project performance: • Schedule • Cost • Quality • Risk indicators • Team success	√ Collects and distributes customer information: • Provides status updates • Conducts discovery meetings and interviews • Facilitates risk planning and monitoring √ Documents the customer's: • Requirements • Expectations • System requirements • Change control process	√ Configures application: • On-site configuration of application • Pre-implementation application testing • Customization √ Conducts on-site: • System implementation • Application testing and parallel testing • Administrative training • Status reports • Production transition	√ Provides business process consulting to aid in product use √ Interviews staff and establishes: • Existing workflows • Workflows that need to be created • Key business processes √ Designs and develops workflows based on need and desire	√ Provides end-user product training: • Offers established course options depending on needs • Provides customized curricula based on customer request • Makes training available on site, at OIT offices, or via the web √ Provides a working knowledge of all applications
RESULTS	Complete project documentation: • Statement of Work • Change Control • Action item list • Status reports • Project schedule A project that matches expectations (per the SOW)	Discovery meetings that shape the project, facilitated by OIT Customer requirements document that guide the project, facilitated by OIT Requirements issues are resolved quickly System design document to guide the client	DocFinity software is correctly configured and installed Administrators are trained how to use the system On-site issues are resolved quickly A collaborative implementation design document that is designed by your team, facilitated by OIT	A functional workflow design Streamlined business practices	End users are comfortable using the system when training is complete All project knowledge is transferred successfully to the client

"The true value of OIT is that when you purchase their products you get a partner who truly wants to see your company succeed and whose staff works with you to make sure that you do."

- Phil Nielsen, Kinecta Federal Credit Union

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DocFinity Training

Thorough and relevant training is critical in helping your staff to maximize the use of the powerful tools you are entrusting to them. Our extensive curriculum addresses the needs of administrators, users, network administrators, database administrators, and others.

Training is offered at our offices, on-site, or interactively through the web. Our courses are taught by instructors who are CDIA+ certified. Topics include:

- products
- security
- functionality
- architecture
- business benefits
- maintenance
- user interfaces
- ...and more

Visit www.docfinity.com/services/docfinity-school.html to view currently scheduled courses.

Courses at Customer Site

Choose your own subset of courses or request a customized series. Select the courses that are most applicable to the needs of your users. OIT will bring instructors to your site and train your staff on location.

Fees

$1500 per day regardless of the course you select. It is recommended that class sizes do not exceed 12 trainees. Call about class sizes of three or less or exceeding 12.

Manuals

Detailed instructional and reference materials are included in PDF format with each course, and a certificate is awarded to attendees who complete each class or course. You can also purchase a printed and bound manual for most courses. Prices are listed within the chart below.

DocFinity Courses

Name	Description	Who should Take It
DocFinity 101 1 day	Provides a high-level overview and foundation necessary for applying DocFinity to daily practices. This is a prerequisite for all other courses.	DocFinity system managers, IT personnel, network administrators, database, administrators, company trainers, and system design team members new to v10
DocFinity Administration 3 days	Provides the hands-on, security administration of groups and users needed to secure your organization's sensitive information.	Administrators, DocFinity system managers, IT personnel, database/network administrators, company trainers, and system design team members
DocFinity System Design 1 day	Presents the design team with the tools necessary to develop their own DocFinity system.	Administrators, DocFinity system managers, IT personnel, database/network administrators, company trainers, and system design team members
DocFinity BPM for Designers 5 days	Learn about the DocFinity Business Process Management tools – designer, monitoring, administration, job assignments – and how they work together to automate and manage a paperless business process.	BPM designers and analysts, and DocFinity system administrators
DocFinity BPM for Managers 1 day	Presents an overview of the BPM designer. Attendees learn the components, terminology, and theory used in building a business process design, including distribution, user tasks and options in the Job Assignments workspace.	BPM managers and trainers
DocFinity eForms 2 days	This course covers eForms administration, design, and business process integration, with hands-on activities that illustrate these concepts.	Form designers, process designers, process analysts, and DocFinity system administrators
DocFinity API 1 day	Learn how to configure the DocFinity URL API (URL commands), DocFinity API (web-services), and DocFinity FileHandler Client API (java RMI).	DocFinity system integration stakeholders/developers
Records Management 1 day	Learn to create record File Plans with document retention and disposal schedules. Record custodian roles and legal hold processes will be covered, as well as DocFinity export for packaging documents to send out to required third parties.	Administrators, records managers, records custodians, staff members in charge of legal holds.
DocFinity COLD 3 day	Provides an understanding of how various print streams can be manipulated to be "DocFinity-Ready" and made available for retrieval by various business functions.	Administrators, supervisors, and database and network administrators

Roles and Clarifications

- **System Administrators:** Person(s) who will run day-to-day DocFinity administrative tasks.
- **Subject Matter Experts:** Department head(s), person(s) with a complete knowledge of the processes and tasks within their department.
- **Departmental Manager:** Manager responsible for job processes and/or automation of processes.
- **Business Analysts:** Responsible for analyzing business needs so they can help to identify business problems and propose solutions.
- **Database Administrators:** IT group responsible for the production database performance.
- **Server Support:** IT group responsible for the hardware applications on which DocFinity is running.
- **Desktop Support:** IT group responsible for the end-user machines that connect to DocFinity.
- **Trainers:** Person(s) who maintain end-user training throughout the lifecycle of the system.
- **Programmers:** IT group responsible for the integration of the DocFinity APIs.
- **Records Manager:** Manager responsible for creating record file plans.
- **Recoreds Custodians:** Person(s) responsible for approving the disposal of records.

Harold Hockman | hhockman@docfinity.com

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OVERVIEW & QUALIFICATION HIGHLIGHTS

Established the vision and plan for a fully-staffed professional services team to meet the growing demand of larger customer sites for highly customized, cutting-edge custom products and services, and created the position requirements and on-the-job training needed to meet the needs of customers in a rapidly changing marketplace

Helped multiple insurance, healthcare, financial, education, government, and other customers to meet their own client demands, cut costs, and improve services; this was accomplished by listening to customers' unique needs and creating the development specifications, project plans, and services needed to ensure that their needs and expectations were met or exceeded

Served as OIT's first staff lead on the customer- and partner-led Technical Advisory Panel (TAP), which is a formal vehicle for assessing emerging technology trends, evaluating the direction of OIT's software development, and ensuring all products are developed with customer needs in mind

Created a comprehensive training curriculum for OIT customers, including more than a dozen multiple-day courses that are offered on site, at customer sites, and now also interactively over the Web

Developed a very robust DocFinity Web Services API and a simpler URL API to enable thorough integration of DocFinity with multiple standard and customer-built, in-house applications.

Integrated one of the nation's largest Medicare processor's mainframe image repositories with DocFinity to enable them to use, view, and access images for all areas of processing enterprise wide

Rolled out/implemented DocFinity technology for the HR department at Penn State while under their employ, which became the model and launching pad for multiple departments campus-wide, as well as the eventual use of the technologies across all of its campuses

QUALIFICATION HIGHLIGHTS

Operating Systems: Windows 2003/NT/Vista/XP, UNIX, VAX/VMS, LINUX.
Computer Languages: VB.NET, Visual Basic, VBScript, JavaScript, Java, XML, XSL, DHTML/HTML, C, SQL, PL/SQL.
Databases: MS SQL Server, Oracle7+, MS Access, Sybase, ColdFusion.
Tools & Applications: Visual Studio 6, MS Office, MS Project, Visio, JBuilder, Visual Café, SilverStream, CORBA, Rational Rose, Erwin, Crystal Reports.
COTS Products And Systems:

ERP	SAP, Oracle, QED
CRM	Siebel, Oracle, SAP
FMS*	Oracle
HealthCare	Epic, HL7
Ecommerce	IBM NetCommerce/WebSphere

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PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA

Director of Professional Services **April 2005 - Present**

In his present role, Mr. Hockman is responsible for establishing the department's vision for addressing current and emerging needs in the realm of technology-related services for customers. He leads a team of fourteen professional services staff in consulting, project planning, custom programming, business continuity and disaster recovery planning, and training for Optical Image Technology's clients. Customers span the insurance, healthcare, higher education, financial, government, and other markets. His role is to satisfy industry-specific and client-specific challenges with solutions that address each customer's unique needs. The team, which he launched in April of 2005 and increased from a staff of three to the current fourteen, consists of business process and implementation analysts, professional services developers, project managers, consultants, and training specialists who execute the vision, plans, training, timelines, methodologies, and measurements for all services-related projects for OIT customers.

Key experience: In this position, Mr. Hockman has continued to add to his experience in all areas of technology development, consulting, and services as he bridges the gap between customer needs and their existing technology environments. Mr. Hockman's experience of developing software and training customers at OIT as well as his business experience in software rollouts as evidenced in the award-winning work at Penn State prepared him well for consulting, training, project planning, custom programming, and other areas required in professional services. As OIT grew as a company and the demand for custom services increased, he addressed the need to create a division within the company to go beyond customer support and address multiple demands for highly specialized services rendered by staff with these qualifications and expertise.

Major accomplishments: Mr. Hockman is responsible for overseeing each of the customer projects is requested, and has done so since the department's formalization early in 2005. The items highlighted below are examples of several major projects where his personal involvement was substantial.

