

# **Solicitation TEC2114786P1**

## **Investigative Management System**

### **Bid Designation: Public**



**Broward County Board of County Commissioners**

## Bid TEC2114786P1 Investigative Management System

Bid Number TEC2114786P1  
Bid Title Investigative Management System

Bid Start Date In Held  
Bid End Date Feb 16, 2018 5:00:00 PM EST

Bid Contact Michael Mullen  
954-357-6114  
mmullen@broward.org

Contract Duration **See Specifications**  
Contract Renewal See Specifications  
Prices Good for **See Specifications**

Bid Comments **Scope of Work:**  
**The Broward Office of the Inspector General is seeking a qualified firm to provide an Investigative Management System inclusive of software, maintenance and support services as per the Scope of Work in this solicitation. The County may award more than one System Contract.**

**Goal Participation:**  
**This solicitation is open to the general marketplace.**

**Submittals: Vendor's solicitation response must be submitted electronically through BidSync. It is the Vendor's sole responsibility to assure its response is submitted and received through BidSync by the date and time specified in the solicitation. The County will not consider solicitation responses received by other means.**

**Questions and Answers: Vendors shall submit ALL questions through the Question and Answers section available in BidSync. All responses will be addressed in the Questions and Answers section. The County is not obligated to respond to any questions received after the listed deadline or received by means other than BidSync.**

### Item Response Form

Item **TEC2114786P1-01-01 - Investigative Management System Software Licenses**

Quantity **1 lump sum**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324

**Qty 1**

#### Description

Investigative Management System Software Licenses needed for the complete proposed system.

Item **TEC2114786P1-01-02 - Investigative Management System Equipment/Hardware**  
Quantity **1 lump sum**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Investigative Management System Equipment/Hardware needed for the complete proposed system.

Item **TEC2114786P1-01-03 - Implementation Services**

Quantity **1 lump sum**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Implementation Services inclusive of installation, customization, optimization, project management services, and all other services needed for complete proposed system.

Item **TEC2114786P1-01-04 - Training**

Quantity **1 lump sum**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Training - system hardware, software, management, and any other training needed for the proposed system.

Item **TEC2114786P1-01-05 - Additional Cost and Fees**

Quantity **1 lump sum**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001

Broward County Board of  
County Commissioners

OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Additional Cost and Fees

Item **TEC2114786P1-01-06 - Support and Maintenance - Year 1**

Quantity **1 year**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Support and Maintenance Services Fees for Year 1.  
Year 1 begins one year after date of Final Acceptance of the complete system.

Item **TEC2114786P1-01-07 - Support and Maintenance - Year 2**

Quantity **1 year**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Support and Maintenance Services Fees for Year 2.  
Year 2 begins two years after date of Final Acceptance of the complete system

Item **TEC2114786P1-01-08 - Support and Maintenance - Year 3**

Quantity **1 year**

Unit Price

Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Support and Maintenance Services Fees for Year 3.  
Year 3 begins three years after date of Final Acceptance of the complete system

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Item **TEC2114786P1-01-09 - Support and Maintenance - Year 4**  
Quantity **1 year**  
Unit Price   
Delivery Location **Broward County Board of County Commissioners**

IG001  
OFFICE OF INSPECTOR GENERAL  
MONICA VIDAL (954) 357-7873  
1 NORTH UNIVERSITY DRIVE  
PLANTATION FL 33324  
**Qty 1**

**Description**

Support and Maintenance Services Fees for Year 4.  
Year 4 begins four years after date of Final Acceptance of the complete system

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## Scope of Work

### TEC2114786P1 – Investigative Management System

#### **PROFILE OF THE BROWARD OFFICE OF THE INSPECTOR GENERAL:**

The Broward Office of the Inspector General (OIG) is a criminal justice agency that was created in November 2010. The OIG functions as an independent watchdog for over 1.8 million residents of Broward County. Its authority encompasses more than 25,000 employees, and over 450 separate divisions and departments of government. In addition, the OIG has oversight responsibility for more than 170 elected officials including county commissioners, mayors, vice mayors, city commissioners, and town council members, as well as more than 36,000 registered vendors who provide goods or services to the county and municipalities.

The OIG has the authority to investigate violations of state and federal statutes and codes, county and municipal ordinances and codes, and conduct involving fraud, corruption and abuse. As part of an investigation the OIG may audit any program, contract or operations under its jurisdiction. The OIG is also charged with the responsibility to enforce the Code of Ethics for Elected Officials, which was made applicable to all Broward elected officials in January 2012.

The OIG has three dedicated investigative units to fulfill the broad and varied jurisdiction of the Inspector General: Investigations, Audit and Contract/Procurement Oversight, and Ethics. The OIG is staffed with a diverse team of highly qualified individuals who bring to the organization a variety of specialties and skill sets. This team consists of the Inspector General, Deputy Inspector General, Assistant Inspector General, General Counsel, Ethics Counsel, Supervisory Special Agent-Investigations, Director Audit and Contract/Procurement Oversight, Assistant Legal Counsel, Special Agents, Senior Auditor, and administrative support professionals including an Office Manager and an Investigative Support Specialist.

The OIG is accredited by the Commission for Florida Law Enforcement Accreditation and must adhere to more than 40 CFA standards of Offices of Inspectors General.

#### **1. PROJECT BACKGROUND:**

The OIG wishes to acquire a turn-key, locally-installed but remotely accessible, Investigative Management System (system) inclusive of all necessary implementation, configuration, hardware, software, and support and maintenance services. Data storage will be provided by Broward County Enterprise Technology Services. **The OIG does not expect the contract to exceed \$225,000, inclusive of initial setup costs and five years of support and maintenance.** The proposed system shall be capable of tracking and managing all matters<sup>1</sup>

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<sup>1</sup> A matter is the term used to identify an investigation, inquiry, legal review, and/or background investigation.

through their duration. Other system functionality required include workflow and records management, with search and reporting capabilities. A more comprehensive list of functionality requirements is in Section 3 below. The OIG's goal is to improve the economy, efficiency and effectiveness of its operations.

The OIG currently uses a Microsoft Access database and Windows-based share drives to track and manage matters. The system tracks complaints,<sup>2</sup> tips,<sup>3</sup> and self-initiated reviews from intake, inquiry and/or investigation, through resolution. The OIG numbers complaints and tips exclusive of each other with a sequential number beginning with the number one (1).

The OIG receives approximately 200 to 300 tips and complaints annually. It initiates investigations based on tips, complaints and other information. As directed by the Charter of Broward County, only signed, verified complaints can be filed with the OIG. The complaint form can be accessed on the OIG website, printed, signed and either mailed or delivered to the OIG. Tips are received by email, fax, mail, in person, and through our hotline. Complaints and tips are logged, reviewed, and assigned. Matters may be self-originated or derived from a tip or complaint as an inquiry or investigation, or may be referred to other governmental entities. Currently matter numbers begin with the prefix "OIG" followed by the two digit calendar year and a sequential number beginning with 001. For example, OIG 17-001 refers to the first matter in calendar year 2017. In addition, a sub matter (a matter derived from an existing matter) is numbered by adding a hyphen and a sequential alphabetical letter to the main matter number, e.g., OIG 17-001-A.

The proposed system should support up to 25 concurrent users. Currently our electronic storage consists of an Access database used to intake and track complaints, tips and matters (2GB); a windows based share drive that contain all supporting documentation and reports (1.5 TB); and a share drive that contain audio files (began recording interviews in April 2016) (12.7 GB). Purging of records will be done in accordance with Florida Statutes.

## **2. COMPATIBILITY WITH CURRENT OIG INFRASTRUCTURE:**

The proposed solution should be current technology as of the current date. It should be compatible with all of the current OIG technology infrastructure, which includes the following specifications for current OIG equipment (in various configurations):

- Desktop Operating System: Microsoft Windows 7 SP1 Enterprise and Windows 10 Enterprise.
- Office: Microsoft Office 2013 Professional Plus SP1 and Office 2016 (Office365); Microsoft Outlook 2013 SP1 or Outlook 2016.
- Server Operating System (Intel): Microsoft Windows Server 2012 R2 Standard/Datacenter Edition; Microsoft Window Server 2016 Standard/Datacenter Edition.
- Browser: Microsoft Internet Explorer 11.x (other browsers are unsupported by OIG).
- Server Hardware Support: VMware ESX 6.5 VM's.

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<sup>2</sup> Allegations received on a signed, verified OIG complaint form in accordance with Section 10.01 of the Charter

<sup>3</sup> A tip is information other than a complaint that is received by the OIG alleging wrongdoing.

- Database Software Support: Microsoft SQL Server 2014 SP2 or later; and Oracle Database 11g Release 2: or later.
- Mobile Operating System: IOS 10.3 and Android Nougat 7.0–7.1.2.

3. **FUNCTIONALITY:** The proposed system should include, but is not limited to:

- Complete tip/complaint, matter, subpoena, evidence, legal, and public records tracking and management;
- customizable data fields, roles, permissions and workflow processes;
- reporting formats that include ad-hoc and pre-defined that are available in multiple formats including Word, PDF and Excel;
- document management and control;
- simple and advanced search capabilities across all modules;
- robust security;
- email notifications internally and externally;
- electronic signatures capability including physical signature; and
- integration of existing Access data to the new solution.

The following is a detailed list of desired functionality:

**3.1. Intake, Assessment and Assignment:**

- 3.1.1. Ability to intake/log complaints and tips utilizing a unique customizable identifier for each, e.g., 17-001C, 17-001T.
- 3.1.2. Ability to create customizable fields to capture a variety of intake data including but not limited to personal, method received, alleged violations, whistle-blower review, and intake disposition.
- 3.1.3. Customizable fields should include but not be limited to text boxes, checkboxes, and dropdown lists and/or combo-boxes.
- 3.1.4. Ability to link electronic data including documents, photographs and audio files to specific complaints and tips.
- 3.1.5. Ability to cross-reference tips/complaints to other matters, tips, and complaints.
- 3.1.6. Ability to assign tips and complaints to staff members for follow up utilizing workflow processes.

**3.2. Complaints, Tips and Matters:**

- 3.2.1. Ability to create a matter from a tip or complaint with fields automatically populated from existing information that may be edited.
- 3.2.2. Ability to create a matter (self-initiate) not associated to a tip or complaint.
- 3.2.3. Ability to configure and auto generate an alpha-numeric matter number e.g., OIG 15-001 and sub-Matter number when applicable e.g., OIG 15-001-A based on a fiscal or calendar year.
- 3.2.4. Ability to create templates within the application or access Microsoft Office templates or PDF fillable documents to create agency forms such as memorandum of interview, investigative memorandum, activity log, opening form, closing form, etc.
- 3.2.5. Ability to generate sequenced forms within a created matter (e.g. Memorandums of



Interview (originating as a Word template or within the application) that would automatically be sequenced when created. For example, the first MOI could be sequenced 15-001-1 etc.).

- 3.2.6. Ability to create customizable fields within the matter module including but not limited to text boxes, check boxes, and dropdowns.
- 3.2.7. Ability to view, access, edit, save and print all Microsoft Office or PDF documents linked to a specific Matter (such as documents referenced in 3.2.5).
- 3.2.8. Ability to electronically review, approve, send back for edits (preferably with ability to add notes or comments) and sign documents referenced in 3.2.5.
- 3.2.9. Ability to view and access related electronic files from within a Matter (e.g. photographs, scanned documents, audio recordings, correspondence etc.). This component references files distinct from those core forms created by OIG staff as part of every matter and detailed in 3.2.5. These files primarily consist of “work-papers” and documents/files received from third parties. To fulfill this component the files themselves may reside within the application or merely be accessible from within the application via links or other format. If within application there should be an export function. Please specify in comments how this would be accomplished. The files referenced can encompass a significant volume of data over time.
- 3.2.10. Ability to track violations/findings of a matter.
- 3.2.11. Ability to generate dated and sequentially numbered notes for a matter
- 3.2.12. Ability to maintain a user entered chronology for the keeping notes and activities regarding work completed.
- 3.2.13. Ability to log and track hardcopy records related to a matter.
- 3.2.14. Ability to set and track retention periods for electronic and hardcopy records.
- 3.2.15. Ability to track archiving locations and status for hardcopy records related to matter.
- 3.2.16. Ability to view related subpoenas, evidence, legal cases, and public records requests from a matter as detailed below.

### **3.3. Subpoenas:**

- 3.3.1. Ability to log subpoena issuance and relevant data.
- 3.3.2. Ability to access subpoenas related to a specific matter from the matter screen/file.
- 3.3.3. Ability to track open subpoenas and subpoena responses for all subpoenas from a centralized subpoena module.
- 3.3.4. Ability to set notifications and alerts for subpoena response deadlines, preferably via Microsoft Outlook.

### **3.4. Evidence:**

- 3.4.1. Ability to log and track items entered into evidence, including status, location, disposition and disposal.
- 3.4.2. Ability to view all relevant evidence entries from a specific matter, tip, or complaint.
- 3.4.3. Ability to set notifications and alerts for the review of evidence for purging preferably through Microsoft Outlook.

**3.5. Legal:**

- 3.5.1. Ability to log and track legal reviews which may or may not relate to a specific matter.
- 3.5.2. Ability to view all relevant legal matters from specific matter, tip, or complaint.
- 3.5.3. Ability to set notifications and alerts for specific legal deadlines, preferably via Microsoft Outlook.
- 3.5.4. Ability to view, access, edit, save and print all electronic files relevant to a specific legal matter.

**3.6. Public Records, Archiving and Purging:**

- 3.6.1. Ability to log, track, and link Public Records requests including status, response, notes, dates, etc.
- 3.6.2. Ability to designate, view and access electronic files related to a specific public record request entry.
- 3.6.3. Ability to designate, track and view record retention schedules and destruction deadlines from a centralized location. This would apply to both hardcopy and electronic files associated with matters, tips and complaints.
- 3.6.4. Ability to identify and flag matters, tips and/or complaints as confidential and/or exempt from public records disclosure.

**3.7. Notifications:**

- 3.7.1. Ability to communicate assignment of tips, complaints and matters or changes in assignments to staff, preferably through existing Microsoft Outlook email system.
- 3.7.2. Ability to set manual and automatic notifications of deadlines and other alerts preferably via Outlook (e.g. alerts to investigators, timeframe to review initial information, timeframes for memorialization).
- 3.7.3. Ability to create forms from tips/complaints/matters where certain fields are automatically filled in. For example, generating a form notification letter wherein fields for name, address and description are filled in from tip entry.
- 3.7.4. Ability to send notifications to external parties, preferably through existing Outlook email system.

**3.8. Reporting:**

- 3.8.1. Ability to create, save, view and download (EXCEL, PDF, etc.) ad-hoc reports for specific periods of time (e.g. open matters, how long they have been open, matters by type, tips and complaints received, outcomes, referrals, dollar losses and recoveries, etc.).
- 3.8.2. Ability to save common report queries and formats for future use.
- 3.8.3. Ability to add, delete, modify fields on forms, reports, etc. (e.g. editable drop down fields etc.)
- 3.8.4. Ability to provide role-based permissions for scheduled reports.
- 3.8.5. Ability to create and set the delivery of scheduled reports e.g., immediately, daily, weekly, monthly, quarterly and during weekdays (Monday through Friday).

### **3.9. General:**

- 3.9.1. Ability to set data field entry with hints, (e.g. required field, description for correct usage of the field, etc.)
- 3.9.2. Ability to lock selected fields based on user permissions.
- 3.9.3. Ability to make certain fields mandatory to complete prior to moving to the next field.
- 3.9.4. Ability to be scalable so that additional data fields may be added as needs change.
- 3.9.5. Ability to provide home page dashboard based on roles including senior managers, line supervisors, investigators and support staff.
- 3.9.6. Ability to OCR a scanned image or document.
- 3.9.7. Ability to accept scanned documents.
- 3.9.8. Ability to perform full text searches across the platform through all documents including attachments using partial data matches.
- 3.9.9. Ability to upload documents in multiple formats (Word, PDF, JPEG, Video, etc.).
- 3.9.10. Ability to perform quick searches based on the most common system parameters.
- 3.9.11. Ability to perform advance searches with options to provide specific search criteria for most database fields.
- 3.9.12. Ability to enable spell checking feature for text entry.
- 3.9.13. Ability to provide appropriate permissions to delete revisions and/or drafts of documents immediately upon determination of usefulness.
- 3.9.14. Ability to change search result column displays, ordering and sorting characteristics.
- 3.9.15. Ability to add, delete, modify, and update user/group (role based) access and restrictions on all aspects of the application (roles should be customizable to support our organizational structure).
- 3.9.16. Ability to disable document versioning or to immediately delete previous versions upon a determination of their usefulness.
- 3.9.17. Ability to select print options, possibly drop down selections that include all documents related to the matter, specific documents, with or without attachments.
- 3.9.18. Ability to provide system/user security and auditing for system and user changes.
- 3.9.19. Ability to integrate with Active Directory for sign on purposes.
- 3.9.20. Ability to act as the single repository (preferable) or link to share drive for all matters, tips and complaint related information.
- 3.9.21. Ability to provide a robust document management functionality to allow check-in, check-out and meta-data (tagging) regarding documents checked into the system.
- 3.9.22. Ability to assign and track multiple statuses including but not limited to administrative, legal, outcome, financial and recommendations.
- 3.9.23. Ability to route a matter, tip or complaint based on its status for appropriate action.
- 3.9.24. Ability to enter free form text narratives within any module of the application.
- 3.9.25. Ability to assign one or more staff members to a matter.
- 3.9.26. Ability to create document templates mirroring current OIG forms.
- 3.9.27. Ability to track total time worked, as well as time worked by individual staff members on a matter.
- 3.9.28. Ability to track expenses associated with each matter e.g., subpoena production fees, copying costs, witness fees, other investigative expenses, etc.

- 3.9.29. Ability to track the referral of matters to other agencies/organizations and actions taken by the agencies/organizations receiving the referral.
- 3.9.30. Ability to use electronic signatures including but not limited to a physical signature.

**4. INFORMATION TECHNOLOGY CAPABILITIES:** The proposed system should provide the following functionality:

**4.1. General:**

- 4.1.1. Ability to migrate data from existing database (Microsoft Access) to populate new system database with historical information.
- 4.1.2. Ability to supply a patch, firmware update or approved workaround within 90 days from identification of vulnerability. Any workaround must be approved in writing by County's Contract Administrator, if a new critical security vulnerability is identified (Common Vulnerability Scoring System (CVSS) base score of 7.0 or higher).
- 4.1.3. Ability to develop code following secure programming techniques (e.g. Open Web Application Security Project (OWASP), Computer Emergency Response Team (CERT)).
- 4.1.4. Ability to regularly provide County with end-of-life-schedules for all applicable software.
- 4.1.5. Ability to provide role-based authentication.
- 4.1.6. Ability to provide application and security logs.
- 4.1.7. Ability to allow user's session to be set to automatically end or time out within a customized length of time.
- 4.1.8. Ability to configure service accounts to run as least privileged (i.e. non-Domain Admin).
- 4.1.9. Ability to provide product or service that is not within 3 year end of life.
- 4.1.10. Ability to import historical information though one of the following formats (.CSV), (.XLS) or (.XLSX) formats. This information should be searchable within the system.
- 4.1.11. The ability to export and import configurations settings to assist with expediting support issues.
- 4.1.12. Ability to provide for a system administrator in the OIG's office to access system security controls for the purpose of changing a user's access level.

