



Arizona Supreme Court

Administrative Office of the Courts
1501 W. Washington, Suite 221
Phoenix, Arizona 85007

Request for Proposals

RFP 01-05

EXTRACTION, TRANSFORMATION AND LOAD (ETL) TOOL

August 10, 2001

TABLE OF CONTENTS

	<u>Page Number</u>
SECTION 1	
RFP Requirements	
1.1 Introduction	3
1.2 Proposal Schedule	3
1.3 Evaluation	3
1.4 Proposal Discussions	4
1.5 Americans With Disabilities Act	4
SECTION 2	
Instructions and Procedures	
2.1 General	5
2.2 Preparation of the Proposal	5
2.3 Explanation to Proposers	6
2.4 Submission of Proposal	6
2.5 Public Opening	7
2.6 Contract	7
SECTION 3	
Requirements and Specifications	
3.1 Current Environment	8
3.2 Purpose	9
3.3 Requirements	9
3.4 Product Evaluation	9
3.5 Compliance	10
3.6 Current Version	10
3.7 Related Services	10
SECTION 4	
Evaluation Criteria	11
SECTION 5	
Proposal Submittal Checklist	12
SECTION 6	
Standard Terms and Conditions	13
APPENDIX A	
Proposal Submittal Letter	18
APPENDIX B	
Proposal References	19
APPENDIX C	
Product Information & Evaluation Sheets	20
APPENDIX D	
Vendor Profile	35

SECTION 1

RFP Requirements

1.1 Introduction

The Arizona Supreme Court, Administrative Office of the Courts (hereinafter referred to as AOC) is soliciting written, sealed proposals to purchase and implement an extraction, transformation and load (ETL) tool that will satisfy Information Technology requirements, as well as have the ability to scale to an enterprise wide solution. The AOC is searching for a flexible and extensible ETL tool in order to process data from various sources to our Data Warehouse, facilitate the maintenance and management of complex data movements, reduce the need for customized code, effectively manage metadata, and efficiently incorporate new data feeds.

Proposals must be submitted in accordance with provisions, specifications, and instructions stated within this Request for Proposals (RFP).

Vendors who wish to submit a sealed proposal based upon the specifications and conditions in this document shall submit it by 3:00 p.m. Arizona Time, September 5, 2001, in accordance with the established schedule for this RFP.

1.2 Proposal Schedule

<u>Activity</u>	<u>Date</u>
Request for Proposals (RFP) Published	August 10, 2001
Proposal Due Date	September 5, 2001

Note: *The AOC reserves the right to alter activities and/or deviate from this schedule.*

1.3 Evaluation

Following the public opening, proposals will be evaluated based upon the criteria outlined in Section 4 of this document. The contract shall be entered into with the responsible vendor whose proposal is determined to be the most advantageous to the Judicial Branch taking into consideration the evaluation factors set forth in this RFP. No other factors or criteria may be used in the evaluation. The AOC reserves the right (prior to contract award) to inspect a vendors facilities.

The amount of any applicable transaction privilege or use tax of a political subdivision of this state is not a factor in determining the most advantageous proposal if a competing proposer located outside of this state is not subject to a transaction privilege or use tax of a political subdivision of this state.

If there are no proposers who adequately meet the AOC's specifications and/or budget, the AOC reserves the right to reject any or all proposals or parts thereof. This RFP does not commit the Arizona Supreme Court, Administrative Office of the Courts, to award any contract or to pay any costs incurred in the preparation of proposals. The AOC reserves the right to accept or reject, in whole or in part, all proposals submitted and/or to cancel this RFP.

1.4 Proposal Discussions

Discussions may be conducted with responsible proposers who submit proposals determined to be reasonably susceptible to permit a contractual agreement for the purpose of clarification to assure full understanding of, and responsiveness to, the solicitation requirements.

Proposers shall be accorded fair treatment with respect to any opportunity for discussion and revision of proposals, and such revisions may be permitted after submissions and before finalization of a contract for the purpose of obtaining best and final offers.

In conducting discussions there shall be no disclosure of any information derived from proposals submitted by competing proposers.

1.5 Americans With Disabilities Act

People with disabilities may request special accommodations such as interpreters, alternative formats, or assistance with physical accessibility.

Requests for special accommodations should be made as early as possible to arrange the accommodation.

If you require special accommodations, please call (602) 542-9329 or text telephone - TDD - (602) 542-9545.

SECTION 2

Instructions and Procedures

2.1 General

Vendors who wish to submit proposals for an extraction, transformation and load (ETL) tool shall complete all necessary documentation as identified in Section 5 of this Request for Proposals.

The specifications included in this package provide adequate information as to whether or not vendors can meet the needs of the AOC. Significant deviations from the specifications may be grounds for disqualification of the proposal.

