

RFP: EDRM System and Services

Answers to Questions Received

Questions Due- 8-8-2020

Answers Posted on- 8/14/2020

NOTE:

- If any of the answers provided during the pre-bid conference held on 8/6/2020 is in conflict with the answers provided herein, the latter will prevail.
- Similar/related questions have been combined in some cases for efficiency, so questions may not be phrased exactly as submitted.

A. PROCESS/PROPOSAL SUBMISSION/GENERAL

- A.1 With the extensive work that will need to be completed for a thorough response, we would like to request an extension on the due date for RFP for EDRM/ECM System and Services.

Answer:

LIPA is extending the Proposal Submission deadline to Friday, September 4, 3:00 PM.

- A.2 When does LIPA estimate dates for vendor presentations/demonstrations, when is a decision estimated to be made, and when do you envision the solution being fully implemented?

Answer:

LIPA will determine the evaluation timelines after receiving all notices of intent to bid on August 18. Note that LIPA is extending the proposal submission deadline to September 4, 2020, 3:00 PM.

Following approval of selections by the LIPA Bord of Trustees, contracts must then be approved by NY State AG (Attorney General) and OSC (Office of NY State Comptroller). LIPA expects approval by early 2021.

Please refer to RFP *Section C.3* for information on the envisioned implementation phasing and timeline.

A.3 Are respondents allowed/expected to respond to all Scopes, or can they respond to a single scope or any combination of scopes? If responding to multiple scopes, does a separate proposal need to be submitted for each scope?

Answer:

Respondents may choose to respond to Scope 1 only (must include BOTH Scope 1A and Scope 1B) -OR- to Scope 2 only -OR- to all scopes (1A, 1B and 2).

If responding to multiple scopes, a single proposal should be submitted, with separate TECHNICAL AND MANAGEMENT PROPOSAL and COST PROPOSAL sections for each scope being responded to, as specified in the RFP PROPOSAL STRUCTURE/REQUIREMENTS (pages 14 through 17).

A.4 If responding to multiple scopes, do separate references need to be provide for each scope, or can the same references be submitted for the different scopes?

Answer:

The same and/or overlapping references can be submitted, as long the references are relevant to each of the scopes for which they are provided.

The references should be included in each scope-specific TECHNICAL AND MANAGEMENT PROPOSAL for which they are being provided for proposal completeness and consistency, even if the same reference is being submitted for a different scope.

A.5 To respond to the Staffing Plan section (Section 3 on page 15 of the RFP), if we are responding to both 1A and 1B with the same staffing plan content, is it necessary to submit this staffing content twice, or can we just refer to it as being in either 1A when filling out the response for 1B?

Answer:

The Staffing Plan content should be included in each scope-specific TECHNICAL AND MANAGEMENT PROPOSAL for completeness and consistency, even if the content is the same as for a different scope; with the exception of resumes, which may be attached only once and referenced.

A.6 If responding to Scope 1, can the Qualifications and Experience and the Subcontracting and WMBE Plan sections of the Technical and Management Proposal be consolidated to cover both Scopes 1A and 1B?

Answer:

The Qualifications and Experience and the Subcontracting and WMBE Plan sections should be included in each scope-specific TECHNICAL AND

MANAGEMENT PROPOSAL for completeness and consistency, even if the content is duplicated or overlapping with another scope.

A.7 Are there any NYS OGS contract requirements?

Answer: No

A.8 Would 30% Woman Owned WBE fulfill the 15% WBE and 15% MBE requirement?

Answer:

You can fulfill the 30% MWBE goal requirement with either an MBE or WBE.

A.9 Is the MWBE goal required for license fees?

Answer:

No.

A.10 Are MWBE goals of 30% mandatory? If a bidder does not meet that goal, or has a 0% goal, will that disqualify a respondent?

Answer:

No. LIPA will consider bids from respondents that do not meet the goal if a completed and compliant MWBE Waiver Form (MWBE form 104) is submitted.

A.11 If our MWBE goals are 0% and we are submitting a total MWBE waiver, are we still required to complete the following forms:

Form 100 MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL
EMPLOYMENT OPPORTUNITY POLICY STATEMENT

MWBE 101 – Staffing Plan

Form 102 Updated 2016 - Workforce Utilization Report - Consulting Services

MWBE 103 – MWBE Utilization Plan (aka Workforce Employment Utilization- Form 103)

Answer:

Yes.

A.12 Is the MWBE 101 – Staffing Plan form specific to MWBE subcontractors only, or is it intended to cover the entire operations, including bidder's personnel, assigned to complete the scope of the contract?

Answer: It should cover all the staff designated to work on this contract including bidder's personnel working on the contract.

