

**REQUEST FOR PROPOSALS: DOCUMENT MANAGEMENT AND
IMAGING SOFTWARE AND SERVICES**

RFP # IS 09-004

ISSUED: October 6, 2008

ADDENDUM 1

Issued: October 22, 2008

This Addendum incorporates certain general comments, general corrections to the RFP, and answers to questions received and posed during the optional pre-proposal conference held on October 20, 2008.

GENERAL

Verbal responses to questions at the optional Pre-Proposal Conference on October 20, 2008 are unofficial and are not binding. Only these written responses may be relied upon by offerors.

Participants at the Optional Pre-proposal conference were required to register and a list of all attendees at the conference is enclosed for informational purposes.

General Changes to the Released RFP:

1. Replace pricing schedule on page 17 with:

Item	Quantity	Unit Price	Extended Price
Scanning Software & Licenses	2		
Scanning Software Annual Maintenance			
Client Software & Licenses (concurrent Users), for those systems priced by user.	20		
Client Software Annual Maintenance			
Document License, for those systems priced by quantity of documents stored.	500,000		
Server Software	1		
Server Software Annual Maintenance			
Administration Software & License (if separate)	1		

Administration Software Annual Maintenance			
Installation Service			
Training			
Consultation service to assist Treasury divisions in using the software			
Migration of Keyfile data into the new system			

2. **Page 18 – Replace title to read: Document Management and Imaging Software and Services, Contract Number IS 09-004**
3. **Page 18 – Replace Period of Contract to: On or about December 15 – December 14, 2009.**

Questions and Answers:

1. On page 2, Requirements, item 1. Environmental Requirements, c. The system shall be scalable to allow load balancing between future servers.

Is this requirement asking for load balancing to be built into the document management software or requiring that the document management software has the capability to work with load balancing application/infrastructure?

Response: The document management software should have the capability to work within a load balancing application/infrastructure. As use of the product grows within the agency there may be a need for additional servers.

2. Page 4, Scope of Work, Item 4. Provide on-site consultation support to assist in installation and configuration of the software, migration of Keyfile data, and training of users and IS staff.

Can you provide information on the format of the data and images that are currently stored in Keyfile (i.e. index fields, field lengths, etc.)?

The images are multipage tiff files. There are generally 4-5 index fields. All index fields are either numeric identifiers or alpha-numeric text fields, provided either through text boxes or dropdown lists. The alpha-numeric text fields are configured as varchar 200.

3. Page 4, Scope of Work, Item 5. Provide on-site consultation to assist Treasury divisions and management with integrating the new software into their day0to-

day processes, starting with the Unclaimed Property Division, followed by Risk Management, Cash Management, Operations and Debt Management.

It is my assessment that only UCP is currently using the document management system consisting of Kofax Ascent and Global 360's Keyfile. The scope calls for the successful contractor to provide on-site consultation for UCP as well as Risk Management, Cash Management, Operations and Debt Management. Should this RFP response consider the additional units or will they be scoped separately? If they are to be scoped under this RFP response, can you provide background on the requirements of each (i.e. daily document volumes, document types, indexing requirements, etc.)?

While UCP is currently the only division using any document management/imaging system, the proposal should consider the entire agency. It is our intention that with the new system the entire agency will store electronic documents from a variety of sources beyond the scanned documents stored in the current system.

Since none of the other divisions are using a document management system, we cannot provide specifics about what their volumes will be or their indexing requirements at this time. UCP is currently only storing scanned images stored in multipage tiff format. They scan approximately 25000-50000 pages a month, divided between 5000-10000 documents stored monthly in the Keyfile system. The other divisions do not use any formalized document management system beyond file system storage. We foresee that the Risk Management (DRM) division will have similar volumes. The other divisions will have smaller volumes probably along the lines of 1/2 to 3/4 of the volume of UCP and DRM. Document types will include scanned documents, Microsoft Office products, PDFs, digital images, and any other types of electronic documents.

In all cases, indexing requirements will most likely be 3-5 searchable indexes per document. Depending on the division and program the data is associated with the indexes may be hand entered, bar-code read, or imported through database lookups.