The Rules Prescribing Procurement Policies and Procedures for the Judicial Branch (hereinafter referred to as the Judicial Procurement Rules) adopted by the Arizona Supreme Court in accordance with the provisions of Arizona Revised Statutes 41-2501.E are incorporated by reference herein and are made a part of this document as if they are fully set forth herein. Copies of these rules can be obtained from the Arizona Supreme Court Website at: <http://www.supreme.state.az.us/rfp/default.htm> or from Don Bentley, Arizona Supreme Court at the address referenced on the cover page.

The vendor has sole responsibility for any contracts or agreements made with any subcontractors in relationship to this RFP, and shall disclose all such agreements.

By submission of a proposal, the vendor certifies that:

- a. the vendor has not paid nor agreed to pay any person, other than a bona fide employee, a fee or a brokerage resulting from the award of the contract.
- b. the prices in the proposal have been arrived at independently without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such prices with any other vendor.

2.2 Preparation of the Proposal

Vendors are expected to examine all rules, documents, forms, specifications, standard provisions, and all instructions. These materials can be made available in alternative formats upon request. Failure to do so will be at the vendor's risk.

Each vendor shall furnish all information required by the RFP. The vendor should refer to Section 5 which contains the proposal submittal checklist, to ensure all required materials have been enclosed.

Time, if stated as a number of days, will be calendar days.

2.3 Explanation to Proposers

Any inquiries/questions related to this RFP are to be directed in writing to the contact person below. Any verbal or written inquiries directed to other than the contact person specified below will not be considered. All questions must be submitted by August 31, 2001 to:

Pamela R. Peet
Application Development Manager
Arizona Supreme Court
1501 West Washington, Suite 115
Phoenix, AZ 85007-3231
E-mail: ppeet@supreme.sp.state.az.us
Fax: (602) 542-9480

The question and response will be posted on the Arizona Judicial Department's website. Any explanations or clarifications given at the website will be considered added to the specifications. Interested parties must check the website at: <http://www.supreme.state.az.us/rfp>.

2.4 Submission of Proposal

Sealed proposals are due on or before 3:00 p.m. Arizona Time, September 5, 2001, to Don Bentley, Arizona Supreme Court, Administrative Office of the Courts, 1501 West Washington, Suite 221, Phoenix, Arizona 85007.

Proposals must be in the actual possession of the AOC on or before the exact time and date indicated. Post marks will not be accepted. Proposals arriving after the exact date and time indicated will not be opened and will not be considered under any circumstances.

PROPOSALS MUST BE SUBMITTED IN A SEALED ENVELOPE WITH THE RFP NUMBER AND THE VENDOR'S NAME AND ADDRESS CLEARLY INDICATED ON THE OUTSIDE OF THE PACKAGE.

All proposals must be completed in ink or be typewritten.

The vendor must submit one (1) original and six (6) copies of each proposal.

The vendor must indicate the vendor's name and the RFP number on each page of the proposal.

Erasures, interlineations, or other modifications in the proposal must be initialed by a person authorized to sign the proposal and contract.

2.5 Public Opening

A public opening of proposals shall be held on September 5, 2001 at 3:00 p.m. Arizona Time, or shortly thereafter, at the Arizona State Courts Building, 1501 W. Washington, Phoenix, Arizona, 85007, Conference Room 410.

At that time, the name of each vendor shall be publicly read and recorded. All other information contained in the proposal shall be confidential so as to avoid disclosure of contents prejudicial to competing vendors during the process of negotiation. This record shall be open for public inspection after a contract is entered into. However, where the vendor designates, and the AOC concurs, trade secrets or other proprietary data contained in the proposal documents shall remain confidential.

2.6 Contract

The offeror will submit a services agreement contract with its proposal. In addition to the vendor terms and the requirements of this RFP, the AOC will insist on the addition of the AOC's general terms and conditions to the contract. A sample of these terms can be found in Section 6.

SECTION 3

Requirements and Specifications

All proposers must complete the Product Evaluation Sheets (see Appendix C). Appendix C must be submitted as part of the proposal.

3.1 Current Environment

Server Type: S70 RS\6000
OS: AIX 4.3
Informix XPS 8.3.1

Programming Tools:

Server: Informix 4GL
Informix ESQ\LC
Unix (AIX) Scripting
DPM
SCCS

Web Application: Microsoft IIS
Informix Visionary
Crystal Reports (Web Plug-in)
Informix MetaCube Explorer (Web Plug-in)
ASP Pages

Client/Server: Informix MetaCube
Seagate Info

Database Environment:

- Currently two separate databases (aoc_dw and juv_dw)
- aoc_dw has 316 tables total and juv_dw has 135 tables total
- databases are running at 75-80 GB between aoc_dw and juv_dw
- the databases consist of warehouse tables, mart tables, and stored procedures
- the data marts are configured using a modified star schema \checkmark snowflake schema
- the databases are optimized for loading files and running large queries
- denormalized tables have been created for specific applications

Current ETL Processing:

1. Changed data is extracted from source system tables to flat files on the Data Warehouse server.
2. Informix PLOADER is used to load the flat files into working tables in the Data Warehouse.
3. Programs are run against the working files to “Upsert” (the process of either updating a record or inserting a record) into the main data warehouse tables with the changes.
4. Programs are then run to incrementally update the data marts with the “Upsert”/Deleted information.
5. The current ETL process is written in custom code.

