

**REQUEST FOR PROPOSAL**  
**FOR**  
**ENTERPRISE DOCUMENT and RECORDS MANAGEMENT SYSTEM**  
**AND SERVICES**

**Long Island Power Authority**  
**333 Earle Ovington Boulevard**  
**Uniondale, New York 11553**



July 28, 2020

**TABLE OF CONTENTS**

CALENDAR OF EVENTS ..... 4

CONTACT INFORMATION ..... 4

CONTRACT PERIOD ..... 6

BACKGROUND ..... 6

DEFINITION OF TERMS ..... 7

OBJECTIVES ..... 7

NEEDS ..... 8

SCOPE OF SERVICES ..... 11

PROPOSAL STRUCTURE/REQUIREMENTS ..... 13

EVALUATION AND SELECTION ..... 18

PROPOSAL INSTRUCTIONS AND CONDITIONS ..... 19

CONTRACT APPROVAL ..... 22

ATTACHMENT A - SYSTEM FUNCTIONAL AND TECHNICAL REQUIREMENTS (SCOPE 1A) ..... 23

ATTACHMENT B – QUESTIONS ON SYSTEM FEATURES AND FUNCTIONALITY (SCOPE 1A) ..... 24

ATTACHMENT C - IMPLEMENTATION AND POST-IMPLEMENTATION SUPPORT SCOPE (SCOPE 1B) ..... 26

ATTACHMENT D – CONTENT PREPARATION AND DIGITIZATION SERVICES SCOPE (SCOPE 2) ..... 30

ATTACHMENT E – SOFTWARE LICENSING AND HOSTING QUESTIONNAIRE ..... 42

ATTACHMENT F – REFERENCE FORM ..... 43

## **FORMS:**

- 1 – Cover Letter
- 2 – RFP Exhibit A – Standard Consulting Agreement
- 3 – Appendix A – Standard Clauses for LIPA Contracts
- 4 – Appendix B – Participation by Minority Group Members and Women on State Contracts: Requirements and Procedures
- 5 – Insurance
- 6 – MWBE 100 – EEO Policy Statement
- 7 – MWBE 101 – Staffing Plan
- 8 – Workforce Utilization Report 102
- 9 – MWBE 103 – MWBE Utilization Plan
- 10 – MWBE 104 – Waiver Request
- 11 – MWBE 105 – Quarterly Contractor Compliance Report
- 12 – SDVOB – Service-Disabled Veteran-Owned Businesses
- 13 – AC3290s – Vendor Responsibility Profile
- 14 – Contingent Fee Certification
- 15 – MacBride Fair Employment Principles
- 16 – Non-Collusive Bidding Certification
- 17 – Lobbying Guidelines Regarding Procurements
- 18 – MWBE – Diversity Practices Questionnaire
- 19 – Contractor Disclosure of Prior Non-Responsibility Determination
- 20 – Sexual Harassment Policy Form

The Long Island Power Authority (“Authority”) hereby solicits proposals from experienced consulting firms and individuals (hereinafter referred to as “firms”) in response to this Request For Proposals (“RFP”) to provide **Enterprise Document and Records Management/Enterprise Content Management (EDRM/ECM) System and Services** to the Authority and its wholly-owned subsidiary, Long Island Lighting Company d/b/a LIPA (collectively referred to as “LIPA”)¹. LIPA may select one or more firms to provide the services requested herein.

### **CALENDAR OF EVENTS**

Issuance of RFP	July 28, 2020
Pre-Bid Conference	August 6, 2020 3:00 PM – 4:00 PM
Deadline for Questions	August 8, 2020
Answers posted by	August 12, 2020
Submit Notice of Intent	August 13, 2020
<b>Proposal Due Date</b>	<b>August 20, 2020, 3 P.M. Eastern</b>

### **CONTACT INFORMATION**

Pursuant to State Finance Law sections 139-j and 139-k, this RFP includes and imposes certain restrictions on communications between LIPA and Respondents during the procurement process. A Respondent is restricted from making “Contacts” (i.e., an oral, written or electronic communications which a reasonable person would infer as an attempt to influence the award, denial, or amendment of a contract) from issuance of the RFP through final award and approval of the resulting Procurement Contract by LIPA and the Office of the State Comptroller (“restricted period”) to any LIPA staff or Trustee (or consultants) other than as designated herein, unless it is a contact that is included among certain statutory exemptions as set forth in State Finance Law section 139-j(3) (a).

LIPA’s designated contact for this RFP is: Maria Gomes, Director of Procurement, (516) 719-9235. In the event of a Contact during the restricted period, LIPA is required to determine whether the Respondent may have violated the statutory restriction on Contacts. Certain findings of non-

---

¹ The Authority’s subsidiary also does business in the wholesale energy markets under the trade name Power Supply Long Island.

responsibility can result in rejection for contract award, and in the event of two findings within a four (4) year period, the Respondent is debarred from obtaining governmental Procurement Contracts. Further information about these requirements can be found in the Authority's Lobbying Guidelines Regarding Procurements, Rules, Regulations or Ratemaking which is posted on the website for this RFP.

A pre-bid conference call (GoTo Meeting) will be held on 8/6/2020, 3PM. Email requests listing attendees for the meeting invite should be sent to [Procurement1@lipower.org](mailto:Procurement1@lipower.org) by 12 noon on 8/6/2020.

Questions regarding this RFP should be sent to [Procurement1@lipower.org](mailto:Procurement1@lipower.org) on or before **August 8, 2020**. Responses to any questions received will be posted on LIPA's website at [www.lipower.org](http://www.lipower.org) by the date indicated above. No other communication of questions and answers will be made.

Each interested party should send a brief Notice of Intent by **August 13, 2020**. Such notice should contain the Respondent's name, address, phone number, e-mail address and contact person. Submission of a Notice of Intent is strongly encouraged, although not a pre-requisite for submitting a proposal.

**Other than as provided for in this RFP, any contact with LIPA Trustees or staff during the pendency of this RFP may be grounds for disqualification from the RFP process.**

Electronic copies of the Proposals (one PDF file containing the Technical/Management proposal, including forms and the completed System Functional and Technical Requirements Spreadsheet, the other an Excel file containing the Cost Proposal), should be emailed to Maria Gomes, Director of Procurement, email [Procurement1@lipower.org](mailto:Procurement1@lipower.org) no later than 3PM Eastern Time on August 20, 2020. **Attachment A – System Functional and Technical Requirements Spreadsheet** and the **Cost Proposal Spreadsheet** are Excel files and should also be completely filled out and emailed to the above email address by the deadline specified above. Respondents are encouraged to consolidate all files and send them as one zip file attachment.

Proposals received after the Proposal Due Date will not be considered. Failure to submit a proposal on time will not be waived by LIPA under any circumstances (e.g., email or network issues).

LIPA will not provide reimbursement for any costs or expenses incurred in connection with this RFP, including the costs of preparing and submitting a response, providing any additional information or attending an interview. All material that is submitted in response to this RFP will become the sole property of LIPA. LIPA expressly reserves the right to utilize any and all ideas submitted in the proposals received unless covered by legal patent or proprietary rights which must be clearly noted in the proposal submitted in response to the RFP.

Interviews of the top-qualifying Respondents may be conducted at LIPA's discretion on a specific day or days to be disclosed later in the RFP process. All top-qualifying Respondents will be notified of their exact interview date(s) in advance.

### **CONTRACT PERIOD**

The term of the contracts will be for a period of ten (10) years for sub-scope 1A, five (5) years for sub-scope 1B, and five (5) years for Scope 2. LIPA may terminate the contract at any time, in its sole discretion, upon written notice.

### **BACKGROUND**

The Authority, acting through LIPA, provides electric service in its service area (the "Service Area") which includes two counties on Long Island — Nassau County ("Nassau County") and Suffolk County ("Suffolk County") (except for the Nassau County villages of Freeport and Rockville Centre and the Suffolk County village of Greenport, each of which has its individually-owned municipal electric system) — and a portion of the Borough of Queens of The City of New York known as the Rockaways. The Authority is a corporate municipal instrumentality and a political subdivision of the State of New York (the "State"), exercising essential governmental and public powers. The Authority was created by the State Legislature under and pursuant to the Long Island Power Authority Act, being Title 1-A of Article 5 (§ 1020 et seq.) of the Public Authorities Law of the State of New York, as amended (the "Act"), including as amended by certain provisions of the LIPA Reform Act (defined below). LIPA is a stock corporation formed and existing under the Business Corporation Law of the State of New York and pursuant to LIPA's organizational documents, the Authority conducts and manages LIPA's business and affairs. Accordingly, LIPA is controlled by the Authority, which is governed by a Board of Trustees (the "Trustees").