- Esurance (insurance company) – In response to the request to build a self-serving application to embed the DocFinity API (web services) and allow document imaging to run as a platform rather than as an application for end users, Mr. Hockman laid the foundation for the project's success. He mapped out the project requirements, project plan, development specifications, and other details that are now in place at Esurance. (2007)

- LabCorp (pharmaceutical) – This extensive project required OIT to use desktop productivity tools to fit with existing applications to help the company achieve more with their current investments. This required extensive custom programming that linked DocFinity Workflow and the DocFinity Web Services API with Excel logic and parameters. Mr. Hockman wrote the requirements for the custom programming, and the project was a tremendous success for the company. (2006)

- BlueCross BlueShield of South Carolina (insurance) – Mr. Hockman was the software architect for this project, which linked DocFinity to the company's OD390 image repository and used workflow to drive processes efficiently throughout the enterprise, including processing of Medicare claims, their mailroom, help desk, financial processing, and more. This project was, at the time, the largest project undertaken by OIT its history. Mr. Hockman's work as the software architect, consultant for the integration, project planning, and work with in Web services led to a project that was very successful. The project continues to grow across the company, which is one of the largest processors of Medicare/Medicaid claims in the country. (2005)

- Established a comprehensive training curriculum with multiple-day courses and week-long seminars to help customers leverage their investments, which replaced simple half-day courses that were only providing very high-level information.

Each of these projects has resulted in dramatic cost savings for the companies, as well as the ability to comply with strict governmental guidelines, improve productivity, shorten processing time, and dramatically enhance services and information provided to our client's customers.

Recognized for: Mr. Hockman and his team have been recognized by customers for success on multiple custom coding, workflow and business process consulting, training, and other technology-related projects. LabCorp celebrated their company's success with a huge campaign internally. Such successes are often shared with the team and with him personally, for without a team that is capable of meeting the stated needs on task, on time, and on budget, there would be nothing to celebrate.

The professional services team in general, and Mr. Hockman in particular, has been lauded by customers utilizing the team's services, as demonstrated in the following two quotes from current OIT customers who recently completed major projects in integration: *"OIT's professional services team really listened to our needs, and worked so well that we had no implementation problems. It was a smooth implementation. OIT gave us a business solution; not just a product."* (Chuck Zettler - Palm Beach Community College) and *"The training courses opened up new possibilities, through increased knowledge, to greatly improve my productivity by leveraging the DocFinity Suite."* (Greg Cook - Michigan Millers Mutual Insurance Company).

Optical Image Technology (DocFinity) – State College, PA

Software Developer **August 2000 – April 2005**

Mr. Hockman was responsible for the development of several software modules that are critical parts of our company's product line, and are installed at multiple sites. He was responsible for the DocFinity API (web services), the IntraVIEWER API (simple URL calls), and the software integration of the OD390 image repository at BlueCross BlueShield of South Carolina with the DocFinity system. He was also instrumental in the creation of IntraVIEWER, a subset of the company's flagship core product, the DocFinity Core.

Major accomplishment:

The successful integration of the OD390 mainframe image repository with DocFinity also utilized Harold's experiences in consulting, project planning, and other services areas, and led directly to his promotion to Director of Professional Services. At that time it was the largest project the company had had in its history, and prepared the company to raise the bar on its services as well as take on much larger projects with equal success.

Recognized for:

Mr. Hockman's work on the BlueCross project in particular led to the vision of OIT creating a professional services division to meet the needs of diverse customers with demands for services and consulting.

Penn State University Office of Human Resources – State College, PA

Senior Application Developer/Networking Operations Manager **November 1994 – July 2000**

Mr. Hockman was responsible for building the vacancy announcement system for the 26 distributed campuses of Penn State. He also managed the network infrastructure for the 85 desktops that were used in the HR department as well as the application infrastructure for imaging and the vacancy system.

Major accomplishment:

The project plan and all aspects of the first roll-out of OIT's DocFinity solution at Penn State were directed by Mr. Hockman. The implementation was so successful that other departments vied to add the software and have it customized for their specific needs. The demand for products and services has expanded the

use of the software across multiple departments and campuses, and this demand continues to grow a decade after the initial implementation.

Recognized for:
Mr. Hockman's exemplary work in rolling out DocFinity technology for the human resources department at Penn State led to a national award (Kinetic Innovation Process Innovation Award) for the collaborative project in 1999, and also led to OIT hiring him as a software developer. Although the implementation started in human resources, it led to 19 campuses that currently use the software to expedite processing for areas as diverse as police services, admissions, fundraising, and student aid. Mr. Hockman gained significant business experience in this position, which has enabled him to understand high-level needs and vision and to translate them into actionable tasks in coding, consulting, and other areas. (1999)

EDUCATION & PROFESSIONAL DEVELOPMENT

EDUCATION / TRAINING

- Pennsylvania College of Technology, Associate Degree in Applied Science, 1992
- Customized management seminars for OIT directors, given by Teamworks of State College and Paul Silvis as head of Restek Corporation, 2007

CERTIFICATIONS

- ColdFusion MX Advanced Developer

PROFESSIONAL AWARDS

ECM Connection's ACE product award, which was given to the company, but recognized outstanding products that serve the insurance and financial services industry. Mr. Hockman was a key developer in multiple software applications that are part of this product line and which received commendation (2007)

Kinetic Innovation Process Innovation Award for the implementation of the DocFinity document management software solution in the human resources office of The Pennsylvania State University, a project for which he was personally responsible (1999)

TECHNICAL ENVIRONMENT

Windows 2003/NT/Vista/XP, UNIX, VAX/VMS, LINUX, VB.NET, Visual Basic, VBScript, JavaScript, Java, XML, XSL, DHTML/HTML, C, SQL, PL/SQL, MS SQL Server, Oracle7+, MS Access, Sybase, ColdFusion, Visual Studio 6, MS Office, MS Project, Visio, JBuilder, Visual Café, SilverStream, CORBA, Rational Rose, Erwin, Crystal Reports

CORY BENSON | cbenson@docfinity.com

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OVERVIEW & QUALIFICATION HIGHLIGHTS

Experienced IT professional offering 10+ years of success planning, managing, designing, implementing, and supporting diverse technology solutions that improve business processes and functionality.

QUALIFICATION HIGHLIGHTS

- Project Management
- Systems Development Manager
- SQL DB Management
- Systems Migrations/Integrations
- Business and IT Planning
- ECM System Administration
- Business Process Modeling
- Requirements Analysis
- Project Scheduling / Effort Estimates
- Costing & Budgeting

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Project Manager **2012 - Present**
Responsible for delivering successful completion of Projects for the Professional Services Department. Managed multiple projects from upgrades to new implementations and new installations.

- Manage projects from research and design through project implementation
- Coordinate and manage team resources and personnel to meet project deliverables and drive projects to successful completion
- Create project plans, statements of work, and change order documents
- Monitoring project risks and scope creep to identify potential problems and proactively identifying solutions to address them in advance
- Managing client expectations by ensuring the delivery of the highest quality service
- Design systems to collect, organize, and display project correspondence information to increase client satisfaction and expectations
- Manage technical processes and resolve technical issues
- Demonstrated ability to work with and support cross-functional project teams

The Ohio State University – Columbus, OH
Senior Systems Manager **2004 - 2012**
Performed multifaceted role as Senior Systems Manager leading a team of software developers in planning, designing, implementing, and supporting various systems at one of the largest University's in the country.

- Successfully lead complex projects in the development and implementation; creation of detailed work plans, schedules, project estimates, statement of work, resource plans, unit testing, user acceptance testing, and status reports.
- Responsible for defining and documenting clear and complete detailed business requirements and functional specifications.
- Chaired a University Committee to facilitate product and fiscal analysis, and long-term recommendation for an Enterprise Content Management (ECM) System at an enterprise level. *Result:* Recommendation to centralize ECM as an enterprise class solution and in the short term, produce annual rate increases to fiscally stabilize the program.
- Coordinated hardware and software installations, upgrades, and maintenance tasks.
- Primary systems manager for one of the largest ECM systems (DocFinity) in Higher Education.
- Managed a team of 5 developers in the planning, development, and support of various systems within the Organization.

- Co-chair of a Security Committee to provide leadership in the protection of information assets and technology – including creation of standards in accordance of ISO 27001 and 27002.
- Responsible for monitoring and assessing projects and communicating status to senior leadership; including identifying and anticipating issues that affect the successful delivery of projects.
- Lead metrics and reporting initiatives.
- Designed and implemented an effective project management framework that was adopted within the SDLC.
- Assisted upper management in the review of business processes to help improve efficiency and reduce costs.
- Cultivated and maintained positive working relationships within all levels of the Organization.
- Participated as the liaison between the business units, technology teams and support team.
- Two time recipient of the Departmental "Employee of the Year" award.

University of Northern Colorado – Greeley, CO
Customer Support Coordinator I **2001 - 2004**
Functioned as member of support team troubleshooting all hardware, software, network, and telecommunications problems reported by Faculty, Staff, and Students at a University with a student enrollment of 13,000+ students and 4,000+ Faculty and Staff.

- Designed, developed, and delivered training courses for Faculty/Staff.
- Assisted customers with access to, and use of, various University systems.
- Provided on-site services for clients having network, hardware, and software problems.
- Main support and billing contact for campus network services in Residence Halls.
- Centrally setup and managed deployment of Windows OS images across the enterprise.
- Setup, configured and tested new technologies to ensure compliance of University standards.
- Responsible for the creation and administration of all network user accounts, passwords, exchange email accounts, home directories, shared drives, and account permissions.
- Designed, created, and maintained the University's IT support website.

EDUCATION & PROFESSIONAL DEVELOPMENT

Education: BS in Business Administration, Computer Information Systems – (2001)
University of Northern Colorado – Greeley, Colorado

Professional Development: ECM Committee Chair – (Summer 2012)

Security Committee Chair – (2011 – 2012)

Pharos Higher Education Customer Advisory Board Member – (2004)

Lindsey Bryant | lbryant@docfinity.com

docfinity

OVERVIEW & QUALIFICATION HIGHLIGHTS

Diverse experience in the workforce and education makes me a strong candidate for any position requiring a vast range of skills. Flexible, hardworking candidate who is willing to take on challenges.