4. How is the information currently indexed in KeyFile?

Alpha-numeric text indexes stored in the proprietary Keyfile format. Each image has approximately 3-6 indexes that in relate to the data in the Unclaimed Property System software. The other divisions may or may not have a system in place that their images will be related to.

5. How many KeyFile images will have to be brought over into the new system?

All, approximately 70,000 - 80,000 images with index data.

6. Is it part of the 500,000 images described within the RFP?

If your system is licensed by content instead of users, then yes, these images would be a part of the 500,000 images under that license.

7. Is the chosen vendor responsible for the Migration of KeyFile into the new system?

Yes

8. Is the Migration of the data part of this RFP?

Yes

9. What is the host operating system for the UCP's Unclaimed Property System (UPS)?

Per page 2, Requirement 1.g, Any client software shall operate on Windows XP workstations. UPS is an XP based application.

10. What is the backend Database for UCP's UPS?

Microsoft SQL Server. Per page 2, Requirement 1.b. Any database applications shall operate in Microsoft SQL Server 2005.

11. What is the file format(s) of the current documents stored in Keyfile?

Scanned Multi-page TIFF documents.

12. How many documents will need to be imported to the new imaging system?

We expect there will be somewhere between 75000-100000 documents in the Keyfile system by the time the new system is in place.

13. Is Keyfile a hosted Imaging Database? If so, does the Treasury or Global 360 'own' the documents?

All data is owned by the Commonwealth of Virginia currently residing on Treasury servers. The new system will also store all data on in-house Treasury servers.

14. Under "Requirements for New System" section 4. Client Software Requirements
A. The new system client software can either be web based or application based.
To clarify- is the Treasury asking that the client software to be either/or – or both?

It can be web based, application based or both, we are flexible on the client as long as it fits into the environmental requirements under "Requirements for New System" section 1.

15. Under "Requirements for New System" section 7. Integration Requirements

What are the “other” Treasury applications mentioned that require integration with, and what Host operating systems do they run on?

We have a variety of in-house developed applications and websites that we would like to be able to integrate with the new document management system. Server applications are run on Windows Server 2003, with Microsoft SQL 2000 or greater, client applications are running on Windows XP.

16. Under “Scope of Work” and B. Specific Requirements - TAB 3. Specific plans for providing the proposed goods/services including:

Provide on-site consultation support to assist in installation and configuration of the software, migration of Keyfile data, and training of users and IS staff.

Provide on-site consultation to assist Treasury divisions and management with integrating the new software into their day-to-day processes, starting with the Unclaimed Property Division, followed by Risk Management, Cash Management, Operations and Debt Management. .

and B. Specific Requirements - TAB 3. Specific plans for providing the proposed goods/services including:

Provide a detailed implementation schedule indicating tasks and number of days for completion of each. Indicate tasks that will occur concurrently. Show the total number of workdays required to complete implementation.

These sections are very specific in the installation, training and consultation requirement and pricing the Department of Treasury wants, but it is missing a lot of information needed to provide accurate fees. Can we please get these questions answered to help us scope out the Professional Services required?

What is the # of people that will need to be trained in the defined areas?

The entire agency will need to be trained in the use of the client and the IT staff trained in maintaining and configuring the application.

How many document types will be introduced into the new systems by each department?

Any and all current standard electronic document types.

Within each department what Line of Business (LOBs) will require integration with Imaging system?

Varies by department, once a product is in place each department will be responsible for determining the best use of the new product if it fits into their process.

17. Is there an estimated timeline the Dept of Treasury expects project to be complete?

At the end of the 1-year period of performance, we would expect the new system to be performing without problems, all users to be able to use the new system, the IT staff to be able to maintain and configure, and minimally for UCP and DRM to be using it as their source for document management. We also expect the existing Keyfile data to be imported to the new system as soon as possible after the new system is in place.

18. Pricing Options: What options is the Treasury open to, or expecting in the response for project?

- Fixed Fee
- Billable Support Hours
- Block of Time options
- Other

We are asking for your proposal.

19. Why is the Department of Treasury looking outside of the Virginia (VITA) state contract for document management and simply not moving forward with IBM FileNet, that of which is the only vendor on the VITA contract?