6. The extract process pulls from the source systems on a daily basis.

3.2 Purpose

The intent of this RFP is to purchase and implement an extraction, transformation, and load (ETL) tool that will satisfy internal Information Technology requirements, as well as have the ability to scale to an enterprise wide solution. The solution will adhere to the requirements outlined in this RFP.

Application Services is looking for a flexible and extensible extraction, transformation and loading tool in order to process data from various sources to our Data Warehouse. The ETL tool will also facilitate the maintenance and management of complex data movements as well as be easily understood by new developers. The purpose for the tool is to reduce the amount of customized ETL code, help manage ETL processes and efficiently incorporate new data feeds.

3.3 Requirements

The ETL product must meet the following minimum requirements to be eligible for consideration:

- the tool must have an engine that runs on NT or AIX
- the tool must be able to process 100GB of data nightly in an 8 hour batch window
- must be able to extract, transform and load from various data sources (i.e., flat files, mainframe, tab delimited text files, FTP'd data, Excel, Access, etc.)
- must be able to support concurrent development
- support multi-record file structures (with variable widths)
- automatically capture and re-use metadata
- join multiple tables or file types in the same program
- must support multi-thread processing
- tool must create audit data & handle validity checking
- handle restartability from point of failure
- provide scheduling capabilities
- have the ability to write complex, customized functions
- the tool must have versioning capabilities

3.4 Product Evaluation

In the awarding of the contract, all of the following factors will be considered:

1. Price
2. Product functionality
 - basic capabilities of the standard modules
 - general (includes ease of use, graphical interface, etc.)
 - architecture
 - expandability of the product (flexibility to expand product use at a minimal cost)
 - training
 - service and support
3. References and reputation

3.5 Compliance

The vendor must identify all terms and conditions with which they are not able to comply. Otherwise, it is assumed that all terms and conditions as specified herein are accepted by the vendor.

3.6 Current Version

Clearly specify what version of the software product on which your response and prices are based.

3.7 Related Services

Attach a separate sheet to detail the nature and cost of other related services (such as consulting) provided by your firm.

SECTION 4

Evaluation Criteria

Proposals will be evaluated in two phases:

1. An initial review to determine the responsiveness of the proposal to the requirements of the RFP. For a proposal to be considered responsive, it must meet the following tests:
 - a. A sealed original and six (6) copies must be physically in the possession of the Arizona Supreme Court, Administrative Office of the Courts, 1501 W. Washington, Suite 221, no later than 3:00 p.m. Arizona Time, on September 5, 2001.
 - b. The proposal must be completed and contain no substantive errors or omissions.
 - c. The original and all copies of the proposal must be in ink or typewritten.
2. An in-depth analysis and evaluation based upon the following criteria and their relative importance:

EVALUATION CRITERIA

RELATIVE IMPORTANCE

Price	30%
Product Functionality (see Section 3.4 for breakdown)	55%
References & Reputation	15%

SECTION 5

Proposal Submittal Checklist

The following five (5) documents must be submitted as part of the vendor's proposal:

1. Proposal Submittal Letter (see Appendix A; use as page 1 of proposal)
2. Three references which must be users of the product
(see Appendix B; use as page 2 of proposal)
3. Evaluation Sheets (see Appendix C)
4. Vendor Profile (see Appendix D)
5. Vendor's License and Maintenance and Service/Support Agreements
6. Please identify exceptions, if any, to the terms and conditions within Section 6.

The following documentation is optional and may be submitted as part of the vendor's proposal:

1. Additional Data (any additional descriptive/narrative data the vendor wants to submit.)

SECTION 6

Arizona Supreme Court
Administrative Office of the Courts

GENERAL CONDITIONS ADDENDUM

Contractor: _____

Contract: _____ *[service type and performance dates]*

This addendum supplements and modifies the terms and conditions of the vendor contract described above between the Arizona Supreme Court, Administrative Office of the Courts, and Contractor. In the event of any conflict between the terms of the vendor contract and these provisions, this addendum shall govern. "Court" means the Arizona Supreme Court, Administrative Office of the Courts, and any Arizona court purchasing services under the contract. "State" means the State of Arizona and its departments, agencies, boards and commissions. "Contract" or "Agreement" means the contract described above, including all attachments and exhibits.

1. Prices

The prices quoted in Contractor's proposal are fixed for the term of the contract.