A.13 Is form MWBE 103 – MWBE Utilization Plan, as listed on the LIPA procurement site, the same form as mentioned in Section A. Limitations, page 20, titled, Workforce Employment Utilization- Form 103?

Answer: Yes

A.14 Per LIPA's MWBE Diversity Practices Questionnaire document, question 8 states to complete the utilization plan if responding "yes." If a respondent selects "no," are we still required to complete Form 103-MWBE UTILIZATION PLAN?

Answer: You are not required to complete Form 103 – MWBE Utilization Plan if you are not using subcontractors

A.15 Are SDVOB goals of 6% mandatory?

Answer: 6% SDVOB is a goal, not mandatory. However, all proposers should be prepared to articulate a good faith basis for being unable to secure SDVOB or MWBE subcontractors.

A.16 Will our SDVOB partner need to be certified in NY, or will the VA CVE certification be sufficient?

Answer: Must be NYS certified or least going through the application process so that the spend can be counted.

A.17 Due to the nature of the continuous Covid-19 outbreak and officers and signers of our company located throughout the US, is it possible to forego document notarization during this phase?

Answer:

No, contracts will still have to be notarized, but the notarization can be done remotely (using GoTo meeting, etc.).

For further info, please review NY State Office of the Comptroller, Executive Order- <https://www.governor.ny.gov/news/no-2027-continuing-temporary-suspension-and-modification-laws-relating-disaster-emergency>

A.18 Per Section D. Other, Article 1 on page 17, in which section, the cover letter or technical response, are respondents required to include proposed exceptions or alternative

language? Will LIPA accept a redlined agreement? If LIPA accepts a redline agreement, in which section of the proposal should we append to, the cover letter or the technical proposal?

Answer:

The Technical Proposal. Please note that “Proposals accompanied by a written acceptance of all terms and conditions in LIPA ’s Standard Consulting Agreement will receive more favorable consideration by LIPA.”

A.19 Per Section D. Other, Article 2 on page 17 of the RFP, states that: “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,” as a part of New York State’s Freedom of Information Law (FOIL). In which section, the cover letter or technical response, are we to designate language and/or exhibits that are to be marked as confidential, trade secret, or proprietary? Do we apply FOIL branding to the specific section where the confidential information is located?

Answer:

Respondents should indicate very clearly which portion of the proposal is considered confidential, technical, or proprietary either by footnote or another method. See Section D.2 of the RFP.

A.20 Will LIPA accept exceptions to language to Appendix B Participation by Minority Group Members and Women with Respect to State Contracts?

Answer:

No, changes to the language to Appendix B are not accepted. See answers elsewhere regarding MWBE and SDVOB participation goals.

A.21 May we submit the Vendor Responsibility Profile/Questionnaire in the VendRep system portal? If our company has certified this in the past six months, may we submit that certified version?

Answer:

- **If your firm’s Vendor Responsibility Questionnaire is available on the state’s website, you may indicate so in your response.**
- **Yes, the OSC will accept Vendor Responsibility Questionnaire that are less than 1 year old.**

A.22 Section A. Limitations, item 3 mentions a Sexual Harassment Policy Form. Could you please provide this form?

Answer:

We expect firms to provide a document containing their sexual harassment policies.

A.23 Are we required to provide insurance information per Exhibit G – Insurance, item 5 on Page 3 of the document, RFP - Enterprise Document and Records Management System & Services document lists?

Answer:

Vendors that are awarded a contract will need to provide insurance documentation.

A.24 Will vendors be allowed on-site to review the documents?

Answer:

Due to COVID-19 considerations, respondents will not be allowed to review the documents prior to bid award.

A.25 Where can vendors find New York State Archives' Digital Imaging Guidelines?

Answer:

The guidelines are available on the New York State Archives website. The link is http://www.archives.nysed.gov/common/archives/files/mr_erecords_imgguides.pdf

A.26 Will responses/recording from the Pre-Bid Conference be made available to all vendors?

Answer:

Responses to questions received during the call and through e-mail are being provided in this document, posted on the LIPA website. The recording will not be released.

A.27 Will we receive a list of companies and representatives on the Pre-Bid Conference call?

Answer:

We will make available a list of the known companies and representatives that registered for or attended the call.

A.28 Is there any relevant incumbent for any portion of the work being requested in the RFP? Could you name the organization that currently holds, or previously held the contract covering Scope 2?

Answer:

This is a new project for LIPA, so there is no incumbent.

A.29 What was the annual dollar amount of the contract for Scope 2 for the past year? The past 5 years?

Answer:

This question seeks information that is not required to submit a responsive proposal.