We intend to choose the provider and product best suited to the agency's need.

20. Does the Department of Treasury specifically intend to look at vendor solutions in addition to FileNet, and potentially award a contract to a non-FileNet solution provider?

We intend to choose the provider and product best suited to the agency's need.

21. What business applications are being leveraged across UCP and other identified departments? PeopleSoft, Oracle, etc...?

Mostly in-house and contractor developed software with Microsoft SQL server backends.

22. What are the current pain points with Global 360 Keyfile that the UCP division would like to be enhanced by another solution?

The Treasury has decided a newer system would better suit the needs of the entire agency.

23. Are the images in Global 360 Keyfile proprietary or located on a file server in their native format?

Keyfile stores all of its data in proprietary formats.

24. Is the metadata within Global 360 Keyfile proprietary or located within an accessible ODBC relational database?

Keyfile stores all of its data in proprietary formats.

25. Can you provide the number of images and/or GB (disk space) that Global 360 Keyfile retains?

Approximately, 75-80K images taking 6.3 GB of disk space.

26. How many HP devices, Ricoh devices, and desktop scanners are currently in place across the departments?

There are 12 Ricoh scanner/copier/fax machines and approximately 8 HP desktop scanner/copier/fax machines.

27. Can vendors provide their own proposal cost tables as long as they include the identified line-items in the Dept of Treasury provided tables?

Yes, it is your proposal.

28. How many References shall be provided and what information shall be included on those references?

See Section IV, B, TAB 2 General Qualifications, #1 on page 6.

29. What is the Department of Treasury looking to spend on an enterprise document management solution?

We expect the procurement to be less than \$100,000.

30. Is this a budgeted initiative?

Yes.

31. Can you please identify the decision makers and the decision process related to this solicitation?

No

32. Can you please provide a timeline for decision for this solicitation?

We expect an award to be made in December.

33. Are the decision makers (Board) aware of this capital intensive project?

Yes

34. Is it possible that the funds for this project, if so budgeted, will be frozen prior to a contract award?

Yes

35. What document management solutions have already been reviewed by the Department of Treasury, other than Global 360 Keyfile?

Earlier this year, we reviewed IBM FileNet, DigiTech PaperVision Enterprise, and Marexgroup FileBound

36. Is it an option for the Department of Treasury to not do anything and simply keep the Global 360 Keyfile solution?

Yes

37. Please provide additional information regarding 2.b Background. Describe the linking/integration with UPS.

We store a link into Keyfile in the UPS database.

38. Do we want scanned images stored as PDF or image File?

Either or both formats, we have devices capable of producing scanned paper in either format.

39. What version is Kofax Ascent 8.x?

It is currently 8.0.

40. Is any current content searchable by text?

No

41. Is there any desire to do conversion of data to .svg?

Not at this time.

42. Please provide additional detail relative to the hardware platform?

The server for Document management runs Windows Server 2003 SP2 on a Dell PE2850 Server with Dual 3 GHz processors, 2 GB of RAM, 100 GB of disk space plus access to a SAN containing over 600 GB of space.

43. Is this for the entire Treasury Department?

Yes

44. Are 20 concurrent licenses all that will be required or requested?

We expect that 20 licenses will be sufficient to initiate the process.

45. Currently is only one division using Global 360?

Yes

46. The RFP states that the keyfile data is in a proprietary format. How would the data be exported?

According to our current Keyfile integrators there is no tool available to export Keyfile data en masse. The selected vendor will need to show the ability to export the Keyfile data in-house.

47. Is there a reliability requirement?

This has not been defined yet.

48. Is the intent to move away from Kofax?

Yes

49. What functionality of Ascent is being used?

Scanning, validation and release into Keyfile.

50. Do you want the user to be able to enter indexes or add indexes dynamically?

Both if possible.

51. Controlled by permission only?

Yes

52. What are the current problems with Global 360?

Global 360 was not figured correctly, users were not trained properly in its use, and the Treasury would like to start from scratch.

53. Would you consider another product of Global 360?

We are not excluding any products.