In order to assist the Authority (acting through LIPA) in providing electric service in the Service Area, the Authority and LIPA have generally entered into operations services and power supply agreements, the purpose of which is to provide the Authority and LIPA with the operating personnel and a significant portion of the power supply resources necessary for LIPA to continue to provide electric service in the Service Area. Since January 1, 2014, a wholly-owned subsidiary of Public Service Enterprise Group Incorporated ("PSEG") dedicated to LIPA's operations ("PSEG LI") is the service provider pursuant to a twelve-year Amended and Restated Operations Services Agreement (the "A&R OSA"). Services provided by PSEG LI include T&D operation and planning; customer service; power supply planning, procurement and administration; and information technology. PSEG Energy Resources & Trade LLC ("PSEG ER&T") provides fuel and power supply management services to LIPA. LIPA retains ultimate responsibility for its wholesale market activities, which are carried out with the assistance of PSEG LI and PSEG ER&T. LIPA maintains the responsibility of oversight with respect to its service providers and maintains a staff devoted to this function.

## DEFINITION OF TERMS

For the purposes of this RFP, the following descriptions of common terms apply.

- **Records** are documents with evidentiary value. Per the LIPA Records Management Policy, records are any recorded materials, regardless of physical form or characteristic, that are made, produced, executed, or received in connection with the transaction of Authority business or pursuant to law. For the context of this discussion and the EDRM/ECM system, records are considered final and unchangeable and do not include drafts or versions. Records include any metadata contained therein.
- **Documents** are any recorded information or objects that can be treated as individual units and contain information in structured or unstructured format. Documents may or may not be records.
- **Item** is typically used interchangeably with document as defined above and is explicitly inclusive of all objects that require management regardless of format, including multi-media files and physical files stored outside the system.
- **Records Management** is focused on the management of records for legal and regulatory compliance. Records management systems provide functionality such as retention and disposition controls to ensure that records are managed in accordance with regulatory and policy requirements.
- **Document Management** is focused on increasing operational efficiency by improving the life-cycle management of documents regardless of their status as records, enabling them to be created, shared, organized, stored and retrieved efficiently and effectively. Document management systems provide functionality for managing living documents, including creation, collaboration, version and change management, and business process automation and streamlining.
- **Enterprise Document and Records Management (EDRM) Systems/Enterprise Content Management (ECM)** systems provide integrated management of documents and records in a single repository. Both Records and Document Management encompass storing, indexing and retrieving items, with the differences centered on the status of items and the activities that are allowed or required to be taken.

## OBJECTIVES

In procuring document management expertise, LIPA is looking for a system that will help provide the following benefits:

- Efficient, effective and compliant identification, maintenance and disposition of records and prevention of regulatory or electronic discovery violations.
- Regular, routine and consistent disposition of records in accordance with retention schedules to reduce exposure to any unnecessary FOIL and legal discovery costs.
- Ensure that records are maintained securely and reliably, with protection from accidental destruction and with appropriate audit trails.
- Enable increased operational efficiency by improving the availability, accessibility and reliability of documents; reducing document retrieval times; and minimizing the time spent on locating misfiled documents and managing different versions of documents.
- Improved management of long-term records through digitization of paper records and transfer of inactive records to inactive storage facilities; saving valuable office space and reducing storage costs.
- Simplified and effective access, search and retrieval of LIPA documents and records.
- Compliance with LIPA document management policies and business rules (including NY State).
- Expandable platform for meeting potential future objectives including business process automation with comprehensive electronic forms and workflow capabilities.

### **NEEDS**

LIPA is looking for a system that provides comprehensive and robust document and records management. Specific capabilities and requirements are detailed elsewhere in this document. Some key areas of interest are highlighted below.

- **Records Management**

The system must provide comprehensive capabilities for managing records declaration, retention and disposition, legal holds, and litigation discovery demands. The system must provide audit trails, reporting and notifications; be easy to use for all LIPA staff and provide

a simple interface to enable users to capture and declare records that must be retained regardless of format or medium.

- **Search**

The system must have an easy to use, effective and reliable search function. Specific search related needs include the ability to conduct simple key word searches against item content (including searches by metadata categories or full-text searches), and the ability to easily searches across the entire system (that is, across all workspaces/libraries/sections) in a single search subject to access authority granted by LIPA management leaders.

- **Repository, Organization and Retrieval**

The ability to organize and easily access documents is essential, and the system should provide robust capabilities for organizing, indexing, and retrieving content. Some specific capabilities of note include:

- The ability to create a central cross-functional structured repository, with appropriate and potentially complex access controls, and the ability to apply multiple indexing schemes/taxonomies, for business processes that entail content owned and accessed by multiple business units.
- The ability to easily create and manage instances of structured hierarchical repeating folders (for instance, Personnel Files or Case Files), where different sub-folders may have potentially varying management requirements and indexing attributes.

- **Structured Capture**

Structured capture of hard-copy and electronic items, both individually and in bulk, is an important requirement. Some specific capabilities of note include:

- An ability to *easily* capture a subset of emails from Outlook (Office 365) that are appropriately deemed records, potentially on the back-end from the email system as well as end-user capture from desktop and mobile devices, is critical.
- Structured capture processes to automatically extract relevant indexing and classification information from documents and file them in the appropriate location in the system would be highly beneficial.

- **Security and Permissions Management**

Security is a critical need for confidential records such as those generated and maintained by Human Resources, where the ability to have systems, controls and precautions in place to restrict access, and to have notification or means of identification in case of a breach, are paramount. In addition to permissions management, capabilities related to this need include maintaining audit trails for all item access.

- **Persistent Document Links and Metadata**

Easily generated persistent document links that do not break when items are modified (renamed, moved, etc.) are important for numerous functions. The ability for the system to maintain an item modification date that reflects changes to the actual document and is not impacted by contextual changes such as changes to the location, parent folder, or custom attributes is also important.

- **Redactions, Annotations and Renditions**

The ability to redact and annotate documents and edit PDF files directly from the system would be beneficial; as would the ability to associate multiple renditions of a document together.

- **Approval, Publishing and Review Workflows**

Document approval and publishing workflows and periodic scheduled reviews are important for functions such as Policy Management. Ability to develop and deploy fillable forms to capture data and process them through an automated workflow process is an important capability.

- **Integration to Other Systems/Business Process Automation**

The ability to easily integrate or interface with other systems and processes is essential. Specific integration and business process automation areas of interest include:

- Microsoft Dynamics ERP – LIPA is currently in the process of implementing Microsoft Dynamics as its ERP System. Integration with the system is essential.
- Microsoft SharePoint – LIPA intends to continue using MS SharePoint Online as a collaboration and document management tool.

- Microsoft Outlook and Microsoft Office – The ability to capture documents to the system and retrieve documents from the system from MS Outlook and MS Office clients is of interest.
- Microsoft Office 365 – Abilities to capture documents on the back end from the Microsoft Office 365 subcomponents.
- DocuSign – LIPA is planning to introduce DocuSign for electronic signatures.
- AP Invoice Process Automation

- **Mobile Access**

Capabilities for secure mobile access to the system are of particular interest, including but not limited to:

- The ability to easily capture and declare emails to the system from email clients.
- The ability to easily search, navigate, and retrieve content in the system; and to share links to content.
- The ability to view, edit and publish documents in the system.
- Ability to store and classify arbitrary content from the mobile device to the document store.
- The ability to access and process electronic forms and workflows.

### **SCOPE OF SERVICES**

LIPA has the need for assistance in each of the scopes of services listed below. Development of a Records Management system is a major driver for this initiative. In December 2010, the LIPA Board of Trustees formally adopted the Records Retention and Disposition Schedule MI-1, issued by the New York State Archives for miscellaneous local government entities, as the primary LIPA Retention Schedule. It dictates that all LIPA records be identified, retained and disposed of pursuant to said schedule. Additional state and federal record retention requirements also apply to certain records not specifically set forth in Schedule MI-1.

LIPA currently uses a number of tools and systems to meet document management needs. Increasingly, however, document file-sharing and other systems has led to generation and a need for maintenance of documents that exist solely in digital format throughout their life-cycles, or which may be readily converted to digital formats to save on cost of physical storage and retention for most records. SharePoint was implemented as a document collaboration tool and repository in or about 2017, resulting in significant improvements. However, opportunities remain for further enhancement of document management capabilities and practices. Cutting edge technologies that will enable efficiencies and opportunities for full lifecycle digitization of content with secure, location-independent accessibility are of particular interest in a post Covid-19 business environment.

Relevant existing systems at LIPA include OneDrive, Microsoft Office 365 Email Server/Outlook, Microsoft Office 365, Microsoft SharePoint Online, and Microsoft Dynamics ERP (currently being implemented, expected to go live in CY2020 Q4), and DocuSign.

