



26 May 06
Addendum # 3

RFP # B06338: Records Storage & Retrieval Services (MPA # 163)

Submission Deadline: 27 June 06 @ 2:00 PM (EDT)

- **Please note the changes, or amendments, indicated in this addendum to RFP B06338**
- **Vendor questions / State responses are released for review**
- **No further questions shall be entertained.**

A handwritten signature in black ink, appearing to read 'Jerome D. Moynihan', is positioned above the typed name.

Jerome D. Moynihan, C.P.M., CPPO
Administrator of Purchasing Systems

RFP #B06338 – Amended Requirements

1. Page 2: Section 3B – Scope of Work – Electronic Records Storage – Requirements B

This section begins on page 17 not 15 as specified in the original document.

2. Page 9, Paragraph 1 (first full paragraph) is replaced by the following:

Boxes damaged during transfer from the State's current vendor to the new vendor's facilities will be replaced by the new vendor at no cost to the State. Assumptions regarding potential costs for repairing this damage must be clearly identified and itemized in the vendor response. Should such damage occur, a report shall be furnished by the new vendor to the Public Records Administration detailing which boxes were damaged and replaced.

3. Page 9, the following paragraph is inserted into the RFP after Amended Req #2 (above)

If the award for paper records storage is awarded to a new vendor, the State will be faced with a permanent out fee, from the current vendor, of approximately \$84,500. Please indicate whether your company will assume this up-front cost, and please itemize how the assumption of this cost will be amortized in the storage price over time.

4. Page 13, Requirement 4.1.2. The requirement is replaced by the following:

4.1.2. The relative humidity of the facility used to store records must be no greater than 50%.

RFP #B06338 – Email & Pre-Bid Conference Questions/Answers

Group 1 – Overview

General/Procedures

1. What is the award date?

At this point, the award date is to be determined. After all proposals have been submitted, the State will be in a better position to determine an award date.

2. Please clarify multiple vendors - paper vs. digital?

The State reserves the right to award the contract(s) to multiple vendors under each category (paper and digital). This means that a potential exists for more than one vendor in each category.

3. Can we request an extra two weeks to respond to the bid?

The request has been noted, taken under advisement and the submission deadline date has been extended to June 27, 2006.

4. How much of this bid is predetermined?
Absolutely none! The request for proposals was written with the sole intent of soliciting competition and finding vendor solutions. The philosophy of purchasing is to promote fair and open competition. Moreover, based on the amount of preliminary interest via email questions and the pre-bid conference, the State will be required to invest substantial resources and time on evaluating proposals on this statewide initiative. The outcome of the award will be based on a comprehensive and fair review of all vendor proposals, completed by a diverse group of State employees.
5. Can you send in email questions after the pre-bid conference?
Not unless a determination is made to re-open the questioning. Any changes will be outlined in an addendum posted on the State Purchasing web site at: <http://www.purchasing.ri.gov>
It is the vendor's responsibility to monitor the web site for any changes.
6. When / where will the responses to these questions be posted?
Question responses will be posted as an addendum to RFP document on the State Purchasing web site at: <http://www.purchasing.ri.gov>
7. Will we receive further clarification of answers to pre-bid questions that are unclear?
Unless the questioning period is re-opened, there will be no further communication regarding clarification on the questions.
8. In order to attain the cost savings goals for Rhode Island and the Governor's Fiscal Fitness team, it would be helpful to understand these goals in detail. Could you please describe:
- a. What are the forecasted cost savings to Rhode Island as a result of having a vendor performing the work described in Section 3A?
Through the interest of competition, and contract expiration after 14 years with the same vendor, the State believes that there are savings to be mined by having a vendor(s) bid for the work described in Section 3A. Forecasted savings will be better calculated once the bids are submitted and the proposals are evaluated.
 - b. What are the forecasted cost savings to Rhode Island as a result of having a vendor performing the work described in Section 3B?
Through the interest of technology, the State believes that there are savings to be mined by having a vendor(s) bid for the work described in Section 3B. Forecasted savings will be better forecasted once the bids are submitted and the proposals are evaluated.
 - c. Any other indirect secondary areas where the state believes costs savings would be possible?
Yes, the State believes that cost savings will be generated in ancillary and/or secondary area once the new contract(s) are implemented.
9. RIVIP Certification Form Section 3 states "Award will be made to the responsive and responsible offeror quoting the lowest net price in accordance with specifications". Section 1 of the RFP states "The state reserves the right to award to multiple vendors

under each of the categories above.” Should Certification Form Section 3 be read to mean “offerors”, or should vendors disregard the statement from Section 1?

There is no conflict, “award will be made to the responsive and responsible offeror...”, at the same time the State reserves the right to award to multiple vendors.

10. In Section 3A, under the Detailed Requirements for Physical Records Storage, sections entitled “Item Description” and “Price Schedule” are listed and include detailed accounts of how to itemize and price services. However, for Section 3B under Detailed Requirements for Electronic Records Storage, the sections “Item Description” and “Price Schedule” do not exist. Is it possible to obtain these two sections related to pricing methodology for electronic records storage? If this is not the desired scenario, would it be acceptable for respondents to create their own pricing template as they see fit to assign costs for related electronic record storage services?

