

WEST VIRGINIA LOTTERY COMMISSION

CONTENT MANAGEMENT SYSTEM

LOT454

Technical Proposal



State Capitol Building, Charleston

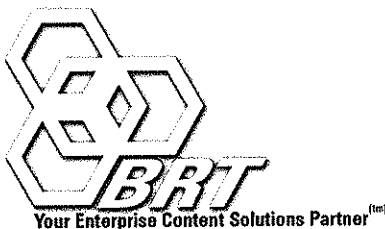
State of West



Virginia
Lottery Commission
312 Maccorkle Avenue,
SE
Charleston, WV 25314-1143

March 4, 2010

BRT, Inc.
Paul Lillwitz
39575 Lewis Drive
Suite 100
Novi, MI 48377
(248) 324-9775



RECEIVED

2010 MAR -4 A 10: 17

PROCURING DIVISION
STATE OF WV

3-3-2010

ORIGINAL

ATTN: SHELLEY MURRAY

SEALED BID

BUYER ; SHELLEY MURRAY

RFQ # ; LOT 454

BID OPENING ; 3-4-2010

BID OPENING TIME: 1:30 P.M.

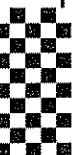
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ACQUISITION DIVISION
STATE OF WV

FROM:

PAUL LITWITZ
BRT, INC.
312.5K.4392





State of West Virginia
 Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 60130
 Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER
LOT454

PAGE
1

ADDRESS CORRESPONDENCE TO ATTENTION OF
**SHELLY MURRAY
 304-558-8801**

RFQ COPY

TYPE NAME/ADDRESS HERE

RFQ COPY

LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
 CHARLESTON, WV
 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	FOB	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: **01/28/2010** BID OPENING TIME: **01:30PM**

LINE	QUANTITY	UOF	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
<p>REQUEST FOR PROPOSAL</p> <p>THE WEST VIRGINIA PURCHASING DIVISION, FOR THE AGENCY, THE WEST VIRGINIA LOTTERY, IS SOLICITING PROPOSAL FOR A DOCUMENT IMAGING AND CONTENT MANAGEMENT SYSTEM WITH INTEGRATED WORKFLOW PER THE ATTACHED SPECIFICATIONS.</p> <p>MANDATORY PRE-BID</p> <p>A MANDATORY PRE-BID WILL BE HELD ON 01/06/2010 AT 1:30 PM AT THE WV LOTTERY HEADQUARTERS. ALL INTERESTED PARTIES ARE REQUIRED TO ATTEND THIS MEETING. FAILURE TO ATTEND THE MANDATORY PRE-BID SHALL RESULT IN DISQUALIFICATION OF THE BID. NO ONE PERSON MAY REPRESENT MORE THAN ONE BIDDER.</p> <p>AN ATTENDANCE SHEET WILL BE MADE AVAILABLE FOR ALL POTENTIAL BIDDERS TO COMPLETE. THIS WILL SERVE AS THE OFFICIAL DOCUMENT VERIFYING ATTENDANCE AT THE MANDATORY PRE-BID. FAILURE TO PROVIDE YOUR COMPANY AND REPRESENTATIVE NAME ON THE ATTENDANCE SHEET WILL RESULT IN DISQUALIFICATION OF THE BID. THE STATE WILL NOT ACCEPT ANY OTHER DOCUMENTATION TO VERIFY ATTENDANCE. THE BIDDER IS RESPONSIBLE FOR ENSURING THEY HAVE COMPLETED THE INFORMATION REQUIRED ON THE ATTENDANCE SHEET. THE PURCHASING DIVISION AND THE STATE AGENCY WILL NOT ASSUME ANY RESPONSIBILITY FOR A BIDDER'S FAILURE TO COMPLETE THE PRE-BID ATTENDANCE SHEET. IN ADDITION, WE REQUEST THAT ALL POTENTIAL BIDDERS INCLUDE THEIR E-MAIL ADDRESS AND FAX NUMBER.</p> <p>ALL POTENTIAL BIDDERS ARE REQUESTED TO ARRIVE PRIOR TO THE STARTING TIME FOR THE PRE-BID. BIDDERS WHO ARRIVE</p>						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE: *P. A. Liller* TELEPHONE: **312-5N-4392** DATE: **3-3-2010**

TITLE: **ACCT. EXECUTIVE** PERM: **38-2356520** ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'



State of West Virginia
 Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 50130
 Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER
 LOT454

PAGE
 5

ADDRESS CORRESPONDENCE TO ATTENTION OF
 SHELLY MURRAY
 104-558-8801

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LOTTERY COMMISSION

312 MACCORKLE AVENUE, SE
 CHARLESTON, WV
 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010

BID OPENING TIME 01-30PM

LINE	QUANTITY	UOP	QTY NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
BID OPENING TIME:			1 30 PM			
PLEASE PROVIDE A FAX NUMBER IN CASE IT IS NECESSARY TO CONTACT YOU REGARDING YOUR BID:						
----- 248-324-9763 -----						
CONTACT PERSON (PLEASE PRINT CLEARLY):						
----- PAUL LILLWITZ (312-515-4392) -----						
***** THIS IS THE END OF RFQ LOT454 ***** TOTAL: _____						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE <i>Paul A Lillwitz</i>	TELEPHONE 312-515-4392	DATE 3-3-2010
TITLE ACCT. EXECUTIVE	FAX 38-2356520	ADDRESS CHANGES TO BE NOTED ABOVE

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State of West Virginia
 Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 50130
 Charleston, WV 25305-0130

Request for Quotation

RFQ NUMBER
 LOT454

PAGE
 2

ADDRESS CORRESPONDENCE TO ATTENTION OF
 SHELLY MURRAY
 804-558-8801

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TYPE NAME/ADDRESS HERE

SHIP TO

LOTTERY COMMISSION
 312 MACCORKLE AVENUE, SE
 CHARLESTON, WV
 25314-1143 558-0500

DATE PRINTED 01/22/2010	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
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BID OPENING DATE: 02/18/2010 BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
NO. 1	X					
NO. 2	X					
NO. 3						
NO. 4						
NO. 5						
<p>I UNDERSTAND THAT FAILURE TO CONFIRM THE RECEIPT OF THE ADDENDUM(S) MAY BE CAUSE FOR REJECTION OF BIDS.</p> <p>VENDOR MUST CLEARLY UNDERSTAND THAT ANY VERBAL REPRESENTATION MADE OR ASSUMED TO BE MADE DURING ANY ORAL DISCUSSION HELD BETWEEN VENDOR'S REPRESENTATIVES AND ANY STATE PERSONNEL IS NOT BINDING. ONLY THE INFORMATION ISSUED IN WRITING AND ADDED TO THE SPECIFICATIONS BY AN OFFICIAL ADDENDUM IS BINDING.</p> <p style="text-align: center;"> <i>Paul A. Lilit</i> SIGNATURE BRT, INC. COMPANY 3-3-2010 DATE </p> <p>NOTE: THIS ADDENDUM ACKNOWLEDGEMENT SHOULD BE SUBMITTED WITH THE BID.</p> <p>REV. 09/21/2009</p>						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE <i>Paul A. Lilit</i> (PAUL A. LISLITZ)	TELEPHONE 312-515-4392	DATE 3-3-2010
TITLE ACCT. EXECUTIVE	FEIN 38-2356520	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'



State of West Virginia
 Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 50130
 Charleston, WV 25305-0130

Request for Quotation

RFO NUMBER
LOT454

PAGE
2

ADDRESS CORRESPONDENCE TO ATTENTION OF
SHELLY MURRAY
304-558-8801

RFQ COPY
 TYPE NAME/ADDRESS HERE

LOTTERY COMMISSION
 312 MACCORKLE AVENUE, SE
 CHARLESTON, WV
 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
02/08/2010				

BID OPENING DATE	BID OPENING TIME
03/04/2010	01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT
<p>I HEREBY ACKNOWLEDGE RECEIPT OF THE FOLLOWING CHECKED ADDENDUM(S) AND HAVE MADE THE NECESSARY REVISIONS TO MY PROPOSAL, PLANS AND/OR SPECIFICATION, ETC.</p> <p>ADDENDUM NO. S:</p> <p>NO. 1 .. <input checked="" type="checkbox"/> ..</p> <p>NO. 2 .. <input checked="" type="checkbox"/> ..</p> <p>NO. 3 .. <input type="checkbox"/> ..</p> <p>NO. 4 .. <input type="checkbox"/> ..</p> <p>NO. 5 .. <input type="checkbox"/> ..</p> <p>I UNDERSTAND THAT FAILURE TO CONFIRM THE RECEIPT OF THE ADDENDUM(S) MAY BE CAUSE FOR REJECTION OF BIDS.</p> <p>VENDOR MUST CLEARLY UNDERSTAND THAT ANY VERBAL REPRESENTATION MADE OR ASSUMED TO BE MADE DURING ANY ORAL DISCUSSION HELD BETWEEN VENDOR'S REPRESENTATIVES AND ANY STATE PERSONNEL IS NOT BINDING. ONLY THE INFORMATION ISSUED IN WRITING AND ADDED TO THE SPECIFICATIONS BY AN OFFICIAL ADDENDUM IS BINDING.</p> <p style="text-align: right;"> <i>Paul A. Lillert</i> SIGNATURE BRT, INC. COMPANY 3-3-2010 DATE </p>						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS			
SIGNATURE	TELEPHONE	DATE	
<i>Paul A. Lillert</i> (PAUL A. LILLERT)	312-515-4392	3-3-2010	
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE	
ACCT. REPRESENTATIVE	38-2356520		

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'



Shelly Murray
State of West Virginia Lottery Commission
312 MacCorkle Avenue, SE
Charleston, WV 25314-1143
Reference: RFP# LOT454

Dear Shelly,

BRT is pleased to submit the attached response to the referenced RFP LOT454 for a Lottery Commission Document Management System.