A.30 Can you please approximate the anticipated budget range for this solicitation/project?

Answer:

This question seeks information that is not required to submit a responsive proposal.

A.31 Has LIPA evaluated any systems? If yes, which ones?

Answer:

This question seeks information that is not required to submit a responsive proposal.

A.32 Did any contractor or vendor assist with the development of this RFP or provide you with an initial evaluation, proof of concept, demonstration, pricing, or any other analysis related to this procurement? If so, please provide the name of all contractors and vendors. Are these contractors and/or vendors eligible to bid on this project?

Answer:

This question seeks information that is not required to submit a responsive proposal.

A.33 Is there a preference for Microsoft products?

Answer:

No. This is a system-neutral and vendor-neutral solicitation.

A.34 If we are not selected, will there be any opportunity for a debrief or other feedback?

Answer:

Please refer to *Debriefing of Unsuccessful Respondents* on Page 22 of the RFP.

A.35 After carefully reviewing the RFP, we understand LIPA is looking for a system that provides comprehensive and robust document and records management. We can certainly help with the Structured Capture for emails into Outlook to O365. However, it is noted that there are services that would include other vendors (for content preparation and digitization) as an example. We work with many partners that specialize in full EDRM solutions. We would like to recommend one of our Partners that would include our solution to help with email capture portion of this RFP. Understanding the process, we would like to know if we can seek permission to do so.

Answer:

This RFP is open to all qualified vendors. Vendor's are free to partner with other vendors under prime vendor subcontractor relationships but there will be only one prime vendor to be awarded per scope. Offers from Joint Ventures will not be considered (see RFP Proposal Submission Section).

A.36 The RFP refers to two Excel files - Attachment A and the Cost Proposal Spreadsheet, but there are no Excel files received, can you provide those?

Answer:

The attachments are posted on the LIPA website.

A.37 Page 5 - Who is the notice of intent sent to and how? Is it email to Procurement1@lipower.org?

Answer:

Yes. Please indicate which scopes you intend to bid on in your Notice of Intent.

A.38 Will Certified Small Businesses from any/another state (e.g. California) receive any special consideration in this procurement and if so, what consideration?

Answer:

No.

A.39 On a scale from 1 to 5 where 1 represents a vendor in New York and 5 represents a vendor in another state such as California, what is your preference for vendor proximity for this project? In other words, please rate your preference for local vendors.

Answer:

Evaluation Criteria are listed on Page 18 of the RFP.

A.40 What qualifications are you looking for in an implementation partner? For example, we have multiple Microsoft Gold and Silver Competencies, Microsoft Certified Masters, etc.; will the proposal scoring take our technical credentials into account?

Answer:

This question seeks information that is not required to submit a responsive proposal.

A.41 We are a Microsoft Deployment and Planning Services (SDPS) Provider; in that regard do you have any Microsoft Software Assurance vouchers that might be applied to the budget or a proof of concept?

Answer:

This question seeks information that is not required to submit a responsive proposal.

A.42 Remote project delivery typically enables us to reduce project duration and costs. Most of the projects we do could be delivered 100% remotely however, we sometimes find it useful to be onsite during discovery meetings, training, etc. Considering the potential effect on project duration, resource availability, and cost on a scale from 1 to 5 where 1 represents "100% onsite project delivery" and 5 represents "100% remote project delivery", what are your requirements on this continuum?

Answer:

Vendors should propose their optimal delivery methods. We prefer on-site delivery but will consider Covid-19 restrictions applicable at the time of implementation. Offshore work will not be allowed.

A.43 We typically conduct the majority of our project delivery via virtual meetings using Microsoft Teams. Considering the current Coronavirus crisis, will this way of conducting project delivery meet your requirements?

Answer:

Please see answer to A.42

B. TECHNICAL CORRECTIONS

- B.1 The cost sheet states: “Respondents should assume 15,000 hours total for the implementation (estimated at 20 phased implementations averaging 800 hours each). Should this be 16,000 hours?”

Answer:

This is revised to 16,000 hours. The correction will be reflected in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

- B.2 On page 15 of the RFP in Section 2 of the Technical and Management Approach, there is duplication of (a) through (d) numbering for different items. Can this be revised?

Answer:

This will be corrected in the Addenda.

- B.3 On page 24 of the RFP there is the following instruction: “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. What section is this referencing?”

Answer:

This will be addressed in the Addenda.

- B.4 On the LIPA website, the links for Attachments 6, 11 and 13 are not opening correctly.

Answer:

This has been corrected on the website.

- B.5 The list of staff categories in the Staffing Plan section (Section 3 on page 15) does not match up with the labor categories in the cost sheet. How should this be handled?