Please design a pricing template as you see fit, however the State is looking to understand the costs in as much detail as possible. Please refer to the Cost Proposal question on page 6 for the areas to be addressed. The requirements in each section must be addressed, however any potential costs, not specified in the requirements, should also be addressed. After review of the initial proposals, the State reserves the right to negotiate price with any and all vendors as well as issue a pricing template for additional responses.

11. Is there a mandatory use component?

State law requires that records not needed by an agency in the transaction of current business, but which are not yet eligible for destruction, shall be sent to the records center.

12. Since this is an MPA, there is no guarantee of volume going forward. As a result, the vendor will face significant risk from start-up costs and fixed costs before providing any services. This risk can be lowered if one or more state agencies agree to use the MPA contract for their imaging. Are any state agencies prepared to immediately begin work once the MPA process is complete?

Yes, there are State agencies prepared to move forward with a project once the contract(s) is/are awarded. Additionally, many agencies have expressed a significant interest and it appears there will be a substantial volume if a viable solution is put in place.

13. Can bidders bid on all or part of the RFP? If so - how do you do comparative analysis?

As stated on page 6 of the RFP, bidders have the option of presenting proposals on either Section A or Section B, or for both Section A and Section B. If a bidder submits proposals for both Section A and Section B, as noted on page 21 (Proposal Submission), the bidder must submit a separate proposal for each of the sections. Please clearly identify the section on the submission package. All proposals will be evaluated and compared based on the criteria stated on page 24 of the RFP.

14. The tail-end of the RFP provides criteria that determine that 25% of the evaluation will be based on cost of digital archiving - how do you rectify the apples to oranges comparison in digital archiving - will you be providing an addendum to the RFP?

In addition to the cost criteria, the RFP will be evaluated on three other major criteria. Realizing the complexities involved in evaluating the digital archiving proposals, the

state reserves the right to contact and meet those vendors under consideration for award in order to perform further evaluation. As part of the process, the State may negotiate price with any and all vendors as well as issue a pricing template for additional responses.

Records Policy / Protocol

15. Could you please provide a copy of the state's current records retention policy and any state-wide requirements for electronic records that could impact the scope of services provided?

Information regarding the State's records retention policy is available on the Secretary of State's web site at <http://www.sec.state.ri.us/Archives/prs/index.html>

Additionally, the Secretary of State's Public Records Administration will be promulgating a regulation on the Making and Management of Imaged Public Records. The proposed regulation will be available on May 31st on the aforementioned web site. The regulation may be subject to future amendment in response to changes in technology.

The proposed regulations will require that master imaged files be created as TIFFs, as is the practice in other states and the federal government. Other formats such as GIF and JPEG may also be used as image formats.

16. Could you please provide copies of all current agency-specific records retention policies?
Copies of all approved agency-specific records retention schedules can be viewed at the Rhode Island State Archives, 337 Westminster Street, Providence, RI.

17. Is it necessary to have retrievals/re-files processed through the Public Records Administration? Would the State consider an alternative?
State law (RIGL 36-3-6 (c)) requires that records not needed by an agency to conduct current business be sent to the Records Center, under the purview and jurisdiction of the Public Records Administration.

18. Please also provide any agency-specific requirements for electronic records that could impact the scope of services provided.
Agency-specific requirements for electronic records will vary, however as a cross-section of State Agencies contributed to the RFP content, the requirements outlined in the document will cover the high-level requirements needed by State Agencies. Please keep in mind that the state is looking for a menu of services. These services may include encryption, data-recognition and a simple image database.

19. Are there policies in place that identify the document retention and destruction criteria, or will these need to be developed? Additionally, are there SLOs in place that determine accessibility requirements (online versus offline)?
Please refer to Question #15 in this section (Group 1).

20. If the retention value of records is greater than 10 years, will the State require creation of microfiche backups before destruction of records?
The Secretary of State's Public Records Administration will be promulgating a regulation on the Making and Management of Imaged Public Records. The proposed

regulation will be available on May 31st at the following website:
<http://www.sec.state.ri.us/Archives/prs/index.html>

Pricing

21. What are the permitted out-fees to existing vendors?

The current Records Storage contract allows for a permanent out-fee of \$1.00 per box. Please itemize any costs that are included in the proposal. For example, if a vendor is willing to assume this up-front cost, please indicate the corresponding affect on the storage cost and how this cost may be amortized over time.

22. We need additional data per cost of box to figure pricing.

Pricing for your proposal must be done as best as possible utilizing the requirements specified in the RFP document and associated amendment(s).

Records Volume

23. What are the number of withdrawals and refiles / retrievals allowed per year - is there a maximum?

There is no limit on the number of withdrawals, refiles or retrievals allowed per year. Vendors are encouraged to identify the cost of refiles and retrievals based upon various volume assumptions and/or scenarios.

24. What is the volume of paper and digital records going forward?

The volume of paper and digital records moving forward cannot be provided at this time. For paper records during calendar year 2005, a total of 13,073 boxes or files were retrieved and refilled, or interfiled. Please refer to Appendix A (at the end of this document) for detail by agency/account.

During the period of January 2005 through April 2006 a total of 10,012 new boxes of paper records were sent for storage. Please refer to Appendix B (at the end of this document) for a monthly volume breakdown. Please also note that 7,899 boxes were destroyed during the same time period.