As such, LIPA seeks proposals for a comprehensive Enterprise Document and Records Management/Enterprise Content Management (EDRM/ECM) platform that is well suited to a content management ecosystem approach. The EDRM/ECM system must be able to integrate and work in conjunction with other systems and operational business processes, and provide varying levels of lifecycle support required by each function, without imposing excessive burdens in terms of document input and redundant data entry. The selected system must meet the following criteria:

- Comprehensive, cyber-secure and robust records and document management capabilities, as detailed in the individual requirements below.
- Ease of use and simplicity for all LIPA staff is critical. Systems dependent on dedicated in-house records management personnel will not meet LIPA's needs nor fit within its lean, multi-disciplined staffing ecosystem.
- Ability to interface and integrate with other applications and systems and business processes.
- Scalability and extensibility to meet evolving future needs.

The individual, firm, or firms selected and/or their respective sub-consultant(s), would have demonstrable qualifications to provide a software system or services in some or portions of the following areas:

#### **Scope 1A- Enterprise Document and Records Management (EDRM)/Enterprise Content Management (ECM) System**

This scope is for procurement of the commercial off-the-shelf Enterprise Document and Records Management (EDRM)/Enterprise Content Management (ECM) platform that will be acquired and implemented at LIPA. It includes software licensing, software maintenance and support, and hosting costs.

Please refer to *Attachment A - System Functional and Technical Requirements (Scope 1A)* for the system's detailed requirements.

#### **Scope 1B- EDRM/ECM Implementation Services**

This scope is for provision of Implementation Services for a phased deployment of the system procured under Scope 1A. The scope encompasses setup and configuration of the system, implementation of enterprise-wide Records Management processes, and phased departmental/business process implementations. The selected Implementation Vendor

will be responsible for delivering the installation, setup, configuration, implementation, integration and deployment of the Enterprise Document and Records Management (EDRM)/Enterprise Content Management (ECM) System; including, as needed, business process requirements and refinement, design, development, data loading, testing, user acceptance, phased deployment, technical and end-user documentation, training and post-deployment monitoring period support.

Please refer to *Attachment C - Implementation And Post-Implementation Support Scope (Scope 1B)* for the detailed scope description of EDRM/ECM Implementation Services.

## **Scope 2- Content Preparation and Digitization Services**

This scope is for provision of document preparation and digitization services to support the System Implementation efforts. The selected vendor will work with the Implementation Vendor and LIPA personnel to prepare existing (backfile) hardcopy and electronic documents for loading to the new system as needed. Tasks will include (a) indexing and preparation of digitized or source-electronic documents in a manner that allows them to be bulk loaded to the new system to the appropriate locations and with the appropriate classifications, indexing attributes and naming conventions, (b) digitization of hardcopy documents per LIPA standards, and (c) support for Quality Assurance/Validation of existing content as needed..

Please refer to *Attachment D – Content Preparation and Digitization Services Scope (Scope 2)* for the detailed scope description for Content Preparation and Digitization Services.

Sub-scopes 1A and 1B may or may not be awarded to the same vendor.

## **PROPOSAL STRUCTURE/REQUIREMENTS**

The following is a list of the information to be provided in the Proposal. A proposal that does not include all the information requested below may be deemed non-responsive and subject to rejection. **Proposals should respond to all areas listed below, in the order listed, and conclude with a separate section on cost.**

In setting forth its qualifications, each Respondent shall provide, in concise but adequate detail, the information requested below, as appropriate. Responses to **MANAGEMENT AND QUALIFICATIONS** should be limited to 20 pages (not including cover letter, resumes, and other

LIPA-required attachments/appendices) and shall be formatted for 8 ½ x 11-inch paper using at least 12-point type with standard margins. Each Respondent is requested to provide a copy of its Affirmative Action Policy as an appendix to its proposal. This appendix will not count against the page limit restriction.

#### **A. COVER LETTER**

A cover letter, which shall be considered an integral part of the proposal, shall be bound with the proposal and signed by the individual(s) authorized to bind the Respondent contractually. In signing the cover letter, the Respondent agrees to be bound by the terms of this RFP and its submission hereunder for 180 days. The cover letter shall contain a statement that the Respondent's work for the Authority will not create any conflict of interest. If your firm believes that a conflict may arise, the nature of the conflict should be described per Item 3 below.

1. State the scopes of services in which your firm is proposing to provide to LIPA in response to this RFP. State whether your firm can provide all services in each of the Scope of Service(s) being proposed and if not, clearly identify portions you can provide services in. For each scope of service proposed, identify the attached filenames for the TECHNICAL AND MANAGEMENT PROPOSAL, and the COST PROPOSAL.
2. Provide a brief description of your firm and its ownership structure. Also include any significant developments, or organization, ownership or financial structure changes that have occurred in the last three years, or that you anticipate in the future. Detail the number of staff in your firm by professional and administrative classification.
3. Identify the nature of any potential conflict of interest your firm or any proposed sub-consultants might have in providing consulting services under this RFP to LIPA.
  - (a) State whether your firm has ever represented or currently represents Public Service Enterprise Group (PSEG) or Lockheed Martin Corporation or any of their affiliates or subsidiaries, and if so, in what capacity. Please identify any public or investor-owned electric utility, independent power producer, natural gas supplier, or transmission company, and the nature of your representation.
  - (b) Identify any conflicts of interest, actual or potential, which might arise during your firm's representation of LIPA given prior or existing representation of other utilities. Please describe fully how such conflicts would be resolved or mitigated.

- (c) State whether your firm currently represents any party that, to your knowledge, is pursuing any judicial, administrative, regulatory or arbitral action against LIPA.

Each firm must certify in writing that its representation of LIPA will not create any conflict of interest involving that firm.

- 4. Discuss any past or present civil or criminal legal investigations, pertinent litigation and/or regulatory action involving your firm or any of its employees that could impact your role or ability to serve as a consultant to LIPA. If none, include a statement that there are no past or present civil or criminal legal investigations, or pertinent litigation and or regulatory actions that could impact your firm's ability to serve in the required capacity.

**B. TECHNICAL AND MANAGEMENT PROPOSAL (FOR EACH SCOPE)**  
**(Maximum 20 pages)**

**1. RESPONDENT'S UNDERSTANDING OF SCOPE**

In this section Respondent should identify which scope (Either Scope 1A, or Scope 1B, or Scope 2) that this Technical Proposal addresses. State your understanding of the scopes of services in which your firm is proposing to provide to LIPA in response to this RFP.

**2. TECHNICAL AND MANAGEMENT APPROACH**

In this section Respondent will describe their technical and management approach to execution of this project. This section will include the following: (a) Project Management Approach, (b) Quality Assurance and Validation, (c) Business Analysis and Solutions Development (if relevant to the Scope), and (d) Project Closeout Process. Responses to Scope 1B should also include the following: (a) the configuration and customization process for a typical implementation, (b) the roles and responsibilities the vendor will have during an implementation, (c) the roles and responsibilities the customer will have during an implementation, and (d) provide a sample of a typical project implementation plan.

**3. STAFFING PLAN**

In this section the Respondent describes their staffing plan. Identify your Client Executive, Project Manager, and Technical Lead (all key personnel on the project). Describe the relevant qualifications and experience of the Project Manager and Technical Lead. Provide a list all staff proposed and their proposed roles (by labor category, per Cost section) in the project. Attach full resumes of all proposed staff (PM and technical) as an attachment to the Technical and Management Proposal.

**4. QUALIFICATIONS AND EXPERIENCE**

In this section the Respondent describes how the Respondent is best qualified to undertake and execute this scope. Describe the firm's experience in providing the same or similar services to other clients and outcomes from the projects. If Respondent has undertaken similar projects with other clients in the electric utility industry and with public power authorities, investor-owned electric companies, other utilities, municipalities and any other pertinent clients, including independent power producers, natural gas suppliers or transmission companies then that should be highlighted and described. State the nature of that experience and the name of each such client. Provide three (3) client references using the format specified in *Attachment F – Reference Form*.

**5. RESPONSES TO QUESTIONS (SCOPE 1A ONLY)**

In this section, Respondents will place the response to the questions provided in *Attachment B – Questions on System Features and Functionality (Scope 1A)*. Respondents should maintain the numbering scheme of the Questions and provide their written responses below each question. Brevity is encouraged.

**6. RESPONSES TO REQUIREMENTS MATRIX (SCOPE 1A ONLY)**

In this section, Respondents for Scope 1A will make reference to the Requirements Excel file from *Attachment A - System Functional and Technical Requirements (Scope 1A)* and certify that the completed file is attached.

**7. SUBCONTRACTING AND WMBE PLAN**

In this section Respondents should identify their proposed subcontractors, their roles for the relevant Scope, and their relevant qualifications and experience.

Include the names of MBE/WBE firms to be utilized and the scope of work each will be performing. As attachments, include your Minority Business Enterprise (MBE) and Woman Business Enterprise (WBE) proposal data, including a utilization plan detailing how the 15% MBE and 15% WBE participation goals will be met (see section 0 C).