Answer:

This will be addressed in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

C. COST PROPOSAL

- C.1 Are you asking for a bid of 16,000 hours for scope 1, or is that a guideline? How did you arrive at the estimate?

Answer:

The 16,000 hours estimate listed in the Cost Spreadsheet for Scope 1B is a preliminary ROM (Rough Order of Magnitude) estimate to assist in consistent unit pricing of the labor hours.

Note – The initially specified 15,000 hours is amended to 16,000. This will be reflected in a revised Cost Spreadsheet which will be issued in a forthcoming Addenda.

- C.2 Are you asking for a bid of 10,000 hours for scope 2 or is that a guideline? How did you arrive at the estimate?

Answer:

The 10,000 hours estimate listed in the Cost Proposal Spreadsheet for Scope 2 is a preliminary ROM (Rough Order of Magnitude) estimate to assist in consistent unit pricing of the labor hours.

- C.3 The estimated hours for 1B in the Cost Proposal Worksheet is grossly incorrect/high as it relates to the way we estimate and implement EDRMS solutions. May we please estimate the project in accordance with our methodology versus an arbitrary estimation methodology?

Answer:

No.

- C.4 For 1B, would you please indicate whether this is a Fixed Price Contract based on the cost of 16,000 hours or is 16,000 hours a not-to-exceed estimate for a Time and Materials or Labor Hour Contract Type?

Answer:

This is a not-to-exceed estimate for a Time and Materials or Labor Hour Contract Type.

- C.5 We see from the Contract Period Section that 1B has a period of 5 years and that from the Attachment C, C.3 Phasing Plan that the 20 waves are intended to be completed within 6 + 15 or 21 months. Understanding that there are some preparatory tasks and

post-deployment support tasks, the term of 1B appears to be less than 5 years. What tasks are envisioned in the later years, or is it possible to spread the departmental implementations over a longer time period? Related to this, are the 16,000 hours meant to cover the activities through the end of the 20th departmental implementation or the full 5 years? If the former, will it be permissible to invoice for the full number of hours after the final departmental implementation is through the post-deployment period?

Answer:

The Phasing Plan provides our high-level target timeline. The Contract Period provides flexibility for refinement of the timeline after the initial discovery steps, and for ad-hoc post-implementation support/needs.

This is a Time and Materials or Labor Hour Contract Type.

- C.6 On page 17 the RFP states that the LIPA reserves the right to self host the system. If there are costs associated with moving the system to LIPA servers, where should this cost be entered in our response to the RFP?

Answer:

We are not requiring that costs associated with moving an installed hosted system to LIPA servers be provided as a response to the RFP. The options for moving the system should be described, per RFP Question B.5.2.

- C.7 What is your expected ingestion through year 1? Can you explain how much and what type of content you plan on bringing into the document management system? Please provide both disk space estimation and document count if possible, overall and for the first year.

Answer:

We do not have an estimate of size and counts. We plan to provision for 100 Terabytes of data to accommodate current and other near-term needs. If costs for the proposed system are dependent on storage utilization, the Respondent should describe the limitations on the amount of storage used and provide the details of any tiered pricing structures for storage.

We do not have a detailed assessment of content types, but we anticipate that much of the content will be of standard business types (MS Office, PDFs, e-mail messages, etc.). The content will also include multi-media files (audio, video, etc.). There may be some large documents as well as some maps and plans.

- C.8 (1) How many users does LIPA have that will need to be licensed? How many of the users will need to be able to edit/upload/modify/annotate/redact/publish/process workflows/etc.? (2) How does the 100 User specification on the Cost Spreadsheet

relate to the Requirement A.2.2.1.1 on the Requirements spreadsheet that the system shall support a minimum of 75 concurrent users?

Answer:

Currently, we expect to license 100 users with full end-user features. Specific assignments of privileges to individuals will be determined at the time of user provisioning.

The technical Requirement A.2.2.1.1 refers to the capacity of the system to support concurrent users. The 100 User estimate on the Cost Proposal Spreadsheet should be used for licensing and cost purposes.

C.9 How many of the users will be administrators versus end-users?

Answer:

Estimates for number of administrators will be provided in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

C.10 How many total users will we be deploying to along with the respective # of teams/departments/lines of business? Can you please provide, an organization chart or list of all departments/business units that will use the solution for the phase(s) that are within the scope of this solicitation for pricing purposes?

Answer:

Currently, we are expecting to deploy 100 users. The Cost Proposal Spreadsheet for Scope 1B includes instructions to estimate based on an assumption of 20 phased implementations.

The organization chart or list of departments/business units are not required to submit a responsive proposal.