**4.2. Infrastructure (Desktop/Servers):** Proposed software application should support and be compatible with the following system requirements:

- 4.2.1. Desktop Operating System: Microsoft Windows 7 SP1 Enterprise
- 4.2.2. Desktop Operating System: Microsoft Windows 10 Enterprise
- 4.2.3. Office: Microsoft Office 2013 Professional Plus SP1
- 4.2.4. Office: Microsoft Office 2016 (Office365)
- 4.2.5. E-Mail: Microsoft Outlook 2013 SP1
- 4.2.6. E-Mail: Microsoft Outlook 2016

- 4.2.7. Server Operating System (Intel): Microsoft Windows Server 2012 R2 Standard/Datacenter Edition
- 4.2.8. Server Operating System (Intel): Microsoft Window Server 2016 Standard/Datacenter Edition
- 4.2.9. World Wide Web Browser: Microsoft Internet Explorer 11.x (Note, \*All other browsers are unsupported (i.e. Firefox, Chrome, Opera, and Safari)
- 4.2.10. Server Hardware Support: VMware ESX 6.5 VM's
- 4.2.11. Database Software Support: Microsoft SQL Server 2014 SP2 or later
- 4.2.12. Database Software Support: Oracle Database 11g Release 2: or later
- 4.2.13. Mobile Operating System: IOS 10.3
- 4.2.14. Mobile Operating System: Android Nougat 7.0–7.1.2

#### **4.3. Software Applications:**

- 4.3.1. Have user and data audit trail.
- 4.3.2. Have usage and error logs (flat file or tabular)
- 4.3.3. Have user management dashboard for new user creation, authorization delegations and continued user account management.
- 4.3.4. Have content management dashboard to manage all application content (menus, dropdowns, checklists, etc.)
- 4.3.5. Application data should be exportable by non-technical staff via user interface to a friendly format like (MS Excel, delimited text, plain text, etc.)
- 4.3.6. Have the ability to interface via a Representational State Transfer (RESTful) web application programming interface (API).
- 4.3.7. Provide Developer access to data sources for troubleshooting.

#### **4.4. System Security:**

- 4.4.1. Provider should provide a security plan or secure configuration guide for Software installed in the County environment by the Provider.
- 4.4.2. Provider should advise of any third party software (e.g., Java, Adobe Reader/Flash, Silverlight) required to be installed and version supported. Provider shall support updates for critical vulnerabilities discovered in the versions of third party software installed.
- 4.4.3. Provider should provide update support for critical vulnerabilities discovered in the versions of third party software installed or Vendor's software.
- 4.4.4. Provider should ensure that the Software is developed based on industry standards/and or best practices, including following secure programming techniques and incorporating security throughout the software-development life cycle.
- 4.4.5. Provider should ensure the Software has a security patch issued for newly identified vulnerabilities within 30 days for all critical or high security vulnerabilities.
- 4.4.6. Provider should ensure the Software provides for role-based access controls.
- 4.4.7. Provider should support electronic delivery of digitally signed upgrades from Provider or supplier website.
- 4.4.8. Provider should enable auditing by default in software for any privileged access or changes.

- 4.4.9. If the Software is a payment application which processes, stores, or transmits credit card data, the VISA Cardholder Information Security Program (“CISP”) payment Application Best Practices and Audit Procedures will be followed and current validation maintained.
- 4.4.10. Provider should regularly provide County with end-of-life-schedules for all applicable Software.

**4.5. Managed/Professional Services:**

- 4.5.1. Provider should immediately notify the County of any terminations/separations of employees performing services under the Agreement or who had access to the County’s network in order to disable such employees’ access to County systems.
- 4.5.2. Provider should ensure all Provider employees have signed County’s Information Security Policy Acknowledgement form prior to accessing County network environment. (PCI 12.3.5)
- 4.5.3. Provider should perform privacy and information security training to its employees with access to the sensitive County environment upon hire and at least annually. (PCI 12.6.1)

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## **Standard Instructions to Vendors**

### **Request for Proposals, Request for Qualifications, or Request for Letters of Interest**

Vendors are instructed to read and follow the instructions carefully, as any misinterpretation or failure to comply with instructions may lead to a Vendor's submittal being rejected.

**Vendor MUST submit its solicitation response electronically and MUST confirm its submittal in order for the County to receive a valid response through BidSync. Refer to the Purchasing Division website or contact BidSync for submittal instructions.**

#### **A. Responsiveness Criteria:**

In accordance with Broward County Procurement Code Section 21.8.b.65, a Responsive Bidder [Vendor] means a person who has submitted a proposal which conforms in all material respects to a solicitation. The solicitation submittal of a responsive Vendor must be submitted on the required forms, which contain all required information, signatures, notarizations, insurance, bonding, security, or other mandated requirements required by the solicitation documents to be submitted at the time of proposal opening.

Failure to provide the information required below at the time of submittal opening may result in a recommendation Vendor is non-responsive by the Director of Purchasing. The Selection or Evaluation Committee will determine whether the firm is responsive to the requirements specified herein. The County reserves the right to waive minor technicalities or irregularities as is in the best interest of the County in accordance with Section 21.30.f.1(c) of the Broward County Procurement Code.

Below are standard responsiveness criteria; refer to **Special Instructions to Vendors**, for Additional Responsiveness Criteria requirement(s).

#### **1. Lobbyist Registration Requirement Certification**

Refer to **Lobbyist Registration Requirement Certification**. The completed form should be submitted with the solicitation response but must be submitted within three business days of County's request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

#### **2. Addenda**

The County reserves the right to amend this solicitation prior to the due date. Any change(s) to this solicitation will be conveyed through the written addenda process. Only written addenda will be binding. If a "must" addendum is issued, Vendor must follow instructions and submit required information, forms, or acknowledge addendum, as instructed therein. It is the responsibility of all potential Vendors to monitor the solicitation for any changing information, prior to submitting their response.

#### **B. Responsibility Criteria:**

Definition of a Responsible Vendor: In accordance with Section 21.8.b.64 of the Broward County Procurement Code, a Responsible Vendor means a Vendor who has the capability in all respects to perform the contract requirements, and the integrity and reliability which will assure good faith performance.

The Selection or Evaluation Committee will recommend to the awarding authority a determination of a Vendor's responsibility. At any time prior to award, the awarding authority may find that a Vendor is not responsible to receive a particular award.

Failure to provide any of this required information and in the manner required may result in a recommendation by the Director of Purchasing that the Vendor is non-responsive.

Below are standard responsibility criteria; refer to **Special Instructions to Vendors**, for Additional Responsibility Criteria requirement(s).

## 1. **Litigation History**

- a. All Vendors are required to disclose to the County all "material" cases filed, pending, or resolved during the last three (3) years prior to the solicitation response due date, whether such cases were brought by or against the Vendor, any parent or subsidiary of the Vendor, or any predecessor organization. A case is considered to be "material" if it relates, in whole or in part, to any of the following:
  - i. A similar type of work that the vendor is seeking to perform for the County under the current solicitation;
  - ii. An allegation of negligence, error or omissions, or malpractice against the vendor or any of its principals or agents who would be performing work under the current solicitation;
  - iii. A vendor's default, termination, suspension, failure to perform, or improper performance in connection with any contract;
  - iv. The financial condition of the vendor, including any bankruptcy petition (voluntary and involuntary) or receivership; or
  - v. A criminal proceeding or hearing concerning business-related offenses in which the vendor or its principals (including officers) were/are defendants.
- b. For each material case, the Vendor is required to provide all information identified on the **Litigation History Form**.
- c. The County will consider a Vendor's litigation history information in its review and determination of responsibility.
- d. If the Vendor is a joint venture, the information provided should encompass the joint venture and each of the entities forming the joint venture.
- e. A Vendor is also required to disclose to the County any and all case(s) that exist between the County and any of the Vendor's subcontractors/subconsultants proposed to work on this project.
- f. Failure to disclose any material case, or to provide all requested information in connection with each such case, may result in the Vendor being deemed non-responsive.

## 2. **Financial Information**

- a. All Vendors are required to provide the Vendor's financial statements at the time of submittal in order to demonstrate the Vendor's financial capabilities.
- b. Each Vendor shall submit its most recent two years of financial statements for review. The financial statements are not required to be audited financial statements. The annual financial statements will be in the form of:
  - i. Balance sheets, income statements and annual reports; or
  - ii. Tax returns; or
  - iii. SEC filings.

If tax returns are submitted, ensure it does not include any personal information (as defined



under Florida Statutes Section 501.171, Florida Statutes), such as social security numbers, bank account or credit card numbers, or any personal pin numbers. If any personal information data is part of financial statements, redact information prior to submitting a response the County.

- c. If a Vendor has been in business for less than the number of years of required financial statements, then the Vendor must disclose all years that the Vendor has been in business, including any partial year-to-date financial statements.
- d. The County may consider the unavailability of the most recent year's financial statements and whether the Vendor acted in good faith in disclosing the financial documents in its evaluation.
- e. Any claim of confidentiality on financial statements should be asserted at the time of submittal. Refer to **Standard Instructions to Vendors**, Confidential Material/ Public Records and Exemptions for instructions on submitting confidential financial statements. The Vendor's failure to provide the information as instructed may lead to the information becoming public.
- f. Although the review of a Vendor's financial information is an issue of responsibility, the failure to either provide the financial documentation or correctly assert a confidentiality claim pursuant the Florida Public Records Law and the solicitation requirements (Confidential Material/ Public Records and Exemptions section) may result in a recommendation of non-responsiveness by the Director of Purchasing.

### 3. Authority to Conduct Business in Florida

- a. A Vendor must have the authority to transact business in the State of Florida and be in good standing with the Florida Secretary of State. For further information, contact the Florida Department of State, Division of Corporations.
- b. The County will review the Vendor's business status based on the information provided in response to this solicitation.
- c. It is the Vendor's responsibility to comply with all state and local business requirements.
- d. Vendor should list its active Florida Department of State Division of Corporations Document Number (or Registration No. for fictitious names) in the **Vendor Questionnaire**, Question No. 10.
- e. If a Vendor is an out-of-state or foreign corporation or partnership, the Vendor must obtain the authority to transact business in the State of Florida or show evidence of application for the authority to transact business in the State of Florida, upon request of the County.
- f. A Vendor that is not in good standing with the Florida Secretary of State at the time of a submission to this solicitation may be deemed non-responsible.
- g. If successful in obtaining a contract award under this solicitation, the Vendor must remain in good standing throughout the contractual period of performance.

### 4. Affiliated Entities of the Principal(s)

- a. All Vendors are required to disclose the names and addresses of "affiliated entities" of the Vendor's principal(s) over the last five (5) years (from the solicitation opening deadline) that have acted as a prime Vendor with the County. The Vendor is required to provide all information required on the **Affiliated Entities of the Principal(s) Certification Form**.

- b. The County will review all affiliated entities of the Vendor's principal(s) for contract performance evaluations and the compliance history with the County's Small Business Program, including CBE, DBE and SBE goal attainment requirements. "Affiliated entities" of the principal(s) are those entities related to the Vendor by the sharing of stock or other means of control, including but not limited to a subsidiary, parent or sibling entity.
- c. The County will consider the contract performance evaluations and the compliance history of the affiliated entities of the Vendor's principals in its review and determination of responsibility.

## 5. Insurance Requirements

The **Insurance Requirement Form** reflects the insurance requirements deemed necessary for this project. It is not necessary to have this level of insurance in effect at the time of submittal, but it is necessary to submit certificates indicating that the Vendor currently carries the insurance or to submit a letter from the carrier indicating it can provide insurance coverages.

### C. Additional Information and Certifications

The following forms and supporting information (if applicable) should be returned with Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to timely submit may affect Vendor's evaluation.

#### 1. Vendor Questionnaire

Vendor is required to submit detailed information on their firm. Refer to the **Vendor Questionnaire** and submit as instructed.

#### 2. Standard Certifications

Vendor is required to certify to the below requirements. Refer to the **Standard Certifications** and submit as instructed.

- a. **Cone of Silence Requirement Certification**
- b. **Drug-Free Workplace Certification**
- c. **Non-Collusion Certification**
- d. **Public Entities Crimes Certification**
- e. **Scrutinized Companies List Certification**

#### 3. Subcontractors/Subconsultants/Suppliers Requirement

The Vendor shall submit a listing of all subcontractors, subconsultants, and major material suppliers, if any, and the portion of the contract they will perform. Vendors must follow the instructions included on the **Subcontractors/Subconsultants/Suppliers Information Form** and submit as instructed.

### D. Standard Agreement Language Requirements

1. The acceptance of or any exceptions taken to the terms and conditions of the County's Agreement shall be considered a part of a Vendor's submittal and will be considered by the Selection or Evaluation Committee.
2. The applicable Agreement terms and conditions for this solicitation are indicated in the **Special Instructions to Vendors**.
3. Vendors are required to review the applicable terms and conditions and submit the **Agreement Exception Form**. If the **Agreement Exception Form** is not provided with the submittal, it shall be deemed an affirmation by the Vendor that it accepts the Agreement terms and conditions as

disclosed in the solicitation.

4. If exceptions are taken, the Vendor must specifically identify each term and condition with which it is taking an exception. Any exception not specifically listed is deemed waived. Simply identifying a section or article number is not sufficient to state an exception. Provide either a redlined version of the specific change(s) or specific proposed alternative language. Additionally, a brief justification specifically addressing each provision to which an exception is taken should be provided.
5. Submission of any exceptions to the Agreement does not denote acceptance by the County. Furthermore, taking exceptions to the County's terms and conditions may be viewed unfavorably by the Selection or Evaluation Committee and ultimately may impact the overall evaluation of a Vendor's submittal.

#### **E. Evaluation Criteria**

1. The Selection or Evaluation Committee will evaluate Vendors as per the **Evaluation Criteria**. The County reserves the right to obtain additional information from a Vendor.
2. Vendor has a continuing obligation to inform the County in writing of any material changes to the information it has previously submitted. The County reserves the right to request additional information from Vendor at any time.
3. For Request for Proposals, the following shall apply:
  - a. The Director of Purchasing may recommend to the Evaluation Committee to short list the most qualified firms prior to the Final Evaluation.
  - b. The Evaluation Criteria identifies points available; a total of 100 points is available.
  - c. If the Evaluation Criteria includes a request for pricing, the total points awarded for price is determined by applying the following formula:  
$$\frac{(\text{Lowest Proposed Price}/\text{Vendor's Price}) \times (\text{Maximum Number of Points for Price})}{\text{Price Score}}$$
  - d. After completion of scoring, the County may negotiate pricing as in its best interest.
4. For Requests for Letters of Interest or Request for Qualifications, the following shall apply:
  - a. The Selection or Evaluation Committee will create a short list of the most qualified firms.
  - b. The Selection or Evaluation Committee will either:
    - i. Rank shortlisted firms; or
    - ii. If the solicitation is part of a two-step procurement, shortlisted firms will be requested to submit a response to the Step Two procurement.

#### **F. Demonstrations**

If applicable, as indicated in **Special Instructions to Vendors**, Vendors will be required to demonstrate the nature of their offered solution. After receipt of submittals, all Vendors will receive a description of, and arrangements for, the desired demonstration. A copy of the demonstration (hard copy, DVD, CD, flash drive or a combination of both) should be given to the Purchasing Agent at the demonstration meeting to retain in the Purchasing files.

## **G. Presentations**

Vendors that are found to be both responsive and responsible to the requirements of the solicitation and/or shortlisted (if applicable) will have an opportunity to make an oral presentation to the Selection or Evaluation Committee on the Vendor's approach to this project and the Vendor's ability to perform. The committee may provide a list of subject matter for the discussion. All Vendor's will have equal time to present but the question-and-answer time may vary.

## **H. Public Art and Design Program**

If indicated in **Special Instructions to Vendors**, Public Art and Design Program, Section 1-88, Broward County Code of Ordinances, applies to this project. It is the intent of the County to functionally integrate art, when applicable, into capital projects and integrate artists' design concepts into this improvement project. The Vendor may be required to collaborate with the artist(s) on design development within the scope of this request. Artist(s) shall be selected by Broward County through an independent process. For additional information, contact the Broward County Cultural Division.

## **I. Committee Appointment**

The Cone of Silence shall be in effect for County staff at the time of the Selection or Evaluation Committee appointment and for County Commissioners and Commission staff at the time of the Shortlist Meeting of the Selection Committee or the Initial Evaluation Meeting of the Evaluation Committee. The committee members appointed for this solicitation are available on the Purchasing Division's website under Committee Appointment.

## **J. Committee Questions, Request for Clarifications, Additional Information**

At any committee meeting, the Selection or Evaluation Committee members may ask questions, request clarification, or require additional information of any Vendor's submittal or proposal. It is highly recommended Vendors attend to answer any committee questions (if requested), including a Vendor representative that has the authority to bind.

Vendor's answers may impact evaluation (and scoring, if applicable). Upon written request to the Purchasing Agent prior to the meeting, a conference call number will be made available for Vendor participation via teleconference. Only Vendors that are found to be both responsive and responsible to the requirements of the solicitation and/or shortlisted (if applicable) are requested to participate in a final (or presentation) Selection or Evaluation committee meeting.

## **K. Vendor Questions**

The County provides a specified time for Vendors to ask questions and seek clarification regarding solicitation requirements. All questions or clarification inquiries must be submitted through BidSync by the date and time referenced in the solicitation document (including any addenda). The County will respond to questions via Bid Sync.

## **L. Confidential Material/ Public Records and Exemptions**

1. Broward County is a public agency subject to Chapter 119, Florida Statutes. Upon receipt, all submittals become "public records" and shall be subject to public disclosure consistent with Chapter 119, Florida Statutes. Submittals may be posted on the County's public website or included in a public records request response, unless there is a declaration of "confidentiality" pursuant to the public records law and in accordance with the procedures in this section.
2. Any confidential material(s) the Vendor asserts is exempt from public disclosure under Florida Statutes must be labeled as "Confidential", and marked with the specific statute and subsection asserting exemption from Public Records.

3. To submit confidential material, three hardcopies must be submitted in a sealed envelope, labeled with the solicitation number, title, date and the time of solicitation opening to:

Broward County Purchasing Division  
115 South Andrews Avenue, Room 212  
Fort Lauderdale, FL 33301

4. Material will not be treated as confidential if the Vendor does not cite the applicable Florida Statute (s) allowing the document to be treated as confidential.
5. Any materials that the Vendor claims to be confidential and exempt from public records must be marked and separated from the submittal. If the Vendor does not comply with these instructions, the Vendor's claim for confidentiality will be deemed as waived.
6. Submitting confidential material may impact full discussion of your submittal by the Selection or Evaluation Committee because the Committee will be unable to discuss the details contained in the documents cloaked as confidential at the publicly noticed Committee meeting.

#### **M. Copyrighted Materials**

Copyrighted material is not exempt from the Public Records Law, Chapter 119, Florida Statutes. Submission of copyrighted material in response to any solicitation will constitute a license and permission for the County to make copies (including electronic copies) as reasonably necessary for the use by County staff and agents, as well as to make the materials available for inspection or production pursuant to Public Records Law, Chapter 119, Florida Statutes.

#### **N. State and Local Preferences**

If the solicitation involves a federally funded project where the fund requirements prohibit the use of state and/or local preferences, such preferences contained in the Local Preference Ordinance and Broward County Procurement Code will not be applied in the procurement process.

#### **O. Local Preference**

Except where otherwise prohibited by federal or state law or other funding source restrictions, a local Vendor whose submittal is within 5% of the highest total ranked Vendor outside of the preference area will become the Vendor with whom the County will proceed with negotiations for a final contract. Refer to **Local Vendor Certification Form (Preference and Tiebreaker)** for further information.

#### **P. Tiebreaker Criteria**

In accordance with Section 21.31.d of the Broward County Procurement Code, the tiebreaker criteria shall be applied based upon the information provided in the Vendor's response to the solicitation. In order to receive credit for any tiebreaker criterion, complete and accurate information must be contained in the Vendor's submittal.

1. **Local Vendor Certification Form (Preference and Tiebreaker);**
2. **Domestic Partnership Act Certification (Requirement and Tiebreaker);**
3. **Tiebreaker Criteria Form: Volume of Work Over Five Years**

#### **Q. Posting of Solicitation Results and Recommendations**

The Broward County Purchasing Division's website is the location for the County's posting of all solicitations and contract award results. It is the obligation of each Vendor to monitor the website in

order to obtain complete and timely information.

## **R. Review and Evaluation of Responses**

A Selection or Evaluation Committee is responsible for recommending the most qualified Vendor(s). The process for this procurement may proceed in the following manner:

1. The Purchasing Division delivers the solicitation submittals to agency staff for summarization for the committee members. Agency staff prepares a report, including a matrix of responses submitted by the Vendors. This may include a technical review, if applicable.
2. Staff identifies any incomplete responses. The Director of Purchasing reviews the information and makes a recommendation to the Selection or Evaluation Committee as to each Vendor's responsiveness to the requirements of the solicitation. The final determination of responsiveness rests solely on the decision of the committee.
3. At any time prior to award, the awarding authority may find that a Vendor is not responsible to receive a particular award. The awarding authority may consider the following factors, without limitation: debarment or removal from the authorized Vendors list or a final decree, declaration or order by a court or administrative hearing officer or tribunal of competent jurisdiction that the Vendor has breached or failed to perform a contract, claims history of the Vendor, performance history on a County contract(s), an unresolved concern, or any other cause under this code and Florida law for evaluating the responsibility of a Vendor.