54. Do you only want the capability to store scanned images?

We would like the capability to store all electronic document types.

55. How many divisions are ready to move to the new system?

Two out of five divisions are ready to go, Division of Risk Management and Division of Unclaimed Property.

56. Where are the divisions physically located?

All are at this location.

57. What level of document security is in place in Keyfile?

None, any user with a Keyfile account can access all documents.

58. Do we have a target date for the first implementation?

We would expect to have Unclaimed Property and Risk Management up in 3-4 months.

59. How many personnel to be trained?

To begin with 2-3 IT staff, approximately 40-45 Unclaimed Property and around 15 Risk Management staff will be trained in the use of the product. Ultimately, the entire agency will be trained in the use of the client, approximately 120 people.

60. Would you consider a train the trainer approach?

Yes

61. How are current records maintained and or destroyed?

Some programs are required to maintain records indefinitely. Some programs have records that are on a destruction schedule. It depends on the law, the division, the program, and the type of document.

62. Are you looking for software functionality for records management?

Not at this point.

63. Are you looking for single sign on?

Yes, we are under an active directory structure.

64. Why are we not using the shared services model under the Vita contract?

Due to the size and scope of this project we are not under the requirement to use this contract.

65. Please clarify the number of documents. There is conflicting information.

The Keyfile system is still in use and scanning is still in progress. We expect between 70,000-100,000 documents by the time the contract is in place.

66. Can a vendor provide multiple proposals?

There is nothing that prohibits a vendor from submitting multiple proposals.

67. Will the list of attendees be provided?

Yes

68. Please expand on the answer to question #15 above.

We have a variety of in-house developed applications and websites that we would like to be able to integrate with the new document management system. While the UPS system was developed by a contractor in Delphi with a SQL database, the agency IS department develops our applications and websites in .NET with SQL Server databases. Therefore any product would have to have the ability to be integrated through .NET code.

69. How would you want the new system to integrate with website applications?

Risk Management has a number of websites that currently store documents that would need to be indexed with unique identifiers, integrating the new system would allow for better management of these documents.

70. Is there an SOA strategy in place?

No

71. Does Treasury maintain the Keyfile System in house?

Yes

72. The pricing schedule does not include a section for the conversion.

See revised price schedule.

73. In section III, 1, (e), it is mentioned that all web applications shall operate through IIS 7 or greater. Would a solution that uses a Web Application Server be considered for the overall document management system solution?

If you are asking whether we will use a different web server application, the answer is No.

74. In section III, 3, (e), are the documents already bar-coded? Or scan operators are expected to include barcode sheet before scanning?

For the most part our documents are not bar coded at this time. Scan personnel are not expected to bar code the documents before scanning. As document management matures in the agency, document bar coding will be introduced.

75. From the scope of work, can you please provide the number of document classes/types to be migrated into the new system?

There are currently 5 document types stored in Keyfile, all from the Unclaimed Property division. They are claims, reports, Escheats, audits, and mutual funds.

76. From the scope of work, is it anticipated that the new system would have a one to one mapping to document classes in the KeyFile system?

These same document types will be represented in the new system, but they will not be the only types in the new system, especially once the other divisions begin using the system and non-paper documents are stored in the new system.

77. From the scope of work, on average, how many versions are stored for each document? Should all versions be converted to the new system or only the most recent version?

One version. Version control is not in use and documents are not modified from their paper version at this time. Future document types may use version control.

78. What will be the approximately volume of documents adding to the repository every year?

We do not know. The current system is only used for storing scanned paper, but we expect the new system to be used to store any number of electronic documents. Additionally since the other divisions have never used document

management there is no predicting to what degree they will incorporate the new system into their processes.

Note: A signed acknowledgment of this addendum must be received at the location indicated on the RFP either prior to the due date and time or attached to your proposal.

Very truly yours,

Kelley Denton, VCO
Procurement Officer
Phone: 804-786-4741

Name of Firm

Signature/Title

Date

**Vendors in Attendance of the Mandatory
Pre-Proposal Conference
Held Monday, October 20, 2008**

**Modern Micro Technology
Greater Richmond ARC
RWD Technologies
US Bank
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