Provide a copy of arrangement made with the minority or woman-owned business enterprise (MWBE) - MWBE Form 103) as an attachment. Include the names of MBE/WBE firms to be utilized and the scope of work each will be performing. The New York State Minority & Women Owned Businesses Searchable Database can be found at <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>. MWBE form 104 is the MWBE Waiver form that requests documentation of the good faith efforts to meet the MWBE goals.

Please complete LIPA's Diversity Questionnaire which incorporates MWBE Form 101 and 102.

Provide a copy of your firm's affirmative action policy as an attachment.

For additional information regarding the instructions for the MWBE forms, requirements and procedures please see Standard Contract Clauses for LIPA's Contracts, Appendix B PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN WITH RESPECT TO STATE CONTRACTS: REQUIREMENTS AND PROCEDURES.

### **C. COST**

**Respondents shall submit their Cost Proposal for each scope by filling out and submitting a separate Excel file that is attached to this RFP. Instructions for the Cost Proposal are included in the first page of the Cost Proposal Spreadsheet.**

### **D. OTHER**

1. LIPA's Standard Consulting Agreement is posted on the RFP website. Proposals accompanied by a written acceptance of all terms and conditions in LIPA's Standard Consulting Agreement will receive more favorable consideration by LIPA, as set forth in section 0.A.3 below. No modifications or exceptions will be considered to Appendix A - "STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS." Proposed exceptions to LIPA's Standard Consulting Agreement, which is posted on the RFP website, must include specific alternative language as well as a basis for the proposed change and will be considered on a case-by-case basis. LIPA reserves the right to reject exceptions or modifications to its Standard Consulting Agreement.
2. LIPA is subject to New York State's Freedom of Information Law (FOIL), set forth at Article 6 of the New York Public Officer Law. Confidential, trade secret or proprietary materials as defined by the laws of the State of New York must be clearly marked and identified as such upon submission of a proposal. Acceptance of the claimed materials does not constitute a determination on the exemption request, which determination shall be made in accordance with FOIL upon the filing of a request to LIPA.
3. LIPA reserves the right to procure hosting services separately from this contract if it determines that to be in its best interest. If LIPA chooses to separately host, Respondents for sub-scope 1A will fully cooperate with LIPA to support the installation of the system on the chosen hosting infrastructure.

## EVALUATION AND SELECTION

### A. Evaluation Criteria

A Selection Committee consisting of LIPA staff will evaluate the proposals. The Selection Committee will consider the following factors, not necessarily listed in the order of importance:

1. The Firm's previous experience providing the scope of service(s) proposed to electric utilities or to other public entities in NY State.
2. The qualifications, expertise, prior experience and availability of the proposed team assigned to LIPA's account, including expertise and experience pertinent to the services requested in the RFP.
3. Overall organization, completeness, and quality of proposal, including cohesiveness, conciseness, clarity of response, demonstrated understanding of LIPA's requirements, favorability of software licensing terms (for Scope 1A), and degree of acceptance of LIPA's terms and conditions in LIPA's Standard Consulting Agreement
4. The degree to which the software system (for sub-scope 1A) meets the requirements in *Attachment A - System Functional and Technical Requirements (Scope 1A)* of this RFP. This will be shown at the Respondents response to this RFP and Respondent's mandatory demonstration, including but not limited to (a) demonstration of selected document management functions, (b) demonstration of selected records management functions, (c) reporting (including report samples), (d) mobile ease of use, (e) integration with MS products (e.g. Office 365, SharePoint, etc.), and (f) selected sysadmin tasks. The demonstration and associated Q&A will be conducted by videoconference. Respondents will be required to have their designated project manager and assigned key technical personnel present at this session. This is not intended to be a generic demonstration of the application, but rather a scripted proof-of-concept of specific functions of interest. Respondents must be prepared to invest the time and resources in preparing the demonstration in accordance with the provided scripts to be successful with this procurement. The scripts and other relevant documentation will be provided prior to the scheduled demonstration.
5. The firm's overall diversity and commitment to equal opportunity programs.
6. The Cost of the software system (for sub-scope 1A) or the cost of the consulting services including the competitiveness of the proposed hourly billing rates. Although proposed cost will be given significant consideration in the selection process, LIPA reserves the right to negotiate lower fees with any firm.
7. Interviews, if conducted.

The breakdown will be 70 points for Technical/Management proposal (including demo) and 30 points for Cost. LIPA reserves the right to request Best and Final Offers (BAFO).

## **B. Selection Process**

The Selection Committee will initially review all proposals to determine responsiveness. Any proposal that does not address all requested information or is incomplete will be rejected.

The Selection Committee will evaluate all responsive and responsible proposals based on the criteria enumerated in Section 0.A above. The Selection Committee may afford firms the opportunity to clarify proposals for the purpose of assuring a full understanding of their responsiveness to the RFP.

The Selection Committee may also conduct interviews of Respondents found to be most qualified to perform the services required, based upon the criteria listed in this RFP. If so, Respondents will be notified in advance of the exact interview date.

Prior to award of any contracts(s), the Selection Committee will conduct a vendor responsibility determination and may require eligible Respondents to answer questions and provide additional information to supplement the information provided in the Vendor Responsibility Questionnaire to assist the Selection Committee in making such a determination.

All Respondents in each scope will be notified in writing once selections have been made in that scope.

## **PROPOSAL INSTRUCTIONS AND CONDITIONS**

### **A. Limitations**

1. This RFP does not commit LIPA to award a contract, pay any costs incurred in the preparation of a response, or procure or contract for services of any kind whatsoever. LIPA reserves the right, in its sole discretion, to accept or reject any or all responses as a result of the RFP, to negotiate with any or all firms considered, or to cancel this RFP in whole or in part. LIPA reserves the right to request additional information from all Respondents.
2. Respondents may be requested to clarify the contents of their proposal. Other than to provide such information as may be required by LIPA, no Respondent will be allowed to alter its proposal or to add new information after the RFP due date.

3. Respondents may be required to participate in negotiations and to submit any price, technical or other revisions to its proposal which may result from such negotiations.

Respondents must fully execute the following forms (posted on the RFP website) and submit with its proposal: 1). MacBride Fair Employment Principles; 2). Non-Collusive Bidding Certification; 3). Contractor Disclosure of Prior Non-Responsibility Determinations; 4). Contingent Fee Certification; 5). NYS Vendor Responsibility Questionnaire (please find form at <http://www.osc.state.ny.us/vendrep/> ) and include with your firm's response; 6). Diversity Questionnaire; 7) Form 101, Workforce Employment Utilization- Form 103 and EEO forms -Form 102 and 9) Sexual Harassment Policy Form.

4. All Data shall remain in the Continental United States (CONUS). Any Data stored, or acted upon, must be located solely in Data Centers in CONUS. Services which directly or indirectly access Data may only be performed from locations within CONUS. All Data in transit must remain in CONUS and be encrypted, at a minimum, in accordance with the requirements of the New York State Information Technology Encryption Standard, NYS-14-007. See [https://its.ny.gov/sites/default/files/documents/nys-s14-007\\_encryption\\_standard\\_5.pdf](https://its.ny.gov/sites/default/files/documents/nys-s14-007_encryption_standard_5.pdf)
5. All material submitted in response to this RFP will become the sole property of LIPA, except as noted in Section II above.

## **B. Proposal Submission**

1. Proposals must include a cover letter indicating the mailing address of the office from which the proposal is submitted, the name and email address of the individual who will represent the firm as the primary contact person for the proposal, and the telephone of the primary contact person.
2. Non-responsive proposals include, but are not limited to, those that:
  - (a) are not in conformance with RFP requirements and instructions;
  - (b) are conditional (e.g., the terms of the proposal are conditioned on an unrelated action by LIPA); or;
  - (c) contain a material omission(s).

LIPA may waive minor informalities or irregularities in a proposal that are merely a matter of form and not substance and the correction of which would not be prejudicial to other proposals.

LIPA will not reject a proposal for Scope 1A because 100% of the requirements specified in *Attachment A - System Functional and Technical Requirements (Scope 1A)* are not met by the proposed system but it is important to have a response to each listed item).

3. Joint proposals from multiple prime contractors will not be accepted. Proposals that include subcontractors are acceptable and encouraged to meet the MWBE goals. LIPA's contractual relationship will be with the prime contractor.

### **C. Participation of Minority and Women-Owned Business Enterprises (MWBE)**

The Authority is committed to diversity and equal employment opportunities among its contractors, including the attorneys it engages. The Authority encourages all firms, including firms that are MWBE certified, to submit proposals in response to this RFP.

Please note that all certified MWBE firms submitting proposals to this RFP, should be registered as such with the New York State Department of Economic Development. For firms that are not certified but have applied for certification, please provide evidence of filing, including filing date.

For purposes of this solicitation, LIPA hereby establishes an overall subcontracting goal of 30%; 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation.