In addition to the figures provided above, there are many records kept in an agency's possession (paper format) that could instead be immediately scanned as part of a new business process.

Geographic

25. If records are stored outside of RI - how long a distance will be permitted as a means to factor in costs?

As the State is looking for solutions, present us with your proposal that includes the contemplated locations (within the continental United States only), including any assumptions made regarding costs.

Group 2 – Physical Records Storage – RFP Section 3A

General

1. There are 87,000 boxes listed how many total assets / files are there collectively in the boxes?

There are approximately 84,500 boxes. Assuming an average of 3,000 pages per box, that translates to approximately 254 million pages.

2. Does the State have the total amount of cubic feet actively stored with the current vendor? If so, how many cubic feet?

Please refer to page 7 of the RFP and Question #1 in this section (Group 2).

3. What is the business criterion for a 14 day destruction requirement? Is a 30 day destruction period acceptable to the State?

The State will consider a 30-day destruction period, however, the vendor(s) must indicate the proposed time period(s) and any associated cost(s).

4. Regarding physical requirements, do we have to meet every criterion in the storage specifications because some of them are unrealistic - ex. - temperature & humidity?

Please note that storage requirements for physical records must meet ANSI/NFPA standards. Vault storage must conform to the figures presented in the RFP. For standard records storage, relative humidity may not exceed 50% and temperature may not exceed 70 degrees Fahrenheit.

Records Transfer

5. If the current vendor is not precluded from bidding, will the State remove the transportation, bar-coding, etc. costs incurred by other vendors during the initial move from the comparative cost analysis (i.e., how will the State attempt to “level the playing field” for vendors who have to incur this additional expense)?

The State will be able to “level the playing field” by understanding, and having itemized, all costs with the initial move. Vendors may identify a line item and state an assumption for the cost of out fees in the proposal. It should be noted that in addition to the cost criteria, the RFP will be evaluated on three other major criteria.

6. Page 8 states that at the commencement of the contract, the vendor must assume full responsibility for the transfer of all records stored at the State’s current vendor to the new, to-be-determined location. On its face, this requirement appears to give an unfair advantage to the incumbent vendor. Will this requirement be eliminated to provide a level playing field for non-incumbent vendors?

The requirement will not be eliminated. Please refer to Question #5 in this section (Group 2).

7. Physical Storage - 3.3 Lost Boxes/Files (page 12) – Please clarify how the new contractor will be able to ensure that the content of boxes is accurately portrayed at the time of takeover. Specifically, being unable to find a file within a box (and being penalized for a “lost” item) is problematic unless the new vendor performs a complete inventory of the content of the boxes as they are being handed over to the new vendor by the current vendor.

If a new vendor(s) is/are awarded a new contract it is anticipated that a current vendor inventory will be provided and compared to a new vendor(s) inventory. The vendor, at its option, may identify assumptions and/or a process regarding the transfer in order to eliminate the potential for lost boxes/files. Any assumptions made must be itemized with any potential costs.

8. What is the present warehouse storage obligation and determination of responsibility for loading, palletization, staging and moving of records?

The State reserves the right to determine these issues at a later date. If there are material assumptions, please provide options and any associated costs, relating to these details, in the proposal.

Pricing

9. The RFP states all inclusive pricing for each service. Typically, all inclusive is one price, and one price only. Would you please clarify?

The State is looking for a menu of services under each category, which may be priced by service. Please provide a price for the specific line item and/or requirement. While vendors may propose a total cost estimate based upon the information provided in this solicitation, the State wants to review costs by item.

Geographic

10. Is existing storage in more than 1 location and what is the distance between them?

Approximately 80% of stored records are located within Providence, RI, 15% in Lincoln, RI and 5% in Fall River, MA.

11. Does hard copy storage need to be done in RI?

Information must remain within the continental United States. Otherwise, there are no specific requirements. Please provide the State with options and the associated cost.

12. Do the records need to be stored within a certain radius of the state capitol?

Please refer to Question #11 in this section (Group 2).

13. We would like to know the approximate number of locations, with zip codes if possible, where pickups and deliveries will be made, along with the volume.

A table is provided which shows each agency account and its sub-accounts, in addition to the names and location/address of each, from which records are retrieved and delivered. The locations represent single locations, multiple locations, multiple offices/rooms in the same building and multiple buildings at a given address. It is not possible to provide the volume of records delivered and picked-up from each location since the Public Records Administration does not compile numbers at the sub-account or address level. Please refer to Appendix C (separate document posted as an addendum to RFP #06338) for the location table.

Records Volume

14. We would like to know the frequency of retrievals and items to be returned for storage.

The total number of retrievals, refiles, and interfiles for 2005, by agency/account is 13,073 boxes or files. The Public Records Administration does not track pick-up and

delivery frequency for its business purposes. Please refer to Appendix A (at the end of this document) for detail by agency/account.

15. The anticipated volume of new documents entering physical storage annually for each of the next five years?

Please refer to Group 1, Question #24.

Please note that records volume estimates are based upon historical information and are not necessarily a strong indicator of future volume. The State makes no warranties or representations relating to future volumes, which may vary drastically based upon changes in policy, business processes, technology and economics. Vendor proposals may include a tiered cost table based upon various records volume by service level.