## **S. Vendor Protest**

Sections 21.118 and 21.120 of the Broward County Procurement Code set forth procedural requirements that apply if a Vendor intends to protest a solicitation or proposed award of a contract and state in part the following:

1. Any protest concerning the solicitation or other solicitation specifications or requirements must be made and received by the County within seven business days from the posting of the solicitation or addendum on the Purchasing Division's website. Such protest must be made in writing to the Director of Purchasing. Failure to timely protest solicitation specifications or requirements is a waiver of the ability to protest the specifications or requirements.
2. Any protest concerning a solicitation or proposed award above the award authority of the Director of Purchasing, after the RLI or RFP opening, shall be submitted in writing and received by the Director of Purchasing within five business days from the posting of the recommendation of award for Invitation to Bids or the final recommendation of ranking for Request for Letters of Interest and Request for Proposals on the Purchasing Division's website.
3. Any actual or prospective Vendor who has a substantial interest in and is aggrieved in connection with the proposed award of a contract which does not exceed the amount of the award authority of the Director of Purchasing, may protest to the Director of Purchasing. The protest shall be submitted in writing and received within three (3) business days from the posting of the recommendation of award for Invitation to Bids or the final recommendation of ranking for Request for Letters of Interest and Request for Proposals on the Purchasing Division's website.
4. For purposes of this section, a business day is defined as Monday through Friday between 8:30 a.m. and 5:00 p.m. Failure to timely file a protest within the time prescribed for a proposed contract award shall be a waiver of the Vendor's right to protest.

5. Protests arising from the decisions and votes of a Selection or Evaluation Committee shall be limited to protests based upon the alleged deviations from established committee procedures set forth in the Broward County Procurement Code and existing written guidelines. Any allegations of misconduct or misrepresentation on the part of a competing Vendor shall not be considered a protest.
6. As a condition of initiating any protest, the protestor shall present the Director of Purchasing a nonrefundable filing fee in accordance with the table below.

<u>Estimated Contract Amount</u>	<u>Filing Fee</u>
\$30,000 - \$250,000	\$ 500
\$250,001 - \$500,000	\$1,000
\$500,001 - \$5 million	\$3,000
Over \$5 million	\$5,000

If no contract proposal amount was submitted, the estimated contract amount shall be the County's estimated contract price for the project. The County may accept cash, money order, certified check, or cashier's check, payable to Broward County Board of Commissioners.

**T. Right of Appeal**

Pursuant to Section 21.83.d of the Broward County Procurement Code, any Vendor that has a substantial interest in the matter and is dissatisfied or aggrieved in connection with the Selection or Evaluation Committee's determination of responsiveness may appeal the determination pursuant to Section 21.120 of the Broward County Procurement Code.

1. The appeal must be in writing and sent to the Director of Purchasing within ten (10) calendar days of the determination by the Selection or Evaluation Committee to be deemed timely.
2. As required by Section 21.120, the appeal must be accompanied by an appeal bond by a Vendor having standing to protest and must comply with all other requirements of this section.
3. The institution and filing of an appeal is an administrative remedy to be employed prior to the institution and filing of any civil action against the County concerning the subject matter of the appeal.

**U. Rejection of Responses**

The Selection or Evaluation Committee may recommend rejecting all submittals as in the best interests of the County. The rejection shall be made by the Director of Purchasing, except when a solicitation was approved by the Board, in which case the rejection shall be made by the Board.

**V. Negotiations**

The County intends to conduct the first negotiation meeting no later than two weeks after approval of the final ranking as recommended by the Selection or Evaluation Committee. At least one of the representatives for the Vendor participating in negotiations with the County must be authorized to bind the Vendor. In the event that the negotiations are not successful within a reasonable timeframe (notification will be provided to the Vendor) an impasse will be declared and negotiations with the first-ranked Vendor will cease. Negotiations will begin with the next ranked Vendor, etc. until such time that all requirements of Broward County Procurement Code have been met.

**W. Submittal Instructions:**

1. Broward County does not require any personal information (as defined under Section 501.171, Florida Statutes), such as social security numbers, driver license numbers, passport, military ID, bank account or credit card numbers, or any personal pin numbers, in order to submit a response for ANY Broward County solicitation. **DO NOT INCLUDE** any personal information data in any document submitted to the County. If any personal information data is part of a submittal, this information must be redacted prior to submitting a response to the County.
2. **Vendor MUST submit its solicitation response electronically and MUST confirm its submittal in order for the County to receive a valid response through BidSync.** It is the Vendor's sole responsibility to assure its response is submitted and received through BidSync by the date and time specified in the solicitation.
3. The County will not consider solicitation responses received by other means. Vendors are encouraged to submit their responses in advance of the due date and time specified in the solicitation document. In the event that the Vendor is having difficulty submitting the solicitation document through Bid Sync, immediately notify the Purchasing Agent and then contact BidSync for technical assistance.
4. Vendor must view, submit, and/or accept each of the documents in BidSync. Web-fillable forms can be filled out and submitted through BidSync.
5. After all documents are viewed, submitted, and/or accepted in BidSync, the Vendor must upload additional information requested by the solicitation (i.e. Evaluation Criteria and Financials Statements) in the Item Response Form in BidSync, under line one (regardless if pricing requested).
6. Vendor should upload responses to Evaluation Criteria in Microsoft Word or Excel format.
7. If the Vendor is declaring any material confidential and exempt from Public Records, refer to Confidential Material/ Public Records and Exemptions for instructions on submitting confidential material.
8. After all files are uploaded, Vendor must submit and **CONFIRM** its offer (by entering password) for offer to be received through BidSync.
9. If a solicitation requires an original Proposal Bond (per Special Instructions to Vendors), Vendor must submit in a sealed envelope, labeled with the solicitation number, title, date and the time of solicitation opening to:

Broward County Purchasing Division  
115 South Andrews Avenue, Room 212  
Fort Lauderdale, FL 33301

A copy of the Proposal Bond should also be uploaded into Bid Sync; this does not replace the requirement to have an original proposal bond. Vendors must submit the original Proposal Bond, by the solicitation due date and time.



**Special Instructions to Vendors**  
**TEC2114786P1**  
**Investigative Management System**

Vendors are instructed to read and follow the instructions carefully, as any misinterpretation or failure to comply with instructions may lead to a Vendor's submittal being rejected.

**A. Additional Responsiveness Criteria:**

In addition to the requirements set forth in the **Standard Instructions to Vendors**, the following criteria shall also be evaluated in making a determination of responsiveness:

**1. Pricing: BidSync Item Response Form (Line Item Prices)**

**Points awarded for price will be based on the aggregate total of line items TEC2114786P1--01-01 to TEC2114786P1--01-05.**

- a. It is the responsibility of the Vendor to complete and electronically sign the Item Response Form for this solicitation. The Item Response Form is a matter of RESPONSIVENESS. Failure of the Vendor to complete and electronically sign the Price Sheet SHALL determine the Vendor to be NONRESPONSIVE to the solicitation.
- b. All blank areas of the Price Sheet MUST be filled in with a dollar figure. If it is the intent of the Vendor to perform or provide any services or commodities referenced on the Item Response Form at no cost to the County, then \$0.00 (zero) dollars MUST be referenced in the appropriate field. In the event that the Vendor intends not to submit a price for a particular line item, the Vendor MUST indicate "NO BID" in the appropriate field ("Notes for Buyer"). In the event that pricing is required for multiple years, pricing for each year MUST be completed by the Vendor.
- c. The Vendor SHALL use the Item Response Form provided in the solicitation document. Failure by the Vendor to use the required Item Response Form SHALL determine the Vendor to be nonresponsive.
- d. DO NOT USE "N/A", "—", "OR ANY OTHER SYMBOLS ON THE PRICE SHEET. IT IS THE RESPONSIBILITY OF THE VENDOR TO ASK QUESTIONS OR SEEK CLARIFICATION REGARDING THE PRICE SHEET SUBMITTAL PRIOR TO THE SOLICITATION'S DUE DATE. THE COUNTY WILL NOT SEEK CLARIFICATION ON ANY PRICE SHEET SUBMITTAL.

**2. Domestic Partnership Act Requirement**

This solicitation requires that the Vendor comply with Domestic Partnership Act unless it is exempt from the requirement per Ordinance. Vendors must follow the instructions included in the **Domestic Partnership Act Certification Form (Requirement and Tiebreaker)** and submit as instructed.

**B. Additional Responsibility Criteria:**

In addition to the requirements set forth in the **Standard Instructions to Vendors**, the following criteria shall also be evaluated in making a determination of responsibility:

**1. Office of Economic and Small Business Development Program:**

Not applicable to this solicitation.

**C. Standard Agreement Language Requirements:**

The applicable Agreement terms and conditions for this solicitation can be located at:

<http://www.broward.org/Purchasing/Documents/bcf305.pdf>

Refer to **Standard Instructions for Vendors** and the requirements to review the applicable terms and conditions (and submission of the **Agreement Exception Form**).

**D. Demonstrations:**

Applies to this solicitation. Refer to Standard Instructions to Vendors for additional information and requirements.

**E. Presentations:**

Applies to this solicitation. Refer to Standard Instructions to Vendors for additional information and requirements.

**F. Procurement Authority:**

Pursuant to Section 21.32, Competitive Sealed Proposals, of the Broward County Procurement Code.

**G. Project Funding Source - this project is funded in whole or in part by:**

County Funds

**H. Projected Schedule:**

Initial Shortlisting or Evaluation Meeting (Sunshine Meeting): **To Be Determined**

Final Evaluation Meeting (Sunshine Meeting): **To Be Determined**

Check this website for any changes to the above tentative schedule for Sunshine Meetings:

<http://www.broward.org/Commission/Pages/SunshineMeetings.aspx>.

**I. Project Manager Information:**

Project Manager: Ommet Mbiza

Email: ombiza@broward.org

Vendors are requested to submit questions regarding this solicitation through the "Q&A" section on BidSync; answers are posted through BidSync.

**J. Attachment F – Pricing Sheet for Information Only:**

The price sheet is for informational purposes only and will not be used in the calculation of points awarded for price. Proposers are requested to provide pricing for proposer's additional services and/or components that are not a part of this Scope of Services, but may become necessary at a later time. The completed form should be submitted with the solicitation response but must be submitted within three business days of County's request.

# Evaluation Criteria Response Form

The completed Evaluation Criteria Response Form should be returned with Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to timely submit may affect Vendor's evaluation or deem vendor non-responsible.

## **Evaluation Criteria Response Form:**

The responding vendor must complete the Evaluation Criteria Response Form (pdf fillable file) with responses corresponding to each numbered item in text format only. Each Evaluation Criteria response should be succinct and include only relevant information which best answers the item. Do not include graphs, charts, resumes, tables, pictures, etc., in the Evaluation Criteria Response Form. Each Evaluation Criteria response allows for a maximum of 2100 characters of text only.

**Instructions for uploading:** Download document, save as the pdf fillable document (do not save as any other type of document), complete form and upload form as the fillable pdf file. **DO NOT APPLY ANY TYPE OF SECURITY, ALTER OR OTHERWISE MANIPULATE THE DOCUMENT. DO NOT PRINT TO PDF OR SCAN DOCUMENT BEFORE UPLOADING TO BIDS SYNC.**

## **Evaluation Criteria Response Form (Supplemental Information):**

If the Vendor's evaluation criteria response needs to reference additional Information to supplement their response to an item such as graphs, resumes, tables, org charts, etc., include only the supplemental information as an attachment appropriately labeled as follows: Supplemental Information - Title - Evaluation Criteria Item Number (**ex. Supplemental Information - Resume John Doe – Evaluation Criteria 1b.**) The Supplemental Information should be uploaded to BidSync as separate pdf files (attachments) and not combined with the vendor's completed Evaluation Criteria Response Form.

[Check here to indicate that Vendor agrees it has read and will comply with the submission instructions above.](#)

# Evaluation Criteria Response Form

<b>RFP/RLI/RFQ Number and Title</b>	<b>TEC2114786P1 - Investigative Management System</b>
<b>Vendor Name</b>	
<b>Vendor Address</b>	
<b>Evaluation Criteria</b>	<b>Vendor Response</b>
<p><b>1. Ability of Professional Personnel (Maximum 10 Points)</b> List and describe the qualifications, relevant experience and roles of the key team members, including project manager(s), professional, and technical personnel that will be assigned to this project. Include the qualifications and relevant experience of the sub-consultants' key staff to be assigned to this project (if applicable). Include resumes and an organizational chart. Note: Provide experience in developing and implementing best practice standards and workflows. <b>Points Value: 10</b></p>	
<p><b>2. Past Performance/References (Maximum 10 Points)</b> <b>2a.</b> List and describe the vendor's experience on projects of similar nature, scope and duration, preferably with an Office of Inspector General, along with evidence of satisfactory completion both on time and within budget, during the past five years. Include the following:  <ul style="list-style-type: none"> <li>• Client/Project name;</li> <li>• functionalities offered;</li> <li>• detailed project description including implementation, training and final acceptance phases;</li> <li>• the organization's size; and</li> <li>• project cost and duration</li> </ul> <b>Points Value: 5</b></p>	

<p><b>2b.</b> Provide a minimum of three projects with references for projects of similar nature, scope and duration, preferably with an Office of Inspector General, along with evidence of satisfactory completion both on time and within budget, during the past five years.</p> <p>Vendor should provide references for similar work performed to show evidence of qualifications and previous experience. Refer to Vendor Reference Verification Form and submit as instructed. Only provide references for non-Broward County Board of County Commissioners' contracts. For Broward County contracts, the county will review performance evaluations in its database for vendors with previous or current contracts with the county. The County considers references and performance evaluations in the evaluation of vendor's past performance.</p> <p><b>Points Value: 5</b></p>	
<p><b>3. Project Approach (Maximum 20 Points)</b></p> <p>The vendor shall describe their approach to the project design, installation, data integration, implementation, training, maintenance and support based on the project scope of work. Include how the primary vendor will use third party vendor(s), (if applicable) throughout the project.</p> <p>The vendor should also identify potential issues or challenges related to the project and describe how your firm's project approach will resolve these issues.</p> <p><b>Points Value: 20</b></p>	
<p><b>4. Functionality (Maximum 30 Points)</b></p> <p>Vendor must complete Attachment A - Business Functionality Questionnaire and Attachment B - IT Functionality Questionnaire. The responses to these questionnaires will be evaluated by the Evaluation Committee.</p> <p><b>Points Value: 30</b></p>	
<p><b>5. Location</b></p> <p>Refer to Vendor's Business Location Attestation Form and submit as instructed. A Vendor with a principal place of business location (also known as the nerve center) within Broward County for the last six months, prior to the solicitation submittal, will receive five points. A Vendor not meeting all of the local business requirements will receive zero points.</p> <p><b>Points Value: 5</b></p>	

<p><b>6. Pricing (Maximum 25 Points)</b></p> <p>Pricing sheet (Item Response Form) must reflect equipment and services as defined in Scope of Services, as instructed on the Item Response Form, directly into BidSync.</p> <p>Points awarded for price will be based on by applying the following formula: (Lowest Proposed Price/Vendor's Price) x (Maximum Number of Points for Price) = Price Score</p> <p><b>Points Value: 25</b></p>	<p>Please submit price information into BidSync.</p>
<p><b>Total Points 100</b></p>	

# Vendor Questionnaire Form

The completed Vendor Questionnaire Form and supporting information (if applicable) should be returned with Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to timely submit may affect Vendor's evaluation.

**If a response requires additional supporting information, the Vendor should provide a written detailed response as indicated on the form.** The completed questionnaire and responses will become part of the procurement record. It is imperative that the person completing the Vendor Questionnaire Form be knowledgeable about the proposing Vendor's business profile and operations.

<b>Solicitation Number :</b>		<b>TEC2114786P1</b>
<b>Title :</b>		<b>Investigative Management System</b>
1. Legal business name:		
2. Doing Business As/ Fictitious Name (if applicable):		
3. Federal Employer I.D. no. (FEIN):		
4. Dun and Bradstreet No.:		
5. Website address (if applicable):		
6. Principal place of business address:	Address Line 1	
	Address Line 2	
	City	
	State	
	Zip Code	
	Country	
7. Office location responsible for this project:		
8. Telephone no.:		
9. Fax no.:		
10. Type of business:	Type of Business (Select from the dropdown list)	
	If Corporation, Specify the State of Incorporation	

	If General Partnership, Specify the State and County filed in	
	If Other, Specify the detail	
11. List Florida Department of State, Division of Corporations document number (or registration number if fictitious name):		
12. List name and title of each principal, owner, officer, and major shareholder:	a)	
	b)	
	c)	
	d)	
13. AUTHORIZED CONTACT(S) FOR YOUR FIRM:	Contact Name 1	
	Title	
	E-Mail	
	Telephone No.	
	Fax No.	
	Contact Name 2	
	Title	
	E-Mail	
	Telephone No.	
	Fax No.	
14. Has your firm, its principals, officers or predecessor organization(s) been debarred or suspended by any government entity within the last three years? If yes, specify details in an attached written response.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	



15. Has your firm, its principals, officers or predecessor organization(s) ever been debarred or suspended by any government entity? If yes, specify details in an attached written response, including the reinstatement date, if granted.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	
16. Has your firm ever failed to complete any services and/or delivery of products during the last three (3) years? If yes, specify details in an attached written response.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	
17. Is your firm or any of its principals or officers currently principals or officers of another organization? If yes, specify details in an attached written response.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	
18. Have any voluntary or involuntary bankruptcy petitions been filed by or against your firm, its parent or subsidiaries or predecessor organizations during the last three years? If yes, specify details in an attached written response.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	
19. Has your firm's surety ever intervened to assist in the completion of a contract or have Performance and/or Payment Bond claims been made to your firm or its predecessor's sureties during the last three years? If yes, specify details in an attached written response, including contact information for owner and surety.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	

20. Has your firm ever failed to complete any work awarded to you, services and/or delivery of products during the last three (3) years? If yes, specify details in an attached written response.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	
21. Has your firm ever been terminated from a contract within the last three years? If yes, specify details in an attached written response.	Click response	<input type="radio"/> Yes <input type="radio"/> No
	If Yes, provide detailed response	
22. Living Wage solicitations only: In determining what, if any, fiscal impacts(s) are a result of the Ordinance for this solicitation, provide the following for informational purposes only. Response is not considered in determining the award of this contract. Living Wage had an effect on the pricing. If yes, Living Wage increased the pricing by ____% or decreased the pricing by ____%.	Click response	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
	If Yes, provide detailed response	

## STANDARD CERTIFICATIONS

### Request for Proposals, Request for Qualifications, or Request for Letters of Interest

Vendor should complete and acknowledge the standard certifications and submit with the solicitation response. If not submitted with solicitation response, it must be submitted within three business days of County's request. Failure to timely submit may affect Vendor's evaluation. It is imperative that the person completing the standard certifications be knowledgeable about the proposing Vendor's business and operations.

#### **Cone of Silence Requirement Certification:**

The Cone of Silence Ordinance, Section 1-266, Broward County Code of Ordinances prohibits certain communications among Vendors, Commissioners, County staff, and Selection or Evaluation Committee members. Identify on a separate sheet any violations of this Ordinance by any members of the responding firm or its joint ventures. After the application of the Cone of Silence, inquiries regarding this solicitation should be directed to the Director of Purchasing or designee. The Cone of Silence terminates when the County Commission or other awarding authority takes action which ends the solicitation.