### **D. Participation of Service-Disabled Veteran Owned Businesses (SDVOB)**

New York State has established a state-wide goal of 6% New York State Service-Disabled Veteran-Owned Business goal. Respondents should identify ways that they might be able to assist the Authority by subcontracting or other means to help achieve the New York State Service-Disabled Veteran-Owned Business goal of 6%. For more information regarding New York State Service-Disabled Veteran-Owned Businesses, please visit the New York State Office of General Services webpage <http://www.ogs.ny.gov/Core/SDVOBA.asp>.

For purposes of this solicitation, LIPA hereby establishes an overall subcontracting goal of 6%. Respondents are encouraged to use SDVOBs in connection with their proposed project.

### **E. Administrative Specifications**

1. All proposals must be open for acceptance for 180 days and signed by an authorized officer of the firm.

2. The successful Respondent(s) must agree to provide LIPA with audit access on request during the term of the contract and for 7 years thereafter.
3. LIPA at any time, in its sole discretion, may terminate its contract with the successful Respondent(s).

#### **F. Addenda: Errors and Omissions**

1. If a Respondent discovers any ambiguity, conflict, discrepancy, omission or other error in this RFP, immediately notify Maria Gomes, Director of Procurement, in writing, of such error and request clarification or modification to the document.
2. Should LIPA find it necessary, modification to the RFP will be made by addenda. Such modifications will be posted on the RFP website.
3. If a Respondent fails to notify LIPA of a known error or an error that reasonably should have been known prior to the final filing date for submission, the Respondent shall assume the risk. If awarded the contract, the Respondent(s) shall not be entitled to additional compensation or time by reason of the error or its late correction.

#### **G. Debriefing of Unsuccessful Respondents**

Upon written request to Maria Gomes, Director of Procurement, a debriefing will be scheduled with an unsuccessful Respondent after LIPA has provided notice of its selection of one or more successful Respondent(s). Discussion will be limited to a critique of the proposal submitted by the Respondent requesting the debriefing. Comparisons between proposals or evaluations of the other proposals will not be discussed. Debriefings may be conducted in person or on the telephone, at LIPA's discretion.

### **CONTRACT APPROVAL**

LIPA's selection of one or more successful Respondent(s) shall not be binding, valid and effective until it has been approved by LIPA's Board of Trustees and the Office of the State Comptroller (OSC). In addition, any contracts issued pursuant to this RFP shall not be valid, effective or binding until approved by the New York Office of State Comptroller and filed in his office, in accordance with Section 112 of the New York State Finance Law. **LIPA reserves the right to select proposals and execute contracts for each scope of services separately from all other scopes of services.**

**Attachment A - System Functional and Technical Requirements (Scope 1A)**

Complete the Requirements Table in the provided spreadsheet (Attachment A – System Functional and Technical Requirements), specifying compliance of the proposed system with the requirements listed in the spreadsheet. **Respondents for Scope 1A are required to respond to each requirement contained in the spreadsheet.**

For each requirement listed in the spreadsheet, the Respondent must complete the Response column using one (and only one) of the Response Indicators specified below.

<b>RESPONSE INDICATOR</b>	<b>DESCRIPTION</b>	<b>INSTRUCTIONS</b>
<b>Y</b> (Yes)	The proposed system (core product plus any optional modules included in the Cost section), fully meets the requirement as a standard out-of-the-box feature.	No additional explanation is required, though Respondents may choose to present relevant information in the ADDITIONAL INFORMATON/EXPLANATION column.
<b>N</b> (No)	The proposed system does not have the ability to meet the requirement.	No additional explanation is required, though Respondents may choose to present relevant information in the ADDITIONAL INFORMATON/EXPLANATION column.
<b>O</b> (Optional)	The requirement can be met as an out-of-the box feature by adding optional modules or third party products that are not included in the Cost section.	The Respondent must specify the relevant modules or third party products in the ADDITIONAL INFORMATON/EXPLANATION column.
<b>P</b> (Partial)	The requirement is partially met, or can be met by custom development or workarounds.	The Respondent should provide an explanation in the ADDITIONAL INFORMATON/EXPLANATION column.

**Note that LIPA does not necessarily expect systems to meet every requirement listed. Responses will be evaluated for overall alignment and fit of the system with LIPA needs.**

## **Attachment B – Questions on System Features and Functionality (Scope 1A)**

### **B. System Questions**

#### **B.1 System Functionality**

- B.1.1 Describe the records management functionality of the system.
- B.1.2 Describe the email management functionality for Microsoft Office 365 Email Server/Outlook.
- B.1.3 Describe the intelligent capture and classification capabilities of the system, if any.
- B.1.4 Describe the system search engine, including high level architecture, any papers or studies evaluating the accuracy, relevance and completeness of search results, and any performance benchmarking.
- B.1.5 Describe the mobile (smartphones/tablets) access capabilities of the system. Do you have dedicated client apps for iOS and Android?
- B.1.6 Describe system reporting capabilities, including key standard reports and dashboards.
- B.1.7 Describe your electronic forms functionality, including workflow integration.

#### **B.2 Integration**

- B.2.1 For each system listed, describe any off-the shelf or pre-existing integration of your product with the system, including features relevant to the integration requirements listed in section **Error! Reference source not found.** Describe any other features that may be of interest to us.

Systems: (1) MS Office 365 Email Server /Outlook, (2) Microsoft Dynamics ERP, (3) Microsoft Office 201x, (4) Office 365, (5) Microsoft SharePoint, (6) Microsoft OneDrive, (7) Microsoft Teams, (8) Smartsheets, and (9) DocuSign.

- B.2.2 Describe or list your product APIs or toolsets that will support the integration requirements listed in *Section A.1.5.1 Integration* of the Requirements Spreadsheet from *Attachment A - System Functional and Technical Requirements (Scope 1A)*. Attach technical documentation, if available.

#### **B.3 Customer Base**

- B.3.1 Describe your customer base, including the number of customers, statistics on the size and duration of their implementations, and the primary verticals.
- B.3.2 List any New York State public entities currently using your product.
- B.3.3 List any utilities currently using your product.
- B.3.4 List any other current installations that you think might be relevant to us, if any.

## **B.4 System Management**

- B.4.1 Describe your standard release and upgrade schedule.
- B.4.2 Describe the typical process for applying system releases or upgrades.

## **B.5 Platform**

- B.5.1 Describe the architecture and management of the cloud platform on which the system will be hosted, if applicable.
- B.5.2 Describe the options for moving the system to the LIPA Microsoft Azure environment or to a LIPA on-premise environment if the system is initially implemented on a vendor hosted and managed cloud platform.

## **B.6 Training**

- B.6.1 Describe the vendor-provided standard training options for end-users, records managers and system administrators.

## **Attachment C - Implementation And Post-Implementation Support Scope (Scope 1B)**

### **C. DETAILED SCOPE**

#### **C.1 PURPOSE**

As detailed in Scope 1, LIPA is seeking an Enterprise Document and Records Management (EDRM)/Enterprise Content Management (ECM) System. This optional scope is for provision of Implementation Services for a phased deployment of the system procured under Scope 1. The scope encompasses, at a high level, setup and configuration of the system, implementation of enterprise-wide Records Management processes, and phased departmental/business process implementations.

Records Management needs are the key drivers for this initiative. The implemented system will serve as a central repository for all final records, with easy-to-use, intuitive capture and declaration mechanisms for end users, and comprehensive and robust functionality for records managers/legal personnel including retention and disposition, holds and discovery. Additionally, the system will provide full lifecycle document and records management for some business processes as appropriate; and will be integrated with core LIPA systems including the e-mail system, Microsoft Dynamics 365 ERP, and Microsoft SharePoint.

The system will be implemented in a phased manner, broken into waves, over a multi-year timeline. The first wave is expected to last six months and comprise system set-up, enterprise records management implementation, and one to three departmental implementations. Iterative implementations for individual departments or functions may be considered as appropriate.

#### **C.2 SCOPE**

The selected Implementation Vendor shall be responsible for delivering the LIPA-approved setup, configuration, implementation, integration and deployment of the Enterprise Document and Records Management (EDRM)/Enterprise Content Management (ECM) System; including, as needed, business process requirements and refinement, design, development, data loading, testing, user acceptance, phased deployment, technical and end-user documentation, training and post-deployment monitoring and support.

The following list presents the anticipated major tasks entailed in this scope. However, Respondents may propose tasks not specifically identified below, if deemed appropriate based on their past experience and best practices, in order to deliver a fully functional system as described herein.

##### **C.2.1 Project Management**

The Implementation Vendor will develop, maintain and manage the project per a Project Management Plan, with a designated Project Manager responsible for managing vendor tasks and working with the LIPA project manager for successful completion of the project.

### **C.2.2 System Setup**

The Implementation Vendor will install and configure the software system purchased by LIPA under Scope 1, including all modules and components, in a manner compliant with LIPA Information Technology architectural and security standards and policies. Tasks include:

- Installation, configuration and deployment of a Development environment.
- Installation, configuration and deployment of a Test environment.
- Installation, configuration and deployment of a Production environment.
- Processes for migration of configurations and customizations from one environment to another.
- System architecture and configuration documentation.