The BRT team is focused on delivering best-of-breed and information-centric solutions and bringing the knowledge and expertise of what is necessary to deliver robust, production-worthy solutions in highly intensive environments. The benefits are realized when these capabilities have been integrated with other industry-leading technologies and are deployed and supported by a competent, experienced services team.

BRT ensures that a decision for a product today continues to deliver value over the entire lifetime of the asset. We surround our solutions with services and support that are available and have been available to our clients for 25 years.

The BRT team is looking forward to working with the State of West Virginia Lottery Commission to bring them the strongest solutions possible for this important initiative. If additional information is required please contact me for all business related questions.

Respectfully submitted,

Paul Lillwitz

Account Executive
BRT, Inc.
Phone: (312) 515-4392
plillwitz@brtsi.com



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ABOUT THE BRT TEAM

About BRT

Critical to the success of this project is choosing a partner that understands West Virginia Lottery's current business objectives and their desired end-state vision. This partner should have industry knowledge, experienced resources in the desired software tools and a successful record of work in deployment of similar initiatives.

BRT's implementation team has a successful track record in leading many organizations through an initiative of this magnitude. BRT has extensive experience in integrating transactional content management solutions that leverage ApplicationXtender, Documentum and Captiva. BRT has a proven implementation methodology that takes deliverable ownership responsibility, thereby minimizing customer risk. These qualities provide West Virginia Lottery with the benefit of expertise in the following areas:

- Engaging customer leadership in developing strategy while understanding stakeholder objectives in the design, development, and deployment of the solution
- Project management experience utilizing effective tools and techniques for planning, team communication, and issue resolution
- Process redesign with role and job analysis that includes the development of planning and training solutions to ensure organizational readiness
- Integrating the client's tailored business requirements to take advantage of the software solution functionality
- An established knowledge transfer strategy, including post-implementation roles, responsibilities, and documentation

BRT is an organization of elite professionals who have developed their technical skills and industry knowledge through years of experience in providing implementation consulting services for both nationally and internationally recognized firms.

BRT is a key EMC Content Management & Archiving (CMA) implementation partner in the Midwest, with over 15 years of experience implementing CMA solutions. BRT has an extensive history delivering content management technologies in a variety of industries; including financial, insurance, government, automotive/manufacturing and healthcare.

Ford Motor Company is a prime example of BRT's capabilities in successfully managing complex content management projects for their clients. We have served as Ford's single largest provider of CMA professional services since their purchase of Documentum in 1995. BRT provides ongoing consulting, development and application support services for more than 30 individual applications governing multiple global repositories and is the primary provider of professional services in Ford's initiative to migrate and consolidate content into a centralized repository along with a new advanced capture initiative deployment.

We commit to provide comprehensive service and support for each element and every stage of this content management initiative and will educate the West Virginia Lottery Commission as to what direction or approach is in your best interest.

Our mission is to implement the most functional and cost-effective solutions to satisfy West Virginia Lottery's requirements by maximizing the utilization of their technology investments while anticipating business growth.



About Docutex

BRT recognizes the need for local expertise to support the capture portion of the requirement. To ensure that the capture portion of the requirement is adequately understood and considered, BRT has chosen Docutex Incorporated to augment their capture and conversion expertise. Docutex is a small business which specializes in backfile and day forward conversions. Docutex serves the state of West Virginia from a headquarters and production facility in Martinsburg, WV and technicians and analysts in Morgantown, WV and Charleston, WV.

Docutex was established in 1978 as the micrographics conversion service bureau subsidiary of NMS (National Micrographics Systems). Since becoming an independent enterprise, Docutex has moved into the digital imaging mainstream providing a full range of digital imaging solutions and services to its clients. Visit <http://www.docutex.com> for more information on Docutex' capabilities.

Section I. General Requirements for content management and reports management system features, implementation plan, and references

Application Creation Process

BRT, Inc. is an organization solely focused on designing and implementing document management solutions for our many clients. We have vast experience delivering solutions that are configured to meet the requirements given to the BRT team by our clients similar to the West Virginia Lottery Commission (WVLC). We also understand that every organization has differences that set them apart. As such, a key step of our implementation will be to work with the West Virginia Lottery Commission team to understand your current business processes and mold a solution to match your needs.

Our application creation process starts with consulting services. The BRT solution architects will learn from your key employees about how your business functions. We will then evaluate how your documents move through the Lottery Commission today within your various departments. BRT architects will then learn about current process inefficiencies from the Lottery Commission team along with consulting you on any inefficiency we find that you may not have been aware of. We will marry that with our years of experience to develop a specific and detailed functional plan that will be reviewed with the Lottery Commission team to make sure it meets all of your needs.

Also, our BRT solution architects will work next to the BRT and WV delivery team to make sure that the functional plan is implemented per the Lottery Commission specifications. After the solution is installed, we will work with your users to test all aspects of the system to make sure it provides the benefits to your existing processes. BRT understands that adding technology should not add additional pain rather it should supplement your existing business processes and bring time and money savings opportunities through overall efficiency gains.

BRT is joined in this proposal by Docutex, a records conversion and management company located in West Virginia that has served the region since 1978. The BRT team will work as a cohesive unit, leveraging Docutex's local resources and experience in WV State Government administration to augment BRT's project delivery and management expertise.



Retention Management

EMC ApplicationXtender provides the ability to file documents for retention using ApplicationXtender's Retention Manager solution. Documents filed for retention cannot be deleted from the repository until the specified retention period expires. Users can, however, extend the retention period by applying a new retention class or policy to a document(s) where the expiration date is later than that associated with the original retention class or policy. Retention is enforced at a file level by EMC ApplicationXtender's secure path feature.

EMC ApplicationXtender users with retention privileges can file documents for retention using:

- EMC ApplicationXtender software retention management

Retention users can apply a default retention policy to an EMC ApplicationXtender document or choose from a list of policies defined for the application, if authorized by the retention administrator.

Additionally, retention administrators can place a retention hold on a document filed for retention to prevent users from deleting it from the repository after the retention period expires.

- EMC Centera retention

Retention users can apply a default retention policy or class to an EMC ApplicationXtender document or choose from a list of policies or classes defined for the application, if authorized by the retention administrator. The EMC Centera server enforces document security, thus protecting documents under retention from being deleted prior to their expiration date. Additionally, retention administrators can place a retention hold on a document filed for retention to prevent users from deleting it from the repository after the retention period expires.

- EMC ApplicationXtender Retention Management with EMC Centera

EMC ApplicationXtender Retention Management with EMC Centera assures the immutability of information managed by EMC ApplicationXtender. ApplicationXtender Retention Management with EMC Centera supports the regulated records and litigation support capabilities of EMC Centera, including EMC Centera Governance Edition and EMC Centera Compliance Edition Plus.

With ApplicationXtender Retention Management with EMC Centera, documents are inaccessible outside of ApplicationXtender, cannot be externally altered, and are only removed from media when they reach their respective expiration dates. EMC ApplicationXtender administrators can easily configure retention policies without the need for separate management applications or interfaces, making this solution ideal for organizations that need to enforce policies for information protection and authenticity.

- Retention administration using EMC ApplicationXtender Retention Management

Retention administration is a component of records management that involves retaining information until it is permanently archived or released for disposition. For example, an



organization may be required to store a record, such as a contract, for a period of two years after expiration of the agreement. The contract document could be filed for retention at the beginning of that two-year period, or even before, by the use of retention rules utilizing this feature. Retention management also supports modifications of retention schedules in circumstances such as the placement of a litigation hold.