QUALIFICATION HIGHLIGHTS

- Paperless Workflow Design
- MS Office & MS Visio expert
- Extensive Hardware/Software experience
- Software Trainer for internal project team
- Technical Assistance for the project team
- Customer Service Support

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Business Analyst **2014 - Present**

- Fluent in business process management configuration
- Provide consulting for designing, implementing and maintaining the DocFinity paperless and workflow system
- Documented all workflows through Visio and maintain documentation for troubleshooting
- Assisted with daily troubleshooting inquiries for users and customers, both in the office and remotely

Triangle Insurance Company – Enid, OK
System Administrator **2011 - 2014**

Responsible for designing, implementing, and maintaining the DocFinity paperless workflow system.

- Responsible for designing, implementing and maintaining the DocFinity paperless and workflow system
- Documented all workflows through Visio and maintain documentation for troubleshooting
- Trained replacement remotely to ensure continuity of workflow system for end users
- Create and led excel training for departments tailored to specific job responsibilities
- Designed new billing system within Excel to include macros, pivot tables and other advance features
- Created excel templates to help streamline sales goals and data entry
- Approved website registration for new users and assisted with login issues
- Assisted with daily troubleshooting inquiries for users and customers, both in the office and remotely

StarTek – Enid, OK
Methods and Procedures Specialist **2008 - 2011**

Responsible for daily reports, managing databases and tracking the status of multiple deadlines

- Create and maintain SharePoint site and trained over 500 employees how to utilize the system
- Communicate all changes to procedures, systems and methods to site
- Integrated ideas on how to improve feedback and promote a positive work environment

Networks Plus – Manhattan, KS
Director of Technical Services **2006 - 2008**

Responsible for department budget, training and high end projects.

- Provide in house support for 75 plus users, approximately 50 servers and two backups
- Perform e-mail and phone support to clients for central and eastern Kansas
- Manage and coordinate nine engineers schedules for onsite support

- Experience in Windows Server 2003, eTrust and Symantec Anti-Virus, Office 2003, Exchange 2003, Vista and additional software

EDUCATION & PROFESSIONAL DEVELOPMENT

- B.B.A., Computer Information Systems. (July 2006)
  Fort Hays State University
- A.A.S., Computer Networking and Microsoft Certification. (May 2004)
  Kansas City Kansas Community College

Nicholas Coble | ncoble@docfinity.com

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QUALIFICATION HIGHLIGHTS

Programming Languages: JAVA, SQL Server (All Versions), Oracle (All Versions), HTML, XML, C++, VB.NET, C#

Operating Systems: Windows 95, 98, 7, ME, 2000, XP, 2003 Server, Mac OS 9, OS X, Linux, Windows Server 2012, Windows Server 2012 R2, Windows 8

Other technical skills: Installing computer hardware and software, designing and maintaining databases, troubleshooting software, hardware, and network issues, Wire Shark, NMap, Nessus, OpenVPN, Putty, SQL Database and all web browsers.

Non-technical skills: Leadership, consulting, organization, team building, problem solving, Microsoft Office, business knowledge, communication, writing and verbal skills.

Classroom Experience:
Project Management: Worked with Booze-Allen-Hamilton (2012) in a project management class in which our team acted as a consulting firm developing an online distribution project for the company.
Integration/Design: Worked on a group project in my Advanced Integration class with GEICO mobile development in which we worked with GEICO to develop a mobile ERS application.

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Implementation Analyst **October 2013 – Present**

- Executed multiple version 9 to version 10 DocFinity migrations including data mapping, database mining, system design, system buildout, security groups and users and unit testing
- Designed, constructed, tested and implemented multiple process designs for customers ranging from small to large scale
- Completed several system upgrades that ranged from simple one step bootstrap runs to complicated step-by-step guides encompassing a number of software version changes dependent on manual database intervention
- Implemented, designed, constructed and unit tested a number of different DocFinity Intelligent Capture use cases for multiple clients including customized vb.net scripting and integration with the core DocFinity software
- Guided customers in best practices for database construction, maintenance, process scheduling, search execution and resource allocation
- Provided customers with best practice methods for all software related processes / procedures including Business Process Management, Importing Data, Exporting Data, Indexing Metadata, Hierarchical Storage Management, Records Management (retention policy), and Intelligent Capture
- Submitted a number of software bugs or enhancements based on personal findings or at the request of a customer

TE Connectivity – Harrisburg, PA
Engineering Systems Analyst **May 2012 – October 2013**

- Performed a full document management software implementation for the acquisition of “Deutsch” (Involved migrating over 300,000 documents, all part data/document metadata, coordinating/mapping document types, names and revisions with existing software data, installed software, trained users, supported users, set up “document workflow,” and implemented the TE engineering standard business process to TEOA Lean IT standards) (4.17/5 customer survey)

- Ran document management software support for general customers within our Global Engineering Systems (GES). (Includes experience with global customers such as Mexico, China, Japan, Germany, the UK and Canada)
- Gathered business requirements / functional requirements / created image mockups for a number of projects including semi-automated Product Part Approval Package (PPAP) enhancements, new document state, additional document attributes, general software releases, multi-media within our document management software, DM.TEC "Smart Search," document Lock Key Security implementation and other miscellaneous projects (involved heavy voice of the customer interaction, organization, and business requirement document development).
- Worked day to day with other systems such as our core part registry, content management software and engineering change control system.
- Trained on: General organization, voice of the customer, innovation for results, Microsoft Excel (level 2), DM.TEC software classes.
- Batch loading data such as document viewables, metadata, part information, part to document relationships, and attribute changes.
- Traveled to Hemet/Oceanside California for the implementation of document management software (met with business heads to discuss business needs, installed software, trained users, migrated data, and performed VOC for any outstanding data issues)
- Test Lab Migration project (included migrating/batch loading data directly from a shared directory to our system, training and supporting new users, setting up business processes, and aligning customer business needs with our system)
- Load tested the document management system using performance management software and simulated users pinging application URLs through SQL database commands.

EDUCATION & PROFESSIONAL DEVELOPMENT

Bachelor of Science in Information Sciences and Technology (2012)

The Pennsylvania State University, State College, PA

CHRISTINE DIGIROLAMO | cdigirolamo@docfinity.com

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OVERVIEW & QUALIFICATION HIGHLIGHTS

An accomplished Business and Technical Manager with more than 20 years of experience working directly with or consulting for National and International Fortune 500 companies and Government (State and County) entities across multiple industries, including; Pharmaceutical, Financial Services and Telecommunications. A multi-dimensional resource combining a proven track record and fresh technical skills and training from the University of Massachusetts Bachelor of Science Program in Technology.

QUALIFICATION HIGHLIGHTS

- Business Analysis
- Quality Assurance
- Systems Analysis
- Systems Integration
- Workflow Analysis
- Computer Systems Validation
- Project Management
- Clinical Pkg / Logistics
- Problem Solving

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Project Manager **August 2015 - Present**

Provide Project Management and Business Analysis services:

- Serving as Single Point of Contact for client communication
- Building and maintaining project charter, project schedule and plan
- Managing business and technical requirements (provides insight as applicable)
- Authoring and maintaining project documentation
- Managing resources, capacity and constraints
- Tracking and reporting project budgets to maintain timeline integrity
- Managing risk and compliance

Catalent – Mt. Laurel, NJ
Manager / Systems Analyst II **2003 - 2007**

Supported the organization's Technology and Operations including:

- Providing technical support for software and hardware issues
- Maintaining database integrity for Inventory Management System
- Installing and testing applications
- Authoring and maintaining Computer Systems Validation documentation including QA test scripts, CSV Plans, Installation Qualifications, and Trace Matrices during Software Development Life Cycle
- Conducting requirements gathering sessions
- Authoring Requirements and Design Specification Documentation
- Mapping out Business Unit Processes and translating them into User Interface Workflows
- Assisting in systems design and analysis
- Creating training manuals and conducting end-user training
- Serving as liaison between software development companies, business Unit Team Leads and end-users on global development projects
- Ensuring project deliverables are met

Computer Horizons

Professional Services Consultant **2003**

- Participated as a trainer during national rollout of proprietary CRM solution
- Facilitated during instructional efforts to ensure unencumbered flow of training
- Performed troubleshooting for training equipment issues

Doxentric LLC – Philadelphia, PA
Director, Architecture & Development **2000 - 2002**

- Designed, implemented and supported custom electronic document management systems
- Provided Systems analysis, QA testing for custom web-based software/hardware solutions
- Designed Document Management Workflows
- Conducted end-user training
- Acted as Liaison between business owners and developers – managed customer expectations and insured customer satisfaction

Optical Systems, Inc. – Edison, NJ
Vice President, Systems Development **1995 - 2000**
Reported to the CEO, provided project management services.

- Designed and implemented FDA compliant systems utilizing imaging, COLD, and workflow technologies
- Designed custom clinical trial document input system and managed staff operations for Janssen Pharmaceutical
- Designed and implemented an FDA compliant custom software solution to author, circulate and approval Standard Practice Bulletins for Church & Dwight Co., Inc.
- Designed and implemented custom document management system with Employee Expense Management and Corporate Marketing Research documents for Colgate Palmolive
- Managed the organizations systems analysis/design, requirements, and QA testing for new business initiatives
- Served as technical liaison with hardware and software vendors

EDUCATION & PROFESSIONAL DEVELOPMENT

Education: Bachelor of Science, (Summa Cum Laude) Information Technology – 2015
University of Massachusetts, Lowell, MA

Certifications: MCSE

Technical Skills: MS Office Suite; MS Access; MS SQL Server, MS Project, MS Power Point, Visio

Ryan Koehle | rkoehle@docfinity.com

QUALIFICATION HIGHLIGHTS

- Networking and Telecommunications
- IT Project Management
- Storage Networking
- Legal and Regulatory of IT
- Network and IT Security Management
- Organization of Databases
- Computer Forensics
- Multimedia Information Systems

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Implementation Analyst **September 2010 – Present**
Understanding the customer environment parameters and methodology by which the DocFinity software will function is the role of the implementation analyst. Working closely with the customer project team to evaluate and establish the specifics of the installation configuration, so that DocFinity can be specifically tailored to the customer's systems and procedures.