2. Availability of Funds

Funds may not be currently available for the Court's performance under this Contract beyond the current fiscal year. No legal liability on the part of the Court for any payment may arise under this Contract beyond the current fiscal year until and only as long as funds are made available for performance of this Contract. The Court shall make reasonable efforts to secure such funds. If the necessary funds are not made available, then the Court shall provide written notice to the Contractor and may cancel this Contract without further obligation. The Court shall not be liable for any purchases or subcontracts entered into by Contractor in anticipation of funding.

3. Confidentiality

The parties acknowledge that this Contract and supporting documents are public records subject to the requirements of Supreme Court Rule 123. Any provision requiring non-disclosure is limited to the extent necessary to comply with that rule. In the event a public records request is received for information which Contractor has designated as confidential or proprietary, the Court will notify Contractor as soon as possible.

4. Contractor's Records

To the extent required by ARS §35-214, Contractor shall retain all records related to this Contract for five years after the completion date. Contractor shall make the records available at all reasonable times for inspection and audit by the Court or its auditor.

5. Insurance

Without limiting any liabilities or any other obligation of the Contractor, the Contractor shall purchase and maintain, in a company or companies lawfully authorized to do business in the State, and rated at least "A VII" in the current A.M. Best's, the minimum insurance coverage below:

a. Commercial General Liability, with minimum limits of \$1,000,000 per occurrence and an unimpaired products and completed operations aggregate limit and general aggregate minimum limit of \$2,000,000. Coverage shall be at least as broad as the Insurance Services Office, Inc. Form CG25031185, issued on an occurrence basis and endorsed to add the State and Court as Additional Insureds with reference to this contract. The policy shall include coverage for:

--Bodily Injury

--Broad Form Property Damage (including completed operations)

--Personal Injury

--Blanket Contractual Liability

--Products and Completed Operations, and this coverage shall extend for one year past acceptance, cancellation or termination of the services or work defined in this contract

--Fire Legal Liability

b. Business Automobile Liability, with minimum limits of \$1,000,000 per occurrence combined single limit, with Insurance Service Office Inc. declarations to include Symbol One (Any Auto) applicable to claims arising from bodily injury, death or property damage arising out of the ownership, maintenance or use of any auto. The policy shall be endorsed to add the State and Court as Additional Insureds with reference to this contract.

c. Workers Compensation and Employers Liability insurance as required by the State Workers Compensation statutes, as follows:

Workers Compensation (Coverage A): Statutory Arizona benefits

Employers Liability (Coverage B): \$500,000 each accident

\$500,000 each employee/disease

\$1,000,000 policy limit/disease

Policy shall include endorsement for All State coverage for the state of hire.

d. Professional Liability Insurance with minimum limits of \$1,000,000 Each Claim (or Each Wrongful Act) with a Retroactive Liability Date (if applicable to Claims-Made coverage) the same as the effective date of this contract. The policy shall cover professional misconduct or lack of ordinary skill for those positions providing services in the Description of Work of this contract and, if a specified professional liability policy is determined to be applicable by the Court, shall include the following type(s) of Professional Liability policies:

- Directors and Officers
- Errors and Omissions
- Medical Malpractice
- Druggists Professional
- Architects/Engineers Professional
- Lawyers Professional
- Teachers Professional
- Accountants Professional
- Social Workers Professional

The State and Court shall be named as Additional Insureds as their interests may appear. The policy shall contain an Extended Claim Reporting Provision of not less than one year following termination of the policy.

e. The Court reserves the right to request and receive certified copies of all policies and endorsements at any time during the term of the contract. Upon such request, contractor shall deliver the requested information within 10 calendar days.

f. Certificates of Insurance acceptable to the Court shall be issued and delivered prior to the commencement of the work defined in this contract, and shall identify this contract and include certified copies of endorsements naming the State and Court as Additional Insureds for liability coverages. The certificates, insurance policies and endorsements required by this paragraph shall contain a provision that coverages afforded will not be canceled until at least 50 days prior written notice has been given to the Court. All coverages, conditions, limits and endorsements shall remain in full force and effect as required in this contract.

g. Failure on the part of the Contractor to meet these requirements shall constitute a material breach of contract, upon which the Court may immediately terminate this agreement or, at its discretion, procure or renew such insurance and pay any and all premiums in connection therewith, and all monies so paid by the Court or the State shall be repaid by the Contractor upon demand, or the Court may offset the cost for the premiums against any monies due to the Contractor. Costs for coverages broader than those required or for limits in excess of those required shall not be charged to the Court. Contractor and its insurer(s) providing the required coverages shall waive their rights of recovery against the Court, State, and their Departments, Employees and Officers, Agencies, Boards and Commissions.

6. Undue Influence

The Court may by written notice to the Contractor terminate the Contract if it is found that gratuities were offered or given by the Contractor or its agent or representative to any officer or employee of the Court or the State with a view toward securing a contract or securing favorable treatment with respect to the awarding or amending or the making of any determinations with respect to the performance of the Contract; provided that the existence of the facts upon which the Court makes such findings shall be in issue and may be reviewed in any competent court.