The Vendor hereby certifies that: (check each box)

- The Vendor has read Cone of Silence Ordinance, Section 1-266, Broward County Code of Ordinances; and
- The Vendor understands that the Cone of Silence for this competitive solicitation shall be in effect beginning upon the appointment of the Selection or Evaluation Committee, for communication regarding this solicitation with the County Administrator, Deputy County Administrator, Assistant County Administrators, and Assistants to the County Administrator and their respective support staff or any person, including Evaluation or Selection Committee members, appointed to evaluate or recommend selection in this RFP/RLI process. For Communication with County Commissioners and Commission staff, the Cone of Silence allows communication until the initial Evaluation or Selection Committee Meeting.
- The Vendor agrees to comply with the requirements of the Cone of Silence Ordinance.

#### **Drug-Free Workplace Requirements Certification:**

Section 21.31.a. of the Broward County Procurement Code requires awards of all competitive solicitations requiring Board award be made only to firms certifying the establishment of a drug free workplace program. The program must consist of:

1. Publishing a statement notifying its employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the offeror's workplace, and specifying the actions that will be taken against employees for violations of such prohibition;
2. Establishing a continuing drug-free awareness program to inform its employees about:
  - a. The dangers of drug abuse in the workplace;
  - b. The offeror's policy of maintaining a drug-free workplace;
  - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
  - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Giving all employees engaged in performance of the contract a copy of the statement required by subparagraph 1;

4. Notifying all employees, in writing, of the statement required by subparagraph 1, that as a condition of employment on a covered contract, the employee shall:
  - a. Abide by the terms of the statement; and
  - b. Notify the employer in writing of the employee's conviction of, or plea of guilty or nolo contendere to, any violation of Chapter 893 or of any controlled substance law of the United States or of any state, for a violation occurring in the workplace NO later than five days after such conviction.
5. Notifying Broward County government in writing within 10 calendar days after receiving notice under subdivision 4.b above, from an employee or otherwise receiving actual notice of such conviction. The notice shall include the position title of the employee;
6. Within 30 calendar days after receiving notice under subparagraph 4 of a conviction, taking one of the following actions with respect to an employee who is convicted of a drug abuse violation occurring in the workplace:
  - a. Taking appropriate personnel action against such employee, up to and including termination; or
  - b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency; and
7. Making a good faith effort to maintain a drug-free workplace program through implementation of subparagraphs 1 through 6.

The Vendor hereby certifies that: (check box)

- The Vendor certifies that it has established a drug free workplace program in accordance with the above requirements.

**Non-Collusion Certification:**

Vendor shall disclose, to their best knowledge, any Broward County officer or employee, or any relative of any such officer or employee as defined in Section 112.3135 (1) (c), Florida Statutes, who is an officer or director of, or has a material interest in, the Vendor's business, who is in a position to influence this procurement. Any Broward County officer or employee who has any input into the writing of specifications or requirements, solicitation of offers, decision to award, evaluation of offers, or any other activity pertinent to this procurement is presumed, for purposes hereof, to be in a position to influence this procurement. Failure of a Vendor to disclose any relationship described herein shall be reason for debarment in accordance with the provisions of the Broward County Procurement Code.

The Vendor hereby certifies that: (select one)

- The Vendor certifies that this offer is made independently and free from collusion; or
- The Vendor is disclosing names of officers or employees who have a material interest in this procurement and is in a position to influence this procurement. Vendor must include a list of name(s), and relationship(s) with its submittal.

**Public Entities Crimes Certification:**

In accordance with Public Entity Crimes, Section 287.133, Florida Statutes, a person or affiliate placed on the convicted vendor list following a conviction for a public entity crime may not submit on a contract: to provide any goods or services; for construction or repair of a public building or public work; for leases of real property to a public entity; and may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity; and may not transact business with any public entity in excess of the threshold amount provided in s. 287.017 for Category Two for a period of 36 months following the date of being placed on the convicted vendor list.

The Vendor hereby certifies that: (check box)

- The Vendor certifies that no person or affiliates of the Vendor are currently on the convicted vendor list and/or has not been found to commit a public entity crime, as described in the statutes.

**Scrutinized Companies List Certification:**

Any company, principals, or owners on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List is prohibited from submitting a response to a solicitation for goods or services in an amount equal to or greater than \$1 million.

The Vendor hereby certifies that: (check each box)

- The Vendor, owners, or principals are aware of the requirements of Sections 287.135, 215.473, and 215.4275, Florida Statutes, regarding Companies on the Scrutinized Companies with Activities in Sudan List the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List; and
- The Vendor, owners, or principals, are eligible to participate in this solicitation and are not listed on either the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List; and
- If awarded the Contract, the Vendor, owners, or principals will immediately notify the County in writing if any of its principals are placed on the Scrutinized Companies with Activities in Sudan List, the Scrutinized Companies with Activities in the Iran Petroleum Energy Sector List, or the Scrutinized Companies that Boycott Israel List.

I hereby certify the information provided in the Vendor Questionnaire and Standard Certifications:

\*AUTHORIZED SIGNATURE/NAME

TITLE

DATE

Vendor Name:

\* I certify that I am authorized to sign this solicitation response on behalf of the Vendor as indicated in Certificate as to Corporate Principal, designation letter by Director/Corporate Officer, or other business authorization to bind on behalf of the Vendor. As the Vendor's authorized representative, I attest that any and all statements, oral, written or otherwise, made in support of the Vendor's response, are accurate, true and correct. I also acknowledge that inaccurate, untruthful, or incorrect statements made in support of the Vendor's response may be used by the County as a basis for rejection, rescission of the award, or termination of the contract and may also serve as the basis for debarment of Vendor pursuant to Section 21.119 of the Broward County Procurement Code. I certify that the Vendor's response is made without prior understanding, agreement, or connection with any corporation, firm or person submitting a response for the same items/services, and is in all respects fair and without collusion or fraud. I also certify that the Vendor agrees to abide by all terms and conditions of this solicitation, acknowledge and accept all of the solicitation pages as well as any special instructions sheet(s).

**LOCAL VENDOR CERTIFICATION FORM (PREFERENCE AND TIEBREAKER)**

The completed and signed form should be returned with the Vendor's submittal to qualify for Local Preference, however it must be returned at time of solicitation submittal to qualify for the Tie Break criteria. If not provided with submittal, the Vendor must submit within three business days o County's request for evaluation of Local Preference. Proof of a local business tax must be returned at time of solicitation submittal to qualify for the Tie Break criteria. Failure to timely submit this form or local business tax receipt may render the business ineligible for application of the Local Preference. Failure to timely submit this form and local business tax receipt at time of submittal will disqualify the Vendor for this Tie Breaker.

In accordance with Section 21.31.d. of the Broward County Procurement Code, to qualify for the **Tie Break Criteria**, the undersigned Vendor hereby certifies that (check box if applicable):

- The Vendor is a local Vendor in Broward County and:
  - a. has a valid Broward County local business tax receipt;
  - b. has been in existence for at least six-months prior to the solicitation opening;
  - c. provides services on a day-to-day basis, at a business address physically located within the limits of Broward County and in an area zoned for such business; and
  - d. services provided from this location are a substantial component of the services offered in the Vendor's proposal.

In accordance with Local Preference, Section 1-74, et. seq., Broward County Code of Ordinances, and Broward County's Interlocal Reciprocity Agreement with Miami-Dade County, a local business meeting the below requirements is eligible for Local Preference. To qualify for the **Local Preference**, the undersigned Vendor hereby certifies that (check box if applicable):

- The Vendor is a local Vendor in Broward or Miami-Dade County and:
  - a. has a valid corresponding County local business tax receipt;
  - b. has been in existence for at least one-year prior to the solicitation opening;
  - c. provides services on a day-to-day basis, at a business address physically located within the limits of Broward or Miami-Dade County and in an area zoned for such business; and
  - d. the services provided from this location are a substantial component of the services offered in the Vendor's proposal.

Vendor does not qualify for Tie Break Criteria or Local Preference, in accordance with the above requirements.

<b>Authorized Signature/Name</b>	<b>Title</b>	<b>Vendor Name</b>	<b>Date</b>

## RFP-RFQ-RLI LOCATION ATTESTATION FORM (EVALUATION CRITERIA)

The completed and signed form and supporting information (if applicable, for Joint Ventures) should be returned with the Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to timely submit this form and supporting information may affect the Vendor's evaluation. Provided information is subject to verification by the County.

A Vendor's principal place of business location (also known as the nerve center) within Broward County is considered in accordance with Evaluation Criteria. The County's definition of a principal place of business is:

1. As defined by the Broward County Local Preference Ordinance, "Principal place of business means the nerve center or center of overall direction, control and coordination of the activities of the bidder [Vendor]. If the bidder has only one (1) business location, such business location shall be considered its principal place of business."
2. A principal place of business refers to the place where a corporation's officers direct, control, and coordinate the corporation's day-to-day activities. It is the corporation's 'nerve center' and in practice it should normally be the place where the corporation maintains its headquarters; provided that the headquarters is the actual center of direction, control, and coordination, i.e., the 'nerve center', and not simply an office where the corporation holds its board meetings (for example, attended by directors and officers who have traveled there for the occasion).

The Vendor's principal place of business in Broward County shall be the Vendor's "Principal Address" ; indicated with the Florida Department of State Division of Corporations, for at least six months prior to the solicitation's due date.

Check one of the following:

- The Vendor certifies that it has a principal place of business location (also known as the nerve center) within Broward County, as documented in Florida Department of State Division of Corporations (Sunbiz), and attests to the following statements:
1. Vendor's address listed in its submittal is its principal place of business as defined by Broward County;
  2. Vendor's "Principal Address" listed with the Florida Department of State Division of Corporations is the same as the address listed in its submittal and the address was listed for at least six months prior to the solicitation's opening date. A copy of Florida Department of State Division of Corporations (Sunbiz) is attached as verification.
  3. Vendor must be located at the listed "nerve center" address ("Principal Address") for at least six (6) months prior to the solicitation's opening date;
  4. Vendor has not merged with another firm within the last six months that is not headquartered in Broward County and is not a wholly owned subsidiary or a holding company of another firm that is not headquartered in Broward County;
  5. If awarded a contract, it is the intent of the Vendor to remain at the referenced address for the duration of the contract term, including any renewals, extensions or any approved interim contracts for the services provided under this contract; and
  6. The Vendor understands that if after contract award, the County learns that the attestation was erroneous, and upon investigation determines that the error was willful or intentional on

the part of the Vendor, the County may, on that basis exercise any contractual right to terminate the contract. Further any misleading, inaccurate, false information or documentation submitted by any party affiliated with this procurement may lead to suspension and/or debarment from doing business with Broward County as outlined in the Procurement Code, Section 21.119.

If the Vendor is submitting a response as a Joint Venture, the following information is required to be submitted:

- a. Name of the Joint Venture Partnership
- b. Percentage of Equity for all Joint Venture Partners
- c. A copy of the executed Agreement(s) between the Joint Venture Partners

Vendor does not have a principal place of business location (also known as the nerve center) within Broward County.

**Vendor Information:**

Vendor Name:

Vendor's address listed in its submittal is:

The signature below must be by an individual authorized to bind the Vendor. The signature below is an attestation that all information listed above and provided to Broward County is true and accurate.

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Authorized Signature/Name	Title	Vendor Name	Date



### DOMESTIC PARTNERSHIP ACT CERTIFICATION FORM (REQUIREMENT AND TIEBREAKER)

Refer to Special Instructions to identify if Domestic Partnership Act is a requirement of the solicitation or acts only as a tiebreaker. If Domestic Partnership is a requirement of the solicitation, the completed and signed form should be returned with the Vendor's submittal. If the form is not provided with submittal, the Vendor must submit within three business days of County's request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes. To qualify for the Domestic Partnership tiebreaker criterion, the Vendor must currently offer the Domestic Partnership benefit and the completed and signed form must be returned at time of solicitation submittal.

The Domestic Partnership Act, Section 16 ½ -157, Broward County Code of Ordinances, requires all Vendors contracting with the County, in an amount over \$100,000 provide benefits to Domestic Partners of its employees, on the same basis as it provides benefits to employees' spouses, with certain exceptions as provided by the Ordinance.

For all submittals over \$100,000.00, the Vendor, by virtue of the signature below, certifies that it is aware of the requirements of Broward County's Domestic Partnership Act, Section 16-½ -157, Broward County Code of Ordinances; and certifies the following: (check only one below).

- 1. The Vendor currently complies with the requirements of the County's Domestic Partnership Act and provides benefits to Domestic Partners of its employees on the same basis as it provides benefits to employees' spouses
- 2. The Vendor will comply with the requirements of the County's Domestic Partnership Act at time of contract award and provide benefits to Domestic Partners of its employees on the same basis as it provides benefits to employees' spouses.
- 3. The Vendor will not comply with the requirements of the County's Domestic Partnership Act at time of award.
- 4. The Vendor does not need to comply with the requirements of the County's Domestic Partnership Act at time of award because the following exception(s) applies: (check only one below).
  - The Vendor is a governmental entity, not-for-profit corporation, or charitable organization.
  - The Vendor is a religious organization, association, society, or non-profit charitable or educational institution.
  - The Vendor provides an employee the cash equivalent of benefits. (Attach an affidavit in compliance with the Act stating the efforts taken to provide such benefits and the amount of the cash equivalent).
  - The Vendor cannot comply with the provisions of the Domestic Partnership Act because it would violate the laws, rules or regulations of federal or state law or would violate or be inconsistent with the terms or conditions of a grant or contract with the United States or State of Florida. Indicate the law, statute or regulation (State the law, statute or regulation and attach explanation of its applicability).

**Authorized  
Signature/Name**

**Title**

**Vendor Name**

**Date**

### AGREEMENT EXCEPTION FORM

The completed form(s) should be returned with the Vendor's submittal. If not provided with submittal, it shall be deemed an affirmation by the Vendor that it accepts the terms and conditions of the County's Agreement as disclosed in the solicitation.

The Vendor must either provide specific proposed alternative language on the form below. Additionally, a brief justification specifically addressing each provision to which an exception is taken should be provided.

- There are no exceptions to the terms and conditions of the County Agreement as referenced in the solicitation; or
- The following exceptions are disclosed below: (use additional forms as needed; separate each Article/ Section number)

Term or Condition Article / Section	Insert version of exception or specific proposed alternative language	Provide brief justification for change
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Vendor Name:

**LITIGATION HISTORY FORM**

The completed form(s) should be returned with the Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

- There are no material cases for this Vendor; or
- Material Case(s) are disclosed below:

Is this for a: (check type) <input type="checkbox"/> Parent, <input type="checkbox"/> Subsidiary, or <input type="checkbox"/> Predecessor Firm?	If Yes, name of Parent/Subsidiary/Predecessor: <input type="text"/>
	Or No <input type="checkbox"/>
Party	<input type="text"/>
Case Number, Name, and Date Filed	<input type="text"/>
Name of Court or other tribunal	<input type="text"/>
Type of Case	Bankruptcy <input type="checkbox"/> Civil <input type="checkbox"/> Criminal <input type="checkbox"/> Administrative/Regulatory <input type="checkbox"/>
Claim or Cause of Action and Brief description of each Count	<input type="text"/>
Brief description of the Subject Matter and Project Involved	<input type="text"/>
Disposition of Case  (Attach copy of any applicable Judgment, Settlement Agreement and Satisfaction of Judgment.)	Pending <input type="checkbox"/> Settled <input type="checkbox"/> Dismissed <input type="checkbox"/>  Judgment Vendor's Favor <input type="checkbox"/> Judgment Against Vendor <input type="checkbox"/>  If Judgment Against, is Judgment Satisfied? <input type="checkbox"/> Yes <input type="checkbox"/> No
Opposing Counsel	Name: <input type="text"/> Email: <input type="text"/> Telephone Number: <input type="text"/>

**Vendor Name:**

## SUBCONTRACTORS/SUBCONSULTANTS/SUPPLIERS REQUIREMENT FORM Request for Proposals, Request for Qualifications, or Request for Letters of Interest

The following forms and supporting information (if applicable) should be returned with Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to timely submit may affect Vendor's evaluation.

- A. The Vendor shall submit a listing of all subcontractors, subconsultants and major material suppliers (firms), if any, and the portion of the contract they will perform. A major material supplier is considered any firm that provides construction material for construction contracts, or commodities for service contracts in excess of \$50,000, to the Vendor.
- B. If participation goals apply to the contract, only non-certified firms shall be identified on the form. A non-certified firm is a firm that is not listed as a firm for attainment of participation goals (ex. County Business Enterprise or Disadvantaged Business Enterprise), if applicable to the solicitation.
- C. This list shall be kept up-to-date for the duration of the contract. If subcontractors, subconsultants or suppliers are stated, this does not relieve the Vendor from the prime responsibility of full and complete satisfactory performance under any awarded contract.
- D. After completion of the contract/final payment, the Vendor shall certify the final list of non-certified subcontractors, subconsultants, and suppliers that performed or provided services to the County for the referenced contract.
- E. The Vendor has confirmed that none of the recommended subcontractors, subconsultants, or suppliers' principal(s), officer(s), affiliate(s) or any other related companies have been debarred from doing business with Broward County or any other governmental agency.

If none, state "none" on this form. Use additional sheets as needed. Vendor should scan and upload any additional form(s) in BidSync.

1. Subcontracted Firm's Name:

Subcontracted Firm's Address:

Subcontracted Firm's Telephone Number:

Contact Person's Name and Position:

Contact Person's E-Mail Address:

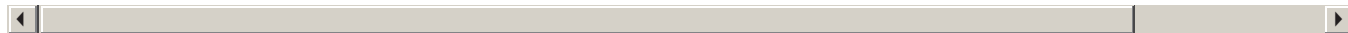
Estimated Subcontract/Supplies Contract Amount:

Type of Work/Supplies Provided:

2. Subcontracted Firm's Name:

Subcontracted Firm's Address:

Subcontracted Firm's Telephone Number:



**VOLUME OF PREVIOUS WORK ATTESTATION FORM**

The completed and signed form should be returned with the Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to provide timely may affect the Vendor's evaluation. This completed form must be included with the Vendor's submittal at the time of the opening deadline to be considered for a Tie Breaker criterion (if applicable).

The calculation for Volume of Previous Work is all amounts paid to the prime Vendor by Broward County Board of County Commissioners at the time of the solicitation opening date within a five-year timeframe. The calculation of Volume of Previous Work for a prime Vendor previously awarded a contract as a member of a Joint Venture firm is based on the actual equity ownership of the Joint Venture firm.

In accordance with Section 21.31.d. of the Broward County Procurement Code, the Vendor with the lowest dollar volume of work previously paid by the County over a five-year period from the date of the submittal opening will receive the Tie Breaker.

Vendor must list all projects it received payment from Broward County Board of County Commissioners during the past five years. If the Vendor is submitting as a joint venture, the information provided should encompass the joint venture and each of the entities forming the joint venture. The Vendor attests to the following:

Item No.	Project Title	Solicitation/ Contract Number:	Department or Division	Date Awarded	Paid to Date Dollar Amount
1					
2					
3					
4					
5					
<b>Grand Total</b>					

Has the Vendor been a member/partner of a Joint Venture firm that was awarded a contract by the County?  
 Yes  No

If Yes, Vendor must submit a **Joint Vendor Volume of Work Attestation Form**.

Vendor Name:

**Authorized Signature/ Name**

**Title**

**Date**

**VOLUME OF PREVIOUS WORK ATTESTATION JOINT VENTURE FORM**

If applicable, this form and additional required documentation should be submitted with the Vendor's submittal. If not provided with submittal, the Vendor must submit within three business days of County's request. Failure to timely submit this form and supporting documentation may affect the Vendor's evaluation.

The calculation of Volume of Previous Work for a prime Vendor previously awarded a contract as a member of a Joint Venture firm is based on the actual equity ownership of the Joint Venture firm. Volume of Previous Work is not based on the total payments to the Joint Venture firm.

Vendor must list all projects it received payment from Broward County Board of County Commissioners during the past five years as a member of a Joint Venture. The Vendor attests to the following:

Item No.	Project Title	Solicitation/ Contract Number:	Department or Division	Date Awarded	JV Equity %	Paid to Date Dollar Amount
1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
5	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Grand Total</b>					<input type="text"/>	<input type="text"/>

Vendor is required to submit an executed Joint Venture agreement(s) and any amendments for each project listed above. Each agreement must be executed prior to the opening date of this solicitation.