C.11 In the Cost Proposal Spreadsheet, on Tab 1A, Row 17, there is a Fixed One-Time Cost for Installation and Configuration. Would you please share your vision of how those activities differ from the 1B, Attachment C, Section C.2.2 list of responsibilities.

Answer:

Scope 1A configuration includes all the technical configuration needed to stand up the base system including (a) provisioning of all infrastructure, (b) provisioning and installation of all optional modules contracted for, (c) provisioning of test users, and (d) security configurations per requirements, and (e) communications and access for LIPA users, etc. At the end of this installation, the system should be ready for testing of all requirements that the vendor's proposal has indicated as "met".

Scope 1B configuration under RFP *Section C.2.2 System Setup* incorporates any and all additional LIPA-specific configurations, such as system-wide configurations and set-up, that are needed to meet LIPA deployment standards and to bring the system to a state ready for the follow-on phased implementation tasks. The follow-on phased implementation tasks are outlined in RFP *Sections C.2.3 Records Management Implementation* and *C.2.4 Phased Departmental Implementations*.

Costs for all 1B tasks including (a) *C.2.2 System Setup*, (b) *C.2.3 Records Management Implementation*, and (c) *C.2.4 Phased Departmental Implementations* are rolled into the overall hours estimate for the 1B Cost Worksheet. Cost Estimates for 1B should incorporate the entirety of the 1B scope as outlined in Attachment C - Implementation and Post-Implementation Support Scope.

- C.12 Would a 10-user sandbox environment with full features be sufficient? If not, how many users would need to be on the test and dev environments? As production environment would have 100 users.

Answer:

Estimates for number of Test and Development environment users will be provided in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

- C.13 How many reports should we consider when estimating efforts for building them?

Answer:

Respondents may assume efforts consistent with 20 reports of medium complexity in addition to the library of standard reports that are bundled in with the base system.

- C.14 For forms and workflow development, will the selected vendor be responsible for building the required forms and workflows, or will the proposer's staff be performing development after proper training? If vendor development is preferred, please provide some examples of forms and workflows, as well as an estimated count, for cost estimation purposes.

Answer:

Forms and workflow development is included in Scope 1B (see RFP *Sections C.2.3 and C.2.4*).

Samples of forms and workflows are not required to submit a responsive proposal.

See below for information on counts.

- C.15 How many defined workflows are in scope for Scope 1? Are they centered on document approval, publishing, and/or Records Management (i.e. disposition) or do they include process workflows to automate line of business functions? Can we assume that the workflows are very simple in nature?

Answer:

The number of workflows to be implemented for Scope 1B has not been determined; and is not required to submit a responsive proposal. Their specifications cannot be elaborated on beyond what is in the RFP.

Our capacity estimates for licensing purposes for Scope 1A will be provided in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

- C.16 How many expected forms are in scope for Scope 1? What is the average number of fields per form?

Answer:

The number of forms to be implemented and the number of fields per form for Scope 1B has not been determined; and is not required to submit a responsive proposal.

Our capacity estimates for licensing purposes for Scope 1A will be provided in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

- C.17 Regarding the “Phasing Plan” detailed in Attachment C, Section, should the scope of our proposal and correlate pricing be limited to the Wave 1 or should it include both Wave 1 and Wave 2? The cost proposal spreadsheet indicates 100 users; if pricing for Wave 2 is required, please indicate how many total users you will ultimately have.

Answer:

The proposal should cover the entire project, including both Wave 1 and Wave 2. We are currently expecting to deploy 100 users in total.

- C.18 Can we submit more than 1 Cost Proposal with different configurations? For example, 1 for hosted Cloud and 1 for self-hosted (LIPA hosted on Azure).

Answer:

Respondents should submit one cost proposal that best meets the requirements of this RFP. Vendors may list alternative hosting options that may be available in their response to Attachment E Section E.2 of the RFP.

C.19 Approximately how many Record Categories/Types/Series need to be managed by the solution for pricing/estimation purposes?

Answer:

The number of Record Categories/Types/Series to be implemented for Scope 1B has not been determined; and is not required to submit a responsive proposal.

C.20 Given the unknowns related to the task of migration of existing documents to the new system, is it acceptable to include an estimate for the analysis, design, and planning for this task versus the actual migration in our RFP response?

Answer:

This not required to submit a responsive proposal.

Cost Estimates must be provided as specified in the Cost section of the RFP (page 17) and the Instructions in the Cost Proposal Spreadsheet.

C.21 As relates to pricing for any ongoing (e.g. after the backfile conversion is complete) document capture components, how many documents do you anticipate scanning per year, and what is the anticipated growth rate in documents scanned per year over the next 3 years (e.g. 5% growth in each of years 2 and 3)?