7. Conflicts of Interest

This Contract is subject to ARS §38-511 and may be canceled if any person significantly involved in initiating, negotiating, securing, drafting, or creating this Contract on behalf of the Court is or becomes an employee, consultant or agent of Contractor.

8. Disputes

Any dispute arising under the Contract shall initially be decided by the contract administrator. The contract administrator's decision may be appealed according to Court Administrative Policy 7.04. Pending the final decision of a dispute hereunder, Contractor shall proceed diligently with the performance of the Contract in accordance with the contract administrator's decision. Notice is provided of the arbitration requirements of ARS §§12-1518 and 12-133.

9. Non-Discrimination

The parties agree to comply with all applicable court, state and federal laws, rules, regulations and executive orders governing nondiscrimination, including the Americans with Disabilities Act, equal employment opportunity, immigration, and affirmative action. Contractor shall include a clause to this effect in all subcontracts related to this Contract.

10. Applicable Law

The laws and regulations of the State of Arizona shall govern the rights of the parties, the performance of the Contract and any disputes thereunder. Any action relating to the Contract shall be brought in an Arizona court.

11. Licenses and Permits

Contractor shall, at its expense, obtain and maintain all licenses, permits, and authority necessary to do business, render services, and perform work under this Contract, and shall comply with all laws regarding unemployment insurance, disability insurance, and worker's compensation.

12. Independent Contractor Status

Contractor is an independent contractor in the performance of work and the provision of services under this Contract and is not to be considered an officer, employee, or agent of the Court or the State.

13. Payment

Contractor shall submit a detailed invoice for services rendered at the conclusion of the work or at such other time as may be specified in the Contract. Documentation, where appropriate, must accompany each invoice submitted. Court will provide the Contractor with a contract number and the Contractor will reference the number on all invoices. Court shall process and remit payment to Contractor within 30 days of the date of receipt of Contractor's statement or invoice.

14. Y2K Compliance

Contractor represents and warrants that any equipment, software or services provided pursuant to this Contract are millennium compliant. "Millennium compliant" means that the equipment, software or system a) allows for the input of all dates in a four-digit format; b) provides date output in a four-digit format; c) accommodates same-century and multi-century date-related formulas and calculations (including leap-year calculations); d) functions accurately and without interruption before, during and after January 1, 2000, and e) responds to two-digit date input in a way that resolves any ambiguity as to the century in a disclosed, defined and predetermined manner, as provided in the system specifications.

15. Criminal History Check

The Court may require Contractor to provide identifying information for Contractor and any individuals working in judicial facilities or having access to judicial information for the purposes of conducting a criminal history records check for security purposes. Contractor agrees to cooperate with such requests and understands that the Court may terminate this Agreement if the results of the criminal history records check would disqualify the Contractor or individual and there is no acceptable alternative.

16. Amendments and Waivers

Amendments to the Contract shall be in writing and shall be signed by all parties to the Contract. To the extent that any amendments to the Contract are in conflict with the basic terms and conditions of the Contract, the amendments shall control the interpretation of the Contract. No condition or requirement contained in or made a part of the Contract shall be waived or modified without a written amendment to the Contract.

APPENDIX A

Proposal Submittal Letter

Mr. Don Bentley
Arizona Supreme Court
Administrative Office of the Courts
1501 W. Washington, Suite 221
Phoenix, Arizona 85007

Dear Mr. Bentley:

In response to your Request for Proposals (RFP) number 01-05, please accept the following:

In submitting this proposal, I hereby certify that:

1. the RFP has been read and understood;
2. the materials requested by the RFP are enclosed;
3. all information provided is true, accurate, and complete to the best of my knowledge;
4. this proposal is submitted by, or on behalf of, the party that will be legally responsible for service delivery should a contract be awarded.

Signature of Authorized Official

Date

Name of Signatory: _____

Company: _____

Title: _____ Phone: _____

Address: _____

Federal Employer ID# or SSN# _____

APPENDIX B

Proposal References

Vendors shall provide at least three (3) references of users who are utilizing the product proposed (Phoenix or Tucson metropolitan areas preferred). Please provide the following information for each reference:

Client Name: Identify the name of the client or site as appropriate.

Contact Name: Identify who the point of contact at the client or site should be.

Contact Information: Provide the address and telephone number where the client or contact can be reached.

	<u>Client Name</u>	<u>Contact Name</u>	<u>Contact Information</u>
1.	_____	_____	_____
	_____	_____	_____
2.	_____	_____	_____
	_____	_____	_____
3.	_____	_____	_____
	_____	_____	_____

APPENDIX C

Product Information & Evaluation Sheets

Competitive pricing must be included for all products and services needed to satisfy the requirements detailed in Section 3. These evaluation sheets will be used to compare vendors product and service offerings. **Vendors will only use these sheets or a facsimile of these sheets.**

Respond to all of the following questions with reference to your currently available standard product. Make note of any features which will only be available in your next release and state the expected date when this release will be available. Also note if any features are handled outside the standard product by additional modules and if they must be purchased separately. If any additional modules are needed, please list the purchase price in the Cost/Pricing section.