Security Capabilities

The EMC Content Management and Archiving product suite provides exceptional security throughout the capture, archive, processing, and retrieval processes. Security means that an organization's content—its intellectual property and currency—is protected against unauthorized access both from inside and outside the organization.

Many EMC ApplicationXtender customers are among the most security-sensitive organizations in the world and work in industries such as government, financial services, and defense.

The ApplicationXtender system provides a range of security features, allowing for flexible, easy-to-administer data protection. ApplicationXtender Admin allows you to specify credentials for various ApplicationXtender server authentication user accounts; specify a security provider for each data source; change encryption; and configure timestamps for digital signatures. Using the User and Group Security functions in the ApplicationXtender AppGen module, the WVLC can define global or application-level security settings for individual users or for groups of users. These security settings, called privileges, govern the ability of a user or group of users to access functions in ApplicationXtender. Through the Document Level Security function in the ApplicationXtender AppGen module, particular documents can be made accessible or inaccessible to groups of users based on index values attached to the documents. Annotation groups allow the WVLC to control users' access to specific annotations.

Annotation and Mark-up Capabilities

ApplicationXtender allows users to add annotations to any image or text document page. An annotation is a note or a shape added to a document page, typically to focus attention on a particular piece of information or part of the page. Users can annotate records in ApplicationXtender Document Manager, Web, or Image Capture to comment on the contents of a page, block areas of the page from view, or highlight important information. When a user creates an annotation, it is associated with the ApplicationXtender document page on which the user created it. Annotations are edited and stored separately from the image, but they are displayed along with the image in ApplicationXtender Document Manager, Web, or Image Capture.

The types of annotations available include text, highlighting, lines, arrows, shapes, and rubber stamps to name a few. Annotations can be created in ApplicationXtender Document Manager or Web and rubber stamps that have been created in ApplicationXtender Document Manager are also available to ApplicationXtender Web users. While rubber stamps cannot be created or configured within ApplicationXtender Web, as an ApplicationXtender administrator, the WVLC can edit rubber stamp security properties within ApplicationXtender Web. Rubber stamp annotations allow users to place preset and custom text annotations on a page as well as image files supported by the ApplicationXtender image library and embedded foreign files.



Print Stream Management

EMC® ApplicationXtender Reports Management (ApplicationXtender Reports Mgmt) is a Windows server-based solution designed for those who need a complete enterprise report management solution.

ApplicationXtender Reports Management lets the WVLC you convert and extract information from computer output reports and print streams and release that information into ApplicationXtender for archival and secure retention. To process or store reports, ApplicationXtender Reports Mgmt automatically extracts index values from generated print streams and imports that index information into an ApplicationXtender database for future retrieval. The source report files can also be compressed and copied to a mass storage device (such as magnetic, DVD-RAM, WORM (Write Once Read Many), erasable optical, tape, or CD-ROM media) for archiving. ApplicationXtender Reports Management also works with COLD (Computer Output to Laser Disk) reports.

A print stream file is output that would normally be destined for the printer but has been diverted to a computer file instead. The WVLC can use the ApplicationXtender Reports Management Print Stream Processor to convert AFP, Metacode, PCL, EBCDIC, EBCDIK, and non-standard ASCII print stream files without interrupting the current printing process. The ApplicationXtender Reports Management Report Processor can in turn, process these files into the repository which is the searchable by the end-users.

Additional Standard Image Manipulation Features

ApplicationXtender Image Capture provides a licensed image enhancement utility that the WVLC can use to enhance bi-tonal (black and white) images automatically as they are scanned. With the image enhancement utility, lines can be removed, pages can be realigned and de-skewed, and shading removed on documents to improve their quality. With ApplicationXtender Image Capture, options such as line removal and inverse text correction can be applied to prepare pages for optical character recognition (OCR).

BRT Response to RFP Questions (RFP Section 3.1.1)

3.1 General Requirements	Met	Not Met	Vendor Narrative
3.1.1 Content Management System Software	X		
3.1.1.1 System must be COTS based, non-proprietary, Windows based object management software with an open architecture platform.	X		The proposed solution supports this platform and standards. The BRT team and EMC understand the importance of having an open architecture and non-proprietary platform. EMC ApplicationXtender stores its data in standard database technologies, like Microsoft SQL Server and Oracle, and stores images in its SOA compliant native format.



3.1 General Requirements	Met	Not Met	Vendor Narrative
3.1.1.2 System must support 200 users, 75 users concurrently. This will be a combination of client workstations and browser clients retrieving via an intranet or the internet. System must be scalable to increase concurrency if required.	X		The proposed solution will support the number of required users. EMC ApplicationXtender supports a concurrent user license model. Customers can purchase blocks of user licenses that matches their requirements, recommended by the BRT team based on how many users will be accessing the system at one time. Having a concurrent user model vs. per-user model gives the customer some flexibility in not having to purchase a license for every user that might access the system. Instead, users share a pool of licenses.
3.1.1.3 System should have a single interface for document creation, retrieval, display, print, email, fax routing, image enhancement and indexing.	X		The proposed solution will provide a single interface for required functions. EMC ApplicationXtender provides users with full access to the central repository and services through a single interface.
3.1.1.4 System must provide for the electronic storage, retrieval, processing and routing of information (objects) such as: 1. All images, 2. Computer output reports data, 3. ODMA objects such as voice, video and word processing files, 4. Foreign files must remain in native format.	X		The proposed solution supports all required electronic object formats. Capture and ingest paper-based information and system-generated files such as spreadsheets, images, computer-aided design (CAD) drawings, and audio/video files.
3.1.1.5 System must be Microsoft Windows Server 2003 and higher compliant and certified and compliant with XP and higher desktop operating systems.	X		The proposed solution supports requested operating systems for both clients and servers. See below tables:



3.1 General Requirements	Met	Not Met	Vendor Narrative
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Table 8. Tested operating systems for ApplicationXtender servers

Operating Systems	All Servers except those at right	License Server	Workflow Server	WebJ2 Server	Web.NET Server, Rendering Server, and Web Services
Windows Server 2008 x86	✓			✓	✓
Windows Server 2008 x64	✓				✓*
Windows XP Professional (SP3) x86		✓			
Windows Server 2003 (SP2)	✓	✓	✓	✓	✓
Windows Server 2003 R2 (SP2)	✓	✓	✓	✓	✓
Windows Server 2003 R2 x64 (SP2)	✓				✓*

Table 9. Tested operating systems for ApplicationXtender clients

Operating Systems	All AX Clients & Admin except those at right	Workflow Client	Web Client
Windows Server 2008 x86	✓	✓	✓
Windows Server 2008 x64	✓		✓
Windows XP Professional (SP3) x86	✓	✓	✓**
Windows XP Professional (SP3) x64	✓		✓**
Windows Server 2003 (SP2)	✓	✓	✓
Windows Server 2003 R2 (SP2)	✓	✓	✓
Windows Server 2003 R2 x64 (SP2)	✓		✓
Windows Vista (SP1)	✓		✓**
Mac OS X 10.5x Leopard			✓***

**XP and Vista: Support all client browser features with Internet Explorer; support only thin client features with Firefox.

***Mac 10.5x: Supports only thin client browser features for Safari and Firefox.

3.1.1.6 System should support the following standard image manipulation. Verify	X	The proposed solution supports standard image manipulation features listed. EMC
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3.1 General Requirements	Met	Not Met	Vendor Narrative
support for these features and describe any additional features: 1. Zooming in and out, 2. Redaction and redaction security, 3. Cut and paste, 4. Printing only specific areas of a document, 5. Sticky views, 6. Magnifying areas of a document, 7. Rotate and pan, 8. Inverting of document pages, 9. Rubber stamp with security, 10. Document check in/check out, 11. Cascade and tiling, 12. Automatic scaling of images (height, width, fit-to-window or user defined), 13. Display black and white in grayscale, 14. Specific display fonts and print fonts.			ApplicationXtender offers a robust set of tools to help store and enhance the WVLC business documents. These tools include and are not limited to all listed requirements in 3.1.1.6.1 through 3.1.1.6.14.
3.1.1.7 System should support Microsoft .NET platform.	X		The proposed solution supports Microsoft .NET platform. With an enhanced web architecture built on Microsoft .NET framework, EMC ApplicationXtender offers simplified web deployment and advanced functionality for managing information.
3.1.1.8 System should offer an API for automatic and advanced customization capabilities if desired by the Lottery at a future time. Please confirm availability of an API.	X		The proposed solution supports API customization. API documentation is available. Multiple business application integration options, including programming-free "hot-keys", XML SOAP interface, and web customization developer's kit (CDK).
3.1.1.9 System should be capable of enabling an existing application adding value to any existing application by attaching objects to application screens or fields. System should have the ability to "image enable" host applications through internal scripting, active X, VB scripting or a SOAP/XML interface.	X		The proposed solution has the ability to "image enable" other line of business applications. Tie the EMC ApplicationXtender repository to existing business applications, enabling end users to function within familiar interfaces.
3.1.1.10 System must support central configuration for all applications and/or modules and provide for remote administration by the system administrator.	X		The proposed solution supports central administration. Remote management and monitoring services offer a central view of the application environment, enabling proactive management of application services and related resources.
3.1.1.11 System must support monitoring of processes and applications with	X		The proposed solution supports monitoring and notification. Monitor and analyze user and