Answer:

Our capacity estimates for licensing purposes for Scope 1A will be provided in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

C.22 For Scope 2, on the cost proposal spreadsheet, cost per page on row 19 assumes 8.5"x11." Is this intended to include black and white, color, any other condition or document types, etc. so a vendor would have to provide a blended per page rate?

Answer:

This will be addressed in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

C.23 For Scope 2, where should box transport fees be placed on the pricing spreadsheet?

Answer:

This will be addressed in a revised Cost Proposal Spreadsheet which will be issued in a forthcoming Addenda.

D. REQUIREMENTS/SCOPE - SCOPE 1

D.1 Does LIPA have a preference between vendor-hosting and self-hosting? Do you have a preference hosting the solution into a LIPA Microsoft Azure environment or to a LIPA on-premise environment?

Answer:

The preference is for a vendor-hosted cloud platform, with the ability to migrate to a self-hosted system in the future if desired. If self-hosting, the preference is for a LIPA Microsoft Azure environment.

D.2 Is moving to Azure a requirement?

Answer:

See Requirements *Section A.2.2.3 Cloud Platform*, specifically:

A.2.2.3.1	The system shall be available on a vendor hosted and managed cloud platform.
A.2.2.3.2	The system shall allow for hosting by LIPA on their Microsoft Azure subscription.

If vendor is unable to meet A.2.2.3.2, the respondent should clearly describe the hosting platform it is proposing and the compelling benefits offered by its solution in its response to *Section B.5 (p.25)*, especially with regards to long-term impacts and security.

D.3 For the hosting, does the system have to be isolated or is multi-tenant okay?

Answer:

If the respondent is proposing a multi-tenant solution, respondent should clearly describe the protocols and protections that will ensure the security of LIPA data on the proposed solution.

D.4 Would LIPA consider a On Premise solution that was subscription based?

Answer:

See Requirements *Section A.2.2.3 Cloud Platform*, specifically:

A.2.2.3.1	The system shall be available on a vendor hosted and managed cloud platform.
A.2.2.3.2	The system shall allow for hosting by LIPA on their Microsoft Azure subscription.

If vendor is unable to meet A.2.2.3.1 and A.2.2.3.2, the respondent should clearly describe the compelling benefits offered by its solution, and the associated architecture and infrastructure requirements, in its response to *Section B.5* (p.25).

D.5 Would a FedRAMP environment be desired?

Answer:

A FedRAMP environment is not a requirement for this RFP. If the respondent is proposing such an environment, the respondent may include that information as part of the response to *Attachment E Section E.7*.

D.6 Will all content be stored in the United States or does LIPA need to meet specific data residency requirements (GDPR compliance)?

Answer:

All data must remain in the Continental United States, as described in Item 4 of the *Limitations* section on Page 20 of the RFP; with data encrypted, at a minimum, in accordance with the requirements of the New York State Information Technology Encryption Standard, NYS-14-007.

D.7 What is the rough timeline for having all users on a new ECM platform? When will the first user come onto the new platform?

Answer:

Please refer to RFP *Section C.3* for information on the envisioned implementation phasing and timeline.

D.8 Is there going to be a 'Proof of Concept' or 'Trial' requirement? If so, how many weeks will this last and what are the number of users that would be part of a trial?

Answer:

There is no 'trial' requirement prior to bid award.

Post-award, the system will be implemented in a phased manner. Please refer to RFP Section C.3 for information on the envisioned implementation phasing and timeline.

D.9 What KPIs will LIPA use to assess the success of the new Enterprise Document and Record Management System after implementation?

Answer:

This question seeks information that is not required to submit a responsive proposal.

D.10 On page 11 of the RFP there is a statement saying that "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." Please elaborate on the specifics of why SharePoint does not meet LIPA's needs, and what is meant by the term "cutting edge technologies" and "location-independent accessibility".

Answer:

The RFP describes the needs that we seek to address via this procurement, which is vendor and system neutral.

Location-independent accessibility refers to abilities to access the system from anywhere.

D.11 Would this project be an extension of SharePoint i.e. SharePoint 365? What role will SharePoint play going forward?

Answer:

This is a new project.

As stated in the RFP, LIPA intends to continue using MS SharePoint Online as a collaboration tool; and is seeking a comprehensive Enterprise Document and Records Management/Enterprise Content Management (EDRM/ECM) solution that is well suited to a content management ecosystem approach.