Indicate compliance to each requirement. Fully, partly or not compliant. Explain any requirement that you do not mark as “fully” compliant.

Provide short written answers where applicable.

C.1. Extraction, Transformation and Loading Tool Capabilities

Description	Fully	Partly	No	Comments
1. Does your product have an engine which runs on NT or AIX?				
2. Can the tool process 100GB of data nightly in an 8 hour batch window?				
3. Can your product extract, transform and load from various data sources (i.e., flat files, mainframe, tab delimited text files, FTP'd data, Excel, Access, etc.)?				
4. Does the tool support concurrent development?				
5. Does the tool support multi-record file structures (with variable widths)?				
6. Can the tool automatically capture and re-use metadata?				

Description	Fully	Partly	No	Comments
7. Does the tool join multiple tables or file types in the same program?				
8. Does the tool support multi-thread processing?				
9. Can the tool create audit data and handle validity checking?				
10. Does the tool handle restartability from the point of failure?				
11. Does the tool have scheduling capabilities?				
12. Does the tool have the ability to write complex, customized functions?				
13. Does the tool have versioning capabilities?				
14. Can processing be done in a set based rather than a cursor based process?				
15. Can your product support 3 or more simultaneous job flows?				
16. Does the tool allow multiple developers to work in the same Job Flow simultaneously?				
17. Does the tool provide version control?				
18. Can the tool be used with external triggers to initiate job runs or job flows?				
19. Does the tool allow the administrator to set different levels of security for each developer or user?				
20. Does the tool support restartability of jobs?				
21. Can the tool schedule jobs based on time?				
22. Can the tool trigger a job based on a system event?				

Description	Fully	Partly	No	Comments
23. Does the tool support job interdependency?				
24. Does the tool provide centralized job monitoring?				
25. Does the tool support in-stream processing of FTP'd data?				
26. Is parallelism supported?				
27. Is clustering supported?				
28. Does the tool utilize an object oriented approach to development?				
29. Does the tool utilize a Save As feature?				
30. Can a graphical job flow be created?				
31. Does the tool have a job scheduler?				
32. Can metadata be automatically captured from the job flow and be brought into the repository?				
33. Can the job flow be printed directly from the tool?				
34. Can a subset of the input records be selected?				
35. Does the tool support incremental load processing?				
36. Can the product support match/merge processing of flat files and tables?				
37. Can record level redefines be processed?				
38. Does the tool handle primary and foreign key relationships?				
39. Is it possible to see and tune/edit the SQL the tool is generating against the database?				
40. Can specific fields be defined and the product automatically generate filler for undefined segments of records?				

Description	Fully	Partly	No	Comments
41. Does the tool support user defined field formats?				
42. Does the tool automatically handle EBCDIC to ASCII conversion?				
43. Can the product identify new records?				
44. Can the product identify updated existing records?				
45. Joining multiple tables or file types in the same program: Can the product join data fields from two different physical files into a single, logical unit of information?				
46. Does the product have a common data manipulation language (DML) so the developer will not need to learn the rules and syntax of each database management system?				
47. Does the tool support star schema modeling?				
48. Many to one mapping: Does the product provide the capability of populating a target field from several sources?				
49. Many to many mapping: Can the mapping that is described above be used across multiple targets in a single program?				
50. One to many mapping: Can a single input field be used across multiple targets?				
51. Conditional mapping: Can Case or If logic be used to specify mapping that is conditional, based on values from input files, working storage field values, system maintained field values and any values coded directly in a program?				
52. Can "n" number of fields be concatenated in a mapping to match the key(s) of other source input files/tables?				

Description	Fully	Partly	No	Comments
53. Does the product support all standard arithmetic operations to perform calculations?				
54. Can standard relational (EQ, NE, LT, GT, LE, GE) and Boolean (AND, OR, mixed) operators be used to construct commands in support of value comparisons and processing?				
55. Does the product support any special range operators, such as IR (in range) and NI (not in range), and equality lists to provide value comparisons?				
56. Can the product automatically add a century number to dates without one, based on developer defined rules?				
57. Does it handle automatic translation between different standard date structures (Julian, Gregorian, etc.)?				
58. Is the tool compatible with proprietary and "home-grown" date formats?				
59. Can the product automatically verify the contents of a field defined as a date-type field to ensure that it is a valid date and automatically convert the field to whatever format is necessary for logical and arithmetic operations and output?				
60. In the event of an invalid date, can the tool automatically error out the record and write it to a suspend file?				
61. If there is an error, is there an option to continue to process the record, error it out, or stop the run (ABEND)?				
62. Can existing rules be easily coded through dialog boxes?				
63. Can the tool support an unlimited number of individually defined output files?				