3.1 General Requirements	Met	Not Met	Vendor Narrative
automatic notification of problems or issues via email and the application.			process performance with built-in reports.
3.1.1.12 THIS SUBSECTION HAS BEEN DELETED			Removed by State of West Virginia
3.1.1.13 Objects must be capable of being stored, retrieved, mailed, routed, exported, printed and faxed over any Windows-based supported network.	X		The proposed solution supports Windows-based network communication. EMC ApplicationXtender supports Microsoft Vista and Windows Server 2003, taking full advantage of Windows NT and Active Directory to offer access control, secure communications, verifiable transactions, and support for digital signatures.
3.1.1.14 System must support OLE-DB and ODBC-compliant database connections to support databases such as Microsoft SQL, Oracle and IBM DB2. Microsoft SQL Server will be the database used for this system at this time.	X		The proposed solution supports the following database protocols: ODBC and OLE-DB.
3.1.1.15 Content management solution must integrate into the instance of Microsoft SQL server currently in use at the Lottery.	X		The proposed solution will interface into existing Microsoft SQL Server instances.
3.1.1.16 System must be ODMA compliant in order to support the creation of documents and indexes direct from ODMA applications such as MS Word, PowerPoint, Excel, Word, Wordperfect, etc.	X		The proposed solution supports ODMA. EMC ApplicationXtender allows a user to save a document directly from Microsoft Word into the repository using ODMA technology. EMC also offers direct support within Microsoft Office 2007 offering document lookup features directly within Office suite applications. This product is called EMC ApplicationXtender for Microsoft Office 2007.
3.1.1.17 System must support record retention options for support of organizations records retention policies and standards.	X		The proposed solution supports record retention policies and standards. EMC Records Manager for ApplicationXtender allows organizations to create, safeguard, and access records and cost-effectively archive or destroy them according to system-enforced administrative, regulatory, or legal rules.
3.1.1.18 System should have the ability to configure retention policies using a structure that is compatible with the EMC Centera document retention interface.	X		The proposed solution support configuring retention policies that are compatible with EMC Centera. This enables the WVLC to apply automatic or manual retention capabilities such as holds, reporting, disposal, and audit trail to documents, and to utilize Centera-specific features such as replication and failover.
3.1.1.19 System must be able to write data to	X		The proposed solution supports writing data to



3.1 General Requirements	Met	Not Met	Vendor Narrative
multiple storage devices at the same time, during capture for data protection and disaster recovery.			multiple locations.
3.1.1.20 System must be able to store images and index data to EMC Symmetrix DMX which is replicated to the Lottery hot-site in White Hall, WV.	X		The proposed solution supports storing of data to an EMC Symmetrix DMX. ApplicationXtender is an EMC product providing the best level of integration with EMC storage.
3.1.1.21 System must be able to archive to EMC Centera which is replicated to a hot-site in West Virginia.	X		Utilizing <i>ApplicationXtender Retention Management with EMC Centera</i> , the proposed solution will archive to an EMC Centera. EMC ApplicationXtender provides built-in, out of the box, features for connecting and working with EMC Centera.
3.1.1.22 The document imaging solution must integrate into the existing Lottery network infrastructure. The vendor supplied solution must utilize the existing EMC SAN solution and replication technologies supplying a document imaging configuration that meets or exceeds the current Lottery business continuance standard for disaster recovery using Symmetrix Remote Data Facility Asynchronous (SRDFA). All images and data will be replicated to a hot site in West Virginia.	X		The proposed solution will integrate into existing Lottery network infrastructure. EMC ApplicationXtender will utilize existing EMC hardware, and is built to take advantage of Disaster Recovery techniques that the Lottery is already using.
3.1.1.23 THIS SUBSECTION HAS BEEN DELETED BECAUSE IT IS A DUPLICATE OF SUBSECTION 3.1.1.9.	X		Removed by State of West Virginia
3.1.1.24 Bidder must identify and provide the specifications for the servers required for optimal performance of the proposed solution.	X		Server Requirements in below table:



3.1 General Requirements		Met	Not Met	Vendor Narrative
Requirement	Detail			
Processor	<p>Minimum - Pentium 4, 2 GHZ (or the minimum CPU required to run the operating system, whichever is higher)</p> <p>Recommended - Pentium 4 HT, 3 GHZ or higher</p> <p>Dual or quad processors recommended for high-volume deployments</p>			
Available hard disk space	<p>Depending on the operating system, installation requires approximately:</p> <ul style="list-style-type: none"> • 109 MB (for ApplicationXtender Rendering Server and Component Registration) • 109 MB (for ApplicationXtender Web Services, Component Registration, Web Services Test Client, Web Services Client Code Samples, and Web Services Test Utility) • 170 MB (for ApplicationXtender Utility Services and Component Registration) • 170 MB (for ApplicationXtender RM Service and Component Registration) <p>The ApplicationXtender File Access Manager Server requires a minimum of 1 GB free space on the system partition. (Recommended - 2 GB)</p>			
Speed	Fast SCSI hard drives with access times less than 0.5 ms are recommended for best performance.			
Memory	Recommended - 1 GB of RAM			
3.1.1.25 System security will be managed by the system administrator(s) at the WV Lottery. At a minimum, access to the applications/record sets, access to documents and tasks performed in the system must be controlled by user name and password.	X			The proposed solution can be managed by a WV Lottery System Administrator. Using web-based tools, administrators can centrally configure and manage application resources such as application template and repository parameters, storage devices, and business rules.
3.1.1.26 System must be able to store a document, retrieve, display, print, email, fax, route and index from a PC client or Web based browser, without any loss in functionality.	X			The proposed solution provides a PC client or Web based browser with equal functionality.



3.1 General Requirements	Met	Not Met	Vendor Narrative
3.1.1.27 System must have a Windows look and feel and be compliant with Windows protocols such as print, fax, export and e-mail.	X		The proposed solution provides a windows look and feel and supports windows protocols. With an enhanced web architecture built on Microsoft .NET framework, EMC ApplicationXtender offers simplified web deployment and advanced functionality for managing information. Information is presented in a familiar Windows-like environment.
3.1.1.28 System should support thumbnail viewing of images.	X		The proposed solution supports thumbnail views. This provides a quick look to users of content within a document using standard Java technology.
3.1.1.29 System must support annotation and markup of documents (i.e. highlighting, sticky notes, text messages, redlining, etc.).	X		The proposed solution supports annotation features. EMC ApplicationXtender allows users to process and update information with tools for annotations and redaction.
3.1.1.30 System must support redaction of sensitive or confidential areas of documents.	X		The proposed solution supports redaction features. EMC ApplicationXtender comes with out of the box redaction tools. Redactions are easily applied to documents and secured based on a robust security model.
3.1.1.31 System must support revision control of documents and pages.	X		The proposed solution supports revision control. EMC ApplicationXtender offers version control out of the box. Document versions can easily be updated and tracked, providing the end-users the most recent version of a document. End-users are also able to view the history of a document with just a single click.
3.1.1.32 System must support replacement of documents and pages.	X		The proposed solution supports page and document replacement.
3.1.1.33 System must support viewing PDF files without launching the Adobe viewer but retain all PDF viewing capabilities.	X		The proposed solution supports PDF viewing within integrated viewer.
3.1.1.34 System should support viewing of documents in native format (CAD, JPEG, PDF, etc.).	X		The proposed solution supports viewing of documents in native format. EMC ApplicationXtender displays most common formats right within the built in viewer. If the format is not viewable in the built-in viewer, the user can still open in the native application without removing the document from the repository.
3.1.1.35 System must provide the ability to manage multiple file types in a single document, i.e. append a JPG file to a TIF file.	X		The proposed solution supports storing multiple formats in a single logical document. EMC ApplicationXtender can store paper-based information and system-generated files such as