Group 3 – Electronic Records Storage – RFP Section 3B

General

1. Indicated on page 6, 1st paragraph of “Cost Proposal” section, is mention of a “price schedule”. Is there a particular pricing spreadsheet required to submit pricing?

Please design a pricing template as you see fit, however the State is looking to understand the costs in as much detail as possible. Please refer to the Cost Proposal question on page 6 for the areas to be addressed. The requirements in each section must be addressed, however any potential costs, not specified in the requirements, should also be addressed. The State is looking for a menu of services, priced by service type and level.

2. In what format would you like our pricing proposal for Electronic Records Conversion/Storage?

Please refer to Question #1 in this section (Group 3).

3. Is there a preferred solution (i.e. licensing pre-existing applications, customization, proprietary solutions, etc...)?

No, there is no preferred solution. The State is looking to the vendor for ideas, proposals and potential solutions based on the RFP requirements. Solutions of interest could include any existing solutions already implemented in either the private or public sector.

4. Is the solution going to be in either an ASP hosted environment or on the state's content management system, or is there a possibility the both environments could be utilized simultaneously for certain portions of the collection?

The possibility exists that both types of environments will be utilized. Electronic content generated by the executive branch that is integrated into internal systems, requires a high degree of security and/or encryption, or is frequently accessed by a large number of internal users, is likely to be stored in the State's content management repository. However, vendor services to capture this content may be performed by an award(s) of the contract.

Given that other branches of State government may either have different requirements or no access to the content management system, these organizations may require either a hosted solution or integration with an existing internal system. Therefore, vendors are asked to be creative and provide the State with solutions and options.

5. The General Description section implies setting up a hosted-type repository for electronic records. Is this the state's intent, or is the intent for all records to be housed on the existing FileNet infrastructure?
Please refer to Question #4 in this section (Group 3).
6. What are the state's requirements for the Electronic Records Storage vendor to coordinate post-imaging delivery of the documents to the vendor for Physical storage if the awardee does not perform the work described in section 3A?
The RFP requirements specify a document management protocol. The vendor should provide in their proposal recommendations how they could interface with the Physical storage vendor, if necessary. Vendors should identify any assumptions and itemize any associated costs.
7. For electronic storage, what are the numbers of concurrent users in the system?
It is difficult to estimate the number of concurrent users. Please refer to Question #4 in this section (Group 3). Depending upon the vendor model and proposal, this potentially could be an unlimited number. Vendors are discouraged from providing pricing models based upon named or concurrent users.
8. Are electronic record volumes quantifiable?
Electronic record volumes are quantifiable based upon past physical records volume previously disclosed. Please refer to Group 1, Question #24.

Please note that volume estimates are based upon historical information and are not necessarily a strong indicator of future volume. The State makes no warranties or representations relating to future volumes, which may vary drastically based upon changes in policy, business processes, technology and economics. Vendor proposals may include a tiered cost table based upon various records volume by service level.
9. The anticipated volume of new documents being imaged annually for each of the next five years?
Please refer to Group 1, Question #24.
10. Do we estimate costs on per page basis?
Provide the State with a solution and base costs on your proposed model.
11. Does the state anticipate that initial and per-agency start-up costs will be included in unit prices for services performed (for example, in a per-image price) or in a separate line-item for start-up activities? If start-up costs should be in a separate line item, should they be priced as a deliverable ("Return on Investment Study", "Imaging Unit Installation") or as per-unit services required to generate the deliverables?
The State has no preconceived notions. Provide the State with a solution and base the cost structure on your proposed model, while meeting the RFP requirements and addendum information.
12. Will volume-based tiered price per image be accepted?
Yes. The State will review and evaluate the entire solution based on the criteria outlined on page 24. Tiered pricing is encouraged.

13. Will electronic component costs be subdivided?

The State will review and evaluate the entire solution based on the criteria outlined on page 24. Pricing and cost are just one of the criteria.

14. Is the current storage vendor or any other vendors providing services required in the General Description section? If yes, could you please provide the vendor's name, scope and general information about the contract so that a copy may be obtained?

There are a few instances of capture services being provided to State Agencies. The details of these engagements will not be provided, however any ongoing engagements will be reviewed in the context of this solicitation. In addition, several agencies perform some internal capture processes. An internal cost analysis and potential changes to existing methodologies will be considered as proposals are reviewed, evaluated and awarded.

15. Regarding electronic storage - will you want to see presentations and demonstrations of software applications and options?

The State reserves the right to contact and meet potential vendors in order to see presentations and demonstrations of software applications and related options.

16. The state is likely to see difference within the types of individual services proposed by each vendor. How is the state planning on achieving a standard basis for comparison of services across vendors, given that there is no common format for the vendors to follow?

As part of the evaluation process, the State reserves the right to contact and meet potential vendors in order to see presentations and demonstrations of software applications and related options. The State also reserves the right to solicit additional information from respondents after review of the initial responses.

17. In order for the state to achieve commonality across all submissions for the purpose of evaluation, will vendors have a chance in a post-submission process to offer all services and rates for any services proposed by other vendors? In other words, if services A, B and C are needed to complete the work and vendor 1 proposes A and B, while vendor 2 proposed B and C, will both vendors be given the opportunity to propose the services they omitted?