Vendor Name:

Authorized Signature/ Name

Title

Date

### AFFILIATED ENTITIES OF THE PRINCIPAL(S) CERTIFICATION FORM

The completed form should be submitted with the solicitation response but must be submitted within three business days of County's request. Vendor may be deemed non-responsive for failure to fully comply within stated timeframes.

- a. All Vendors are required to disclose the names and addresses of "affiliated entities" of the Vendor's principal(s) over the last five (5) years (from the solicitation opening deadline) that have acted as a prime Vendor with the County.
- b. The County will review all affiliated entities of the Vendor's principal(s) for contract performance evaluations and the compliance history with the County's Small Business Program, including CBE, DBE and SBE goal attainment requirements. "Affiliated entities" of the principal(s) are those entities related to the Vendor by the sharing of stock or other means of control, including but not limited to a subsidiary, parent or sibling entity.
- c. The County will consider the contract performance evaluations and the compliance history of the affiliated entities of the Vendor's principals in its review and determination of responsibility.

The Vendor hereby certifies that: (select one)

No principal of the proposing Vendor has prior affiliations that meet the criteria defined as "Affiliated entities"

Principal(s) listed below have prior affiliations that meet the criteria defined as "Affiliated entities"

Principal's Name:

Names of Affiliated Entities:

Principal's Name:

Names of Affiliated Entities:

Principal's Name:

Names of Affiliated Entities:

Authorized Signature Name:

Title:

Vendor Name:

Date:

Broward County Board of  
County Commissioners  
**Attachment A – Business Functionality Questionnaire**  
**TEC2114786P1 – Investigative Management System**

Each proposer must complete the Business Functionality Questionnaire with responses corresponding to each numbered item by selecting the corresponding response (fully provided "Out of the Box"; configuration; modification/customization/change to source code; or unable to meet requirement) in the drop-down box in the response section. **Any item left blank will be evaluated as unable to meet requirement.** For any item that requires an explanation, please use the space provided. If your explanation requires additional space include an attachment labeled as follows: Business Functionality Questionnaire Continuation - functionality item number x.x.x. (i.e. Business Functionality Questionnaire 3.1.1 ).

<b>BUSINESS FUNCTIONALITY QUESTIONNAIRE</b>			
<b>3.1</b>	<b>Intake, Assessment and Assignment</b>	<b>Response</b>	<b>Explanation</b>
3.1.1	Ability to intake/log complaints and tips utilizing a unique customizable identifier for each, e.g, 17-001C, 17-001T, C-001.		
3.1.2	Ability to create customizable fields to capture a variety of intake data including but not limited to personal, method received, alleged violations, whistle-blower review, and intake disposition.		
3.1.3	Customizable fields should include but not be limited to text boxes, checkboxes, and dropdown lists and/or combo-boxes.		
3.1.4	Ability to link electronic data including documents, photographs and audio files to specific complaints and tips.		
3.1.5	Ability to cross-reference tips/complaints to other matters, tips, and complaints.		
3.1.6	Ability to assign tips and complaints to staff members for follow up utilizing workflow processes.		
<b>3.2</b>	<b>Complaints, Tips and Matters</b>		
3.2.1	Ability to create a matter from a tip or complaint with fields automatically populated from existing information that may be edited.		
3.2.2	Ability to create a matter (self-initiate) not associated to a tip or complaint.		
3.2.3	Ability to configure and auto generate an alpha-numeric matter number e.g., OIG 15-001 and sub-Matter number when applicable e.g., OIG 15-001-A based on a fiscal or calendar year.		
3.2.4	Ability to create templates within the application or access Microsoft Office templates or PDF fillable documents to create agency forms such as memorandum of interview, investigative memorandum, activity log, opening form, closing form, etc.		
3.2.5	Ability to generate sequenced forms within a created matter (e.g. Memorandums of Interview (originating as a Word template or within the application) that would automatically be sequenced when created. For example, the first MOI could be sequenced 15-001-1 etc.).		
3.2.6	Ability to create customizable fields within the matter module including but not limited to text boxes, check boxes, and dropdowns.		
3.2.7	Ability to view, access, edit, save and print all Microsoft Office or PDF documents linked to a specific Matter (such as documents referenced in 3.2.5).		
3.2.8	Ability to electronically review, approve, send back for edits (preferably with ability to add notes or comments) and sign documents referenced in 3.2.5.		
3.2.9	Ability to view and access related electronic files from within a Matter (e.g. photographs, scanned documents, audio recordings, correspondence etc.). This component references files distinct from those core forms created by OIG staff as part of every matter and detailed in 3.2.5. These files primarily consist of "work-papers" and documents/files received from third parties. To fulfill this component the files themselves may reside within the application or merely be accessible from within the application via links or other format. If within application there should be an export function. Please specify in comments how this would be accomplished. The files referenced can encompass a significant volume of data over time.		
3.2.10	Ability to track violations/findings of a matter.		
3.2.11	Ability to generate dated and sequentially numbered notes for a matter		
3.2.12	Ability to maintain a user entered chronology for the keeping notes and activities regarding work completed.		
3.2.13	Ability to log and track hardcopy records related to a matter.		
3.2.14	Ability to set and track retention periods for electronic and hardcopy records.		
3.2.15	Ability to track archiving locations and status for hardcopy records related to matter.		
3.2.16	Ability to view related subpoenas, evidence, legal cases, and public records requests from a matter as detailed below.		
<b>3.3</b>	<b>Subpoenas</b>		
3.3.1	Ability to log subpoena issuance and relevant data.		
3.3.2	Ability to access subpoenas related to a specific matter from the matter screen/file.		
3.3.3	Ability to track open subpoenas and subpoena responses for all subpoenas from a centralized subpoena module.		
3.3.4	Ability to set notifications and alerts for subpoena response deadlines, preferably via Microsoft Outlook.		
<b>3.4</b>	<b>Evidence</b>		
3.4.1	Ability to log and track items entered into evidence, including status, location, disposition and disposal.		
3.4.2	Ability to view all relevant evidence entries from a specific matter, tip, or complaint.		
3.4.3	Ability to set notifications and alerts for the review of evidence for purging preferably through Microsoft Outlook.		
<b>3.5</b>	<b>Legal</b>		
3.5.1	Ability to log and track legal reviews which may or may not relate to a specific matter.		
3.5.2	Ability to view all relevant legal matters from specific matter, tip, or complaint.		
3.5.3	Ability to set notifications and alerts for specific legal deadlines, preferably via Microsoft Outlook.		



Broward County Board of  
County Commissioners  
**Attachment A – Business Functionality Questionnaire**  
**TEC2114786P1 – Investigative Management System**

Each proposer must complete the Business Functionality Questionnaire with responses corresponding to each numbered item by selecting the corresponding response (fully provided "Out of the Box"; configuration; modification/customization/change to source code; or unable to meet requirement) in the drop-down box in the response section. **Any item left blank will be evaluated as unable to meet requirement.** For any item that requires an explanation, please use the space provided. If your explanation requires additional space include an attachment labeled as follows: Business Functionality Questionnaire Continuation - functionality item number x.x.x. (i.e. Business Functionality Questionnaire 3.1.1 ).

<b>BUSINESS FUNCTIONALITY QUESTIONNAIRE</b>		
3.5.4	Ability to view, access, edit, save and print all electronic files relevant to a specific legal matter.	
<b>3.6</b>	<b>Public Records, Archiving and Purging</b>	
3.6.1	Ability to log, track, and link Public Records requests including status, response, notes, dates, etc.	
3.6.2	Ability to designate, view and access electronic files related to a specific public record request entry.	
3.6.3	Ability to designate, track and view record retention schedules and destruction deadlines from a centralized location. This would apply to both hardcopy and electronic files associated with matters, tips and complaints.	
3.6.4	Ability to identify and flag matters, tips and/or complaints as confidential and/or exempt from public records disclosure.	
<b>3.7</b>	<b>Notifications</b>	
3.7.1	Ability to communicate assignment of tips, complaints and matters or changes in assignments to staff, preferably through existing Microsoft Outlook email system.	
3.7.2	Ability to set manual and automatic notifications of deadlines and other alerts preferably via Outlook (e.g. alerts to investigators, timeframe to review initial information, timeframes for memorialization).	
3.7.3	Ability to create forms from tips/complaints/matters where certain fields are automatically filled in. For example, generating a form notification letter wherein fields for name, address and description are filled in from tip entry.	
3.7.4	Ability to send notifications to external parties, preferably through existing Outlook email system.	
<b>3.8</b>	<b>Reporting</b>	
3.8.1	Ability to create, save, view and download (EXCEL, PDF, etc.) ad-hoc reports for specific periods of time (e.g. open matters, how long they have been open, matters by type, tips and complaints received, , outcomes, referrals, dollar losses and recoveries, etc.).	
3.8.2	Ability to save common report queries and formats for future use.	
3.8.3	Ability to add, delete, modify fields on forms, reports, etc. (e.g. editable drop down fields etc.)	
3.8.4	Ability to provide role-based permissions for scheduled reports.	
3.8.5	Ability to create and set the delivery of scheduled reports e.g., immediately, daily, weekly, monthly, quarterly and during weekdays (Monday through Friday).	
<b>3.9</b>	<b>General</b>	
3.9.1	Ability to set data field entry with hints, (e.g. required field, description for correct usage of the field, etc.)	
3.9.2	Ability to lock selected fields based on user permissions.	
3.9.3	Ability to make certain fields mandatory to complete prior to moving to the next field.	
3.9.4	Ability to be scalable so that additional data fields may be added as needs change..	
3.9.5	Ability to provide home page dashboard based on roles including senior managers, line supervisors, investigators and support staff.	
3.9.6	Ability to OCR a scanned image or document.	
3.9.7	Ability to accept scanned documents.	
3.9.8	Ability to perform full text searches across the platform through all documents including attachments using partial data matches.	
3.9.9	Ability to upload documents in multiple formats (Word, PDF, JPEG, Video, etc.).	
3.9.10	Ability to perform quick searches based on the most common system parameters.	
3.9.11	Ability to perform advance searches with options to provide specific search criteria for most database fields.	
3.9.12	Ability to enable spell checking feature for text entry.	
3.9.13	Ability to provide appropriate permissions to delete revisions and/or drafts of documents immediately upon determination of usefulness.	
3.9.14	Ability to change search result column displays, ordering and sorting characteristics.	
3.9.15	Ability to add, delete, modify, and update user/group (role based) access and restrictions on all aspects of the application (roles should be customizable to support our organizational structure).	
3.9.16	Ability to disable document versioning or to immediately delete previous versions upon a determination of their usefulness.	
3.9.17	Ability to select print options, possibly drop down selections that include all documents related to the matter, specific documents, with or without attachments.	
3.9.18	Ability to provide system/user security and auditing for system and user changes.	
3.9.19	Ability to integrate with Active Directory for sign on purposes.	
3.9.20	Ability to act as the single repository (preferable) or link to share drive for all matters, tips and complaint related information.	
3.9.21	Ability to provide a robust document management functionality to allow check-in, check-out and meta-data (tagging) regarding documents checked into the system.	
3.9.22	Ability to assign and track multiple statuses including but not limited to administrative, legal, outcome, financial and recommendations.	
3.9.23	Ability to route a matter, tip or complaint based on its status for appropriate action.	
3.9.24	Ability to enter free form text narratives within any module of the application.	

**Attachment A – Business Functionality Questionnaire  
TEC2114786P1 – Investigative Management System**

Each proposer must complete the Business Functionality Questionnaire with responses corresponding to each numbered item by selecting the corresponding response (fully provided "Out of the Box"; configuration; modification/customization/change to source code; or unable to meet requirement) in the drop-down box in the response section. **Any item left blank will be evaluated as unable to meet requirement.** For any item that requires an explanation, please use the space provided. If your explanation requires additional space include an attachment labeled as follows: Business Functionality Questionnaire Continuation - functionality item number x.x.x. (i.e. Business Functionality Questionnaire 3.1.1 ).

<b>BUSINESS FUNCTIONALITY QUESTIONNAIRE</b>			
3.9.25	Ability to assign one or more staff members to a matter.		
3.9.26	Ability to create document templates mirroring current OIG forms.		
3.9.27	Ability to track total time worked, as well as time worked by individual staff members on a matter.		
3.9.28	Ability to track expenses associated with each matter e.g., subpoena production fees, copying costs, witness fees, other investigative expenses, etc.		
3.9.29	Ability to track the referral of matters to other agencies/organizations and actions taken by the agencies/organizations receiving the referral.		
3.9.30	Ability to use electronic signatures (including but not limited to a typed signature) as well as physical signatures.		

**Attachment B – IT Functionality Questionnaire  
TEC2114786P1 – Investigative Management System**

Each proposer must complete the Investigative Management System IT Functionality Questionnaire with responses corresponding to each numbered item by selecting the corresponding response (Yes or No) in the drop-down box in the response section. **Any item left blank will be evaluated as a "NO" answer.**

IT FUNCTIONALITY QUESTIONNAIRE	
General	Response
4.1.1	Ability to conduct automated transfer of existing database (Microsoft Access) information to populate new IMS with historical information.
4.1.2	Ability to supply a patch, firmware update or approved workaround within 90 days from identification of vulnerability. Any workaround must be approved in writing by County's Contract Administrator, if a new critical security vulnerability is identified (Common Vulnerability Scoring System (CVSS) base score of 7.0 or higher).
4.1.3	Ability to develop code following secure programming techniques (e.g. Open Web Application Security Project (OWASP), Computer Emergency Response Team (CERT)).
4.1.4	Ability to regularly provide County with end-of-life-schedules for all applicable software.
4.1.5	Ability to provide role-based authentication.
4.1.6	Ability to provide application and security logs.
4.1.7	Ability to allow user's session to be set to automatically end or time out within a customized length of time.
4.1.8	Ability to configure service accounts to run as least privileged (i.e. non-Domain Admin).
4.1.9	Ability to provide product or service that is not within 3 year end of life.
4.1.10	Ability to import historical information though one of the following formats (.CSV), (.XLS) or (.XLSX) formats. This information should be searchable within the system.
4.1.11	The ability to export and import configurations settings to assist with expediting support issues.
4.1.12	Ability to provide for a system administrator in the OIG's office to access system security controls for the purpose of changing a user's access level.
<b>4.2</b>	<b>Infrastructure (Desktop/Servers)</b>
<b>Proposed software application should support and be compatible with the following system requirements:</b>	
4.2.1	Desktop Operating System: Microsoft Windows 7 SP1 Enterprise
4.2.2	Desktop Operating System: Microsoft Windows 10 Enterprise
4.2.3	Office: Microsoft Office 2013 Professional Plus SP1
4.2.4	Office: Microsoft Office 2016 (Office365)
4.2.5	E-Mail: Microsoft: Outlook 2013 SP1
4.2.6	E-Mail: Microsoft Outlook 2016
4.2.7	Server Operating System (Intel): Microsoft Windows Server 2012 R2 Standard/Datacenter Edition
4.2.8	Server Operating System (Intel): Microsoft Window Server 2016 Standard/Datacenter Edition
4.2.9	World Wide Web Browser: Microsoft Internet Explorer 11.x (Note, *All other browsers are unsupported (i.e. Firefox, Chrome, Opera, and Safari)
4.2.10	Server Hardware Support: VMware ESX 6.5 VM's

**Attachment B – IT Functionality Questionnaire  
TEC2114786P1 – Investigative Management System**

Each proposer must complete the Investigative Management System IT Functionality Questionnaire with responses corresponding to each numbered item by selecting the corresponding response (Yes or No) in the drop-down box in the response section. **Any item left blank will be evaluated as a "NO" answer.**

**IT FUNCTIONALITY QUESTIONNAIRE**

4.2.11	Database Software Support: Microsoft SQL Server 2014 SP2 or later	
4.2.12	Database Software Support: Oracle Database 11g Release 2: or later	
4.2.13	Mobile Operating System: IOS 10.3	
4.2.14	Mobile Operating System: Android Nougat 7.0–7.1.2	
<b>4.3</b>	<b>Applications: Proposed software should meet the following requirements:</b>	
4.3.1	Have user and data audit trail.	
4.3.2	Have usage and error logs. (flat file or tabular)	
4.3.3	Have user management dashboard for new user creation, authorization delegations and continued user account management.	
4.3.4	Have content management dashboard to manage all application content (menus, dropdowns, checklists, etc.)	
4.3.5	Application data should be exportable by non-technical staff via user interface to a friendly format like (MS Excel, delimited text, plain text etc.)	
4.3.6	Have the ability to interface via a RESTful web application programming interface (API).	
4.3.7	Provide Developer access to data sources for troubleshooting.	
<b>4.4</b>	<b>Security – Proposed Software should meet the following requirements.</b>	
4.4.1	Provider should provide a security plan or secure configuration guide for Software installed in the County environment by the Provider.	
4.4.2	Provider shall advise of any third party software (e.g., Java, Adobe Reader/Flash, Silverlight) required to be installed and version supported	
	Provider shall support updates for critical vulnerabilities discovered in the versions of third party software installed.	
4.4.3	Provider should provide update support for critical vulnerabilities discovered in the versions of third party software installed or Vendor's software.	
4.4.4	Provider shall ensure that the Software is developed based on industry standards/and or best practices, including following secure programming techniques and incorporating security throughout the software-development life cycle.	
4.4.5	Provider shall ensure the Software has a security patch issued for newly identified vulnerabilities within 30 days for all critical or high security vulnerabilities.	
4.4.6	Provider shall ensure the Software provides for role-based access controls.	
4.4.7	Provider shall support electronic delivery of digitally signed upgrades from Provider or supplier website.	
4.4.8	Provider shall enable auditing by default in software for any privileged access or changes.	
4.4.9	If the Software is a payment application which processes, stores, or transmits credit card data, the VISA Cardholder Information Security Program ("CISP") payment Application Best Practices and Audit Procedures will be followed and current validation maintained.	
4.4.10	Provider shall regularly provide County with end-of-life-schedules for all applicable Software.	
<b>4.5</b>	<b>Managed/Professional Services:</b>	
4.5.1	Provider shall immediately notify the County of any terminations/separations of employees performing services under the Agreement or who had access to the County's network in order to disable such employees' access to County systems.	

**Attachment B – IT Functionality Questionnaire  
TEC2114786P1 – Investigative Management System**

Each proposer must complete the Investigative Management System IT Functionality Questionnaire with responses corresponding to each numbered item by selecting the corresponding response (Yes or No) in the drop-down box in the response section. **Any item left blank will be evaluated as a "NO" answer.**

**IT FUNCTIONALITY QUESTIONNAIRE**

4.5.2	Provider shall ensure all Provider employees have signed County's Information Security Policy Acknowledgement form prior to accessing County network environment. (PCI 12.3.5)	
4.5.3	Provider shall perform privacy and information security training to its employees with access to the sensitive County environment upon hire and at least annually. (PCI 12.6.1)	



## Enterprise Technology Services Vendor Security Questionnaire (VSQ)

### (For RFPs, RFQs and Sole Source/Only Reasonable Source/Sole Brand Requests)

The Vendor Security Questionnaire's (VSQ) purpose is to assess the Vendor's security policies and/or system protocol and to identify any security vulnerabilities. Each responding vendor will be required to complete and submit the VSQ (for applicable solution – services, hardware, and/or software). If not included with the proposal submittal at the time of the solicitation opening deadline, the proposing vendor will be required to complete and submit the VSQ within three business days of County's request. If a response requires additional information, the Vendor should attach a written detailed response; each response should be numbered to match the question number. The County will review Vendor's VSQ response and any security concerns will be addressed during Evaluation Committee Meetings or negotiations. At the sole discretion of the County, unresolved security concerns shall also be evaluated in making a determination of responsibility or may lead to impasse during negotiations.

The questionnaire is divided into the following areas: **Section 1: Software-as-a-Service/Hosted/Cloud Services**; **Section 2: Managed/Professional Services**; **Section 3: Hardware**; and **Section 4: Software**. Each section(s) should be completed as applicable to the vendor's proposed product and/or service. If applicable, failure to complete the questionnaire may deem a vendor non-responsible. The questionnaire should be submitted with your proposal. Vendor should immediately inform the assigned Purchasing Agent of any changes in vendor's responses after submittal.