3.1 General Requirements	Met	Not Met	Vendor Narrative
			spreadsheets, images, computer-aided design (CAD) drawings, and audio/video files within the same logical document.
3.1.1.36 System must support the ability to search and sort on any combination of index fields.	X		The proposed solution supports searching and sorting.
3.1.1.37 System must support wild card, Boolean, ranges, greater than, less than, equal to, greater than or equal to, and less than or equal to search expressions.	X		The proposed solution supports listed search requirements. EMC ApplicationXtender offers a variety of search vehicles for finding the right information accurately and quickly.
3.1.1.38 System must be able to display multiple images from one result set.	X		The proposed solution supports displaying multiple images from one result set.
3.1.1.39 System should be able to manipulate search result sets including sorting, print, export, email and realign/saving of column positions.	X		The proposed solution allows for search result manipulation.
3.1.1.40 System must support redaction of sensitive or confidential areas of documents.	X		The proposed solution supports saving queries.
3.1.1.41 System must provide the ability to search across multiple applications for a common index value and must be able to display image content from these applications.	X		The proposed solution supports searching across multiple applications. With Cross-Application-Queries, users can search for documents containing similar fields across multiple line of business repositories.
3.1.1.42 System must allow for unlimited number of imaging applications with the ability to secure any and all applications from user access.	X		The proposed solution supports up to 2048 applications for each datasource. A single EMC ApplicationXtender environment can have 1 or more datasources, providing an unlimited number of document repositories.
3.1.1.43 System must allow for building of document applications without programming or database development.	X		The proposed solution supports building new applications without programming. EMC ApplicationXtender provides tools to easily deploy document storage technologies to other departments through a wizard-like interface without any custom programming.
3.1.1.44 System should provide the ability to specify index fields as required, read only, leading zeros, part of a unique key, etc.	X		The proposed solution supports the required index features. EMC ApplicationXtender provides many different types of index field features, including required fields, user-defined lists, read-only and many more to help customize the solution to WVLC's specific needs.
3.1.1.45 System should provide validation masks to index fields to ensure proper input (AA-NNN-NNN-AAAA). The attributes of the index fields	X		The proposed solution supports index validation masks. EMC ApplicationXtender allows you to force a specific field validation mask requiring the user to enter a particular formatted value,



3.1 General Requirements	Met	Not Met	Vendor Narrative
should be user definable, including but not limited to: fieldname, length and field data type.			keeping your environment consistent.
3.1.1.46 THIS SECTION LEFT INTENTIONALLY BLANK.	X		BLANK
3.1.1.47 Computer Generated Reports	X		
3.1.1.47.1 The reports are generated on systems owned by contractors of the WV Lottery and there is the possibility that the contractor could change upon renewal of the contract. For this reason the report management software must have the ability to process advanced print streams. The remainder of the prior sentence has been deleted. At present the system must be able to process ASCII and PDF print streams.	X		The proposed solution supports processing of required report print streams. Preserve advanced formatting with support for AFP, Metacode, PCL, and PDF print streams, as well as traditional formats such as ASCII and EBCDIC.
3.1.1.47.2 THIS SUBSECTION HAS BEEN DELETED.	X		Removed by State of West Virginia
3.1.1.47.3 The system must automatically detect that a report has been generated and is ready to be processed.	X		The proposed solution supports processing reports automatically when generated. Process, index, and store reports within EMC ApplicationXtender as they are produced.
3.1.1.47.4 The system must automatically extract data from the report which will be used to index and retrieve the report.2.4.	X		The proposed solution automatically extracts data from report streams. EMC ApplicationXtender Reports Management provides a powerful and easy-to-use data extraction tool for intelligent parsing and indexing of reports.
3.1.1.47.5 System should offer compression of report prior to storage.	X		The proposed solution supports file compression. After reports are processed and extracted, they are stored in the repository compressed to the end-users specifications.
3.1.1.47.6 System should offer a data mining tool to extract data from multiple reports and create custom reports as required.	X		The proposed solution offers exporting mined data to an external database for reporting purposes. Extracted index values are used to retrieve documents within EMC ApplicationXtender and can also be exported to external systems and databases for data reporting purposes.



Section II. Capture and Electronic Forms

Features of Proposed Capture Solution

Captiva InputAccel is an electronic data capture system that enables users to capture information from virtually any paper or electronic source, transform it into usable, business-ready content, and deliver it into a variety of back-end systems. At the core of InputAccel is a server that governs all modules, client workloads, and workflow processes. The InputAccel Server drives the highest levels of productivity by identifying and bypassing bottlenecks in the workflow process. InputAccel is also completely scalable at the server level and can be expanded to include multiple servers working in unison to scale to meet any volume requirement. This server configuration also ensures that if one server goes offline, others will continue to operate, eliminating down time.

InputAccel is comprised of a variety of modules that:

- Enable distributed electronic data capture of structured, unstructured, and semi-structured documents from any scanner, fax machine, file system, or multi-function scan device within the WVLC's organization.
- Clean scanned documents using tools that remove speckles, de-skew images, adjust page orientation, and more.
- Automatically identify each document scanned based on user-defined business rules, regardless of the number of pages each document contains. Leverage optical character recognition (OCR), intelligent character recognition (ICR), and optical mark reader (OMR) technologies to extract data.
- Validate data based upon user-defined business rules and other data sources.
- Enable users to deliver validated data in a wide range of formats—including XML, PDF, JPG, TIFF, ASCII, and more InputAccel is already the solution for hundreds of globe-spanning companies, helping them collect and integrate external information into their systems.

Many of these customers have realized a complete ROI on their InputAccel installations in addition to:

- A more effective method of coordinating, validating, and assimilating incoming documents.
- High-speed functionality in electronic data capture, processing, and integration.
- An improvement in the integrity of business-critical data by removing opportunities for error.

Image Enhancement Capability of the Proposed Capture Solution

Our proposed solution will use Kofax Virtual ReScan (VRS) to enhance scanned images. VRS reduces the time involved in manual document preparation and enhances the quality of scanned images. Capturing high-quality images is critical to the rest of the document management process because image quality significantly impacts the success of data extraction, recognition, and retrieval.

Product Website Link:

<http://www.kofax.com/vrs-virtualrescan/>



➤ Perfect Images

Scanning is only half the battle. The most important part about capturing images is WVLC's ability to find, retrieve, and use them later. The superior quality of VirtualReScan® (VRS)-created images means documents are easier to index and easier to read.
Content-based Rotation

➤ Reduced Document Preparation with Content-based Rotation

No need to turn all your documents to the same orientation before scanning. VRS will automatically analyze the content of each scanned document and correct the orientation of the image on the fly. Even when scanning in duplex mode! Feed a document in all possible orientations, whether it's upside down or reversed, skewed or rotated 90 degrees right or left, VRS turns it right.

➤ Easy to Use

Scanning is simple and easy with VRS. No special knowledge of scanning, special filters, or image enhancement is required. Operators just press the scan button and VRS does the rest.

➤ Capture Color On Demand

Scan mixed batches of black & white and color documents. VRS automatically detects the documents that should be black & white from those that should stay in color. Easily capture spot color as well.

➤ Network-friendly Images

Noisy backgrounds and shaded areas are suppressed, resulting in ultra-compact image files ideal for display and rapid retrieval over your network.

➤ Intelligent Blank Page Detection

VRS is able to determine if the back side of a page contains real information, or if it is simply bleed through from the front of the page. If VRS determines that the back side is bleed through, then it deletes the image. If VRS detects real content, the image is saved.

➤ Advanced Clarity

Even the toughest documents – blueprints, wrinkled paper, security paper – are no match for VRS 4.5 Professional. The new Advanced Clarity feature in VRS 4.5 Professional offers an additional image quality option to process documents with complicated, textured backgrounds.

➤ Background Smoothing

Based on a simple setting, VRS automatically analyzes images while scanning and outputs an image with a solidified background color. This improves viewing clarity and reduces file size, making it more practical to save color documents that are part of the business process.

➤ Improved Recognition



Since VRS automatically straightens and cleans each scanned image, the accuracy of optical character recognition and handwriting recognition software increases dramatically.

➤ Scan at Rated Speed

Allows scanners to operate at their full rated speed without interruptions. All VRS features work at rated scanner speed, regardless of scan mode (black & white, grayscale, or color), or your scan application's interface (KOFAX, ISIS, TWAIN).

➤ Easy to Use Interface

One of the problems with document scanning is related to the differences between scanner user interfaces. In a mixed scanner environment, VRS provides a single, unified and easy to use interface minimizing operator training and confusion.

➤ Automatic Cropping and Deskew for All Scanners

VRS offers automatic cropping and deskew for all scanners including white background scanners. In the past, this required a black background scanner or special black background kit. Now, VRS includes automatic background cropping and deskew available on all VRS certified scanners.