Description	Fully	Partly	No	Comments
64. Does the tool allow programs to use parallel processing?				
65. Is the code that the tool generates readable?				
66. Can the tool handle complex, nested IF (or CASE) statements with data lookups?				
67. Is there any limit to the number of individually defined error reports in a single program?				
68. Can each error report be defined with a unique set of specifications (page size, title, column headings, etc.)?				
69. Does the tool fully implement all field characteristics of the target database management system?				
70. Can a user exit be defined and called from a program?				
71. Can a business rule be reused across programs and subject areas?				
72. Can a user exit be reused across subject areas?				
73. Can an internal table be populated and accessed?				
74. Can custom code be used in the tool?				
75. Can custom SQL be used in the tool?				
76. Does the tool provide the capability of a codeless engine?				
77. Does the tool do automated run balancing?				
78. Does the tool support automatic synthetic key generation?				
79. Does the tool support transformation reuse?				
80. Can user defined functions be created and integrated in the tool?				

Description	Fully	Partly	No	Comments
81. Does the tool support various types of aggregation processing?				
82. Does the tool utilize a multi-threaded architecture?				
83. Does the tool support a Server environment?				
84. Can the generated code be executed on the Server?				
85. Does the tool support a Client environment?				
86. Can the generated code be executed on the Client?				
87. Can the tool read directly from Informix tables?				
88. Can the tool directly write to Informix tables?				
89. Can the tool update an Informix table as efficiently as writing custom SQL?				
90. Can the tool directly interface with the Informix bulk loader?				
91. Does the tool allow the developer to use all of the functions of Informix's bulk loader?				
92. Can the tool read directly from DB2 tables?				
93. Can the tool directly write to DB2 tables?				
94. Can the tool update a DB2 table as efficiently as writing custom SQL?				
95. Can the tool directly interface with the DB2 bulk loader?				
96. Does the tool allow the developer to use all of the functions of DB2's bulk loader?				
97. Can the tool directly read from IMS tables?				
98. Can the tool directly read from VSAM files?				

Description	Fully	Partly	No	Comments
99. Can the tool directly read from indexed VSAM files?				
100. Can the tool read fixed length files?				
101. Does the tool support delimited files?				
102. Can the tool read variable length files?				
103. Can the tool pull data from Access?				
104. Can the tool pull data from IIS web server logs?				
105. Can the tool pull data from Apache web server logs?				
106. Does your tool integrate with IBM MQSeries?				
107. Can the product utilize XML formats?				
108. Can the tool pull data from ERP systems (such as PeopleSoft, SAP, Oracle Financials)?				
109. Does the tool support native connectivity to the server?				
110. Does the tool support source record locking while extracting and loading?				
111. Does the tool support target record locking while extracting and loading?				
112. Does the tool support logging of rejected records or files?				
113. Does the tool support ODBC connectivity?				
114. Does the tool support import and export for ERwin, Visio and PowerDesigner?				
115. Does the product support transaction integrity rollback?				
116. Can logged activity be archived?				

Description	Fully	Partly	No	Comments
117. Does the tool support metadata capture?				
118. Does the tool capture transformation rules?				
119. Does the metadata repository support impact analysis?				
120. When a business rule is coded is the metadata captured?				
121. Can manual entries be made to the metadata?				
122. Can the metadata be exported in HTML format?				
123. Can the metadata be exported in XML format?				
124. Can the metadata be extracted in tab, comma or space delimited format?				
125. When a production run occurs is audit information captured? The audit information would display the run status, CPU time of run, clock time of run, and table load times.				
126. Does the tool authenticate to target data structures?				
127. Does the tool have auditing capabilities?				
128. Does the tool authenticate to mappings?				
129. Does the tool authenticate to source data structures?				
130. Does the tool support versioning for mappings, sources and targets?				
131. Does the tool authenticate to the metadata repository?				
132. Does the tool allow for pre-session and post-session commands?				

Description	Fully	Partly	No	Comments
Supported Hardware / Operating Platforms:				
DEC Alpha				
Bull System Mainframe				
Hewlett Packard				
IBM				
MVS				
Tandem				
SAS				
Linux				
Novell				
AS/400				
Windows				
AIX				
OS2				
Unix				
Sun Solaris				
Sequent				
NCR				
NUMA Architectures				
SMP Architectures				
MPP Architectures				
Cluster Architectures				

C.2. General

1. Describe the installation process. Include expertise required and timelines.
2. Describe how you would integrate a 3rd party tool into your current ETL tool suite.
3. What connectivity standards does your product adhere to? (e.g. ODBC, Novell, IPX/SPX, TCP/IP, SNMP, etc.)
4. What skill set is required for developers to begin use of your product? What specific training is required for developers?
5. Describe how your solution can measure and monitor transactions. Describe the formats used to extract the measure and monitoring transformation data.
6. What is the maximum size of the input files the tool can process?
7. What is the maximum amount of rows the tool can process?
8. How does your solution identify which application transactions, and/or components in the infrastructure may be contributing if there is a bottleneck or slow response time?
9. If the Data Warehouse uses the “slowly changing dimensions” concept, how does the tool support appropriately updating dimensional attributes?
10. How well does the tool support testing and debugging while in development?
11. Describe the impact your ETL tool would have on our current environment.
12. What language(s) does the tool generate?
13. What target database brands can the tool operate against (i.e., Oracle, DB2, Sybase)?
14. What are the programming languages supported for custom code?
15. Does the tool support integration with the popular Business Intelligence front end tools? If so, please list.