## SECTION 1: SOFTWARE-AS-A-SERVICE / HOSTED / CLOUD SERVICES

### ALL VENDORS MUST COMPLETE THIS SECTION OF THE QUESTIONNAIRE.

<b>Vendor Name:</b>	
<b>Technical Contact Name / Email Address:</b>	
<b>Product Name / Description:</b>	
<b>Solicitation Number and Title (if applicable):</b>	

For each applicable section, complete the matrix by placing an "X" in the applicable YES/NO column for each Description. Use "Comments" section to provide as much explanation as possible to clearly support your response. Additional pages may be attached to provide further detail, but any attachments should be referenced in "Comments" section. If not applicable, mark "N/A" in "Comments" section.

No.	Area	Description	Vendor Response		Comments
			Yes	No	
	<b>Applicability (Required Response):</b>	Does your response involve providing <b>SOFTWARE-AS-A-SERVICE, HOSTED, OR CLOUD SERVICES</b> ? If YES, indicate response and complete Section 1. If No, indicate NO and skip Section 1.			
	<b>Supporting Documentation</b>	Please provide the following: a) Workflow diagram of stored or transmitted information b) Security / Network Architecture diagram			
1					
2					
3	<b>Audit Reporting Requirements</b>	Does your organization have a current Service Organization Controls (SOC) II, Type II report, inclusive of all five Trust Service Principles (Security, Availability, Processing Integrity, Confidentiality, and Privacy)? Applicable for Cloud and Hosted solutions.			

4		Does your organization have a current Payment Card Industry (PCI) Attestation of Compliance (AOC)? Applicable only if accepting payment cards.			
5	<b>Electronic Protected Health Information (ePHI) -</b>	Has the Vendor had a Risk Assessment performed in the past 5 years by an external auditor in conjunction with the HIPAA Security rule?			
6	Applicable only if Vendor has access to or will be hosting or storing County ePHI.	Does the Vendor maintain current HIPAA specific policies and procedures in conjunction with the HIPAA Security Rule?			
7		Does your organization have a designated HIPAA Security and Privacy Officer(s)?			
8		Do you provide HIPAA Security training to your employees at time of hire and at least annually thereafter?			
9	<b>Roles &amp; Responsibilities</b>	Has your organization appointed a central point of contact for security coordination?			
10		What is the expected timeframe to respond to initial contact for security related issues?			
11		Does your company define the priority level of an issue (e.g., minor vs. major, 0-4 scale, etc.)? Please describe.			
12		Does your company have an expected Service Level Agreement (SLA) to implement changes needed to fix security issues according to priority level? Please describe.			
13	<b>Federated Identity Management and Web Services Integration</b>	Does your product have Single Sign-on (SSO) and Federated Identity Enablement integration options (e.g., support for standards like SAML v2 and OAuth 2.0, active directory, etc.). Please describe.			
14	<b>External Parties</b>	Does your product use web services and/or data import/export functions? Please describe.			
15		Will third parties, such as IT service providers, have access to the County's stored or transmitted information?			
16		Are there contingencies where key third-party dependencies are concerned?			
17		Is the company outsourcing any aspect of the service to a third party?			
18	<b>Information Security Policy &amp; Procedures</b>	Do you have written, standard operation procedures for your security and compliance policies and procedures? If so, please provide copies of your IT Security Policies and Procedures for review (e.g., access, password, incident response, etc.) with this questionnaire.			
19	<b>Risk Assessment</b>	Do you have a process that addresses: (a) the identification and measurement of potential risks with mitigating controls (measures taken to reduce risk), and (b) the acceptance or transfer (e.g. insurance policies, warranties, etc.) of the remaining (residual) risk after mitigation steps have been applied?			

20	<b>Compliance with Legal Requirements - Identification of applicable legislation</b>	Do you have a process to identify new laws and regulations with IT security implications? (e.g., new state breach notification requirements, monitoring newsletters, webinars, security or regulatory forums, etc.)?			
21		Has vendor experienced a legally reportable data breach within the past 7 years?			
22		Do you have procedures for preservation of electronic records and audit logs in case of litigation hold?			
23		In the event of a security incident, do you provide the consumer the ability to perform digital forensics?			
24	<b>During Employment – Training, Education &amp; Awareness</b>	Have your employees received formal information security training (e.g., new employee orientation, annual training, posters in public areas, email reminders, etc.)?			
25		Have your security policies and procedures been communicated to your employees?			
26		Are periodic security reminders provided to your employees?			
27	<b>Background Checks</b>	Does your organization perform background checks to examine and assess an employee's or contractor's work and criminal history? Identify the type of background check information and the agency performing background check (e.g., credential verification, criminal history, credit history, etc.).			
28		Are individuals who will have access to the County's data subjected to periodic follow-up background checks?			
29	<b>Prior to Employment - Terms and Conditions of Employment</b>	Are your employees required to sign a non-disclosure agreement (e.g., non-disclosure and/or confidentiality form upon initial employment)?			
30		If so, are employees required to sign the non-disclosure agreement annually?			
31	<b>Termination or Change in Employment</b>	Does your firm require that all equipment of any terminated employee is returned and that his/her user ID is disabled in all systems and badges and/or keys are returned? Upon transfer, is employee's existing access reviewed for relevance?			
32	<b>Secure Areas</b>	Do you have effective physical access controls (e.g., door locks, badge /electronic key ID and access controls) in place that prevent unauthorized access to facilities and a facility security plan?			
33		Do you have a contingency plan in place to handle emergency access to facilities?			
34		How are physical access controls authorized? Who is responsible for managing and ensuring that only appropriate persons have keys or codes to the facility and to locations within the facility with secure data?			
35		Are there written policies and procedures to document repairs and modifications to physical components of the facility that are related to security?			
36		Are employees permitted access to customer environments from your physical locations only?			



37	<p><b>Application and Information Access Control - Sensitive System Isolation</b></p>	Are systems and networks that host, process, and/or transfer sensitive information "protected" (i.e., isolated or separated) from other systems and/or networks? Provide supporting documentation.				
38		Are internal and external networks separated by firewalls with access policies and rules? Provide supporting documentation.				
39		Is there a standard approach for protecting network devices to prevent unauthorized access/network related attacks and data-theft (e.g. firewall between public and private networks, internal VLAN, firewall separation, separate WLAN network, secure portal, multi-tenancy, virtualization, shared storage, etc.)?				
40		Are employees allowed to connect to customer environments remotely (e.g., working from home, public wifi access)?				
41		Is there a remote access policy? If so, please provide documentation.				
42		Do you have protections in place for ensuring secure remote access (i.e., up-to-date antivirus, posture assessment, VPN enforcement, split tunneling, etc.)?				
43		Will Vendor restrict inbound and outbound traffic to the County network to a "deny all, permit by exception" configuration?				
44		Will County's data be co-mingled with any other Cloud customer?				
45		Will County's data be stored, accessed by, or transmitted through an off shore environment (Outside continental U.S, Alaska, Hawaii)?				
46		<p><b>Encryption</b></p>	Is or will County sensitive information be transferred to external third parties? If so, what controls are in place to protect sensitive information when transferred (e.g., encryption)?			
47			Do you use a secure VPN connection with third parties and/or IT vendors for email encryption?			
48			Does Vendor provide a means to encrypt data at rest (AES, etc.)?			
49		<p><b>Vulnerability Assessment and Remediation</b></p>	Do you perform periodic vulnerability scans on your IT systems, networks, and supporting security systems? How often?			
50			If no, do you provide proof of vulnerability scanning and penetration testing upon request?			
51			Are internal or third party vulnerability assessments automated?			
52	Do you have a security patch management cycle in place to address identified vulnerabilities?					
53	Do you provide disclosure of vulnerabilities found in your environment and remediation timelines?					
54	Do you notify customer of applicable patches?					

55	<b>Security Monitoring</b>	Are third party connections to your network monitored and reviewed to confirm only authorized access and appropriate usage (i.e. with VPN logs, server event logs, system, application and data access logging, automated alerts, regular/periodic review of logs or reports, etc.)?			
56		Do you monitor your systems and networks for security events? If so, please describe this monitoring (e.g., are server and networking equipment logs, such as servers, routers, switches, wireless APs, monitored regularly, etc.)?			
57		Does Vendor maintain a file integrity monitoring program to ensure critical file system changes are monitored and approved with respect to confidential County data?			
58		Do you periodically review system activity (related to patient information systems)? If so, provide frequency.			
59	<b>Identity &amp; Access Management</b>	Do you have a formal access authorization process based on "least privilege" (i.e. employees are granted the least amount of access possible to perform their assigned duties) and "need to know" (i.e., access permissions granted based upon the legitimate business need of the user to access the information, role-based permissions, limited access based on specific responsibilities, network access request form, etc.)?			
60		Are systems and applications configured to restrict access only to authorized individuals (e.g. use of unique IDs and passwords, minimum password length, password complexity, log-in history, lockout, password change, etc.)?			
61		Is there a list maintained of authorized users with general access and administrative access to operating systems (e.g., active directory user lists within a sensitive application, a spreadsheet of users, a human resources file, etc.)?			
62		Does a list of "accepted mobile devices" (e.g., smart phones, cell phones, etc.) exist and are these devices asset tracked and managed (i.e., MDA)?			
63		Are accepted mobile devices tested prior to production use?			
64		Is a Data Loss Prevention (DLP) in place to prevent the unauthorized distribution of sensitive information?			
65		Is software installation for desktops, laptops, and servers restricted to administrative users only?			
66		Does your software or system have automatic logoff for inactivity?			
67		Is access to source application code restricted? If so, how? Is a list of authorized users maintained and updated?			
68		Are user IDs for your system uniquely identifiable?			
69		Do you have any shared accounts?			
70		Will Vendor activate remote access from vendors and business partners into the County network only when needed by vendors and partners, with immediate deactivation after use?			
71		Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?			

72	<b>Entitlement Reviews</b>	Do you have a process to review user accounts and related access (e.g., manual process of reviewing system accounts to user accounts in AD for both users and privileged access, such as admins, developers, etc.)?			
73	<b>Antivirus</b>	Is antivirus software installed and running on your computers and supporting systems (e.g., desktops, servers, gateways, etc.)?			
74		Is this antivirus product centrally managed (e.g., is the antivirus monitored to verify all endpoints have functional agents, agents are up to date with the latest signatures, etc.)? Please explain your policies and procedures for management of antivirus software.			
75		Do you have a process for detecting and reporting malicious software?			
76	<b>Network Defense and Host Intrusion Prevention Systems</b>	Do you have any host-based Intrusion Protection System (IPS) for systems that the County will use?			
77		Does Vendor install personal firewall software is installed on any mobile or employee-owned device that manages the County's PCI-DSS Cardholder Data Environment ("CDE")?			
78	<b>Media Handling</b>	Do you have procedures to protect documents and computer media (e.g., tapes, disks, hard drives, etc.) from unauthorized disclosure, modification, removal, and destruction?			
79		Is sensitive data encrypted (e.g., data at rest) when stored on laptop, desktop, and server hard drives, flash drives, backup tapes, etc.)?			
80	<b>Secure Disposal</b>	Are there security procedures (e.g., use of secure wiping, NIST 800-88, etc.) for the decommissioning (replacement) of IT equipment and IT storage devices which contain or process sensitive information?			
81	<b>Segregation of Computing Environment</b>	Are development, test, and production environments separated from operational, IT environments to protect production (actively used) applications from inadvertent changes or disruption?			
82	<b>Segregation of Duties</b>	Are duties separated (e.g., front desk duties separated from accounting, data analysts access separated from IT support, etc.), where appropriate, to reduce the opportunity for unauthorized modification, unintentional modification, or misuse of your IT assets?			
83	<b>Change Management</b>	Do formal testing and change management procedures exist for networks, systems, desktops, software releases, deployments, and software vulnerability during patching activities, changes to the system, changes to the workstations and servers with appropriate testing, notification, and approval, etc.?			
84	<b>Process &amp; Procedures</b>	Do you identify, respond to, and mitigate suspected or known security incidents (e.g., is an incident form completed as a response to each incident, etc.)?			
85		Do you have a formal incident response and data breach notification plan and team?			
86		Is evidence properly collected and maintained during the investigation of a security incident (e.g., employing chain of custody and other computer forensic methodologies that are monitored by internal and/or external parties, etc.)?			
87		Are incidents identified, investigated, and reported according to applicable legal requirements?			

88		Are incidents escalated and communicated (e.g., what is your documented process for escalation to management and outside authorities, etc.)?			
89		Do you have a contingency plan in place to handle emergency access to the software?			
90	<b>Disaster Recovery Plan &amp; Backups</b>	Do you have a mechanism to back up critical IT systems and sensitive data (e.g., is data backed up nightly, weekly, quarterly, taken offsite, etc.)?			
91		Do you periodically test your backup/restoration plan by restoring from backup media?			
92		Does a disaster recovery plan exist for your organization?			
93		Are disaster recovery plans updated and tested at least annually?			
94		Do any single points of failure exist which would disrupt functionality of the product or service?			
95	<b>Product Security Development Lifecycle</b>	Do you have any product pre-release security threat modeling in place (e.g., secure coding practice, security architecture review, penetration testing, etc.)?			
96		Does Vendor maintain end-of-life-schedule for the software product?			
97		Is the product engineered as a multi-tier architecture design?			
98		Is product or service within 3 year end of life?			
99	<b>Crypto Materials and Key Management</b>	Do you have a centralized key management program in place (e.g., any Public Key Infrastructure (PKI), Hardware Security Module (HSM)-based or not, etc.) to issue certificates needed for products and cloud service infrastructure?			

<b>SECTION 2: MANAGED / PROFESSIONAL SERVICES</b>				
<b>ALL VENDORS MUST COMPLETE THIS SECTION OF THE QUESTIONNAIRE.</b>				
<b>Vendor Name:</b>				
<b>Technical Contact Name / Email Address:</b>				
<b>Product Name / Description:</b>				
<b>Solicitation Number and Title (if applicable):</b>				
For each applicable section, complete the matrix by placing an "X" in the applicable YES/NO column for each Description. Use "Comments" section to provide as much explanation as possible to clearly support your response. Additional pages may be attached to provide further detail, but any attachments should be referenced in "Comments" section. If not applicable, mark "N/A" in "Comments" section.				
No.	Area	Description	Vendor Response	
			Yes	No
	<b>Applicability (Required Response):</b>	Does your response involve providing <b>MANAGED AND/OR PROFESSIONAL SERVICES</b> ? If YES, indicate response and complete Section 2. If No, indicate NO and skip Section 2.		
1	<b>Audit Reporting Requirements</b>	Does your organization have a current Service Organization Controls (SOC) II, Type II report, inclusive of all five Trust Service Principles (Security, Availability, Processing Integrity, Confidentiality, and Privacy)? Applicable for Cloud and Hosted solutions.		
2		Does your organization have a current Payment Card Industry (PCI) Attestation of Compliance (AOC)? Applicable only if accepting payment cards.		
3		Has the Vendor had a Risk Assessment performed in the past 5 years by an external auditor in conjunction with the HIPAA Security rule?		
4	<b>Electronic Protected Health Information (ePHI) -</b> Applicable only if Vendor has access to or will be hosting or storing County ePHI.	Does the Vendor maintain current HIPAA specific policies and procedures in conjunction with the HIPAA Security Rule?		
5		Does your organization have a designated HIPAA Security and Privacy Officer(s)?		
6		Do you provide HIPAA Security training to your employees at time of hire and at least annually thereafter?		
7	<b>Roles &amp; Responsibilities</b>	Has your organization appointed a central point of contact for security coordination?		
8		What is the expected timeframe to respond to initial contact for security related issues?		
9		Does your company define the priority level of an issue (e.g., minor vs. major, 0-4 scale, etc.)? Please describe.		
10		Does your company have an expected Service Level Agreement (SLA) to implement changes needed to fix security issues according to priority level? Please describe.		

11	<b>External Parties</b>	Does your product use web services and/or data import/export functions? Please describe.			
12		Will third parties, such as IT service providers, have access to the County's stored or transmitted information?			
13		Are there contingencies where key third-party dependencies are concerned?			
14		Is the company outsourcing any aspect of the service to a third party?			
15	<b>Information Security Policy &amp; Procedures</b>	Do you have written, standard operation procedures for your security and compliance policies and procedures? If so, please provide copies of your IT Security Policies and Procedures for review (e.g., access, password, incident response, etc.) with this questionnaire.			
16	<b>Risk Assessment</b>	Do you have a process that addresses: (a) the identification and measurement of potential risks with mitigating controls (measures taken to reduce risk), and (b) the acceptance or transfer (e.g. insurance policies, warranties, etc.) of the remaining (residual) risk after mitigation steps have been applied?			
17	<b>Compliance with Legal Requirements - Identification of applicable legislation</b>	Do you have a process to identify new laws and regulations with IT security implications? (e.g., new state breach notification requirements, monitoring newsletters, webinars, security or regulatory forums, etc.)?			
18		Has vendor experienced a legally reportable data breach within the past 7 years?			
19		Do you have procedures for preservation of electronic records and audit logs in case of litigation hold?			
20		In the event of a security incident, do you provide the consumer the ability to perform digital forensics?			
21	<b>During Employment – Training, Education &amp; Awareness</b>	Have your employees received formal information security training (e.g., new employee orientation, annual training, posters in public areas, email reminders, etc.)?			
22		Have your security policies and procedures been communicated to your employees?			
23		Are periodic security reminders provided to your employees?			
24	<b>Background Checks</b>	Does your organization perform background checks to examine and assess an employee's or contractor's work and criminal history? Identify the type of background check information and the agency performing background check (e.g., credential verification, criminal history, credit history, etc.).			
25		Are individuals who will have access to the County's data subjected to periodic follow-up background checks?			
26	<b>Prior to Employment - Terms and Conditions of Employment</b>	Are your employees required to sign a non-disclosure agreement (e.g., non-disclosure and/or confidentiality form upon initial employment)?			
27		If so, are employees required to sign the non-disclosure agreement annually?			
28	<b>Termination or Change in Employment</b>	Does your firm require that all equipment of any terminated employee is returned and that his/her user ID is disabled in all systems and badges and/or keys are returned? Upon transfer, is employee's existing access reviewed for relevance?			

29	<b>Secure Areas</b>	Do you have effective physical access controls (e.g., door locks, badge /electronic key ID and access controls) in place that prevent unauthorized access to facilities and a facility security plan?			
30		Do you have a contingency plan in place to handle emergency access to facilities?			
31		How are physical access controls authorized? Who is responsible for managing and ensuring that only appropriate persons have keys or codes to the facility and to locations within the facility with secure data?			
32		Are there written policies and procedures to document repairs and modifications to physical components of the facility that are related to security?			
33		Are employees permitted access to customer environments from your physical locations only?			
34	<b>Application and Information Access Control - Sensitive System Isolation</b>	Are systems and networks that host, process, and/or transfer sensitive information "protected" (i.e., isolated or separated) from other systems and/or networks? Provide supporting documentation.			
35		Are internal and external networks separated by firewalls with access policies and rules? Provide supporting documentation.			
36		Is there a standard approach for protecting network devices to prevent unauthorized access/network related attacks and data-theft (e.g. firewall between public and private networks, internal VLAN, firewall separation, separate WLAN network, secure portal, multi-tenancy, virtualization, shared storage, etc.)?			
37		Are employees allowed to connect to customer environments remotely (e.g., working from home, public wifi access)?			
38		Is there a remote access policy? If so, please provide documentation.			
39		Do you have protections in place for ensuring secure remote access (i.e., up-to-date antivirus, posture assessment, VPN enforcement, split tunneling, etc.)?			
40		Will Vendor restrict inbound and outbound traffic to the County network to a "deny all, permit by exception" configuration?			
41		Will County's data be co-mingled with any other Cloud customer?			
42		Will County's data be stored, accessed by, or transmitted through an off shore environment (Outside continental U.S, Alaska, Hawaii)?			
43	<b>Encryption</b>	Is or will County sensitive information be transferred to external third parties? If so, what controls are in place to protect sensitive information when transferred (e.g., encryption)?			
44		Do you use a secure VPN connection with third parties and/or IT vendors for email encryption?			
45		Does Vendor provide a means to encrypt data at rest (AES, etc.)?			
46	<b>Vulnerability Assessment and Remediation</b>	Do you perform periodic vulnerability scans on your IT systems, networks, and supporting security systems? How often?			
47		If no, do you provide proof of vulnerability scanning and penetration testing upon request?			