➤ Eliminate Hole Punch Markings

Fills holes with surrounding page color on documents with content, improving their appearance and removing distractions for the reader. Ignores holes on pages lacking content, enhancing performance of automatic blank page deletion feature.

Describe the method of signing electronic forms and the digital certificate solution

Formatta Signing comprises a method and system for signing electronic documents or computer data collection applications, authenticating a signatory and then generating a receipt for the signatory. The solution utilizes a combination of login identification and X.509 digital certificate technology to sign the form by the signatory. The electronic document is then digitally signed using PKI technology by a server computer and presented to the signatory on a local computer so that the signatory has an electronic receipt of his/her authentication which can be presented to, recognized and trusted by the person or authority accepting the signed document. This method and system eliminates the need for more costly public key infrastructure and X.509 digital certificate issuance and revocation technology and techniques.

Formatta can add these benefits to WVLC:

- Shorten cycle times more than 50% by electronically capturing data associated with business transactions and integrating it immediately into core business systems
- Improve service to citizens, constituents, vendors, partners and employees by easily tracking, maintaining and responding to demands and requests
- Improve decision-making with accurate, more complete data for business intelligence
- Reduce costs and improved operational efficiency by eliminating manual, duplicative and in-accurate forms-based processes
- Support "green" paperless-based initiatives
- Deliver true data-driven business processing



BRT Response to RFP Questions (RFP Section 3.1.2)

3.1 General Requirements	Met	Not Met	Vendor Narrative
3.1.2 Document Capture and Electronic Forms Capture			
3.1.2.1 System must offer support for batch scanning, allowing a user to scan an entire batch of pages to be indexed at a later time.	X		The proposed solution supports batch scanning. InputAccel offers a modular design that provides a platform that is capable of handling everything from departmental to high-volume enterprise capture. InputAccel client modules work on batches in parallel, while the server balances the workload, providing the greatest processing speed and user productivity.
3.1.2.2 Batch scanning must provide support for OCR and bar code recognition. It must be possible to index scanned batches at any scanning workstation.	X		The proposed solution provides OCR and barcode reading technology. InputAccel utilizes both traditional document identification techniques – barcodes, page separators, and patch codes – as well as advanced document identification technology provided by EMC Captiva Dispatcher. InputAccel also reduces the manual data entry necessary to extract important business data from documents. InputAccel leverages multiple recognition engines – including OCR, ICR, OMR, and barcode recognition – to automatically extract data from documents.
3.1.2.3 System must offer image enhancement utilities for both bi-tonal and color images.	X		The proposed solution provides image enhancement. InputAccel provides a robust toolset at scanning and post-scanning to enhance scanned images. These tools include and are not limited to: de-skewing, aligning margins, removing lines and specks, and converting inverse text black to white. Color enhancements include changing intensity, contrast, and sharpness.
3.1.2.4 System must have the ability to capture documents from any of the scanning-enabled digital copiers and store them to the imaging system. At present all digital copiers are Konica Minolta. This could change in the future.	X		The proposed solution has the ability to capture documents from digital copiers. InputAccel interfaces with hundreds of scanners leveraging the EMC Captiva ISIS technology and works with multi-function peripheral devices and network scanners for those distributed capture environments. Documents and data are also captured from network folders, and other sources providing organizations with many different document input options.



3.1 General Requirements	Met	Not Met	Vendor Narrative
3.1.2.5 Capture solution should offer image enhancement. Bi-tonal image enhancement should allow the user to de-skew, align margins, remove lines and specks and convert inverse text to black and white. Color enhancement should allow the user to change intensity, contrast and sharpness of color images.	X		The proposed solution provides image enhancement features listed.
3.1.2.6 Successful vendor will provide scanning hardware. A minimum of 2 productions level scanners, 4 departmental scanners and 4 low-volume desktop scanners will be installed. Vendor must provide the workstation specifications for all scanners.	X		The proposed solution includes the exact scanners listed in the RFP.
3.1.2.7 Capture solutions should support document input devices (scanners, digital cameras, multi-function printers/copiers) that are TWAIN, ISIS or KOFAX compliant from the desktop or web client.	X		The proposed solution supports listed scanning protocols, ISIS being owned by the primary software manufacturer that we are recommending. EMC Captiva ISIS driver technology is used by the majority of scanner manufacturers to run their scanners.
3.1.2.8 System should allow scanning directly into the imaging/content management system from desktop scanners and from the digital copiers. The Lottery has various models of the Konica Minolta BizHub which may change in the future.	X		The proposed solution allows for scanning using either scanners or digital copiers. EMC Captiva InputAccel will ingest documents from paper using scanners, or can import electronic document formats such as PDF, Microsoft Office, and many more.
3.1.2.9 System should be able to capture local at a remote location and move on-line at a later time if the network bandwidth is not available.	X		The proposed solution provides remote scanning and network transfer technologies. Many organizations have pushed capture to remote locations. The distributed capture capabilities of InputAccel give organizations many options for scanning, indexing, or performing other capture tasks at a remote location. einput for EMC Captiva InputAccel provides a vehicle for users to interact with the capture process even if they are at a remote location. Users may scan and index from a web browser from anywhere in the world. einput uses internet HTTP connection technology to ensure fast and consistent data communication between clients and servers.



3.1 General Requirements	Met	Not Met	Vendor Narrative
3.1.2.10 System should allow for the import of images into a batch queue for indexing or direct import of images and associated indexes into the application.	X		The proposed solution offers index queues and importing indexes.
3.1.2.11 Capture solution must provide database lookup functionality so that a primary key field can be entered manually, by barcode or OCR, and other related fields will be completed automatically using information in a SQL Server 2005 database provided by the Lottery.	X		The proposed solution provides database lookup capabilities. Extracted data is validated against existing data contained in ERP, enterprise content management, or other information repositories to ensure data accuracy and reduce downstream processing errors. Custom business rules are defined using client-side scripts to direct the routing of documents, perform database lookups, and validate data at the field level.
3.1.2.12 All communication between an electronic form and a server must be encrypted.	X		In terms of Formatta's technology architecture, eForms contain multiple encryptable objects, which can be individually signed or encrypted. This flexibility allows a trusted broker, business or agency to create complex forms with elaborate security scenarios, where the form layout can be authenticated and protected, and multiple users can sign and encrypt parts of the form, the form can be securely routed among the users, and automated decryption and data extraction services can be provided by Formatta Server. All this is possible with a single form, and the users never need to exchange passwords or other security keys.
3.1.2.13 Data that is entered on the e-form will automatically update the respective Microsoft SQL database.	X		The proposed solution supports updating respective databases.
3.1.2.14 System must provide database lookup capability to allow form field completion upon the entry of unique identifiers.	X		The proposed solution provides database lookup capabilities.
3.1.2.15 Proposed e-form solution should include an easy-to-use form design tool that can be used to create a form from scratch and import a scanned paper form or PDF form. Form design tool must support the following design functions: listed from 3.1.2.15.1 to 3.1.2.15.7 of RFP.	X		The proposed eForm solution is Formatta. Formatta offers an easy, fast, affordable, and reliable solution to Business Process Optimization, including: 3 rd -Generation, e-Forms including features such as, Auto-Fill data integration, Auto-Check business rules, and Direct Data Capture. Unlike 1 st and 2 nd generation e-Forms, which



3.1 General Requirements	Met	Not Met	Vendor Narrative
			<p>are difficult to develop and costly to deploy, Formatta Forms are easy to develop, easy to deploy, and easy to use.</p> <p>Open Process Management, including features such as, Auto-Routing via your choice of email system, Auto-Signing with industry-standard digital signature technology built in, and Central Tracking for real-time process monitoring.</p> <p>Automatic Business System Integration, including industry-standard protocol support (such as ODBC and XML), an open SOAP interface, and built-in connectors to numerous business applications.</p> <p>A powerful Forms Design Tool that enables non-technical users across many industries to build their own intelligent forms. Formatta Designer provides a WYSIWYG development environment, the ability to scan and import forms for easy conversion, and point-and-click Field Automation and Data Integration.</p>
3.1.2.16 Electronic forms should be available to an unlimited number of users, preferably with no per-user charge.	X		The Formatta e-Form solution proposed is a form submissions-based solution so our clients don't have to make hefty investments in added hardware or expensive per-seat user licenses in order to streamline costs and operations. We align your predicted usage patterns and not on the concurrent or total number of users.
3.1.2.17 Users should be able to view, print and save their electronic forms locally.	X		The proposed solution offers support for the forms to be saved locally.
3.1.2.18 Upon submission of an electronic form, it should be automatically indexed and stored to the content management repository and initiate a business process workflow.	X		The proposed solution supports storing e-Forms when submitted in content management system.
3.1.2.19 Vendor should provide a secure network configuration for proposed e-forms solutions to include diagrams and necessary ports and protocols to communicate securely with the WV Lottery LAN.	X		The proposed solution will include all the necessary e-form diagrams and security information to ensure a secure integration with WV Lottery systems and networks.