### **C.2.3 Records Management Implementation**

The Implementation Vendor will configure and implement Records Management processes in the system per LIPA's Records Management Policy and Retention Schedule (New York State Archives Records Retention and Disposition Schedule MI-1). Tasks include:

- Review LIPA Records Management Policies; work with LIPA personnel to refine or develop processes and procedures as needed for alignment and implementation in the system.
- Design, configure and implement Records Management processes in the system, including:
  - Records Series and Retention Schedules
  - Capture and Declaration processes, including capture from e-mail and other standard enterprise-wide systems such as OneDrive, Microsoft Office and Microsoft SharePoint, and automatic or intelligent classification capabilities.
  - Disposition review and management processes and workflows.
  - Legal Hold application and management processes.
  - Discovery capabilities.
  - Records Management reports and notifications .

### **C.2.4 Phased Departmental Implementations**

The Implementation Vendor will conduct phased departmental or functional implementations. Tasks may include:

- Development of technical and functional business process requirements.
- Development and implementation of a File Plan including folder/directory structure and indexing attributes.

- Development and implementation of a Permissions Model including appropriate groups, security privileges and users.
- Development and implementation of capture and declaration processes for loading of day-forward documents and records into the system, potentially including structured scanning and capture of hard-copy documents.
- Implementation of the relevant retention schedules and associated records management processes.
- Development and implementation of processes for Management of Change as appropriate.
- Development and implementation of retrieval processes, including search queries or templates, reports, and other tools as appropriate.
- Loading of existing in-scope digitized and indexed documents and records into the system in accordance with the developed File Plan.
- Integrations with the Microsoft Dynamics ERP System.
- Provision of documentation of each implementation, including system design and configuration documentation and end-user documentation.
- On selected phases, development of forms, workflows, business objects, etc. for the purpose of end-to-end business process automation.
- Development and implementation of additional content management processes, as required.

### **C.2.5 Testing**

The Implementation Vendor will conduct unit, integrated and user acceptance testing of the system and implementations, including thorough testing of the full document lifecycle and all document types for each implemented business process or department.

### **C.2.6 Training**

The Implementation Vendor will provide training on the implemented system to end users, records managers and custodians, and system administrators; and prepare associated training materials, including assets for on-demand video training.

### **C.2.7 Post-Deployment Support**

The Implementation Vendor will provide post-deployment support for each phased deployment for a period of up to 30 days.

### **C.2.8 Ad-hoc Support**

The Implementation Vendor will provide support for implementation for ad-hoc requirements that may arise during initial implementation and thereafter

### C.3 PHASING PLAN

LIPA expects the system to be implemented in a phased manner, broken into 3 waves, with the following high-level anticipated timeline:

- **Wave 1** is expected to last six months and comprise system set-up, enterprise records management implementation, and one to three pilot departmental implementations. The pilot implementations will be determined by business needs as well as suitability for providing baseline and benchmarking information for subsequent implementations.
- **Waves 2 and 3** will encompass the remaining 15 to 20 implementations, with a target duration of 15 months.

The selected vendor will work with LIPA to develop a detailed timeline and implementation plan. However, the Respondent should provide a high level implementation timeline with potential phase start and target go-live dates, and their recommended phasing and roll-out approach. The Respondent should additionally describe their Project Management and Implementation methodologies and anticipated approach to developing a detailed deployment plan.

## **Attachment D – Content Preparation and Digitization Services Scope (Scope 2)**

### **D. DETAILED SCOPE**

#### **D.1 PURPOSE**

As detailed in Scopes 1 and 2, LIPA is seeking software and implementation of an Enterprise Document and Records Management (EDRM)/Enterprise Content Management (ECM) System. The system will be implemented in a phased manner, broken into waves, over a multi-year timeline.

This scope is for provision of document preparation and digitization services to support the System Implementation efforts. The selected vendor will work with the Implementation Vendor and LIPA personnel to prepare existing (backfile) hardcopy and electronic documents for loading to the new system as needed. Tasks will include digitization of hardcopy documents, support for Quality Assurance/validation of existing content as needed, and indexing and preparation of digitized or source-electronic documents in a manner that allows them to be bulk loaded to the new system to the appropriate locations and with the appropriate classifications, indexing attributes and naming conventions.

The Respondent should provide a Technical Proposal describing how the Vendor will execute the project; including their Digitization, Indexing, Quality Assurance and Document Management and Control plans.

#### **D.2 SCOPE**

The scope encompasses work related to preparing existing hardcopy and electronic documents for import into the EDRM/ECM system.

The majority (70% - 90%) of existing LIPA documents are already in digital format, i.e. *born-digital*, primarily because they were created electronically. Notwithstanding, these documents may need additional prep work before loading them into the EDRM/ECM system. This may include classification, indexing, and organization. Quality Assurance/validation of existing content will also be needed. A small percentage of previously scanned electronic documents may require conversion to formats appropriate for long term storage, or creation of OCR indexes. Hardcopy documents will require scanning, including preparation and management of paper files, in addition to the tasks associated with born-digital documents.

All work efforts related to hardcopy and born-paper documents must comply with the New York State Archives' Digital Imaging Guidelines. Vendors should assume that 80% of the documents in scope will be in electronic format and 20% hardcopy.

The following list presents anticipated major tasks entailed in this scope.

### **D.2.1 Project Management**

The selected vendor will assign a Project Manager for tasks under this scope.

### **D.2.2 Hard-Copy Documents**

This scope includes scanning/digitization of hardcopy documents, as well as preparing the documents for digitization, indexing of the digitized documents, and performing quality control steps to ensure the proper conversion. It may additionally include tasks such as format conversion or addition of OCR to previously digitized documents. All work performed under this scope will comply with the New York State Archives' Digital Imaging Guidelines, including both technical guidelines and process requirements and standards, to ensure the proper protection, authenticity, reliability, integrity, and usability of digitized records.

Tasks that may be included are outlined below.

#### **D.2.2.1 Inventory**

The selected vendor may be tasked with producing an inventory of the documents, including the type of paper documents (letter-sized paper, legal-sized paper, ledger-sized paper, etc.), general characteristics (paper size, paper color, the presence or absence of staples or other fasteners, etc.), and general document quality (undamaged documents, torn documents, onion-skin paper, or other damage).

#### **D.2.2.2 Document Review and Validation**

The vendor may potentially be tasked with assisting LIPA personnel in review and validation of files, and any associated cleanup such as removal of duplicates or obsolete items, if needed.

#### **D.2.2.3 Document Preparation**

The vendor will be responsible for physically preparing the hardcopy files for scanning, including:

- Removal of documents from binders/folders as needed
- Removal of clips, staples, and other fasteners.
- Unfolding and flattening of paper sheets as needed.
- Moving of any post-its/sticky notes to a clean blank page for scanning.
- Preparation of damaged or fragile items such as tissue, onionskin, carbon or glass paper; including copying, taping torn documents or mending as appropriate.
- Separation of multi-part forms or continuous feed computer paper if needed.
- Organization and separation into appropriate scan batches as needed.

#### D.2.2.4 Scanning

Documents will be scanned in accordance with the technical specifications of the New York State Archives' Digital Imaging Guidelines; including, but not limited to:

- **Compression:** Any compression technique must be a non-proprietary, lossless compression method that does not remove data or otherwise alter the appearance of the original image, such as ITU-T (formerly CCITT Group IV) or JPEG 2000 encoding.
- **File Formats:** Files will be scanned to PDF/A format, or Tagged Image File Format (TIFF) where appropriate. Only lossless compression techniques will be allowed for either format. Proprietary headers will not be allowed.
- **Imaging Resolution:** The minimum resolution will be 300 ppi, though higher resolutions of up to 600 ppi may be required in many cases.
- **Mode:** (a) The majority of documents are expected to be Small Textual Documents (paper documents up to 11" x 17" in size). Textual documents in black and white with good contrast between the printed text and the paper background will be digitized in bitonal mode (black and white, no gray). Low quality documents, documents with handwritten notes or markings, low contrast between the text and the paper background, or poor legibility will be digitized in grayscale mode or in 24-bit RGB or CYMK color mode. Color mode may be necessary to capture details and information better in some cases. (b) There may be some Bound Volumes or Maps, Plans and other documents larger than 11" x 17". Refer to the New York State Archives' Digital Imaging Guidelines for the detailed specifications.
- **Pages:** Multi-page documents will be digitized as single files for both TIFF and PDF/A file formats.
- **Orientation and Size:** Proper image orientation must be maintained: portrait or landscape orientation, as appropriate. All documents must be digitized at their original size.
- **Image Enhancement:** Techniques such as de-skewing, cropping image data beyond the document, and rotating an image to the proper orientation will be utilized as appropriate, without alteration to the information on the record image. Techniques that alter existing content in an original record; including but not limited to, sharpening, retouching, or otherwise adding or removing information from the images; will not be allowed.
- **Optical Character Recognition:** Optical Character Recognition (OCR) will be performed for documents with textual information to convert digital images into electronic text. The vendor must certify the conversion to be at least 95% accurate as measured by character count.