D.12 Will you need digital content migrated from other systems? Is there a requirement to migrate content that must be declared as records from systems such as SharePoint or

shared drives to the new EDRM/ECM Solution? If so, please tell us which systems and the size, volume, number and types of content. Are you able to prepare a manifest, including indexing information, and export the associated files to stage them for import into the new system?

Answer:

Migration of existing in-scope digital/digitized content is a requirement for the project:

- **Loading of indexed digital content into the system is included in Scope 1B (see RFP Section C.2.4).**
- **Preparation of existing digital content for bulk loading into the system is included in Scope 2 (see RFP Section D.2.3), including preparation of indexing data in a format that will allow bulk import into the new system.**

Content to be migrated will include both currently digital content that may reside in systems including, but not limited to, SharePoint and OneDrive; as well as hardcopy documents digitized as part of the project under Scope 2.

Details of the content to be migrated have not been determined as of yet, and we expect this determination to be made as part of the implementation. Note that preparation of an inventory of existing hardcopy and electronic documents is listed as a potential task under Scope 2, Sections D.2.2.1 and D.2.3.1.

D.13 How many users does the system need to support?

Answer:

At this time, we are assuming 100 users will be deployed and need to be supported. The system should be capable of handling a higher number of users.

D.14 Do you plan on using a single sign-on service (SSO)? Which provider(s) do you have or plan to use? Who is your identity provider (i.e. Azure)?

Answer:

Yes.

Per the Requirements Spreadsheet:

A.1.4.8.21	The system shall have the ability to integrate with LIPA Active Directory/LDAP and with SSO (Single Sign On) protocols such as OpenID, SAML, and cloud-based Access and Identity Management services such as OKTA.
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D.15 Do you have any DLP/CASB/SIEM or eDiscovery tools that you plan to integrate?

Answer:

The system will need to monitor and forward security events and information to LIPA's in-house SEIM via standard syslog (see Requirement A.1.4.8.22).

LIPA is seeking a system that provides eDiscovery capabilities, and is not currently anticipating integrating with external eDiscovery tools/

D.16 Regarding C.2.3: Discovery capabilities, is this in reference to Legal-Hold/Legal documents? And what specific capabilities are required?

Answer:

This is in reference to implementation of capabilities for Discovery Searches, such as for FOIL or litigation scenarios. Associated system capability requirements are outlined in RFP Requirements Spreadsheet Section A.1.1.7 Discovery.

D.17 Regarding retention schedule assignments for physical records, does this refer to hardcopy or does it also refer to digital records in systems outside of the system?

Answer:

This refers to assigning retention schedules to items (hardcopy or electronic) that are tracked but not stored in the EDRM/ECM system. For digital records in external systems, the expectation would be for the retention schedule to be applied to the marker in the EDRM/ECM system, for purposes of retention and disposition review, monitoring, notifications and tracking. The EDRM/ECM system would not be expected to enforce retention or conduct disposition actions in the external systems in which the items were stored. Relevant requirements include:

A.1.1.4.4	The system shall have the ability to assign retention schedules to stored, linked and physical records.
A.1.2.6.1	The system shall allow for the tracking of items stored externally, including physical items (paper, tapes, etc.) and electronic documents stored in other systems, through the input of 'markers' or item profiles.

D.18 What types of key standard reports do you require and what are some examples?

Answer:

Respondents should describe the key standard reports and dashboards provided by the system. Reporting on Records Management activities is

essential, including disposition reviews and actions, legal holds and associated actions, and discovery actions. Standard reporting on audit trails, transaction statistics, user activity and user privileges is also required. Please see the RFP Requirements Spreadsheet for specific requirements.

D.19 Please describe your Outlook deployment. Is it a web or client version?

Answer:

LIPA utilizes Exchange Online. Most users have and use the Outlook client. The integration requirements will only apply to the client.

D.20 Would LIPA please 1) elaborate on the business use case(s) where mobile access will be helpful; 2) indicate if offline functionality is required?

Answer:

Offline functionality is not required for mobile access.

Capabilities of interest are outlined in the Needs section of the RFP, and in the following requirement:

A.2.1.1.13	The system shall provide secure mobile access for functions including the ability to easily capture and declare items including emails; the ability to easily search, navigate, retrieve and share links; the ability to view, edit and publish documents in the system; and the ability to access and process electronic forms and workflows.
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D.21 What ERP, Procurement, HRIS and Asset Management Systems is LIPA using?

Answer:

ERP/Procurement/HRIS: Microsoft Dynamics 365 Finance & Operations (F&O) (currently being implemented, expected to go live in CY2020 Q4).

Asset Management: None

D.22 Please provide the version of Microsoft Dynamics. Is MS Dynamics the AX or GP version? Does LIPA have a sandbox or developer environment for the application?