Section III. Workflow Solution

Creation of Rule-Based Workflow and Ad-Hoc Workflow

EMC ApplicationXtender Workflow Manager is an advanced workflow solution and process manager and analyzer. Build on Microsoft .NET, Workflow Manager provides a platform that easily integrates with existing business applications. Workflow Manager offers complete capabilities for creating departmental and horizontal workflow solutions designed to improve efficiency in business processes.

Workflow Manager enables organizations to improve business performance and reduce costs within and across functional business units. Productivity is increased because manual, document-intensive processes—such as processes found in accounts receivables and loan origination, for example—are reduced through tools that allow a business analyst to design, test, implement, analyze, and manage automated workflows. With features including out-of-the-box workflow samples, a user-friendly Process Builder and built-in reporting and forms support, designing and managing business processes has never been easier.

By creating automated business processes with Workflow Manager, departments and/or businesses can enjoy the following benefits:

- Automated processes resulting in reduced labor requirements
- Greater visibility of process performance and bottlenecks resulting in greater efficiency
- Audit trails for both visibility and compliance requirements and initiatives

Product Website Link:

<http://www.emc.com/products/detail/software/applicationxtender-workflow-manager.htm>

Workflow Manager provides the ability to create rules-based and ad-hoc workflows. Rules-based workflows enable the creation of electronic workflow processes that mimic existing business processes. This adds transparency to the WVLC business environment and provides WVLC with the tools to react to changes and overcome bottlenecks. Business rules are easily changed and versioned, even during the course of normal business activities, without affecting existing processes.

ApplicationXtender's Ad-hoc based workflow provides a quick and easy way for end-users to route documents for review and/or approval to a single user or a group of people. ApplicationXtender Ad-hoc workflow makes workflow simple to use but gives WVLC business the important tools to improve the efficiency of your business processes.

BRT Response to RFP Questions (RFP Section 3.1.3)

3.1 General Requirements	Met	Not Met	Vendor Narrative
3.1.3 Integrated Workflow			
3.1.3.1 System must have an integrated workflow that has the ability to provide rules-based and ad-hoc document routing.	X		The proposed solution includes rule-based and ad-hoc based workflows. EMC ApplicationXtender Workflow, includes features such as out-of-the-box workflow samples, a user-friendly Process Builder and



3.1 General Requirements	Met	Not Met	Vendor Narrative
			built-in reporting and forms support. These will simplify the effort of designing and managing WVLC business processes.
3.1.3.2 System must support 75 workflow participants.	X		The proposed solution will accommodate required number of users.
3.1.3.3 System must include an application development tool that an administrator can use to design and develop business process maps, database definitions, business rules and business process roles.	X		The proposed solution includes business process development tool. Quickly model, design, and deploy process automation, integrate with third-party applications, build forms, and centrally manage business processes with the Process Builder tool.
3.1.3.4 System must have the ability to create, modify and maintain electronic workflow templates.	X		The proposed solution supports workflow templates. Workflow templates in EMC ApplicationXtender Workflow allow you to design, deploy, and change without affecting existing business process flow.
3.1.3.5 System must have the ability to add, delete or modify an object or document in a workflow task based on the users security rights.	X		The proposed solution provides a robust security model. EMC ApplicationXtender Workflow integrates with your existing Microsoft Active Directory saving time and money managing security.
3.1.3.6 It must be possible to place a job on hold and indicate the reason and duration of the hold. Other users must be able to see the cause and status of the hold.	X		The proposed solution provides workflow state changes.
3.1.3.7 THIS SECTION HAS BEEN DELETED.	X		Removed by State of West Virginia

Section IV. Vendor Qualifications

BRT References and Project Descriptions

REFERENCE #1	
Item	Response
Company Name:	ArvinMeritor, Inc.
Address:	2135 West Maple Road, Troy, MI 48084
Contact/Reference Name:	Mark Brennan
Title/Position of Contact:	Manager, Purchase-to-Pay Re-engineering
Telephone Number:	248-435-1355
Facsimile Number:	248-435-1393



Effective Date of Contract:	March 29, 2008
Duration of Services Thus Far:	Original consulting and system implementation was over the period of 6 months. They are a current services and support client.
If Contract Has Been Terminated, Reason for Termination	Initial project implementation complete. Still support client on various software maintenance agreements and a time and materials basis. They are engaging us currently for Phase 2 of their AP re-engineering project.
<p>Description of Services Provided: Various implementation and consulting services revolving around the capture, processing and storage of AP documentation. BRT installed the entire AP ECM containing various EMC software products with integrations into Oracle. Most recently, we are engaged with them to implement Phase 2 of their AP project revolving around more advanced capture and processing of data and further integrations with their Oracle ERP system.</p>	

REFERENCE #2	
Item	Response
Company Name:	Ryder Integrated Logistics, LLC
Address:	24 Frank Lloyd Wright Drive, Ann Arbor, MI 48106
Contact/Reference Name:	Lisa T. Wolstone
Title/Position of Contact:	Sr. Manager, Ryder Transportation Management
Telephone Number:	(248) 699-7707
Facsimile Number:	(248) 699-2574
Effective Date of Contract:	10/19/2007 for original SOW. Managed services agreement is renewed yearly and was effective 4/29/08.
Duration of Services Thus Far:	Original implementation duration was 180 days including all change requests to original project scope.
If Contract Has Been Terminated, Reason for Termination	Initial project implementation complete. Still support client on a managed services and time and materials basis.
<p>Description of Services Provided: Deployed a transactional-focused content management solution leveraging EMC Captiva InputAccel for automated invoice and bill of lading capture, processing and storage. The solution integrated with Ryder's legacy content management solution. BRT acted as Ryder's sole consulting and implementation partner through each phase of system deployment lifecycle into production and including training.</p>	



REFERENCE #3	
Item	Response
Company Name:	Michigan Conference of Teamsters Welfare Fund
Address:	2700 Trumbull, Detroit, MI 48216
Contact/Reference Name:	Bill Deighton
Title/Position of Contact:	Director of Information Technologies
Contact's Telephone Number:	(313) 230-0426
Contact's Facsimile Number:	(313) 964-2442
Effective Date of Contract:	We have done numerous document management projects for them over the years including a recent upgrade.
Duration of Services Thus Far:	Original consulting and system implementation was over the period of 6 months. They are a current services client.
If Contract Has Been Terminated, Reason for Termination	Initial project implementation complete. Still support client on various software maintenance agreements and a time and materials basis.
Description of Services Provided: Various implementation and consulting services revolving around the management of insurance benefits and claims documentation from Teamster Fund members. Most recently, we upgraded them to EMC ApplicationXtender 6.0 version and installed Workflow Manager 6.0 for their approval workflow needs.	

BRT Proposed Implementation Plan and Timeline Estimate

Critical to the success of this project is choosing a partner that understands West Virginia State Lottery's current business objectives and their desired end-state vision. This partner should have industry knowledge, experienced resources and a successful record of deployment of similar initiatives. The BRT team will be a partner able to recommend different options such as performing the implementation in a "phased" approach so as to change the processes in parallel to abilities of the WVLC staff to change with them. There are many aspects in this RFP where a phased approach may work better rather than an all-at-once installation. We have included upfront consulting time to make sure our suggested implementation path is in line with WVLC objectives.