Test digital images of the documents will be created prior to wholesale scanning, with samples of each set of similar textual documents based on paper type and condition and other relevant variation criteria.

#### **D.2.2.5 Classification and Indexing**

The selected vendor will index all scanned documents, and provide the images and indexing data in the format and manner prescribed, such that the digitized documents can be bulk loaded into the new system to the appropriate locations and with the appropriate folder structures, classifications, indexing attributes and naming conventions.

The specific indexing scheme and File Plan for each set of documents will be developed by the Implementation Vendor for each phased implementation; and will include at a minimum, for all documents, a unique identifier, Records Series Title, and Retention Schedule Item Number.

In addition to all indexing data required to load and maintain documents in the system per the developed File Plans for each document set, the following production metadata will be provided for each digitized item, either within the individual images or separate from but associated with each body of digitized images, per the New York State Archives' Digital Imaging Guidelines:

- Name of the imaging vendor conducting the imaging
- Date of the imaging
- Pixels per inch (ppi)
- Equipment used to capture the images
- Software used to capture the images

#### **D.2.2.6 Quality Assurance**

Quality Assurance will be required to ensure the creation of accurate and authentic images and accurate indexing and metadata. Quality Assurance will be performed in a two-step process, with the selected Digitization Vendor responsible for conducting a quality check compliant with the New York State Archives' Digital Imaging Guidelines, as outlined below, and a second review to be conducted by LIPA or a designated third party.

A 100% accuracy rate is expected for completeness, image quality and indexing accuracy (not including OCR index text). Digitizing must capture each digital image with the same level of clarity as each document page so that every legible line and character on the original document appears and is legible in the image.

LIPA has the absolute right, after inspection, to reject any images determined not to meet the requirements of LIPA or the New York State Archives' Digital Imaging Guidelines. In such cases, the contractor must re-digitize at its own expense.

LIPA will determine, for each records set, whether it intends to retain or destroy the original documents after digitization. For any records where LIPA intends to destroy the original paper documents, a page-by-page verification of 100% of the scanned records will be required. Each image of every page of all digitized documents must be visually inspected, not verified by a machine, to ensure clarity, readability, and accurate representation of the original record. Similarly, each indexing field must be checked against the original or imaged record. If LIPA decides to maintain the original records after scanning, verification may be conducted via the

sampling method detailed in the *New York State Archives' Digital Imaging Guidelines Appendix D, Sampling Methods for the Content Verification of Digital Images*.

The vendor must describe in the proposal its Quality Assurance process used to verify high-quality digitization of documents and accuracy of indexing. The quality process must comply with the following requirements:

- The Vendor must review every page digitized.
- The Vendor must prepare indexing data (not including OCR indexes) with the goal of achieving 100% accuracy, and will describe its proposed methods in the response. Acceptable methods include verification of the data by an individual other than the person performing the initial data entry; dual data entry/double-blind indexing; or other appropriate methods.
- Quality control for digitized images must verify the following items:
  - Correct image file naming convention, as agreed upon
  - Correct file format (including verification of compliance with the PDF/A format for purported PDF/A files)
  - Quality of image is the same as in the original
  - Correct size and resolution
  - Image digitized at appropriate ppi for each image type
  - Proper reading orientation (landscape or portrait)
  - Image is not skewed
  - Image is neither too light nor too dark
  - Curvature of the page does not obscure or distort the text
  - Appropriate contrast within the image
  - No distortion of the image
  - No extraneous materials (sticky notes, fasteners, etc.) obscure the image
  - No additional information added to the image that is not part of the original document
  - Appropriate indexing terms associated with the digitized image
- Acceptable correction of digitized images is limited to the following:
  - Correcting image filename
  - De-skewing, rotating, or flipping the image to correct its orientation
  - Adjusting brightness, contrast, or tone through re-digitizing only

- Curvature correction that does not obscure or distort the original image and that captures all data in the record
- Reversing polarity for photographic negatives or negative microfilm
- Re-digitizing, followed by a re-inspection of the new image
- Updating index database/files to correct errors
- The Vendor must keep a digitized images log to track and record any issues or concerns with an item being digitized. The Vendor must assign a quality grade to original documents that are deemed of marginal to low quality and result in poor quality images. The quality grade must be recorded in the digitized images log. The quality grade must have, at minimum, three gradations denoting one of the following:
  - Perfect capture: No data loss or image deterioration. No notation is required in the digitized images log in such cases.
  - Good capture: No data loss but some image deterioration. Customer may consider maintaining the original document in such cases.
  - Poor capture: Data loss and/or significant image deterioration. Customer must retain the original document in such cases if a better image cannot be produced from the original.
- The Vendor must inspect each individual image, disc, tape, or other storage medium for compliance with the requirements, including resolution, image quality, accuracy of the index, and general workmanship. The Vendor must include an inspection report or certification covering each disc, tape, or other storage medium or transfer protocol used for each shipment.
- The Vendor must return digitized images to LIPA in batches at a stipulated frequency, and not at the completion of all scanning, in order for LIPA to perform internal or third party verification.

### **D.2.3 Electronic Documents**

This scope includes efforts associated with preparing born-digital or previously digitized documents for bulk loading into the system, including review and validation, indexing and quality assurance.

Tasks that may be included are outlined below.

#### **D.2.3.1 Inventory**

The selected vendor may potentially be tasked with producing an inventory of the documents, including the current location/system, format and type.

#### **D.2.3.2 Document Review and Validation**

The vendor may potentially be tasked with assisting LIPA personnel in review and validation of existing files, and any associated cleanup such as removal of duplicates or obsolete items, if needed.

### **D.2.3.3 Indexing**

The selected vendor will index all relevant documents and provide the indexing data in the format and manner prescribed, such that the documents can be bulk loaded into the new system to the appropriate locations and with the appropriate folder structures, classifications, indexing attributes and naming conventions.

The specific indexing scheme and target File Plan for each set of documents will be developed by the Implementation Vendor for each phased implementation; and will include at a minimum, for all documents, a unique identifier, Records Series Title, and Retention Schedule Item Number.

### **D.2.3.4 Quality Assurance**

Quality Assurance will be required to ensure the creation of accurate indexing. Quality Assurance will be performed in a two-step process, with the selected Digitization Vendor responsible for conducting a quality check compliant with the New York State Archives' Digital Imaging Guidelines, as outlined below, and a second review to be conducted by LIPA or a designated third party.

A 100% accuracy rate is expected for completeness and accuracy of the indexing.

The vendor must describe in the proposal its Quality Assurance process used to verify accuracy of indexing. The quality process must comply with the following requirements:

- The Vendor must prepare indexing data with the goal of achieving 100% accuracy, and will describe its proposed methods in the response. Acceptable methods include verification of the data by an individual other than the person performing the initial data entry; dual data entry/double-blind indexing; or other appropriate methods.
- Quality control for indexed documents must verify the following items:
  - Appropriate indexing information associated with the document
- Acceptable correction of indexing data images is limited to the following:
  - Updating index database/files to correct errors
- The Vendor must inspect each individual image, disc, tape, or other storage medium for compliance with the requirements, including accuracy of the index, and general workmanship. The Vendor must include an inspection report or certification covering each disc, tape, or other storage medium or transfer protocol used for each shipment.

- The Vendor must return indexing data to LIPA in batches at a stipulated frequency, and not at the completion of all processing, in order for LIPA to perform internal or third party verification.

### **D.3 ADDITIONAL PROCESS AND DOCUMENT CONTROL REQUIREMENTS**

#### **D.3.1 All Documents (Hardcopy and Electronic)**

- D.3.1.1 Under no circumstances are any documents or their contents to be shared, copied, or transferred to another organization or individual outside of the expressed intent of the project or without prior written permission from LIPA.
- D.3.1.2 The Vendor must maintain control at all times over the physical and electronic public records provided to them or created as a result of the work performed under the scope of the project.
- D.3.1.3 Transfer of images and indexing data from the vendor to LIPA will occur via designated secure network/cloud locations, or via external hard drives or USB-drive media.
- D.3.1.4 Any removable media used to transfer images, documents or indexing data between the Vendor and LIPA must be properly labeled. At a minimum, the following information must be included on a label on each piece of storage media used to transfer images and index data:
- Customer Name
  - Records Series Title and Date
  - Range of Records (if appropriate)
  - Package or Media Number
  - Security Level (Low, Medium, High)
- D.3.1.5 Confidential and Sensitive Information: Special care must be taken when physically transferring media from the imaging source to LIPA if records contain confidential or sensitive information. To prevent unauthorized access to sensitive information, the use of data encryption, locked media storage containers or other secure method of transfer must be employed.
- D.3.1.6 Documents or any artefacts whether provided by LIPA to Digitization Vendor or produced under this contract may not be provided to any person or any entity residing or domiciled outside of the United States.