The State reserves the right, but is not required, to solicit additional information from vendors after review of the initial responses. This may included a revised clarification of services and costs.

18. Is the use of subcontractors permitted?

Subcontractors are permitted based upon the terms outlined in the RFP on pages 3, 4, 22 and 23. Please refer to the document.

19. Page 6, paragraph 1, item #3: Could you please list the type, location, age, warranty status, working order and quantity of the state technology assets available for use by the vendor?

Option #3 is an alternative proposal as Option #1 and Option #2 are the preferred methods. The State uses a variety of scanners with differing configurations that may be connected to the content repository. If the State determines that Option #3 is the best solution, then this information will be provided to any prospective vendor(s).

20. Page 6, paragraph 1, item #3: Can state technology assets available for use by the vendor be used at the vendor's facilities? If not, could you please describe the requirements and/or assumptions vendors should use about access to these assets at state-run facilities?
Vendors should not assume any state owned scanning hardware will be provided to vendors for use offsite.

Geographic

21. How many "seats" does the State need for storage outside of RI?
Please refer Question #7 in this section (Group 3).
22. What are the geographic requirements for performing the work described in this section?
Work to be performed as well as hosting, indexing, etc..., must be within the continental United States. Otherwise, there are no specific geographic requirements. Please present the State with options and solutions.
23. What are the geographic requirements for the location of the systems relating to the requirements in this section?
Please refer to Question #22 in this section (Group 3).
24. Will the State require that the document-to-image conversion work be performed in Rhode Island? If no, will any preference be given to a contractor who performs the conversion work within the State?
Please refer to Question #22 in this section (Group 3). All proposals will be evaluated based on the criteria specified on page 24 of the RFP.
25. If the conversion work can be performed in a facility outside Rhode Island, is there any distance boundary within which the conversion facility must be located?
Please refer to Question #22 in this section (Group 3). As the State is looking for solutions, present a proposal including any assumptions and itemized costs.
26. Can the site for capture and image be out of state?
Please refer to Question #22 in this section (Group 3).
27. Are there any restrictions on the location of the scanning center?
Please refer to Question #22 in this section (Group 3).
28. Can indexing be done offshore?
Please refer to Question #22 in this section (Group 3).
29. May the indexing of the document images be performed at an "off-shore" facility?
Please refer to Question #22 in this section (Group 3).
30. Does data need to be hosted locally - or within the US?
Please refer to Question #22 in this section (Group 3).

Records Format Protocol

31. The RFI states that the file formats and protocols utilized must be disclosed and approved by the Public Records Administration. Are there currently standards in place that are acceptable? If so, what are they?

The Secretary of State's Public Records Administration will be promulgating a regulation on the Making and Management of Imaged Public Records. The proposed regulation will be available May 31st at the following website: <http://www.sec.state.ri.us/Archives/prs/index.html>

The regulation may be subject to future amendment in response to changes in technology.

The proposed regulations will require that master imaged files be created as TIFFs, as is the practice in other states and the federal government. Other formats such as GIF and JPEG may also be used as image formats.

32. Page 17, paragraph 3: Could you please provide a list of the state's required "standard data file formats?"

Please refer to Question #31 in this section (Group 3).

33. Page 17: In paragraph 2, please define what the requirements are for encrypting messages – what level of encryption is required and what messages are required to be encrypted?

Vendors are encouraged to describe their encryption methodologies. Generally, the State leverages 128 bit secure socket encryption (SSL) for internet traffic. Vendors are also encouraged to describe methodologies for securing data at rest.

FileNet

34. Page 17: In paragraph 2, does the state intend that the "repository" in the second sentence is that same as the "records database" described in the fourth sentence? Is the "system" in the fifth sentence the same as either the repository and/or records database?

These assumptions refer to a vendor hosted solution. The State is making no assumptions as to the specific configuration of a vendor's solution.

35. Is the State of Rhode Island looking for an alternative/optional Imaging Storage and Retrieval System to the current Central Content Repository (FileNet/EMC) System?

Please refer to Question #4 in this section (Group 3).

36. If the State is looking for an alternative/optional Imaging Storage and Retrieval System, please indicate if any of the current images stored on Current Content Repository (FileNet/EMC) System is expected to be transferred over to the alternative system by the prospective contractor.

Images stored on the current content repository will not be transferred to an alternate system. The executive branch has standardized on a centralized electronic content management system. Any vendor solution proposed will augment, not replace, the State's existing solution. Please refer to the previously answered question regarding ASP solutions.

37. If the State is looking for an alternative/optional Imaging Storage and Retrieval System, please indicate if it is a mandatory requirement that prospective contractor submit a

single proposal for the imaging and capture services in addition to an Imaging Storage and Retrieval System.

As the State is looking to provide a menu of services, vendors may provide proposals for capture services that do not include a solution for storage and retrieval services. However proposals that include hosted storage and retrieval services must provide capture services.

38. What is required for interfacing with FileNet?

Please refer to page 6 of the RFP, items #1 through #3. Vendors may propose alternative methodologies. Specific technical interface information will be provided to vendor(s) under tentative notice of award and the signing of a non-disclosure agreement.

39. What version of FileNet are you currently using?

Please refer to page 5 of the RFP, items #1 and #2. Specific technical interface information will be provided to vendor(s) under tentative notice of award and the signing of a non-disclosure agreement.