Minitab, Inc. – State College, PA
Computer Support Intern **May 2008 – December 2009**

EDUCATION & PROFESSIONAL DEVELOPMENT

The Pennsylvania State University, State College, PA
Bachelor of Science in Security and Risk Analysis (2009)
Major Option: Information Cyber Security
Certificate: Information Assurance (National Security Agency)

HAL MANNAN | hmannan@docfinity.com

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PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Software Trainer **January 2012 – Present**

Provide classroom and web-based training on suite of document management software products. Develop and maintain training materials, including Power Point presentations and training activities. Assist Quality Assurance with software testing, as needed.

South Hills School of Business and Technology – Philipsburg, PA
IT Instructor/Faculty Advisor **February 2008 – June 2013**

- Taught information technology and business courses.
- Faculty Advisor for Information Technology (IT) major students
- Responsible for lecturing and grading IT, Business major students as well as students from other departments.
- Club advisor for IT student club. Organized field-trips and fund raising activities for the club members
- Faculty advisor for summer IT interns
- Member of Institutional Effectiveness Planning (IEP) Committee. Represented Philipsburg campus in quarterly meetings to provide input in evaluating processes to measure institutional effectiveness in terms of student retention, graduation, placement rates as well as level of graduate and employer satisfaction.

University of Louisiana at Monroe (ULM) – Monroe, LA
Data Analyst, University Planning and Analysis **January 2007 – October 2007**

- Extract and summarize data; produce relevant professional tables and charts as needed to support analytical studies/reports and data requests from internal and external constituencies. Use CICSplus in Mainframe Focus Environment.
- Support the production and updating of standard institutional reports including the annual web-based and paper fact book.
- Conduct ongoing environmental scans to identify and report on national, regional, local, and institutional trends.
- Assist in the compilation and submission of reports to state and federal agencies by established deadlines
- Create complex database queries, aggregation and summarization of a wide variety of data, implementation of surveys and assessments
- Assist with other institutional research projects as needed.

University of Louisiana at Monroe – Monroe, LA
Technical Support Specialist **October 2003 – December 2006**

- Assisted Center personnel of about 100 employees in 14 SBDC centers in Louisiana by acting as a database administrator and help-desk resource for the web-based MIS software (CenerIC). Serve as the initial point of contact for resolution of MIS software-related problems in a 100-user environment. Responsible for technical research in our databases and discussions with our product develop team.

- Administered solely Statewide CenterIC database, providing user IDs/passwords, configuring user rights and permissions into the server, daily and monthly back-up of the database.
- Acted as liaison between software developer and vendor and LSBDC network in maintaining and upgrading MIS software such as installing new features, keeping the software up-to-date according to the SBA (Small Business Administration) requirement.
- Collected, compiled and analyzed survey data. Conducting regular 'Customer satisfaction' and 'Need assessment surveys'. Running descriptive and analytical reports on survey responses on a quarterly basis using statistical packages.
- Implemented training programs and conducted presentations and training for new and existing LSBDC network personnel on the use of the MIS web-based software.
- Ran financial and economic impact reports on a quarterly basis on behalf of the State Director and reporting them online to SBA. Computer and composed reports, graphs and other presentations. Responsible for data collection and dissemination.
- Single-handedly developed and designed the Annual Report for LSBDC for 2003. Also responsible for company brochures, booklets, newsletters, State Director's presentations
- Provided technical (hardware and software) support to LSBDC and the university SBDC office. Also responsible for network administration for State Office computer equipment. Troubleshoot, research, diagnose, document, and resolve technical issues surrounding Windows NT, Windows 2000 Professional, MS Office, e-mail, Internet connections, and hardware/peripherals.
- Recruited and managed student workers that support computer lab facilities.
- Created and maintain the LSBDC website – updating the website with regular seminar/workshop details, 'Featured client of the month' online surveys, polls, calendars etc.
- Responsible for repair, software installation, configuration and weekly back-ups of desktops and laptops.

EDUCATION & PROFESSIONAL DEVELOPMENT

Education: Master of Computer Information Systems

Georgia State University

Master of Business Administration (MBA)

Indiana University of PA (IUP)

MICHAEL PELESKY | mpelesky@docfinity.com

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OVERVIEW & QUALIFICATION HIGHLIGHTS

Dedicated Software Engineering professional with 10+ years of IT experience performing and managing full SDLC projects, including resource assessment and allocation; time/cost estimates; risk mitigation; system requirements definition and analysis; software/hardware architectural design for distributed, client/server II&III tier, Web Services, and embedded systems; emerging technology assessment and application; C#, C++, and Java-based, object-oriented system design and implementation; configuration management; quality assurance; system integration; testing and certification; documentation; NOC support; and the ability to balance formal approaches with agile development techniques to produce high-quality software.

QUALIFICATION HIGHLIGHTS

Development Tools: Visual Studio 2005 & 2003, Eclipse, ColdFusion, JavaScript, HTML, SQL, XML, CodeWarrior, Borland Builder, IBM WebSphere Studio Device Developer (Eclipse base), IBM MQe, Java (J2EE, J2ME, J9, OSGI, SMF, Servlets, JNDI, HTTP, JDBC, JSP, etc.), C#, C++, VC++ (MFC, Sockets, ADO, ODBC, COM, ATL etc.), VB, SwiftForth, PolyForth, Star Team, MS SourceSafe, CVS, SVN, Visio, MS Office, SQL Server, IBM DB2, MS Access databases
Interfaces and Protocols: HL7, EDI, TCP, UDP, FTP, Sockets, Net Bios, 802.11.x, RS232, RS232C, RS485, RS422, CAN, DIS, CNP, RP1210A, J1939, J1708, H321/323, H261/263, G711/G711+ etc..
Reference Platforms: Windows XP, 2000, NT 4.0, 98, 95, QNX Neutrino, Kadak AMX (Kwiknet, Treck)
Hardware Products: Telematics - Motorola GT5200, 5282 Coldfire, DriverTech DT3000 onboard computers, ComTech mobile satellite transceivers, Savi RFID tag readers, HEMTT & FMTV vehicle ECU's, Wireless Networking 802.11.x (DIGI WiME, DPAC Airborne Lan Node), Garmin, Trimble, and Magellan GPS units
Distance learning: controllable PTZ cameras, document cameras, VCRs, DVD's, base band matrix switches, microphone mixers, amplifiers, quad-splits, chromo keys, echo cancellers, network switches, hubs, and fiber optic transceivers

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Professional Services Software Developer **2005 – Present**
As a developer in the Professional Services department, efforts are focused on providing value-added services to new and existing customers through custom integrations of the DocFinity product suite and industry specific line of business applications. Specific implementations include:

- DocFinity to Symitar system integration to support a major federal credit union.
- DocFinity to IMT system integration to support the insurance industry.
- DocFinity to Conexxus system integration to support compliance initiatives.
- DocFinity to Town & Country system integration to support the insurance industry.
- DocFinity Connect core product development.
- Custom DocFinity to HL7 integration.
- Custom DocFinity to XML EDI document integration.
- Custom DocFinity client application design and programming.
- Custom DocFinity API web service design and programming.

MTS Technologies, Inc - Johnstown, PA
Senior Technical Staff/Software Engineer **2002 - 2005**

As a senior member of the Combined Arms Staff Training (CAST) upgrade project team SDLC efforts were focused on Marine Corps CAST methodologies and applicable solution technologies. As part of the Army Voice Interactive Device (AVID) FY02 project team, SDLC efforts were focused on system wide technical issues incorporating design, reliability, risk mitigation, resource allocation, scalability, distributed capabilities, data storage, messaging formats, interface specifications, transport mechanisms, inter-process communications, and integrated platform resource utilization. Apart from middleware and backend development, an asset tracking application was developed utilizing Savi RFID tag reader technology in conjunction with the ComTech mobile satellite communications network. Within the AVID FY03 project team, efforts were directed to migrate and extend the baseline capabilities developed for the HEMTT under AVID FY02 to the FMTV platform. As part of this effort, high level graphical CTIS subsystem control and parameter trending where added. In addition, substantial gains where made in the reduction of the target system footprint, and processing overhead. The AVID contracting vehicle evolved into EAI FY03-FY04 and customer focus was shifted to migrating AVID technologies into IBM's software management framework (SMF). Primary responsibilities were to re-architect existing designs leveraging Java technologies (J2EE, J2ME, J9, OSGI, SMF, Servlets, JNDI, HTTP, JDBC, JSP) and IBM products including MQe and DB2 to produce a fully functional end to end Telematics system highlighting backend web services, Remote Software Management, Multiple Platform Capability, Vehicle Diagnostics, Location Tracking, and Situational Awareness capabilities. Current FY05 DoD development activities are confidential. FY05 commercial efforts are focused on migrating military technologies to commercial automotive platforms in conjunction with Daimler Chrysler Corp.

Concurrent additional responsibilities include professional development of junior level software professionals, supporting current business development efforts, customer relations, and providing senior software engineering services across division lines.