BRT brings extensive subject matter expertise to the area of content management systems and process automation. BRT's implementation team has a successful track record in leading many organizations through initiatives of this magnitude. We have proven methodologies for integrating content management solutions that leverage EMC ApplicationXtender and Captiva and we take deliverable ownership responsibility, thereby minimizing risk to the Lottery Commission. These qualities provide West Virginia State Lottery with the benefit of expertise in the following areas:

- Engaging customer leadership in developing strategy while understanding stakeholder objectives in the design, development, and deployment of the solution



- Project management experience utilizing effective tools and techniques for planning, team communication, and issue resolution
- Process redesign with role and job analysis that includes the development of planning and training solutions to ensure organizational readiness
- Integrating the client's tailored business requirements to take advantage of the software solution functionality
- An established knowledge transfer strategy, including post-implementation roles, responsibilities, and documentation

The average Implementation is broken into 3 phases with each phase taking an equal amount of time based on the scope of the project:

- Phase I
 - Kickoff
 - Requirements/solution design
 - Baseline installation
- Phase II
 - Configuration / development
 - Unit test
- Phase III
 - System test
 - User acceptance test
 - Production go live

The following customer resources are expected to be engaged in the project from beginning to end:

- Main contact or project manager from the Lottery Commission
- Representation of West Virginia Lottery management and users for the following:
 - Reviewing current requirements/needs against solution capabilities for solution design and knowledge transfer
 - Training
 - Creation and execution of system and user acceptance tests
 - Establishment of application level solution ownership and support
- Representation of IT representatives for the following roles:
 - Solution subject matter experts and support
 - Reviewing current requirements/needs against solution capabilities for solution design and knowledge transfer
 - Training
 - Execution of user acceptance tests
 - Establishment of technical level solution ownership and support



➤ IT Infrastructure subject matter experts and support

- Training
- Establishment of database, server, OS, network infrastructure
- Baseline EMC software and accounts payable solution installation and support

➤ Integration solution subject matter experts and support

- Reviewing current requirements/needs against solution capabilities for solution design and knowledge transfer
- Training
- Execution of user acceptance tests
- Establishment of technical level solution ownership and support

Note: a given individual may be able to represent more than 1 role depending on knowledge, scope and timelines.

Preliminary Project Schedule

The West Virginia Lottery Commission project team and the BRT team will develop a final work schedule, incorporating the Lottery Commission and BRT team resource availability. It will also be based on the final requirements for the Document Management System that will be gathered during the project kickoff and design activities.

The following is a representative project schedule based on our past implementations and is based on information available at the time of our RFP response.

Activity	Month 1		Month 2		Month 3	
	W 1-2	W 3-4	W 5-6	W 7-8	W 9-10	W11-12
Project Launch and Coordination						
Project Requirements and Design						
ApplicationXtender install and configuration						
Captiva and Formatta install configuration and testing						
Testing, knowledge transfer and training						
Project Quality Assurance & UAT						
Production Launch Support						
Post Production Support						→
Project Management						



Ongoing Software and Hardware Support

For the purposes of this RFP, the BRT team has included and is recommending the **Enhanced support option** below due your requirements in section 3.1.4.2. BRT also recommends this option due to the availability of "case escalation" which allows for faster resolution.

- **BRT Support** – The BRT team can be available for support including via phone, remote via our help desk and on-site depending on the severity of the issue. We will assist the WVLC team in establishing an EMC Virtual and on-line Support account early in the implementation and ways to support your system with knowledge transfer from our team to the WVLC team throughout. Once established, 7 X 24 access to EMC Powerlink and eService Support Tools, including the ability to submit service requests, will be available to the WVLC team.
- **EMC Enhanced support option** — This pertains to EMC Captiva and ApplicationXtender and all modules contained in this response. Count on 24x7 remote support and access to EMC's global network of support centers for troubleshooting. Next-business day service and parts delivery empower you to perform routine parts replacement using EMC serviceability tools.
- **Formatta support option** — Gain the fastest and most comprehensive level of support which delivers 7x24, same-day, and onsite support for data centers around the globe. Choose this option if real-time response to outages and rapid onsite dispatch for parts replacement are essential to your business operations.
- **Scanner Hardware Support** – The BRT team has included the specific hardware support in our response and that includes service Monday through Friday from 8:00 AM to 5:00 PM. This includes a maximum response time of 24 hours and does not include service on holidays.

	Premium Support Option	Enhanced Support Option	Basic Support Option
Proactive Service	Root-cause analysis		
	Critical account case escalation management		
	Secure remote support monitoring for hardware		
Technical Support	24x7 hardware and software technical support and remote troubleshooting		Business hours software technical support
	Cooperative support escalation process		
Customer-managed case severity level			
Secure Self-Help	24x7 access to Powerlink eService support tools including knowledgebase, forums, and software updates as well as E-Lab Interoperability Navigator		
	Proactive, Preemptive, Mission-Critical Support	Round-the-Clock Rapid Resolution	Care Essentials for Self-Support



Administrator Training and Knowledge Transfer

BRT's experience is that culture change is much more successful when key representatives are engaged from the beginning to the end of a project. It is expected that key representatives from IT, Project Management, and the various WVLC departments who will use and/or own application or technical support participate throughout the project implementation life-cycle. The key phases for involvement and engagement are the Kickoff, Requirements/Solution Design, Training, and Testing. The BRT team's experience is that culture change is much more successful when key representatives are engaged from beginning to end and that a representation of end users who would be designated as super users / train the trainers are engaged in system and user acceptance testing. Driving to a successful handoff of the system to the WVLC team is the goal.

BRT Response to RFP Questions (RFP Section 3.2)

3.1 General Requirements	Met	Not Met	Vendor Narrative
3.2 Scope of Work	X		
3.2.1 The vendor will install and test all software to the satisfaction of the West Virginia Lottery. Testing criteria will be determined by the Lottery during implementation and will include but not be limited to 3.2.1.1 to 3.2.1.5 items.	X		This requirement is an integral part of our implementation and is a focal point that leads to the WVLC system being successful. The BRT team will test the system at numerous junctures to meet your satisfaction and per our Solution Design plan.
3.2.2 The Lottery will arrange for EMC to work with the successful vendor to integrate the proposed system with the EMC Symmetrix DMX and EMC Centera for image and data storage, archiving and business continuance.	X		BRT, as an EMC Select Services Team member, has done many implementations where we work with EMC or as an extension of EMC. We have been an EMC partner for 10 years and have interfaced with the Core/hardware side of EMC on many occasions.
3.2.3 Vendor will create and test multiple workflows for Licensing and Limited Video Lottery Security.	X		Vendor will create and test multiple workflows for Licensing, and Limited Video Lottery Security. See expanded answer in 3.2.7.
3.2.4 Vendor will configure the e-form server and create and test 13 e-forms as provided in ATTACHMENT 3.	X		Our BRT response includes time and materials to implement the e-forms solution the Agency requires as discussed earlier in this response. We have including the consulting time to implement the solution at a technical level but also have time included to look at WVLC's current forms and processes. The proposal includes all the necessary creation and testing time for the forms that the Agency requires.
3.2.5 Vendor will configure all servers to the specification of the proposed software for optimal performance and security best practices. Lottery will provide the servers with	X		The BRT team of engineers will configure the Lottery servers that will house the proposed applications based on best practices. These best practices are derived from many years of experience with many other organizations



3.1 General Requirements	Met	Not Met	Vendor Narrative
operating system installed.			similar to WV Lottery. These configurations will be tested to ensure the best possible scenarios and this is included in our response.
3.2.6 Vendor will configure two production capture workstation PCs that will be provided by the Lottery, and install and test production scanners.	X		The BRT team has vast experience with both the capture application and scanners proposed here and have successfully implemented both many times. There is an important distinction between the setup of the software and hardware where configuring the communication correctly between the two is necessary to ensure the best performance.
3.2.7 Section 2 of this RFP functions to give each bidder an idea of where the majority of the documents flow through the Lottery as of the time of this publication and is for informational purposes only because the processes may change prior to the award of the contract. SEE ATTACHMENT 5. The successful vendor must review the workflows performed by the agency after the award of the contract and analyze the workflows prior to actual implementation to verify the workflows being utilized and recommend more efficient processes where inefficiencies exist.	X		The BRT team has included the time and materials that are estimated to implement the required workflows that the Agency has deemed as important. We have also included time for our team to work with the WVLC to analyze and validate that the workflows discussed in this RFP are indeed the most efficient processes to implement. It is important to confirm that the workflows are the best choices and to create an efficient phased approach balancing time and reward, making sure that what is implemented is not overwhelming to WVLC's business.

Section V. Presentation/Demonstration

The BRT team looks forward to the opportunity to present to the West Virginia Lottery Commission with the goal to provide you the comfort level of choosing BRT for this important initiative. We have provided the answers to the requirements and questions as outlined in the Lottery Commission RFP and will answer any questions you would have if given the opportunity to present to you again. We feel total confidence in providing the WVLC with all aspects of what your requirements are and would welcome the opportunity to consult you on best practices and possible solution options if awarded this contract. The BRT team can deliver on all aspects of this initiative without the major use or influence of other 3rd party partners and we will be able to deliver all aspects of your requirements as stated here. And finally, the BRT team understands that the implementation of the Enterprise Content Management System is critically important to the WVLC. The day forward operation coupled with the backfile conversion is an ambitious undertaking. Separating the two projects might provide an opportunity to reduce costs and ensure a successful startup and operation of the new system. BRT, and our partner Docutex, would welcome the opportunity to provide the WVLC with a proposal for the backfile conversion.