40. How is the FileNet system being utilized?

FileNet is currently utilized in many different ways based upon agency needs and requirements. Functions include, but are not limited to: imaging, capture, business process management & workflow, forms processing, case management and online content management.

41. Do you prefer FileNet - is it the agency standard?

Please refer to page 5, paragraph 4, of the RFP as well as previously answered question regarding ASP solutions. FileNet is the standard for executive branch State Agencies for electronic content and business process management.

42. Is this FileNet system a Content Manager system or an Image Manager system?

Please refer to page 5 of the RFP, items #1 and #2. Please note that the State is using FileNet P8 with Content Manager installed. Specific technical interface information will be provided to vendor(s) under tentative notice of award and the signing of a non-disclosure agreement.

43. What types of documents do you store in your FileNet system? Images? Other types?

The State currently stores images, PDF, eForms, EDI and XML documents in the content repository. There are projects to include office documents, video and audio content.

44. How do you currently input documents to your FileNet system – specifically, what software or utilities do you use?

Please refer to page 5 of the RFP, items #1 and #2. Specific technical interface information will be provided to vendor(s) under tentative notice of award and the signing of a non-disclosure agreement.

45. Who is the vendor that provided integration services for the FileNet infrastructure?

The State currently has a number of vendors with FileNet certification available under Master Price Agreement (MPA) #230. To date, the State has utilized implementation and integration services from FileNet professional services and System Engineering

Incorporated. The State is also in the process of training and certifying a number of internal employees on the FileNet system.

46. How many concurrent user licenses does the state have for the FileNet infrastructure?

The State's MPA with FileNet is available online at <http://www.purchasing.ri.gov> under MPA #384. The exact number of concurrent licenses, at any given time, is dynamic as there are several projects currently underway. It is expected that the State will have achieved CPU-based licensing status, with an unlimited number of concurrent users, by the end of this calendar year. Vendors should assume that there is no license cost to access the State's content repository, however the vendor will be responsible for any license cost relating to respective internal system(s) or capture services.

47. How many images currently reside on FileNet?

The number of images stored in the State's content management system changes on a daily basis. The State estimates that there is currently between 5 and 10 gigabytes of electronic content stored in the repository. Specific technical interface information will be provided to vendor(s) under tentative notice of award and the signing of a non-disclosure agreement.

48. Do you have a utility for inputting large volumes of documents into your FileNet system? If so, what is it? Can CTI make use of it to perform the work described in this RFP?

Please refer to page 5 of the RFP, items #1 and #2 as well as page 6 of the RFP, items #1 through #3. Specific technical interface information will be provided to vendor(s) under tentative notice of award and the signing of a non-disclosure agreement.

49. Do you use MSAR storage in your FileNet system? Do you use any other kind of storage in your FileNet system?

Please refer to page 5 of the RFP, items #1 and #2. Specific technical interface information will be provided to vendor(s) under tentative notice of award and the signing of a non-disclosure agreement.

Records Volume

50. Can you please provide the anticipated volumes per month that you expect for capture and image of documents? I would like this either in an approximate per page volume or per box volume. If providing in a per Box Volume then provide the size of the boxes.

Please refer to Group 1, Question #24.

Please note that records volume estimates are based upon historical information and are not necessarily a strong indicator of future volume. The State makes no warranties or representations relating to future volumes, which may vary drastically based upon changes in policy, business processes, technology and economics. Vendor proposals may include a tiered cost table based upon various records volume by service level.

51. What is the projected volume of documents and images to be captured by week, month and/or year?

Please refer to Group 1, Question #24.

Please note that records volume estimates are based upon historical information and are not necessarily a strong indicator of future volume. The State makes no warranties or

representations relating to future volumes, which may vary drastically based upon changes in policy, business processes, technology and economics. Vendor proposals may include a tiered cost table based upon various records volume by service level.

52. In order to provide accurate pricing, it is essential that a prospective contractor have detailed information on the following elements regarding the volumes of documents to be imaged:

- a. What are the expected volumes of documents? Daily, Monthly, Quarterly, etc...
- b. Are there any peaks or volume fluctuations? Seasonal, Heavy Mondays, Month-end, etc...

For a & b, please refer to Group 1, Question #24. Please note that records volume estimates are based upon historical information and are not necessarily a strong indicator of future volume. The State makes no warranties or representations relating to future volumes, which may vary drastically based upon changes in policy, business processes, technology and economics. Vendor proposals may include a tiered cost table based upon various records volume by service level.

53. In order to provide accurate pricing, it is essential that a prospective contractor have detailed information on the following elements regarding locations that documents will need to be picked up for imaging. Please provide the:

- a. Estimated number of locations?
- b. Distance between each location?
- c. Frequency requirements of pick ups?

The specifics of a, b and c are to be determined, however please refer to Appendix C (separate document posted as an addendum to RFP #06338) in order to get an idea of the agency locations.

54. Number of pages per day on average for day forward scanning?

Please refer to Group 1, Question #24. Please note that records volume estimates are based upon historical information and are not necessarily a strong indicator of future volume. The State makes no warranties or representations relating to future volumes, which may vary drastically based upon changes in policy, business processes, technology and economics. Vendor proposals may include a tiered cost table based upon various records volume by service level.