48	Are internal or third party vulnerability assessments automated?			
49	Do you have a security patch management cycle in place to address identified vulnerabilities?			
50	Do you provide disclosure of vulnerabilities found in your environment and remediation timelines?			
51	Do you notify customer of applicable patches?			
52	Are third party connections to your network monitored and reviewed to confirm only authorized access and appropriate usage (i.e. with VPN logs, server event logs, system, application and data access logging, automated alerts, regular/periodic review of logs or reports, etc.)?			
53	Do you monitor your systems and networks for security events? If so, please describe this monitoring (e.g., are server and networking equipment logs, such as servers, routers, switches, wireless APs, monitored regularly, etc.)?			
54	Does Vendor maintain a file integrity monitoring program to ensure critical file system changes are monitored and approved with respect to confidential County data?			
55	Do you periodically review system activity (related to patient information systems)? If so, provide frequency.			
56	Do you have a formal access authorization process based on "least privilege" (i.e. employees are granted the least amount of access possible to perform their assigned duties) and "need to know" (i.e., access permissions granted based upon the legitimate business need of the user to access the information, role-based permissions, limited access based on specific responsibilities, network access request form, etc.)?			
57	Are systems and applications configured to restrict access only to authorized individuals (e.g. use of unique IDs and passwords, minimum password length, password complexity, log-in history, lockout, password change, etc.)?			
58	Is there a list maintained of authorized users with general access and administrative access to operating systems (e.g., active directory user lists within a sensitive application, a spreadsheet of users, a human resources file, etc.)?			
59	Does a list of "accepted mobile devices" (e.g., smart phones, cell phones, etc.) exist and are these devices asset tracked and managed (i.e., MDA)?			
60	Are accepted mobile devices tested prior to production use?			
61	Is a Data Loss Prevention (DLP) in place to prevent the unauthorized distribution of sensitive information?			
62	Is software installation for desktops, laptops, and servers restricted to administrative users only?			
63	Does your software or system have automatic logoff for inactivity?			
64	Is access to source application code restricted? If so, how? Is a list of authorized users maintained and updated?			



65	Are user IDs for your system uniquely identifiable?			
66	Do you have any shared accounts?			
67	Will Vendor activate remote access from vendors and business partners into the County network only when needed by vendors and partners, with immediate deactivation after use?			
68	Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?			
69	<b>Entitlement Reviews</b> Do you have a process to review user accounts and related access (e.g., manual process of reviewing system accounts to user accounts in AD for both users and privileged access, such as admins, developers, etc.)?			
70	<b>Antivirus</b> Is antivirus software installed and running on your computers and supporting systems (e.g., desktops, servers, gateways, etc.)?			
71	Is this antivirus product centrally managed (e.g., is the antivirus monitored to verify all endpoints have functional agents, agents are up to date with the latest signatures, etc.)? Please explain your policies and procedures for management of antivirus software.			
72	Do you have a process for detecting and reporting malicious software?			
73	<b>Media Handling</b> Do you have procedures to protect documents and computer media (e.g., tapes, disks, hard drives, etc.) from unauthorized disclosure, modification, removal, and destruction?			
74	Is sensitive data encrypted (e.g., data at rest) when stored on laptop, desktop, and server hard drives, flash drives, backup tapes, etc.)?			
75	<b>Secure Disposal</b> Are there security procedures (e.g., use of secure wiping, NIST 800-88, etc.) for the decommissioning (replacement) of IT equipment and IT storage devices which contain or process sensitive information?			
76	<b>Segregation of Computing Environment</b> Are development, test, and production environments separated from operational, IT environments to protect production (actively used) applications from inadvertent changes or disruption?			
77	<b>Segregation of Duties</b> Are duties separated (e.g., front desk duties separated from accounting, data analysts access separated from IT support, etc.), where appropriate, to reduce the opportunity for unauthorized modification, unintentional modification, or misuse of your IT assets?			
78	<b>Process &amp; Procedures</b> Do you identify, respond to, and mitigate suspected or known security incidents (e.g., is an incident form completed as a response to each incident, etc.)?			
79	Do you have a formal incident response and data breach notification plan and team?			
80	Is evidence properly collected and maintained during the investigation of a security incident (e.g., employing chain of custody and other computer forensic methodologies that are monitored by internal and/or external parties, etc.)?			

Broward County Enterprise Technology Services  
Vendor Security Questionnaire

81		Are incidents identified, investigated, and reported according to applicable legal requirements?			
82		Are incidents escalated and communicated (e.g., what is your documented process for escalation to management and outside authorities, etc.)?			
83		Do you have a contingency plan in place to handle emergency access to the software?			

<b>SECTION 3: HARDWARE</b>				
<b>ALL VENDORS MUST COMPLETE THIS SECTION OF THE QUESTIONNAIRE.</b>				
<b>Vendor Name:</b>				
<b>Technical Contact Name / Email Address:</b>				
<b>Product Name / Description:</b>				
<b>Solicitation Number and Title (if applicable):</b>				
For each applicable section, complete the matrix by placing an "X" in the applicable YES/NO column for each Description. Use "Comments" section to provide as much explanation as possible to clearly support your response. Additional pages may be attached to provide further detail, but any attachments should be referenced in "Comments" section. If not applicable, mark "N/A" in "Comments" section.				
No.	Area	Description	Vendor Response	
			Yes	No
	<b>Applicability:</b>	Does your response involve providing <b>HARDWARE</b> ? If YES, indicate response and complete Section 3. If No, indicate NO and skip Section 3.		
1	<b>Secure Design</b>	Are there physical security features used to prevent tampering of the hardware? If so, please identify.		
2		Do you take security measures during the manufacturing of the hardware? If so, please describe.		
3	<b>Security Updates/Patching</b>	Is your hardware scanned to detect any vulnerabilities or backdoors within the firmware?		
4		Has the operating system installed on the hardware been scanned for vulnerabilities?		
5		Is your firmware upgraded to remediate vulnerabilities? If so, provide frequency.		
6		If a new vulnerability is identified, is there a documented timeframe for updates/releases? Please provide frequency.		
7	<b>Identity &amp; Access Management</b>	Are remote control features embedded for the manufacturer's support or ability to remotely access? If so, describe.		
8		Do backdoors exist that can lead to unauthorized access? If so, describe.		
9		Do default accounts exist? If so, list all default accounts.		
10		Can default accounts and passwords be changed by Broward County?		
11		Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?		
12	<b>Product Security Development Lifecycle</b>	Is an end-of-life schedule maintained for the hardware?		
13		Is product or service within 3 year end of life?		
14	<b>Media Handling</b>	Does vendor have a secure data wipe and data destruction program for proper drive disposal (i.e., Certificate of destruction, electronic media purging, etc.)?		
15	<b>Compliance with Legal Requirements - Identification of applicable legislation</b>	Is the hardware currently certified by any security standards? (i.e., PCI-DSS). If so, please identify.		

16		Do you have a process to identify new laws and regulations with IT security implications?			
17		Upon County's request, will Vendor make available to the County proof of Vendor's compliance with all applicable federal, state, and local laws, codes, ordinances, rules, and regulations in performing under this Agreement, including but not limited to: HIPAA compliance; Vendor's latest compliance reports (e.g., PCI-DSS PTS, P2PE validation) and any other proof of compliance as may be required?			

SECTION 4: SOFTWARE				
VENDORS MUST COMPLETE THIS SECTION OF THE QUESTIONNAIRE.				
Vendor Name:				
Technical Contact Name / Email Address:				
Product Name / Description:				
Solicitation Number and Title (if applicable):				
For each applicable section, complete the matrix by placing an "X" in the applicable YES/NO column for each Description. Use "Comments" section to provide as much explanation as possible to clearly support your response. Additional pages may be attached to provide further detail, but any attachments should be referenced in "Comments" section. If not applicable, mark "N/A" in "Comments" section.				
No.	Area	Description	Vendor Response	
			Yes	No
	<b>Applicability:</b>	Does your response involve providing <b>SOFTWARE</b> ? If YES, indicate response and complete Section 4. If No, indicate NO and skip Section 4.		
	<b>Supporting Documentation</b>	Please provide the following: a) Hardware and Software requirements (i.e. Operating System, CPUs, RAM) b) Network connectivity requirements		
1				
2				
3	<b>Software Installation Requirements</b>	Can the software be installed as a regular user account with least privilege? Describe the level of administrative access the software will need on the County domain.		
4		Is remote access required for installation and support? If so, describe.		
5		Can the software be installed on and operated in a virtualized environment?		
6	<b>Third Party Software Requirements</b>	Is third party software (i.e. Java, Adobe) required to be installed for your software to work? If so, provide software and minimum version.		
7		Will your software remain compatible with all updates and new releases of required third party software?		
8		Are there contingencies where key third-party dependencies are concerned?		
9	<b>Secure Software Design</b>	Is the software currently certified by any security standards? (i.e. PCI-DSS). If so, identify.		
10		<u>Has the software been developed following secure programming standards like those in the OWASP Developer Guide?</u>		
11		Is the company outsourcing any aspect of the service to a third party?		

12		Is the product engineered as a multi-tier architecture design?			
13		Does Vendor have capability to respond to and update product for any unforeseen new regulatory requirements?			
14	<b>Audit Logging</b>	Does the software or solution perform audit logging? Please describe.			
15		Does the software have audit reporting capabilities (i.e. user activity, privileged access, etc.)? Please describe.			
16	<b>Security Updates/Patching</b>	Does the software have a security patch process? Please describe your software security patch process, frequency of security patch releases, and how security vulnerabilities are identified.			
17		Does Vendor support electronic delivery of digitally signed upgrades?			
18	<b>Secure Configuration / Installation</b> (i.e. PA-DSS configuration)	Does the software allow for secure configuration and installation? Please identify those cycles.			
19	<b>Software Upgrade Cycles</b>	Does the software have upgrade cycles? Please identify those cycles.			
20	<b>Confidential Data</b>	Does the software restrict confidential data (i.e., Social Security Number or Date of Birth, etc.) from being used as a primary identifier?			
21		Does the software have documentation showing where all confidential data is stored in the application?			
22	<b>Encryption</b>	Does the software support encryption of data in motion (e.g., SSL, etc.)?			
23		Does the software support encryption of data at rest (e.g., column-level encryption, etc.)?			
24		Does the software have built-in encryption controls? Please list.			
25	<b>Authentication</b>	Does your product have Single Sign-on (SSO) and Federated Identity Enablement integration options (e.g., support for standards like SAML v2 and OAuth 2.0, active directory, etc.)? Please describe.			
26	<b>Roles and Responsibilities</b>	Does the software provide role-based access control?			
27		Can service accounts be configured to run as non-privileged user (i.e. non-Domain Admin)?			
28	<b>Product Security Development Lifecycle</b>	Do you have any product pre-release security threat modeling in place (e.g., secure coding practice, security architecture review, penetration testing, etc.)?			
29		Does Vendor maintain end-of-life-schedule for the software product?			
30		Is product or service within 3 year end of life?			

<b>I possess the authority to sign and act as an agent on behalf of this company. I have read the above questionnaire in its entirety and responded in a truthful manner to the best of my ability.</b>	
<b>Vendor Name:</b>	
<b>Printed Representative Name:</b>	
<b>Printed Representative Title:</b>	
<b>Signature:</b>	

**Attachment D - Demonstration Script  
 TEC2114786P1 - Investigative Management System**

Line # Intake, Assessment and Assignment		DEMONSTRATION ITEMS			DEMONSTRATED	
		YES	NO	Number of Clicks Required to Complete Function		
1	Demonstrate ability to intake/log complaints and tips utilizing a unique customizable identifier for each: e.g., 17-001C, 17-001T, C-001.					
	A) Complaints (e.g. 17-001C)					
	B) Tips (e.g. 17-001T)					
2	Demonstrate ability to create customizable fields to capture Personal intake data (name, address, phone...) using each of the following components:					
	A) Checkbox (Single);					
	B) Checkbox (List);					
	C) Combo-box;					
	D) Dropdown List (Single selection);					
	E) Dropdown List (Multi-selection);					
	F) Radio button; and					
	G) Text box.					
3	Demonstrate ability to create customizable fields to capture intake data for Method Received using each of the following components:					
	A) Checkbox (Single);					
	B) Checkbox (List);					
	C) Combo-box;					
	D) Dropdown List (Single selection);					
	E) Dropdown List (Multi-selection);					
	F) Radio button; and					
	G) Text box.					
4	Demonstrate ability to create customizable fields to capture intake data for Alleged Violations using each of the following components:					
	A) Checkbox (Single);					
	B) Checkbox (List);					
	C) Combo-box;					
	D) Dropdown List (Single selection);					

Each proposer will be required to demonstrate their product's ability to execute the functionalities listed in the demonstration script below. A technical review team will participate in each proposer's product demonstration and record whether or not each functionality has been demonstrated.

In order for the technical review team to effectively record whether a functionality was demonstrated it is incumbent upon the proposer to follow the demonstration script and indicate the line or lines by number/letter they are demonstrating. **Note: Attachment E, Tip/Complaint and Matter Workflows, provide an overview of the OIG's procedures for handling tips, complaints and matters.**

The Evaluation Committee will consider the technical review team's assessment of the demonstration in each proposal's evaluation which occurs during the Final Evaluation Committee Meeting.



DEMONSTRATION ITEMS		DEMONSTRATED	
		YES	NO
Line #	Intake, Assessment and Assignment		Number of Clicks Required to Complete Function
E	Dropdown List (Multi-selection);		
F	Radio button; and		
G	Text box.		
5	Demonstrate ability to create customizable fields to capture Intake data for Disposition using each of the following components:		
A	Checkbox (Single);		
B	Checkbox (List);		
C	Combo-box;		
D	Dropdown List (Single selection);		
E	Dropdown List (Multi-selection);		
F	Radio button; and		
G	Text box.		
6	Demonstrate ability to create customizable fields to capture intake data for Whistle-Blower Review using each of the following components:		
A	Checkbox (Single);		
B	Checkbox (List);		
C	Combo-box;		
D	Dropdown List (Single selection);		
E	Dropdown List (Multi-selection);		
F	Radio button; and		
G	Text box.		
7	Demonstrate ability to link the following electronic data to a specific complaint:		
A	Document;		
B	Photograph;		
C	Audio file; and		
D	Video file.		
8	Demonstrate ability to link the following electronic data to a specific tip:		
A	Document;		
B	Photograph;		
C	Audio file; and		
D	Video file.		
9	Demonstrate ability to cross-reference a complaint and tip to:		
A	A single complaint;		
B	Multiple complaints;		
C	A single tip;		
D	Multiple tips;		
E	A single matter; and		
F	Multiple matters.		
10	Demonstrate ability to assign a complaint to:		
A	A single staff member; and		

DEMONSTRATION ITEMS		DEMONSTRATED		
		YES	NO	Number of Clicks Required to Complete Function
<b>Line #</b>	<b>Intake, Assessment and Assignment</b>			
B	Multiple staff members.			
11	Demonstrate ability to assign a tip to:			
A	single staff member; and			
B	Multiple staff members.			
<b>Line #</b>	<b>Complaints, Tips and Matters</b>			
12	Demonstrate ability to create a matter from a complaint with fields automatically populated from existing information that may be edited.			
13	Demonstrate ability to create a matter from a tip with fields automatically populated from existing information that may be edited.			
14	Demonstrate ability to create a sub-matter from another matter with fields automatically populated from existing information that may be edited.			
15	Demonstrate ability to create a matter (self-initiate) not associated to a tip or complaint.			
16	Demonstrate ability to auto generate an alpha-numeric matter number e.g., OIG 15-001 based on a fiscal or calendar year.			
17	Demonstrate ability to configure an alpha-numeric Sub-matter number when applicable e.g., OIG 15-001-A based on a fiscal or calendar year.			
18	Demonstrate ability to create templates within the application or access Microsoft Office templates or PDF fillable documents to create agency forms such as memorandum of interview, investigative memorandum, activity log, opening form, closing form, etc.			
19	Demonstrate ability to create user customized (e.g. agency logo) templates within the application which include but are not limited to the following forms:			
A	Activity log;			
B	Memorandum of Interview;			
C	Investigative Memorandum;			
D	Letter of Request;			
E	Opening form; and			
D	Closing form.			
20	Demonstrate how to integrate the use of Microsoft Office templates to create user customized ( e.g. agency logo) forms including but not limited to the following forms:			
A	Activity log;			
B	Memorandum of Interview;			
C	Investigative Memorandum;			
D	Letter of Request;			
E	Opening form; and			
F	Closing form.			
21	Demonstrate how to integrate the use PDF fillable documents to create the following forms:			
A	Activity log;			
B	Memorandum of Interview;			
C	Investigative Memorandum;			
D	Letter of Request;			
E	Opening form; and			
F	Closing form.			

DEMONSTRATION ITEMS		DEMONSTRATED		
		YES	NO	Number of Clicks Required to Complete Function
Line #	Intake, Assessment and Assignment			
22	Demonstrate how to generate sequenced Memorandums of Interview forms within a created matter within the application that would automatically be sequenced when created. For example, the first MOI could be sequenced 15-001-1 etc.).			
23	Demonstrate how to generate sequenced Memorandums of Interview forms within a created matter originating as a Word template that would automatically be sequenced when created. For example, the first MOI could be sequenced 15-001-1 etc.).			
24	Demonstrate how to generate sequenced Investigative Memorandum forms within a created matter within the application that would automatically be sequenced when created. For example, the first IM could be sequenced 15-001-1 etc.).			
25	Demonstrate how to generate sequenced Investigative Memorandum forms within a created matter originating as a Word template that would automatically be sequenced when created. For example, the first IM could be sequenced 15-001-1 etc.).			
26	Demonstrate how to view/access all Microsoft Office documents linked to a specific Matter.			
27	Demonstrate how to save all Microsoft Office documents linked to a specific Matter.			
28	Demonstrate how to print all Microsoft Office documents linked to a specific Matter.			
29	Demonstrate how to view/access all PDF documents linked to a specific Matter.			
30	Demonstrate how to save all PDF documents linked to a specific Matter.			
31	Demonstrate how to print all PDF documents linked to a specific Matter.			
32	Demonstrate how to electronically review the following documents:			
	A Activity log;			
	B Memorandum of Interview;			
	C Investigative Memorandum;			
	D Letter of Request;			
	E Opening form; and			
	F Closing form.			
33	Demonstrate how to electronically approve the following documents:			
	A Activity log;			
	B Memorandum of Interview;			
	C Investigative Memorandum;			
	D Letter of Request;			
	E Opening form; and			
	F Closing form.			
34	Demonstrate how to electronically send back for edits the following documents:			
	A Activity log;			
	B Memorandum of Interview;			
	C Investigative Memorandum;			
	D Letter of Request;			
	E Opening form; and			
	F Closing form.			
35	Demonstrate how to electronically add notes or comments to the following documents:			
	A Activity log;			
	B Memorandum of Interview;			

DEMONSTRATION ITEMS		DEMONSTRATED		
		YES	NO	Number of Clicks Required to Complete Function
Line #	Intake, Assessment and Assignment			
	C Investigative Memorandum;			
	D Letter of Request;			
	E Opening form; and			
	F Closing form.			
36	Demonstrate how to electronically sign the following documents:			
	A Activity log;			
	B Memorandum of Interview;			
	C Investigative Memorandum;			
	D Letter of Request;			
	E Opening form; and			
	F Closing form.			
37	Demonstrate, from within a matter, how to view and access the following: This references files distinct from those core forms created by OIG staff as part of every matter. These files primarily consist of information received from third parties. The files themselves may reside within the application or merely be accessible from within the application via links or other format. The files referenced can encompass a significant volume of data over time.			
	A Photographs;			
	B Scanned documents;			
	C Audio recordings;			
	D Correspondence;			
	E Documents; and			
	F If within the application demonstrate the ability to export the files.			
38	Demonstrate ability to assign multiple statuses including the following:			
	A Administrative;			
	B Legal;			
	C Outcome;			
	D Financial; and			
	E Recommendations.			
39	Demonstrate ability to track multiple statuses including the following:			
	A Administrative;			
	B Legal;			
	C Outcome;			
	D Financial; and			
	E Recommendations.			
40	Demonstrate ability to track violations identified within a matter.			
41	Demonstrate ability to track findings identified within a matter.			
42	Demonstrate ability to generate dated notes for a matter.			
43	Demonstrate ability to generate sequentially numbered notes for a matter.			
44	Demonstrate ability to log hardcopy records related to a matter.			
45	Demonstrate ability to track hardcopy records related to a matter.			
46	Demonstrate ability to set retention periods for electronic records.			