Broadband Networks Inc. - State College, PA
Software Development Engineer **1997 - 2001**
Primarily responsible for the development of real time, full motion, interactive, distributed and client/server based video conferencing products, Edcomm and PowerPlay, targeted to the educational, medical, and corporate distance learning markets. Specifically tasked with requirements analysis and definition, system design, implementation, testing and documentation of completed projects. Developing service based applications utilizing C++, Visual C++ (Visual Studio & Borland Builder), FileMaker Pro, SQL, PolyForth, and SwiftForth tools and languages.

Secondary responsibilities included providing technical support, troubleshooting, and training services to the System Integration, and Network Operations Center departments. Developing test applications to support the manufacturing departments QA processes, and delivering advanced onsite customer training.

EDUCATION & PROFESSIONAL DEVELOPMENT

NeoIntegrate Development Training; Implementing HL7 in the Real World: "A Developers View"; HL7: "By the Book and Beyond", conducted by Dave Shaver, CTO of NeoTools Development, LLC (2006)

Introduction to CMMI, Staged Representation training, conducted by the Carnegie Mellon SEI (2004)

Introductory & Intermediate Java and IBM WebSphere Studio Device Developer course training conducted by IBM Pervasive Computing Labs (2003 & 2004)

University of Pittsburgh at Johnstown, Johnstown, PA
Bachelor of Science in Electrical Engineering Technology (2001)

TED PIERCE | tpierce@docfinity.com

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OVERVIEW & QUALIFICATION HIGHLIGHTS

Certified IT professional, experienced in guiding large implementation projects to successful completion.

QUALIFICATION HIGHLIGHTS

- Implementation & Project Management experience
- DocFinity Solutions Administration and Development
- FileNet Certified
- Experienced Unix Administrator and Network Manager
- Designed and implemented 400 User Network including mainframe access and mainframe printing.
- Skilled in mentoring new System Administrators
- Maintained and implemented custom software for enterprise content and workflow management
- Proven ability to meet client technical needs and requirements

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Implementation Analyst **August 2015 - Present**

- Manage system installations and upgrades
- Provide technical training to customer network support teams regarding administration of the DocFinity solution
- Business Process Management Administration and Development
- eForms Administration and Development
- Microsoft SQL Stored Procedure Development

Giant Eagle – Alliance, OH
Store Clerk **November 2014 – August 2015**

Worked as part of a team in a supermarket retail environment

- Stock shelves
- Respond to customer questions

Pennsylvania Office of Attorney General – Harrisburg, PA
IT Project Manager, Criminal Law Division **April 2012 – August 2013**

[insert description here]

- Managed projects including integrating DocFinity document management with custom application along with installations/upgrades (SQL database, Apache web application)
- Implemented, administrated and supported DocFinity Document Management/eForms/Business Workflow system. Integrated Case Management System and Document Management System with SQL Server 2008
- Programmed maintenance needs for Cold Fusion/Oracle System.

Pierce Stronczer Law, LLC – Akron, OH
Director of Practice Management **November 2007 – March 2011**

- Managed projects including relocating office to new location, imaging old cases/removal of paper folders of closed cases, introduction of remote access capabilities, implementation of IP phone system and server/application software upgrades
- Network Installation and Support Consultant
- System Administration of Microsoft Server 2008 including DNS and DHCP services

- Installed, configured and supported IIS web applications including Exchange OWA, IP Phone application and Blackberry admin web applications
- Designed network infrastructure, configured VPN access from remote offices.
- Installed and designed Backup/Restore policies.
- Supported IP PBX Phone system. Configured Firewall and Internet Routing.
- Supported Thompson ProLaw application.
- Installed, configured and supported Blackberry Enterprise Server 5.0.

Ciber, Inc – Mechanicsburg, PA
Consultant **April 2002 – October 2007**

- Served as a FileNet Implementation Consultant on the Enterprise Document Management System for the Pennsylvania Department of Transportation.
- System Administration of EDMS system is comprised of 80 servers and 12,000 licenses. EDMS components include FileNet Image Services 4.0, Content Services 5.2 and eProcess 5.1.0.
- Technical Lead on developing interfaces with eProcess Component Manager and third party database interface.
- Assisted in the migration from Optical Jukeboxes to MSAR.
- Migrated the servers from Windows 2000 Server to Windows 2003 Server on new hardware.
- Operated as a technical lead to the system administrators and EDMS developers.
- Consulted on the migration to FileNet P8 products.
- Implemented Custom Applications to WebSphere Application Server.
- Also worked with IIS, Cold Fusion, Netscape and Apache HTTP Servers.
- Served as a FileNET Implementation Consultant on the Integrated Case Management System for Pennsylvania Office of Attorney.
- Maintained code in the open source third-party application and implemented a customized ASP.NET and VB.NET web application for an Enterprise Content and workflow system.
- Designed and coded associated client-server applications for content capture and indexing with Visual Studio 6.

EDUCATION & PROFESSIONAL DEVELOPMENT

Education:	Bachelor Of Science Degree, Computer Science (Dec 1997)
	The University of Akron, Akron, OH
Professional Development:	Project Management Training (June 1996)
	Ernst & Young. Cleveland, OH
	Cisco Certified Network Administrator (Jan 2012)
	New Horizons Learning Institute of PA. Mechanicsburg, PA

CERTIFICATIONS

Cisco Certified Entry Networking Technician (CCENT)

FileNet P8 Certified : Image Manager (CS) Solution Architect - 1A

FileNet P8 Certified : Image Manager (CS) Technical Support - 1A

FileNet P8 Certified : Image Manager (IS) Technical Support - 1A

FileNet P8 Certified : Content Manager Technical Support - 1A

FileNet P8 Certified : Business Process Manager Technical Support - 1A

CYNTHIA SCHNEIDER | cschneider@docfinity.com

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OVERVIEW & QUALIFICATION HIGHLIGHTS

20+ years of experience in computer operations and software development with a key focus on Application Administration, Quality Assurance, User Support, and Training. I have a unique blend of customer service skills combined with technical skills that make me a valuable asset to any team.

QUALIFICATION HIGHLIGHTS

- TechExcel (CRM)
- Crystal Reports
- WebEx, Adobe Connect
- MS Office Suite
- Windows Server 2000, 2003, 2008
- Unix, Windows 7, Windows XP, DOS
- IIS, Active Directory
- Oracle, SQL Server, Access

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Software Trainer **January 2012 – Present**
Provide classroom and web-based training on suite of document management software products. Develop and maintain training materials, including Power Point presentations and training activities. Assist Quality Assurance with software testing, as needed.

Blue Mountain Quality Resources - State College, PA
Senior Support Specialist **May 2002 – October 2011**
Provided technical support of multiple regulatory asset management software products and versions via telephone, e-mail and web support to FDA-regulated client base. Acted as liaison with development team working on client data for escalated issues. Wrote test plans and executed tests under Quality Assurance guidelines that became part of the validation package purchased by clients. Performed on-site services for software installations, configurations, validations, training, writing SOPs and assisting clients in meeting Part 11 compliance.

- Handled 70% of support calls each month with an call volume range from 150-400 calls and 400-800 customer contacts monthly
- Maintained a close rate of 96% for all support calls
- Identified sales opportunities for trainings, maintenance renewals and software upgrades
- Consistently achieved highest test rates while continuing support duties
- Traveled regionally and internationally, comprising 30-40% of job responsibility for on-site services
- Wrote Tech Tip for monthly newsletter sent to clients

Shaner Energy, Huntingdon - PA
Director of Customer Relations/System Administrator **January 1994 – March 2002**
Coordinated all customer service activities within three companies. Assisted customers with questions and concerns. Responsible for accounts receivable, customer service-oriented programs, customer service training, and reporting to board of directors. Managed administration of Fuel Assistance Program. Maintained integrity of computer system through regular back-ups, scheduled upgrades, user training,

and troubleshooting. Provided support for all employees with personal computer troubleshooting. Worked closely with Web Designer to design corporate web site.

- Increased Automatic Delivery customers by 9% over a two-year period
- Implemented changes to Price Protection Plans which increased the Budget Program by 20%
- Responsible for research, selection and implementation of new client/server computer system

Pepsi-Cola Bottling Company - St. Marys, PA
Administrative Assistant **October 1986 – January 1994**
Maintained an even, efficient flow of work within the office staff. Monitored the everyday recording of cash receipts, accounts receivable, route accounting, inventory, and personnel information. Scheduled routine office workloads; assisted accounting department in preparation of documents; performed administrative duties for operations manager; monitored the purchase order system. Assisted in interviewing and made recommendations on potential employees.

System Automation Corporation - Silver Springs, MD
Programmer Trainee **October 1981 – January 1982**
Involved with the specifications and writing of computer modules for the reenlistment program for the United States Army. Responsible for programming new applications, modifications, maintenance, enhancements, and documentation. Worked with interactive FORTRAN capabilities, VSAM and CMS environments.

Midstate Computing Services, Inc - Camp Hill, PA
Assistant Manager of Operations **February 1980 – May 1981**
Responsible for communications between operations and programming departments. Trained to serve as a backup on all accounts flowing through company. Handled problems arising between client and company. Tabulated monthly billing for company's largest client. Began as a computer operator while a student intern.

EDUCATION & PROFESSIONAL DEVELOPMENT

Education: Associate Degree in Data Processing – (1980)

Central Pennsylvania Business College, Harrisburg, PA

Professional Development: Project Management Professional Development Training, (2011)

SQL Server Reporting Services Training – (2011)

Microsoft Certified Professional – (2009)

Customer Service Professional – (2004)

JACOB SHAFER | jshafer@docfinity.com

docfinity

OVERVIEW & QUALIFICATION HIGHLIGHTS

Experienced in applying document management and workflow expertise in support of forward-facing companies.