#### **D.3.2 Hard-Copy Documents**

##### **D.3.2.1 Facilities Inspection**

D.3.2.1.1 LIPA reserves the right to inspect and approve the Vendor's worksite before **and** at any time during the performance of a contract to ensure the Vendor's production and quality control capabilities.

### **D.3.2.2 Handling, Transfer, Storage, and Security**

D.3.2.2.1 All documents must be treated with care to ensure that the records are not re-arranged, damaged, lost, destroyed, or stolen.

D.3.2.2.2 LIPA will provide the Vendor with a transfer sheet that includes an accounting of every box of records and its contents and which notes any missing records, damage to the records, or other known problems with the records in their original paper form. Both parties will sign this document at the point of transfer of the records to the Vendor.

D.3.2.2.3 Unless already performed by LIPA, the Vendor will pack all records on site, and provide personal transportation for the records in both directions to and from their facilities to LIPA.

D.3.2.2.4 The Vendor must describe the entire chain custody for documents from the initial pick up to final delivery of the digitized documents back to LIPA.

D.3.2.2.5 The Vendor must maintain a tracking system located in its facility for instant tracking of LIPA's shipment. The Vendor must explain the cataloging or tracking process used to ensure the same files and the same numbers of files are returned as were shipped out.

D.3.2.2.6 The Vendor must physically apply a tracking number onto each box and individual large document (defined as those greater than 11" x 17" in size) for inventory and tracking purposes. This number must be unique for each box and large document and applied in a clean and professional manner.

D.3.2.2.7 The Vendor must make all efforts to apply the best industry practices to eliminate the risk of documents being lost or its security compromised during transfer.

D.3.2.2.8 All work must be performed at the contracted Vendor's facilities, unless prior agreement is made with Customer.

D.3.2.2.9 The Vendor must store all documents in a secure environment, with protection from damage due to the elements, human error, and other unforeseen threats.

D.3.2.2.10 The Vendor's records storage facility must have a working security system that includes protection from burglary, fire, and other events that may cause harm to the records provided.

D.3.2.2.11 The Vendor's records storage facility must have protection from water damage due to outside elements.

D.3.2.2.12 Information Security: Vendor must ensure that documents or copies of thereof are maintained so that they are maintained in a secure environment.

- D.3.2.2.13 Information Security: All vendor employees having access to LIPA documents will pass a rigorous background check. Vendor will provide evidence of background reports to LIPA.
- D.3.2.2.14 As part of the closing process for each batch of digitization or indexing, vendor must provide a certification that the batch has been subject to and successfully completed the quality assurance process and that all LIPA documents and/or copies (including backup copies) thereof has been returned or destroyed.

### **D.3.2.3 Vendor Equipment Maintenance and Inspection**

- D.3.2.3.1 The Vendor must regularly maintain and inspect its digital imaging equipment to ensure all of it is in good working order and must maintain logs of such activities. These equipment maintenance logs must note any problems identified with each piece of equipment and the steps taken to eliminate each problem. When applicable, the Vendor must follow manufacturer's guidelines for equipment maintenance or explain why its differing processes are more reliable than those of the manufacturer.
- D.3.2.3.2 Scanner and Camera Maintenance: The Vendor will provide LIPA on request a copy of the equipment maintenance logs demonstrating that the Vendor is regularly inspecting all scanners and cameras used for digital imaging at least monthly to ensure they are clean and in good working order.
- D.3.2.3.3 Modulation Transfer Function: The Vendor must test, at least annually, the Modulation Transfer Function (MTF) of the equipment it is using for digital imaging to assess the imaging quality of its imaging system objectively. If the vendor discovers problems during this test, it must log the problem and its solution in its equipment maintenance logs and provide this information to LIPA on request.
- D.3.2.3.4 Reference Targets: To assess the functioning of digital imaging scanners and cameras, the Vendor must employ targets that include photographic reference standards (for assessing, at minimum, grayscale tone and color accuracy and lighting evenness)
- D.3.2.3.5 Lighting: The Vendor must ensure the evenness of lighting for any scanner or camera used for digital imaging, and the Vendor must provide information to demonstrate how it ensures the evenness of lighting in any of its imaging equipment.
- D.3.2.3.6 Squaring Cameras to the Object: The Vendor must ensure that any planetary digital camera used in imaging is kept square to the object being captured, and the Vendor must be able to demonstrate and explain the validity of its method for achieving squareness when asked.
- D.3.2.3.7 Calibration of Monitors: Any monitor used by the Vendor to view the results of digital images must be equipped with a colorimeter or similar device and its associated software and use these at least monthly to calibrate the monitor. Vendors must also visually assess the functioning of monitors periodically to ensure they are in good working order.

#### **D.3.2.4 Imaging Process**

- D.3.2.4.1 All procedures must be performed by the Vendor in accordance with generally accepted standards of conservation and conversion practices. Alterations, changes, or the insertion of any new material in any record is strictly forbidden.
- D.3.2.4.2 The Vendor must provide bound volume imaging services that allow the bound volume to remain intact as a part of their service.
- D.3.2.4.3 Unless otherwise specified, the Vendor will maintain the original documents in their existing file order before, during, and after imaging.

#### **D.3.2.5 Access During Conversion Processing**

- D.3.2.5.1 The Vendor must complete the project in a manner that will maximize LIPA's access to records at all times. Any files in the possession of the Vendor as a part of this project that are needed prior to the completion of the conversion must be returned to the requesting party within forty-eight (48) hours from the initial request. An emailed copy of the image of the requested document will be acceptable, if the document is not legally restricted. A faxed copy will also be acceptable so long as the quality of the fax is deemed adequate upon receipt.
- D.3.2.5.2 The Vendor will allow access to LIPA records only by individuals authorized in writing by LIPA prior to the onset of the project or authorized later, also in writing, if so required.

#### **D.3.2.6 Post-Processing**

- D.3.2.6.1 All files and folders must be placed back into the original boxes and returned to a predetermined storage area.
- D.3.2.6.2 All boxes of files must be returned in the same condition and document order as provided, minus staples, paper clips, and other fasteners, unless LIPA provides written direction to the Vendor to conduct or arrange for the shredding of paper files. The Vendor must return the files to the original storage containers in the same order that existed before imaging, except that the Vendor must maintain an account of any corrections to file order made during the preparation for imaging.
- D.3.2.6.3 The Vendor must provide written verification that no files were damaged and/or lost and that all information on all records remained confidential while under its control.
- D.3.2.6.4 A digitized images log must be maintained for each conversion project. The log may be created as a paper or electronic document, and it must be kept for at least six months to support problem resolution.

#### **D.3.2.7 COVID-19**

- D.3.2.8 If COVID-19 considerations prevent LIPA from exercising any part of the provisions in this document, Vendor will cooperate with LIPA to develop a mutually acceptable substitute processes.



## **Attachment E – Software Licensing and Hosting Questionnaire**

### **E. LICENSING AND HOSTING QUESTIONS**

- E.1 Describe the architecture and management of the cloud platform on which the system will be hosted, if applicable.
- E.2 Describe the options for moving the system to the LIPA Microsoft Azure environment or to a LIPA on-premise environment if the system is initially implemented on a vendor hosted and managed cloud platform.
- E.3 Attach your standard Software Licensing Agreement template, if applicable. LIPA reserves the right to negotiate specific terms of the Agreement.
- E.4 Attach your standard Terms of Use Agreement template, if applicable. LIPA reserves the right to negotiate specific terms of the Agreement.
- E.5 Attach your standard Service Level Agreement (SLA) on key performance indicators (minimum uptime, response time, backup provisions, file restore response time, service response time, help desk response time, etc.), if applicable. LIPA reserves the right to negotiate specific terms of the Agreement.
- E.6 Is the proposed Hosting type Single-tenant, Multi-tenant, Multi-Tenant-Tenant-Isolation, etc.?
- E.7 Describe the hosting service's security certifications and accreditations, if any.
- E.8 Describe your system resiliency and disaster recovery provisions.

## **Attachment F – Reference Form**

Respondents for each of the identified scopes (Scope 1A, Scope 1B, and Scope 2) should provide three (3) references who may be contacted concerning the Respondent's performance on the software or services provided. The references should be for past (within the last 3 years) or current clients. If respondent is proposing on multiple scopes, respondent may, at its discretion, use the same reference for multiple scopes if the nature of the work done for the client overlaps multiple scopes. For each reference, please provide the following:

Please provide the following:

- Client name, city and state
- Type of industry (public utility, investor-owned utility, government)
- Client Contact (include contact's name, contact's title, contact's role in project, contact's phone, and contact's e-mail address)
- Description of services provided
- Software environment supported
- Dates of service (e.g. Mar 2018 to Jan 2019)
- Role of Respondent (prime or subcontractor)