55. Estimated number of pages per year?

Please refer to Group 1, Question #24. Please note that records volume estimates are based upon historical information and are not necessarily a strong indicator of future volume. The State makes no warranties or representations relating to future volumes, which may vary drastically based upon changes in policy, business processes, technology and economics. Vendor proposals may include a tiered cost table based upon various records volume by service level.

Scanning / Document Types

56. Upon launch, approximately how many different document/content structures will need to be supported?

Please refer to page 17 of the RFP and Question #31 in this section (Group 3). The State cannot guarantee a specific number of document classes/structures. Vendors are

encouraged to provide a menu of services with a tiered pricing model. Vendors are requested to propose services and identify the cost of setting up document classes and index information.

57. In order to provide accurate pricing, it is essential that a prospective contractor have detailed information on the following elements of Document Preparation for Imaging and Capture Services. Please provide detail document types and conditions.
- How many different document types are there?
 - What are these document types?
 - What is the average page count of the document types?
 - What is the overall condition of the documents (binders; clips; staples; post-its; elastics; clean; etc)
 - What are document sizes (8.5x11; 11x17; etc)? Standard or varied?
 - Is there any color/photo scan requirements? If so, what % of total volume documents?
 - Re-Prep: Requirements for document(s) return to customer (original state; shred; etc.)?

For a – g, please refer to page 17 of the RFP and Question #31 in this section (Group 3). Vendors are encouraged to provide tiered pricing around a menu of services, including differing costs (based upon volume), document class types, sizes, color/b&w, resolution, etc...

58. What is the physical size of the documents? Are they all one size or are there multiple sizes?

The standard size is 8.5 x 11. However, there are non-standard documents that could potentially be included as well. Please provide a menu of prices relating to various sized documents.

59. What sizes of paper are anticipated? Are post cards, post it notes, etc..., required for imaging?

Please refer to Question #58 in this section (Group 3).

60. Are they carbon copies, normal paper originals, or copies of originals?

Most documents to be captured will be original or paper copies of the original.

61. What quality are the documents? (Dot matrix, laser printed, blue or black ink, etc.)

The quality will vary however most documents will be laser printed or typed.

62. Is it necessary to capture any duplex (2-sided) documents? What percentage is duplex?

Please feel free to provide an option and price itemization for duplex documents. The percentage is unknown.

63. Is color scanning required?

*Please feel free to provide an option and price itemization for color. However, the vast majority of documents will **not** require color scanning.*

64. If document size is less than 8.5x11 do these need to be taped on to paper?

Please provide an option and price itemization.

65. How are the documents stored currently? In what order?
Documents could be stored in a variety of manners (bound, stapled, in folders, etc...).
66. Are they in folders? Letter or legal size folders?
Please refer to Question #65 in this section (Group 3).
67. What is the procedure to handle poor quality (unscannable) documents?
Vendors are encouraged to describe their quality assurance process. The State and vendor will agree upon the specific methodology for handling poor quality/unable to be scanned documents based upon individual engagements and document types.
68. Are all of the boxes in storage (84,500) going to be scanned? If not, what percentage?
To be determined. A decision will be made based upon a cost benefit analysis of alternatives as well as responses to this RFP. Please refer to the previously answered questions regarding records transfer.
69. Will it be scan on demand operation?
To be determined. Please provide a tiered option and price itemization.
70. What are the turnaround requirements?
Please refer to Question #69 in this section (Group 3). Please provide a tiered option and price itemization.
71. What is the turnaround for daily scanning?
Please refer to Question #69 in this section (Group 3).
72. What is the turnaround time required (from receipt of a request to the availability of the electronic images)?
Please refer to Question #69 in this section (Group 3).
73. Are there any documents that require special processing? How are these currently handled?
Please refer to page 17 of the RFP and Question #31 in this section (Group 3).
74. Any special prep requirements?
Please provide an itemization of any proposed preparation and the associated costs.
75. Will documents need to be re-prepped?
Please provide an itemization of any associated costs.
76. What type of tracking is required on work received?
Vendors must have a methodology or protocol for tracking documents. Vendors must be able to provide an accounting an audit trail for all documents received.
77. What reports are required from the scanning/indexing process?
Please provide a description and detail of reports that can be provided as well as any associated costs.

78. Please detail the quality requirements?

Please refer to Question #67 in this section (Group 3).

79. Please detail any additional information you believe is important in pricing the imaging process.

The State's requirements are diverse, necessitating a comprehensive menu of services in order to support various requirements.

Indexing / Metadata

80. On page 17, last paragraph, there is reference to "self-documenting and self-contained" requirements. Can you explain and expand on this? What is meant by this in regards to an imaging system?

The reference refers to the basic principles of encapsulation, an object oriented technology concept that is available in most modern enterprise content management systems. These systems store electronic content as objects that include the information necessary to document or define the object itself. This provides the ability to integrate content between systems thereby allowing content to be recreated in one system that can be read, indexed, transformed and then imported into another system.

81. Page 17, last paragraph: Could you please provide examples of existing systems that meet the state's requirements for being "self-documenting and self contained?"

Please refer to Question #80 in this section (Group 3).