QUALIFICATION HIGHLIGHTS

- MS SQL Server
- Windows Server
- DocFinity
- Datacap XML
- Web Services API
- Oracle IIS
- ColdFusion Cisco
- BackupExec
- CompTIA CDIA+
- SQL Server 2000 & 2005 certified

PROFESSIONAL EXPERIENCE

Optical Image Technology (DocFinity) – State College, PA
Solution Architect **2011 - Present**
The overall scale and shape of DocFinity can be greatly customized to fit each customer's circumstances. A solution architect evaluates the enterprise content management needs of your business, in order to map the best possible system design strategy for the upcoming professional services.

The Ohio State University – Columbus, OH
Systems Manager / Developer, UniPrint Document Management Services **January 2001 - 2011**
Utilized multiple vendor suites of software to construct an enterprise infrastructure for this SaaS provider of electronic document management. Designed, constructed, implemented and supported customized document management systems for university departments in all areas, including student records, financial services, document archival, and research documentation. Integrated this enterprise application with PeopleSoft Financials and Campus Solutions as well as multiple third-party customer web portals and applications. Designs included electronic workflow, OCR, barcode, web services, electronic and paper capture components based on individual department needs. Designed a quarterly upgrade program as the system grew from 20 to 1800 users in over 30 buildings on multiple networks. Worked as business analyst for Admissions, Transfer Credit, and Financial Aid customers to automate document related workflows.

Utilized vendor suite of software to link student ID cost cards to centralized campus charging system for the purpose of cost recovery printing in public and private computer labs. Worked with various departments to navigate a complex network environment to enable access to desktop printing services in student computer labs.

Utilized vendor suite of software to manage multi-site bookstores throughout the state of Ohio. Worked with sales and inventory staff to setup and maintain daily operations including cash handling, online sales, end-of-day deposit procedures, and inventory management between stores on multiple campuses.

EDUCATION & PROFESSIONAL DEVELOPMENT

- Bachelor of Arts, Business Process Management (2008)

  The Ohio State University

References

Palm Beach State College

Chuck Zettler, Dean of Enrollment
Phone (561) 868-3033
Email: zettlerc@palnbeachstate.edu

Enterprise Core
BPM/Workflow
eForms
QuikScan
Front/Back Office Nodes
Print to DocFinity
HSM
250 Users

7 Departments Implemented:

Admissions and Registration, Financial Aid, Accounts Payable, Student Account Services, Human Resources, Aeronautical Science, Information Technology

Loyola University of Chicago

Jim Sibenaller
Director, Business and Enterprise Services, Information Technology Services
Phone:(773) 508-7665
email: jsibena@luc.edu

Currently deployed for 40 departments across the university.

DocFinity Enterprise Core
DocFinity BPM/Workflow
DocFinity eForms
DocFinity Records Management
Print-To DocFinity
125 Concurrent User Licenses
Loyola U of Chicago integrated with PeopleSoft SIS.

Nichols College

Jared Hamilton
Associate VP for Enterprise Applications
Information Technology
Phone:(508) 213-2045
Email: Jared.Hamilton@nichols.edu

Integrated with Ellucian's Colleague SIS and also with Ellucian.s Recruiter. Departments implemented are: Admissions, Financial Aid, Student Services, Accounts Payable, Purchasing.

Docfinity Core
BPM/Workflow

eForms
Connect
COLD/ERM
40 Users

St. Catherines University
Osiris Guzman
Director for Enterprise Applications
McGlynn Technology Center
Phone: (651) 690-6828
Email: oguzman@stkate.edu

Alternate Contact:
Kimberly Osland
Email: kdosland@stkate.edu

Integrated with Banner SIS. Departments live with DocFinity now: Registrar, Academic Affairs, Human Resources, Purchasing, Facilities.

In final stages of testing and soon to go live:Student Accounts, Accounts Payable, Payroll.

DocFinity Core
Records Management
Connect
Print to DocFinity
23 Users

LONGWOOD
UNIVERSITY

201 High Street
Farmville, Virginia 23909
tel:434.395.2093
fax: 434.395.2246
trs: 711

October 2, 2015

ADDENDUM 3 TO ALL OFFERORS:

Reference Request for Proposals (RFP):	LU214-16-004
Commodity:	Enterprise Content Management (ECM) Solution
Dated:	August 28, 2015
For Delivery To:	Longwood University Materiel Management Farmville, Virginia 23909
Proposal Due:	**October 8, 2015 at 2:00 p.m. Local Time**
Pre-Proposal Conference:	September 10, 2015 at 1:30 p.m. Local Time

This Addendum 3 to the RFP is being issued to answer a question submitted by a prospective offeror.

1. Reference Section V., Paragraph B., Subparagraph 4., Page 30: Can we submit our tax returns for the last two years prepared by our accountant to show our financial stability instead of the income statement and balance sheet? If yes, would that affect the five points earned?

   RESPONSE: The income statement and balance sheet are the appropriate documents to include in the proposal.

All other general terms, conditions, and specifications shall remain the same.

Note: A signed acknowledgment of this addendum must be submitted with your proposal. Signature on this addendum does not substitute for your signature on the original proposal document. The original proposal document must be signed.

Very truly yours,

Cathryn B. Mobley

Cathryn B. Mobley, CPA, CUPO, VCCO, VCO
Director of Financial Operations & Materiel Management

Office of the Director of Materiel Management, Central Stores, and Property Control

_____
Name of Firm

_____
Signature/Title

_____
Date

LONGWOOD
UNIVERSITY

201 High Street
Farmville, Virginia 23909
tel:434.395.2093
fax: 434.395.2246
trs: 711

September 25, 2015

ADDENDUM 2 TO ALL OFFERORS:

Reference Request for Proposals (RFP):	LU214-16-004
Commodity:	Enterprise Content Management (ECM) Solution
Dated:	August 28, 2015
For Delivery To:	Longwood University Materiel Management Farmville, Virginia 23909
Proposal Due:	**October 8, 2015 at 2:00 p.m. Local Time**
Pre-Proposal Conference:	September 10, 2015 at 1:30 p.m. Local Time

This Addendum 2 to the RFP is being issued to answer questions submitted by prospective offerors. Responses that are specific to Longwood University are identified by LU; responses specific to the University of Mary Washington are identified by UMW; if the question is not specific to either school, a general response is provided.

1. Reference Section IV., Page 4, Paragraph 2.1: Is the University looking for a commercial off the shelf (COTS) solution, or looking to have a custom solution built from scratch?

   RESPONSE: LU is seeking a commercial off the shelf (COTS) solution.
   UMW requires a readily available off-the-shelf solution.

2. Can the University disclose the funding source for the Enterprise Content Management Solution? If a grant, which one?

   RESPONSE: LU's system will be funded by the University, not a grant.
   UMW's system services will be funded by operating budget funds (state or local).

3. Reference Section IV., Page 12, Paragraph 4.4.2, Item 1: Rather than supporting application screen scraping will Longwood University and Mary Washington University support direct access through an application programming interfaces to support field data?

   RESPONSE: LU: Yes.
   UMW: Will support the use of API's for data integration.

4. Reference Section IV., Page 10, Paragraph 4.3.1: Do Longwood University and Mary Washington University require data encryption? If so, please define specific requirements.

   RESPONSE: LU: Reference RFP Section X. **SPECIAL TERMS AND CONDIITONS**, paragraph 9 and additional clarification below:
   a. Selected Firm/Vendor will use industry-standard and up-to-date security tools and technologies such as anti-virus protections and intrusion detection methods in providing Services under this agreement. These tools and technologies should be in accordance with the latest version of ISO/IEC27002.

Office of the Director of Materiel Management,
Central Stores, and Property Control

b. The use of proprietary encryption algorithms is not allowed, unless reviewed by qualified experts outside of the vendor in question and approved by the Information Security Office

c. all web server certificates and web servers will support TLSv1 or better strong encryption mode (128 bit or higher symmetric/bulk encryption, 2048 bit or higher public key encryption)

d. The use of AES-128, AES-192, AES-256 and three-key Triple DES is acceptable.

UMW: Based on our IT System Requirements list for remotely hosted solutions we state: the Vendor warrants that all electronic University Data will be encrypted in transmission (including via web interface) and stored at AES 256 or stronger.

5. Are you all happy with the current solution and provider in place? Meaning is this an RFP for a simple upgrade to Image Now and you have to go through the motions for an RFP or is there a realistic want by the University to go in a different direction?

RESPONSE: The Universities are seeking the most appropriate solution to meet our business needs.

6. Numbers – How many total users will be using the solution?

RESPONSE: LU: 20 concurrent users.
UMW: Minimum of 100 active users required to administer and utilize system. Unlimited user license preferred.

7. Cloud or Longwood Managed – Our product allows for both on premise and cloud platforms. Does the university require pricing for one or the other or both options?

RESPONSE: LU: Pricing for both.
UMW: Prefer a cloud platform and pricing.

8. Scope – Our understanding was that this was for Longwood University. The RFP, however, states that other institutions like JMU or UMW, etc. might be involved. Are the requirements for this RFP solely for Longwood University? Should the focus be solely on Longwood University with the idea that other entities could then be involved after a successful implementation with Longwood? Or are they looking at this now for their individual institutions as well?

RESPONSE: No, the requirements are not solely for LU. LU issued the RFP, however all Virginia Association of State College and University Purchasing Professionals (VASCUPP) institutions were given the opportunity to contribute to the Statement of Needs to ensure any resulting contract would be one they can access to meet their individual business needs. UMW requirements were referenced in the original solicitation, please reference Section IV.7. to review them.

9. Integration – What version of Banner (release number and version please) is Longwood integrating with? Would it be possible to get a quality screen shot of the student records page from your current version of Banner?