DEMONSTRATION ITEMS		DEMONSTRATED	
		YES	NO
Line #	Intake, Assessment and Assignment		
47	Demonstrate ability to set retention periods for hardcopy records.		
48	Demonstrate ability to track retention periods for electronic records.		
49	Demonstrate ability to track retention periods for hardcopy records.		
50	Demonstrate ability to track archiving location of hardcopy records related to matter.		
51	Demonstrate ability to track archiving status for hardcopy records related to matter.		
52	Demonstrate ability to view related subpoenas from a matter.		
53	Demonstrate ability to view related evidence from a matter.		
54	Demonstrate ability to view related legal cases from a matter.		
55	Demonstrate ability to view related public records requests from a matter.		
Line #	Subpoenas		
56	Demonstrate ability to log subpoena issuance data including but not limited to:		
	A Subpoena number;		
	B Date issued;		
	C Issued to; and		
	D Date response due.		
57	Demonstrate ability to log subpoena relevant data including but not limited to:		
	A Date records received; and		
	B Compliance with subpoena (e.g. were all items subpoenaed received; partial compliance, full compliance...).		
58	Demonstrate ability to access subpoenas related to a specific matter from the matter screen/file.		
59	Demonstrate ability to track open subpoenas from a centralized subpoena module.		
60	Demonstrate ability to track open subpoenas responses for all subpoenas from a centralized subpoena module.		
61	Demonstrate ability to set notifications for subpoena response deadlines, preferably via Microsoft Outlook.		
62	Demonstrate ability to set alerts for subpoena response deadlines.		
Line #	Evidence		
63	Demonstrate ability to log items entered into evidence including: date entered, location, disposition and disposal.		
	A Dated entered;		
	B Location;		
	C Disposition; and		
	D Disposal.		
64	Demonstrate ability to track items entered into evidence including:		
	A Dated entered;		
	B Location;		
	C Disposition; and		
	D Disposal.		
65	Demonstrate ability to view all relevant evidence entries from a specific matter.		
66	Demonstrate ability to view all relevant evidence entries from a specific tip.		
67	Demonstrate ability to view all relevant evidence entries from a specific complaint.		
68	Demonstrate ability to set notifications for the review of evidence for purging, preferably via Microsoft Outlook.		
69	Demonstrate ability to set alerts for the review of evidence for purging.		

DEMONSTRATION ITEMS		DEMONSTRATED		
		YES	NO	Number of Clicks Required to Complete Function
Line #	Intake, Assessment and Assignment			
Line #	Legal			
70	Demonstrate ability to log legal reviews which may be related to a specific matter.			
71	Demonstrate ability to log legal reviews which may not be related to a specific matter.			
72	Demonstrate ability to track legal reviews which may be related to a specific matter.			
73	Demonstrate ability to track legal reviews which may not be related to a specific matter.			
74	Demonstrate ability to view all relevant legal matters from specific matter.			
75	Demonstrate ability to view all relevant legal matters from specific tip.			
76	Demonstrate ability to view all relevant legal matters from specific complaint.			
77	Demonstrate ability to set notifications for specific legal deadlines, preferably via Microsoft Outlook.			
78	Demonstrate ability to set and alerts for specific legal deadlines.			
79	Demonstrate ability to view/access all electronic files relevant to a specific legal matter.			
80	Demonstrate ability to edit all electronic files relevant to a specific legal matter.			
81	Demonstrate ability to save all electronic files relevant to a specific legal matter.			
82	Demonstrate ability to print all electronic files relevant to a specific legal matter.			
Line #	Public Records, Archiving and Purging			
83	Demonstrate ability to log public records requests using information including but not limited to:			
	A) Dates;			
	B) Response;			
	C) Notes; and			
	D) Status.			
84	Demonstrate ability to track public records requests based on data entered including but not limited to:			
	A) Dates;			
	B) Response;			
	C) Notes; and			
	D) Status.			
85	Demonstrate ability to link public records requests to:			
	A) Matters;			
	B) Complaints; and			
	C) Tips.			
86	Demonstrate ability to flag and un-flag electronic files related to a specific public record request.			
87	Demonstrate ability to view/access flagged electronic files related to a specific public record request.			
88	Demonstrate ability to assign record retention schedules and destruction deadlines from a centralized location. This would apply to both hardcopy and electronic files associated with matters, tips and complaints.			
89	Demonstrate ability to track record retention schedules and destruction deadlines from a centralized location. This would apply to both hardcopy and electronic files associated with matters, tips and complaints.			
90	Demonstrate ability to view record retention schedules and destruction deadlines from a centralized location. This would apply to both hardcopy and electronic files associated with matters, tips and complaints.			
91	Demonstrate ability to identify, flag and un-flag matters as confidential.			
92	Demonstrate ability to identify, flag and un-flag tips as confidential.			
93	Demonstrate ability to identify, flag and un-flag complaints as confidential.			

Broward County Board of  
 County Commissioners

DEMONSTRATION ITEMS		DEMONSTRATED	
		YES	NO
Line #	Intake, Assessment and Assignment		Number of Clicks Required to Complete Function
94	Demonstrate ability to identify, flag and un-flag matters as exempt from public records disclosure.		
95	Demonstrate ability to identify, flag and un-flag tips as exempt from public records disclosure.		
96	Demonstrate ability to identify, flag and un-flag complaints as exempt from public records disclosure.		
Line #	Notifications		
97	Demonstrate ability to communicate the assignment of the following to staff through existing Microsoft Outlook email system:		
A	Matters;		
B	Complaints;		
C	Tips; and		
D	Changes in assignment.		
98	Demonstrate ability to set manual notifications of deadlines preferably via Outlook including but not limited to:		
A	Timeframes for completing review of initial information;		
B	Timeframes for completing investigative plan; and		
C	Timeframes for completing Memorandums of Interview.		
99	Demonstrate ability to set automatic notifications of deadlines preferably via Outlook including but not limited to:		
A	Timeframes for completing review of initial information;		
B	Timeframes for completing investigative plan; and		
C	Timeframes for completing Memorandums of Interview.		
100	Demonstrate ability to create forms from tips where certain fields are automatically filled in. For example, generating a form notification letter wherein fields for name, address and description are filled in from tip entry.		
101	Demonstrate ability to create forms from complaints where certain fields are automatically filled in. For example, generating a form notification letter wherein fields for name, address and description are filled in from tip entry.		
102	Demonstrate ability to create forms from matters where certain fields are automatically filled in. For example, generating a form notification letter wherein fields for name, address and description are filled in from tip entry.		
103	Demonstrate ability to send notifications to external parties, preferably through existing Outlook email system.		
Line #	Reporting		
104	Demonstrate ability to create ad-hoc reports exportable to MS Excel for designated periods of time for various data captured by the system to include but not limited to:		
A	Open matters;		
B	Number of days open;		
C	Matters by type;		
D	Tips received;		
E	Complaints received;		
F	Outcomes;		
G	Referrals;		
H	Questionable expenditures; and		
I	Recovered funds.		
105	Demonstrate ability to view and save ad-hoc reports in MS Excel for designated periods of time for various dated captured by the system to include but not limited to:		
A	Open matters;		

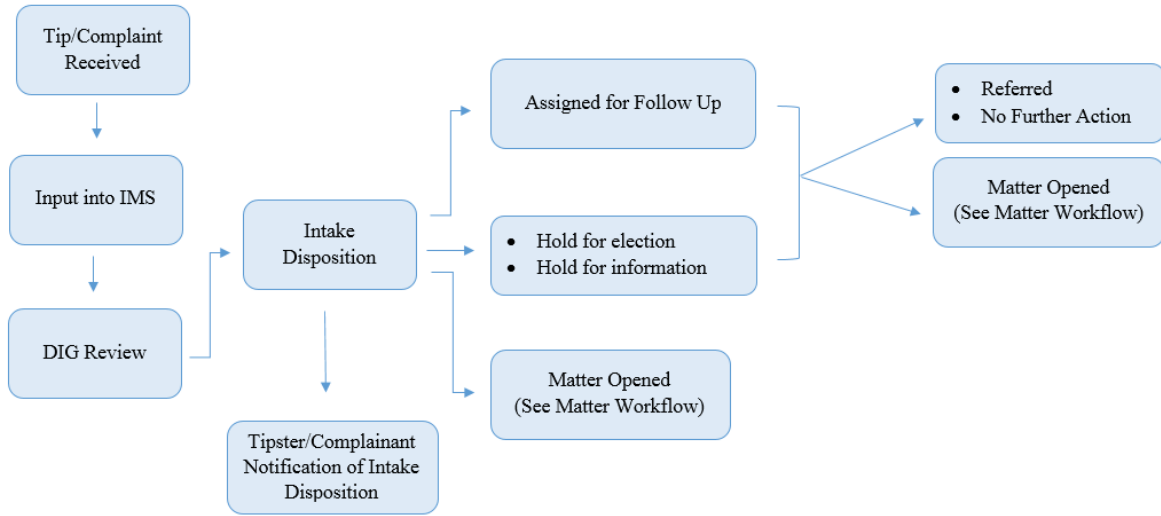
DEMONSTRATION ITEMS		DEMONSTRATED		
		YES	NO	Number of Clicks Required to Complete Function
Line #	Intake, Assessment and Assignment			
B	Number of days open;			
C	Matters by type;			
D	Tips received;			
E	Complaints received;			
F	Outcomes;			
G	Referrals;			
H	Questionable expenditures; and			
I	Recovered funds.			
106	Demonstrate ability to create ad-hoc reports exportable to PDF for designated periods of time for various data captured by the system to include but not limited to:			
A	Open matters;			
B	Number of days open;			
C	Matters by type;			
D	Tips received;			
E	Complaints received;			
F	Outcomes;			
G	Referrals;			
H	Questionable expenditures; and			
I	Recovered funds.			
107	Demonstrate ability to view and save ad-hoc reports in PDF format for designated periods of time for various data captured by the system to include but not limited to:			
A	Open matters;			
B	Number of days open;			
C	Matters by type;			
D	Tips received;			
E	Complaints received;			
F	Outcomes;			
G	Referrals;			
H	Questionable expenditures; and			
I	Recovered funds.			
108	Demonstrate ability to save common report queries and formats for future use.			
109	Demonstrate ability to add fields in reports (e.g. editable drop down fields etc.).			
110	Demonstrate ability to delete fields in reports (e.g. editable drop down fields etc.).			
111	Demonstrate ability to modify fields in reports (e.g. editable drop down fields etc.).			
112	Demonstrate ability to provide role-based permissions for scheduled reports.			
113	Demonstrate ability to create and set the delivery of scheduled to include but not be limited to: immediately.			
A	Immediately;			
B	Daily;			
C	Work week;			
D	Monthly; and			



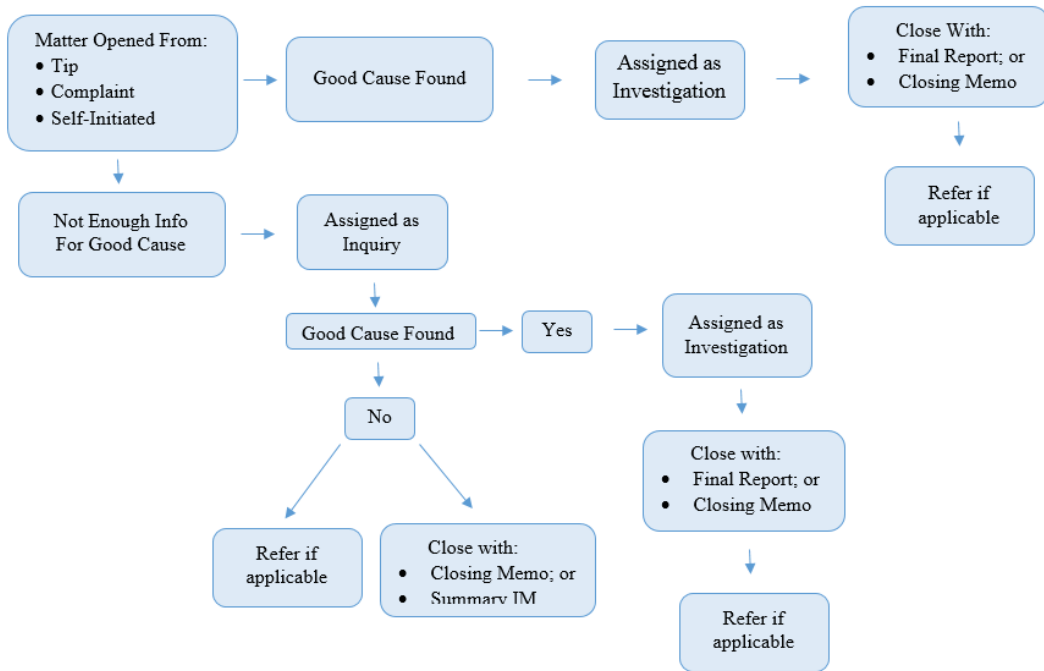
DEMONSTRATION ITEMS		DEMONSTRATED		
		YES	NO	Number of Clicks Required to Complete Function
Line #	Intake, Assessment and Assignment			
E	Quarterly.			
Line #	General			
114	Demonstrate ability to be scalable throughout the platform so that additional data fields may be added as needs change.			
115	Demonstrate ability to set data field entry with hints (tool tips), (e.g. required field, description for correct usage of the field, etc.)			
116	Demonstrate ability to lock selected fields based on user permissions.			
117	Demonstrate ability to make certain fields mandatory to complete prior to moving to the next field.			
118	Demonstrate ability to make certain fields mandatory to complete prior to saving form.			
119	Demonstrate ability to provide home page dashboard based on roles including senior managers, line supervisors, investigators and support staff.			
120	Demonstrate ability to OCR a scanned image or document.			
121	Demonstrate ability to accept scanned documents.			
122	Demonstrate ability to perform full text searches across the platform through all documents including attachments using partial data matches.			
123	Demonstrate ability to upload documents in multiple formats (Word, PDF, JPEG, Video, etc.).			
124	Demonstrate ability to perform quick searches based on the most common system parameters.			
125	Demonstrate ability to perform advance searches with options to provide specific search criteria for most database fields.			
126	Demonstrate ability to enable spell checking feature for text entry.			
127	Demonstrate ability to provide appropriate permissions to delete revisions and/or drafts of documents immediately upon determination of usefulness.			
128	Demonstrate ability to change search result column displays, ordering and sorting characteristics.			
129	Demonstrate ability to add, delete, modify, and update user/group (role based) access and restrictions on all aspects of the application (roles should be customizable to support our organizational structure).			
130	Demonstrate ability to disable document versioning or to immediately delete previous versions upon a determination of their usefulness.			
131	Demonstrate ability to select print options, possibly drop down selections that include all documents related to the matter, specific documents, with or without attachments.			
132	Demonstrate ability to provide system security.			
133	Demonstrate ability to provide user security.			
134	Demonstrate ability to provide auditing for system changes.			
135	Demonstrate ability to provide auditing for user changes.			
136	Demonstrate ability to integrate with Active Directory for sign on purposes.			
137	Demonstrate ability to act as the single repository for all matters, tips and complaint related information.			
138	Demonstrate ability to link to a share drive for all matters, tips and complaint related information.			
139	Demonstrate ability to provide a robust document management functionality to allow check-in of documents into the system.			
140	Demonstrate ability to provide a robust document management functionality to allow check-out of documents out of the system.			
141	Demonstrate ability to provide a robust document management functionality to allow meta-data (tagging) regarding documents checked into the system.			
142	Demonstrate ability to route a matter based on its status for appropriate action.			
143	Demonstrate ability to route a tip based on its status for appropriate action.			
143	Demonstrate ability to route a complaint based on its status for appropriate action.			

DEMONSTRATION ITEMS		DEMONSTRATED		
		YES	NO	Number of Clicks Required to Complete Function
<b>Line #</b>	<b>Intake, Assessment and Assignment</b>			
145	Demonstrate ability to assign one staff member to a matter.			
146	Demonstrate ability to assign multiple staff members to a matter.			
147	Demonstrate ability to create document templates mirroring current OIG forms.			
148	Demonstrate ability to track total time worked on a matter.			
149	Demonstrate ability to track time worked by individual staff member on a matter.			
150	Demonstrate ability to track the following expenses associated with each matter including but not limited to: A Subpoena production fees; B Copying costs; and C Witness fees. D Other investigative expenses.			
151	Demonstrate ability to track the referral of matters to other agencies/organizations.			
152	Demonstrate ability to track the actions taken by the agencies/organizations receiving the referral.			
153	Demonstrate ability to use electronic signatures for approvals (e.g. approving final Memorandum of Interview).			
154	Demonstrate how an electronic signature can be validated as authentic.			
155	Demonstrate ability to use physical signatures for approvals (e.g. approving final Memorandum of Interview).			

### TIP/COMPLAINT WORKFLOW



### MATTER WORKFLOW



Attachment F - Pricing Sheet for Information Only

This price sheet is for informational purposes only and will not be used in the calculation of points awarded for price.

Provide rates for disciplines of proposer's personnel for any additional services and/or components requested by County which are not part of this Scope of Services, but may become necessary at a later time. Rates for software licenses are also requested should the County elect to purchase additional quantities. Optional services, equipment, and software includes, but is not limited to the list found below. Proposers may also include additional items as necessary. For example: third party applications.

Description	Proposed Rate	
Project Manager	\$	Per Hour
Engineer	\$	Per Hour
Technician/Installer	\$	Per Hour
Trainer	\$	Per Hour
On-Site Training (Per Day)	\$	Per Day
Software License	\$	Per Unit
System Management Software	\$	Per Unit
Third Party Application:	\$	Per Unit
Other Third Party Application:	\$	Per Unit
Other Third Party Application:	\$	Per Unit
Other Third Party Application:	\$	Per Unit
Other:	\$	Per Unit
Other:	\$	Per Unit
Other:	\$	Per Unit

### **Vendor Reference Verification Form**

Vendor is required to submit completed Reference Verification Forms for previous projects referenced in its submittal. Vendor should provide the **Vendor Reference Verification Form** to its reference organization/firm to complete and return to the Vendor's attention. Vendor should submit the completed Vendor Reference Form with its response by the solicitation's deadline. The County will verify references provided as part of the review process. Provide a minimum of three (3) non-Broward County Board of County Commissioners' references.



**Vendor Reference Verification Form**

Broward County Solicitation No. and Title:  
**TEC2114786P1; Investigative Management System**

Reference for:

Organization/Firm Name providing reference:

Contact Name:

Title:

Reference date:

Contact Email:

Contact Phone:

Name of Referenced Project:

Contract No.

Date Services Provided:

Project Amount:

to

Vendor's role in Project:  Prime Vendor  Subconsultant/Subcontractor

Would you use this vendor again?  Yes  No If No, please specify in Additional Comments (below).

**Description of services provided by Vendor:**

**Please rate your experience with the referenced Vendor:**

**Needs Improvement**

**Satisfactory**

**Excellent**

**Not Applicable**

1. Vendor's Quality of Service

- a. Responsive
- b. Accuracy
- c. Deliverables













2. Vendor's Organization:

- a. Staff expertise
- b. Professionalism
- c. Turnover













3. Timeliness of:

- a. Project
- b. Deliverables









4. Project completed within budget





5. Cooperation with:

- a. Your Firm
- b. Subcontractor(s)/Subconsultant(s)
- c. Regulatory Agency(ies)













**Additional Comments:** (provide on additional sheet if needed)

\*\*\*THIS SECTION FOR COUNTY USE ONLY\*\*\*

Verified via:  EMAIL  VERBAL Verified by: \_\_\_\_\_ Division: \_\_\_\_\_ Date: \_\_\_\_\_

## Question and Answers for Bid #TEC2114786P1 - Investigative Management System

### Overall Bid Questions

There are no questions associated with this bid.