82. Page 17, last paragraph: Does the state consider FileNet to meet the state requirements for being "self-documenting and self contained?"

Yes. There are many organizations leveraging this notion through the use of federated content management or through the use of transformation services designed to migrate electronic content from one repository to another.

83. In order for our firm to satisfy the "self-documenting and self-containment of the records" requirement it would be helpful to have access to Document Subject Matter Experts. Therefore will our firm have access to SME's to the extent they will assist in identifying critical metadata components?

Yes, however vendors are encouraged to provide responses outlining the service they can provide. This includes assisting the State in identifying document class structures and metadata.

84. Is it possible that the structure (metatdata) of inbound documents and content change without warning?

Possibly, vendors are encouraged to identify and propose a change management process. The State expects to work with the awarded vendor(s) in order to manage changes to any information or systems.

85. What level of metadata is required to be captured? The RFI mentions record identification (DocID), record creator (Source), record content description (is this a title of document summary?), record association / linking (parent / attachment relationship), and OCR. Is there other metadata capture required?

Please refer to Question #83 in this section (Group 3). The metadata required will vary based upon agency, document class, program, project and other possible factors.

86. How many different metadata schemes are anticipated?
Please refer to Question #83 in this section (Group 3). The metadata required will vary based upon agency, document class, program, project and other possible factors.
87. Page 17 of the RFP second paragraph states “The imaged documentation will then be indexed and stored in a repository available online over the public internet (or alternatively, for executive branch agencies images may be delivered and stored in the state’s content management system – see RFP – Section 2). Please provide the state’s indexing requirements.
Please refer to Question #83 in this section (Group 3). Indexing requirements will vary based upon agency, document class, program, project and other possible factors.
88. In order to provide accurate pricing, it is essential that a prospective contractor have detailed information on the following elements of Indexing Requirements. Please describe the data fields of indexing required:
- Field name(s)?
 - Length and data characteristics (i.e., alpha, numeric, alphanumeric) of field(s)?
 - Where is the field(s) located on the document?
Please refer to Question #83 in this section (Group 3). Please provide a tiered pricing structure based upon the options.
89. In order to provide accurate pricing, it is essential that a prospective contractor have detailed information on the following elements of Indexing Requirements. Please describe the level of indexing required:
- Case/file folder level?
 - Document level?
 - Page level?
Please refer to Question #83 in this section (Group 3). Please provide a tiered pricing structure based upon the options.
90. Indexing requirements – What level is the index?
- Folder?
 - Document – If indexing at document level, will there be common document types defined?
 - Fields to be entered
Please refer to Question #83 in this section (Group 3). Please provide a tiered pricing structure based upon the options.
91. Is there an existing database that links to the index criteria?
Please refer to Question #83 in this section (Group 3). There could be various databases.
92. The RFI references bar code recognition. Are there already barcodes associated with the collection that contains some of the record identification and metadata information? If so, are the bar codes associated with documents, folders or boxes?
In various cases bar codes are utilized. Individual formats will have to be mapped to a vendor(s) capture process. The requirements will be addressed as needed.

Appendix A
Rhode Island State Records Center
of Retrievals, Refiles & Interfiles (2005)

<u>Account Name</u>	<u>R/R/I</u>	<u>Account Name</u>	<u>R/R/I</u>
Labor-Workers Comp.	327	Legislative Council	20
Health-Vital Records	6	Treasury-Treasurer	370
Human Services	987	DCYF	1,827
Treasury-Retirement	359	Administration-Personnel	100
Education-Adult Ed (GED)	12	Administration-Taxation	1,720
Administration-Controller	516	Health Services Regulation	1,435
Labor & Training--TDI	28	DOT-Public Works	232
Administration-Motor Veh.	0	Administration-Audits	0
Administration-Purchasing	29	Education-Teacher Cert	97
Administration-Budget	91	Health Laboratories	37
Attorney General	1,393	Public Utilities Commission	32
Administration-Director	19	Dept. Environmental Mgmt.	37
Secretary of State	1,088	Business Regulation	0
Education-Board of Regents	1	Admin-State Building Comm	148
Admin-Central Services	0	Public Defender's Office	79
Corrections-Parole Board	7	Admin.-State Properties	0
Higher Ed. Assist. Auth.	2	Ethics Commission	76
Atty. Gen.-Medicaid Fraud	0	Board of Elections	1
Admin.-Info Processing	4	Health-Medical Examiner	1,635
Health-Dis. Prev. & Control	0	CCRI-Nurses Certificates	0
Ed.-RI School for the Deaf	3	Health-Family	3
Minority Business Enterprise	0	Police Academy	15
Gov. Justice Commis.	21	Health-Emergency Med.Serv	17
Commis for Human Rights	0	Health-Env't. Health	214
Board of Accountancy	0	Disabilities Council	0
State Workers Comp	23	Elderly Affairs	3
Admin.-Library Services	4	Underground Storage Tank	1
DEPCO	53	Commission on Women	1
Auditor General	0	Health-Management Services new '06	

Appendix B
Transmittals/New Boxes sent for storage at the State Records Center
2005 – 2006

January 2005	945
February	641
March	543
April	500
May	557
June	1,173
July	571
August	1,167
September	228
October	412
November	233
December	243
January 2006	588
February	414
March	1,306
April	491