RESPONSE: LU: Has plans to upgrade to the latest versions I the next 8 months. Student will be 8.9.0 and Finance will be 8.10.0. See screen print of current Banner versions included with this Addendum 2.
UMW: See screen print of current Banner versions included with this Addendum 2.

10. Multiple requests were made to extend the due date for receipt of proposals and to publish the Pre-Proposal Conference Registry.

RESPONSE: Reference Addendum 1 dated September 15, 2015.

11. If the proposal due date is extended will the questions deadline be extended?

RESPONSE: The Universities are answering questions submitted beyond the original deadline.

12. Reference Section IV., Page 11, Paragraph 4.3.2, Item 3: Can you provide more information (in general) on the specific functionality you are looking for and the types of scripts or tools that would be used for this?

RESPONSE: Just looking for what is available.

13. Reference Section IV., Page 7, Paragraph 4.3.1, Item 4 and Page 22, Paragraph 5.6.1, Item 1: There are two references to the term ERM in the proposal. Please define the acronym.

RESPONSE: Enterprise Report Management.

14. Reference Section V., Page 30, Paragraph B.10.: Since our firm is a certified small business do we still need a SBSP Plan?

RESPONSE: Yes, ATTACHMENT B must be submitted with your proposal with the appropriate section completed. If you are certified by DSBSD as a small business, then you only complete Section A of the SBSP.

15. Reference Section IV., Page 4, Paragraph 1: What are the user base, concurrent users, number of documents to be migrated and document types for each university (LU, MWU, JMU)?

RESPONSE:
LU: 120 users; 20 concurrent; 1.5 million documents; Document Types: ".txt", ".doc", ".docx", ".gif", ".htm", ".xls", ".tif", ".jpg", ".msg", ".pdf".
UMW: Minimum of 100 active users/concurrent users. Users to retrieve documents could be as many as 1200. Document Types: n/a.
JMU: Unknown.

16. Reference Section IV., Page 4, Paragraph 1: Does this paragraph indicate that the current prime contractor, Lexmark Enterprise Software, will not be eligible to compete in this procurement?

RESPONSE: Anyone can submit a proposal; no one is ineligible.

17. During the pre-proposal meeting, Ms. Stimpson described one of the desired outcomes of this project for the admissions office would be the development of a detailed workflow around the current application process. We request additional feedback regarding the number of participants, roles, and steps in the current and/or desired admissions workflow.

RESPONSE: The workflow will consist of 11 inbox roles.
The Application is received, SAT/ACT Scores are received, Transcripts Received, Application is Reviewed, if complete, moves to one of 6 counselors for review based on student types.
Decision is made: Accept (Honors review) Letters are printed and filed for Awaiting Deposit.
Hold – moves to Committee Review, Letters are printed and filed.
Reject – moves to Director review for decision keeps or changes,
Moves to Dean review Keeps or changes Decision, Letters
Are printed and filed.
They would also like to have an Application Checklist and a Reader Sheet.

18. Reference Section VI., EVALUATION AND AWARD CRITERIA, Page 31: The evaluation criteria states that 20 points can be earned if the vendor is certified by the Virginia Department of Small Business and Supplier Diversity (DSBSD). It was further clarified by Ms. Mobley during the pre-proposal meeting that there is a formula in place that will award points based on the level of involvement of the DSBSD vendor during the contract. Using this RFP and the subsequent initial project (admissions) as an example, we request further details on this formula and the amount of points that may be awarded for specific activities during the contract period.

RESPONSE: Businesses that are **not** DSBSD-certified small businesses will receive credit based on their SBSP, not to exceed 75% of the points assigned to this evaluation criterion (i.e., 20 points x 75% = 15 points). Points will be assigned based on each Offeror's proposed subcontracting expenditures with DSBSD-certified small businesses for the initial contract period, as indicated in the Offeror's submitted SBSP, in relation to each Offeror's total price.

The Offeror's proposed subcontractor use of DSBSD-certified small businesses is divided by the Offeror's total proposed price. The quotient is then multiplied by the points assigned for the criteria to determine the evaluation points to be assigned.

EXAMPLE:

	Offeror's proposed use of DSBSD certified small businesses as subcontractors / Offeror's Price		=	% Factor	x	Points (20)*	=	Points Assigned
Offeror's DSBSD Spend	$ 95,904							
Offeror's Total Price	$177,600		=	0.54	x	20	=	10.8

19. Reference ATTACHMENT B – SMALL BUSINESS SUBCONTRACTING PLAN, Page 56: Is the utilization of a DSBSD-certified business a mandatory requirement for acceptance of our offer, or are we able to take exception?

RESPONSE: Offerors must complete and return ATTACHMENT B with their proposal. If the offeror is not a DSBSD-certified small business, they are encouraged to utilize DSBSD-certified businesses in their SBSP. If an offeror does not propose DSBSD-certified small business utilization, then the offeror's proposal will not receive any points for the SBSP evaluation criteria, which will lower their overall score.

20. Reference Section IV., Pages 4 and 5: For the desired Admissions solution, please provide additional detail regarding your current process, including the number of readers, as well as how you intend to integrate with your SIS (flat file, EIS, etc.). Please provide visios, diagrams, or descriptions of the process from start to finish if possible.

RESPONSE: The workflow will consist of 11 inbox roles. The Application is received, SAT/ACT Scores are received, Transcripts Received, Application is Reviewed, if complete, moves to one of 6 counselors for review based on student types. Decision is made: Accept (Honors review) - Letters are printed and filed for Awaiting Deposit. Hold - moves to Committee Review, Letters are printed and filed. Reject - moves to Director Review for decision - keeps or changes, moves to Dean Review - keeps or changes Decision, Letters are printed and filed. They would also like to have an Application Checklist and a Reader Sheet.

21. Reference Section IV., Pages 4 and 5: In order to provide an accurate quote for the Nolij conversion, we will need additional detail. If possible, please fill out the attached conversion services questionnaire.

RESPONSE: See completed questionnaires included with this Addendum 2.

22. Reference Section IV., Pages 4 and 5: Does the solution need to update the student information system?

RESPONSE: Yes.

23. Reference Section V., Page 29, Paragraph B.: The specified format does not indicate where we should include our responses to the 4. ECM Functional Requirements, 5. Technical Requirements, 6. Implementation and Support and 7. Additional Functionality Available questions. Should we include our responses to these questions after the Small Business Subcontracting Plan?

RESPONSE: Reference Paragraph V.A.2.c. on page 28 of the RFP for how to organize your proposal.

24. Reference Section IV., Section 4., Page 17, Paragraph 4.7.1: How are you currently performing reads? Committee or specialized review? In parallel and/or sequential?

RESPONSE: It's all of the above. We have freshman reviewed by counsellors (committee), but then we have nursing and honors which would be specialized. Nursing and regular freshman review are parallel, but honors is sequential.

25. Reference Section IV., Section 4., Page 17, Paragraph 4.7.1: Is the solution for undergraduate admissions, graduate admissions, or both?

RESPONSE: Both.

All other general terms, conditions, and specifications shall remain the same.

Note: A signed acknowledgment of this addendum must be submitted with your proposal. Signature on this addendum does not substitute for your signature on the original proposal document. The original proposal document must be signed.

Very truly yours,

Cathryn B. Mobley

Cathryn B. Mobley, CPA, CUPO, VCCO, VCO
Director of Financial Operations & Materiel Management

_____
Name of Firm

_____
Signature/Title

_____
Date

Conversion Services Estimate Questionnaire

Contact Information	
Company Name	Longwood University
Contact Information (name, email & phone)	Aneicia Stimpson, stimpsonag@longwood.edu
Legacy System: General Questions	
1. Legacy system **product name & version**?	**NolijWeb 6.1.3.5150**
2. Legacy system **database (DB) platform & version**?	Oracle 11g
3. Legacy system runs on which **operating system** (OS)?	Wondows 2008
4. **Service level** desired—1) comprehensive end-to-end service level (turnkey), 2) limited service options like export-only or import-only or 3) conversion consulting only Conversion Services_Service Leve	**1) Comprehensive end-to-end service turn key** [Describe the level of conversion service you are interested in]
5. Is the content to be converted tied to any **internal deadlines**?	[If applicable, describe any internal deadlines that will affect the conversion—i.e. roll-out dates for other systems, maintenance expiration, etc]
6. Will content be **added** to legacy system during conversion or be in a **read-only** state once the conversion begins?	Read Only
7. Are there any **legacy system admins** or experts still in-house?	Yes
Legacy System: Document & Storage Questions	
8. Total **number of documents** to be converted?	**1.5 Million** [Specify the total **document count** to be converted in documents or pages]
9. Total **document storage volume** (GB or TB) to be converted?	**290 Gb** [Specify the storage size associated with all the documents to be converted]
10. Total **number of document types/business classifications**?	400
11. **Storage device(s)** physically managing the documents? *(If optical or tape storage, provide make, model & quantity of drives or tapes)*	Primary and Backup is hard drive file system (SAN)

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OnBase by Hyland

<table>
<tr><td>12. List primary document file format(s) to be converted with associated document count.

Include COLD/ERM report file formats if applicable.