16. Does the tool support integration with the popular back end CASE tools? If so, please list.
17. List the flat file delimiter types supported.
18. Is parallel processing supported? If so, please explain how.
19. What happens if two developers attempt to make changes to the same routine or transformation object at the same time?
20. How does your tool execute dependent and sequential job streams?
21. How does your tool recover from a failed job?
22. How flexible is the error condition testing? How are errors logged?
23. If the tool is multi-threaded, is the threading unlimited or set within the product?
24. How is parallelization achieved?
25. Please describe the general procedures to make changes to developed jobs or routines?
26. What is your historical frequency of new releases?
27. How long should it take to implement our first production processes?
28. How long is the typical learning curve for a developer on your tool (please estimate to the point of effective use of the tool, not just through the end of training)?
29. Are there any incompatibilities with any other software typically run on servers (backup software, virus scanning software, etc.)?
30. What form of documentation does the tool generate?

C.3. Audit Capabilities

1. How is the audit data collected?
2. Describe how and where the audit data is stored.
3. Are the events and performance data collected into a single repository?
4. Are there parameters used to specify how long to retain the data? If so, please describe.
5. Does the product come with any audit reporting functions? Are the audit reports customizable?

C.4. Cost/Pricing

1. Please supply a price quote with a detailed breakdown of the product components required to provide the solution you are proposing based on the following:

One (1) S70 RS6000 Database Server to run AIX 4.3 and (2) Informix 8.3 Server Engines. Server licenses must be transferable between servers regardless of OS and server size without any additional fees.

2. List base licenses & fees.
3. List additional modules and/or third party modules. (List availability with price for each). Is it necessary to purchase additional hardware or software components in order to effectively utilize this tool?
4. List additional licenses and fees.
5. List implementation and installation costs.
6. List maintenance options and duration of these options.
7. List manuals, documentation and media costs.

8. Describe all support methods and processes (e.g. phone line, faxback, Internet log etc.) available for your product. Also include all levels of support available, describe the levels of support and all costs associated with each level. Are there any additional costs incurred for support outside of regular business hours? Is the first year of support and maintenance included with the purchase price?
9. What future software costs will be incurred to receive upgrades from the vendor?
10. Do you perform consulting in planning the design and implementation of the ETL tool? If so, please describe and provide pricing.
11. Do you provide consulting in customization and implementation strategy of ETL solutions? If so, please describe and provide pricing.
12. Describe the training that is available, suggested training and costs. Include how and where training can be obtained.

C.5. Architecture

1. List and describe the server operating systems on which your product can be run. (e.g. Solaris, AIX, NT ...)
2. Is your product Year 2000 compliant?
3. Describe the development environment supplied with your product.
4. Please provide a suggested implementation approach based on the minimum requirements specified in section 3.1 of this RFP. What are the minimum and recommended hardware requirements for the solution? Please indicate what assumptions have been made in recommending these configurations.

C.6. Performance

1. What are the possible impacts on the components or source systems that feed the ETL process?
2. Describe the possible impacts the solution could have on infrastructure components?
3. List all known hardware incompatibilities.

C.7. Service & Support

1. Is support provided directly from your company or through a third party?
2. Describe the hours of support available?
3. Describe the process for support outside of regular business hours?
4. What is the average response time to problems? Is there a response time guarantee?
5. Describe problem determination, resolution procedures and tools utilized.
6. List any partners or vendors that would have expertise with your product? (e.g. certified consultants, re-sellers)
7. Describe the process that is used to determine the contents of a new release. Do customers have direct input?
8. What policies or philosophies are adhered to in the creation of a new release? (e.g. Backward compatibility incorporated, migration/conversion modules supplied, etc.)

APPENDIX D

Vendor Profile

(Information can be on a separate sheet)

What is the physical address, mailing address, phone number, and fax number of your company's main office?

Who in your company will be our primary point of contact during the proposal evaluation process?
(Please provide name, title, direct phone number, fax number, and mailing address)

Who in your company is authorized to negotiate a contract with us? (Please provide name, title, direct phone number, fax number, and mailing address)

Provide a brief history of your company.

Number of years the product has been in production use.

List any/all third party alliances, in relation to this product, and how they are associated.

Comment on any partnership(s) with other vendors.

Indicate the total number of employees in your company and their distribution by function.

Provide most recent annual report and financial statements.