[COLD/ERM reports are captured from print stream data output like ASCII text, IBM's AFP, Xerox's DJDE, HP's PCL, and PDF]</td><td><table><tr><th>FILE FORMAT</th><th>TOTAL DOCUMENTS</th></tr><tr><td>.tif</td><td>.bmp</td></tr><tr><td>.doc</td><td>.pdf</td></tr><tr><td>.jpeg</td><td>..msg</td></tr></table>
[Common file formats could include TIFF, JPG, DOC, PDF, XLS, XML, MSG, RTF, BLOBs, computer-generated print output like ASCII text, AFP, PCL, etc]</td></tr>
<tr><td>13. If COLD/ERM reports are being converted, do you use overlays?</td><td>[Yes or No. Describe any details on number & different variations of overlays]</td></tr>
<tr><td>14. Type and volume of annotations that must be converted?</td><td>Sticky Notes, Redaction, highlights
Approximately 1 million</td></tr>
<tr><td>15. Can all of the document files managed by the legacy system be viewed outside of the product using a vendor-agnostic viewer?</td><td>Yes</td></tr>
<tr><td>16. Will audit trail or document history information need to be migrated?</td><td>Yes</td></tr>
<tr><td>17. Is any part of the legacy system hosted off-site?</td><td>No</td></tr>
</table>

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Conversion Services Estimate Questionnaire

Contact Information	
Company Name	University of Mary Washington
Contact Information (name, email & phone)	
Legacy System: General Questions	
1. Legacy system **product name & version**?	**Perceptive Data Transfer version 6.3.6_b2848**
2. Legacy system **database (DB) platform & version**?	Oracle
3. Legacy system runs on which **operating system** (OS)?	CENTOS
4. **Service level** desired—1) comprehensive end-to-end service level (turnkey), 2) limited service options like export-only or import-only or 3) conversion consulting only Conversion Services_Service Leve	**Level 1 – Comprehensive end-to-end service level (turnkey)**
5. Is the content to be converted tied to any **internal deadlines**?	Need solution in place by Dec 31, 2015
6. Will content be **added** to legacy system during conversion or be in a **read-only** state once the conversion begins?	Data will be added to legacy system during conversion.
7. Are there any **legacy system admins** or experts still in-house?	April Peterson, Katherine Lister
Legacy System: Document & Storage Questions	
8. Total **number of documents** to be converted?	**At this time UMW doesn't require XX services**
9. Total **document storage volume** (GB or TB) to be converted?	
10. Total **number of document types/business classifications**?	N/A
11. **Storage device(s)** physically managing the documents? *(If optical or tape storage, provide make, model & quantity of drives or tapes)*	N/A
12. List primary document **file format(s)** to be converted with	N/A

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associated **document count**. Include **COLD/ERM** report file formats if applicable. *[COLD/ERM reports are captured from print stream data output like ASCII text, IBM's AFP, Xerox's DJDE, HP's PCL, and PDF]*	
13. If **COLD/ERM** reports are being converted, do you use overlays?	N/A
14. Type and volume of **annotations** that must be converted?	N/A
15. Can all of the document files managed by the legacy system be viewed outside of the product using a vendor-agnostic viewer?	[Yes or No. If the files can't be located in the file system outside of the legacy system or can't be viewed using a vendor-agnostic viewer (i.e. Microsoft Picture) then assume the files or storage mechanisms are proprietary]
16. Will audit trail or document history information need to be migrated?	[Yes or No. If yes, how many history tables need to be migrated? Hyland recommends that historical audit table data be migrated as it exists in the legacy system into the OnBase schema for reporting purposes. Custom reports can then be built to allow users to access the data from these tables within many reporting applications, including OnBase Report Services.]
17. Is any part of the legacy system **hosted off-site**?	[If yes, describe how your hosted provider will provide us access for export]

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LONGWOOD
UNIVERSITY

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fax: 434.395.2246
trs: 711

September 15, 2015

ADDENDUM 1 TO ALL OFFERORS:

Reference Request for Proposals (RFP):	LU214-16-004
Commodity:	Enterprise Content Management (ECM) Solution
Dated:	August 28, 2015
For Delivery To:	Longwood University Materiel Management Farmville, Virginia 23909
Proposal Due:	**October 8, 2015 at 2:00 p.m. Local Time**
Pre-Proposal Conference:	September 10, 2015 at 1:30 p.m. Local Time

This Addendum 1 to the RFP is being issued to extend the due date for receipt of proposals as noted above. Addendum 2 will be issued shortly to answer questions received from potential offerors. Also included with this Adddendum1 is the Pre-Proposal Conference Registry.

All other general terms, conditions, and specifications shall remain the same.

Note: A signed acknowledgment of this addendum must be submitted with your proposal. Signature on this addendum does not substitute for your signature on the original proposal document. The original proposal document must be signed.

Very truly yours,

Cathryn B. Mobley

Cathryn B. Mobley, CPA, CUPO, VCCO, VCO
Director of Financial Operations & Materiel Management

Office of the Director of Materiel Management, Central Stores, and Property Control

_____
Name of Firm

_____
Signature/Title

_____
Date

PRE-PROPOSAL CONFERENCE

ON-SITE REGISTRY

PROJECT: RFP#LU214-16-004	TITLE: Enterprise Content Management (ECM) Solution	BUYER: Debby Cooper

DATE: 9/10/15	TIME: 1:30 p.m.
REPRESENTATIVE'S PRINTED NAME: Vincent Clements	
REPRESENTATIVE'S SIGNATURE: Vincent Clements	
NAME OF FIRM: Armedia	
ADDRESS OF FIRM: 8221 Old Courthouse Rd Suite 300 Vienna, Va 22182	
	EMAIL: vincent.clements@Armedia.com
TELEPHONE NUMBER: 301-956-4738	FACSIMILE NUMBER:
OTHER:	

DATE: 9/10/15	TIME: 1:30
REPRESENTATIVE'S PRINTED NAME: Joseph Kirkland	
REPRESENTATIVE'S SIGNATURE:	
NAME OF FIRM: Lexmark Enterprise Software	
ADDRESS OF FIRM: 8700 Renner Blvd. Lenexa	
	EMAIL:
TELEPHONE NUMBER: 339 222 6040.	FACSIMILE
OTHER:	

Lexmark

Joseph P. Kirkland
Senior Account Executive
Enterprise Software

M 1.339.222.6040
joseph.kirkland@lexmark.com

www.lexmark.com

Kirk Martin
kmartin@pattersonpope.com

115 Brand Avenue
Salem, VA 24153
540.389.7726 office
540.520.8767 cell
540.389.9702 fax
www.pattersonpope.com

patterson·pope
SPACE MADE SIMPLE.

	TIME: 1:30
Martin / Nancy Richards /	
FileSolve	
Salem, VA 24	
	EMAIL: k / nri
	FACSIMILE

Nancy Richards | nrichards@filesolve.com
account executive

115 Brand Avenue, Salem, VA 27153
540.389.7726 x7011 | 540.354.2698 (c) | 540.389.9702 (f)

FileSolve
FROM EVERY ANGLE

DATE: 9/10/15	TIME: 1:30 p.m.
REPRESENTATIVE'S PRINTED NAME: MIKE MORRISON	
REPRESENTATIVE'S SIGNATURE:	
NAME OF FIRM: NMS IMAGING	
ADDRESS OF FIRM: 12051 PROSPERITY SILVER SPRING MD 20904	
	EMAIL: MMORRISON@NMSIMAGING.COM
TELEPHONE NUMBER: 240-645-4250	FACSIMILE NUMBER:
OTHER:	

PRE-PROPOSAL CONFERENCE

ON-SITE REGISTRY

anacomp®
Powered by technology. Perfected by people.

Will Moreno
Sr. Account Executive

3675 Concorde Parkway
Suite 1500
Chantilly, VA 20151
p (240) 575-6710
c (301) 442-8560
wmoreno@anacomp.com
www.anacomp.com

prise Content Management (ECM) Solution	BUYER: Debby Cooper
	TIME: 1:30 p.m.
m Moreno	
c	
e Pkwy Suite 1500 Chantilly VA 20151	
	EMAIL: wmoreno@anacomp.com
D	FACSIMILE NUMBER:

DATE: 9/10/15	TIME: 1:30 p.m.
REPRESENTATIVE'S PRINTED NAME: Kandi Hall	
REPRESENTATIVE'S SIGNATURE: Hall	
NAME OF FIRM: JMT Technology Group	
ADDRESS OF FIRM: 272 Bendix Rd Ste 260 Virginia Beach, VA 23452	
	EMAIL: Khall@jmttg.com
TELEPHONE NUMBER: 757-552-1088	FACSIMILE NUMBER:
OTHER:	

DATE: 9/10/15	TIME: 1:30 p.m.
REPRESENTATIVE'S PRINTED NAME:	
Melva A. H. Kishpaugh, VCO, CUPO Assistant Director, Procurement Services **UNIVERSITY OF MARY WASHINGTON** 540/654-1084 540/654-1168 fax	Via phone.
	EMAIL:
	FACSIMILE NUMBER:
OTHER:	

DATE: 9/10/15	TIME: 1:30 p.m.
REPRESENTATIVE'S PRINTED NAME:	
April Peterson **Apeters2@umw.edu** **540-654-1280** **Applications Developer - Enterprise Applications Services, IT** **University of Mary Washington**	Via phone.
	LE NUMBER:
OTHER:	

PRE-PROPOSAL CONFERENCE

ON-SITE REGISTRY

PROJECT: RFP#LU214-16-004	TITLE: Enterprise Content Management (ECM) Solution	BUYER: Debby Cooper

DATE: 9/10/15	TIME: 1:3
REPRESENTATIVE'S PRINTED NAME:	
REPRESENTATIVE'S SIGNATURE:	
NAME OF FIRM:	
ADDRESS OF FIRM:	
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DATE: 9/10/15	TIME: 1:3
REPRESENTATIVE'S PRINTED NAME:	
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DATE: 9/10/15	TIME: 1:30 p.m.
REPRESENTATIVE'S PRINTED NAME:	
REPRESENTATIVE'S SIGNATURE:	
NAME OF FIRM:	
ADDRESS OF FIRM:	
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