Answer:

Microsoft Dynamics 365 for Finance and Operations.

Sandbox or developer environment: Yes

D.23 Does LIPA have an enterprise license for MS Dynamics?

Answer:

No

D.24 What is the expected outcome and use case(s) of the Microsoft Dynamics ERP integration?

Answer:

In general, we expect the system to have, at a bare minimum, the ability to archive Dynamics F&O transactions, metadata, and attached documents into the records management subsystem. Retrieval of documents that are stored in the EDRM system from the associated MS Dynamics record, without requiring manual population of document links in each MS Dynamics record, is highly desired. Bidirectional integration is preferred, where documents can be captured into the system with the location, attributes/metadata, and naming convention derived from the associated MS Dynamics record. Other integrations, such as built-in A/P automation support, is also desirable.

D.25 Would LIPA please list some of the more important example data that will be exchanged between the ERP and the new Enterprise Document and Record Management System?

Answer:

Important data includes, but is not necessarily limited to:

- **Payables transaction records and associated attachments**
- **Procurement transaction records and associated attachments**

D.26 Please provide the version of SharePoint. Is it Standard or Enterprise? Does LIPA have a sandbox or developer environment for the application?

Answer:

SharePoint Online, Office 365

D.27 What is the expected outcome and use case(s) of the Microsoft SharePoint integration? Please describe a typical workflow that will be supported through integration with SharePoint?

Answer:

Built in integrations that support standard records management functions (e.g. user-friendly operations to capture a SharePoint document and related metadata to the EDRM/ECM system, ability to federate the ERDMS repositories with SharePoint, etc.) are examples of beneficial use cases. At a

minimum, we are looking for the ability to easily capture content in SharePoint to the EDRM/ECM system, with the appropriate classifications and attributes and to the appropriate locations.

D.28 Is the retention and disposition of documents in SharePoint Online in scope for this project?

Answer:

Retention and disposition will take place in the new EDRM/ECM system. Integration of the system with SharePoint Online, such as capture of records to the EDRM/ECM system (see the SharePoint Integration question above), and import of existing records in SharePoint to the new system, are in scope for this project, as outlined in the RFP.

D.29 For DocuSign, what is the expected integration and use case(s)?

Answer:

Most importantly, the ability to utilize and integrate DocuSign's e-signing and contract approval features into the EDRMS's document management workflow. Clean workflow integrations to move a final document into the appropriate EDRMS repositories with metadata query and pass-through.

D.30 Page 11 mentions AP automation, is that in scope for the initial build or would that be a future application?

Answer:

Please refer to RFP Section C.3 for information on the approach to developing the detailed phased implementation plan.

D.31 What are LIPA's AP Invoice Process Automation/Vendor Invoice Management requirements? What does LIPA's AP Invoice Process currently look like, what system is used, and how do you want the Enterprise Document and Records Management System to integrate/interface with LIPA's Accounts Payable processes? How many invoices per year do you process?

Answer:

(See also the Microsoft Dynamics integration question above.) At a high level, LIPA would like invoices to be captured into the system and associated with and retrievable from the corresponding MS Dynamics record without unnecessary data entry, with appropriate routing and processing workflows;

such as via structured capture capabilities that allow invoices to be captured to the system with attribute extraction and association/co-relation against the associated MS Dynamics record. LIPA is interested in any pre-built AP Process/Invoice Management integrations.

Microsoft Dynamics is currently being implemented as the ERP. LIPA potentially processes approximately between 4,000 and 5,000 invoices per year. The vast majority of invoices are currently received via e-mail, though some come in via fax or postal mail.

D.32 Will LIPA require OCR, optical character recognition for AP Automation?

Answer:

Yes

D.33 [RFP Page 9 Structured Capture] The RFP shows two example use cases of structured capture. Are there others? Would LIPA please elaborate on the workflows when these and other instances of structured capture will be used? Which types, and how many different types of documents, does LIPA want to classify and extract indexing information from?

Answer:

AP Invoice Automation, discussed above, is a potentially relevant use case. We anticipate additional instances of processes that require consistent capture of documents and associated attributes to the system in sufficient volumes to potentially benefit from structured capture processes.

The workflows have not been designed and therefore cannot be elaborated on.

The specific types and number of types of documents is not known at this time; and is not required to submit a responsive proposal.

D.34 If you plan on using existing scanners with this solution, are they ISIS or TWAIN compatible??

Answer:

Respondents should assume that existing scanners in place at LIPA are MFDs. If specific scanning equipment or interface standard is required for compatibility with any proposed day-forward capture solutions, Respondents should make a note of the requirements.

D.35 With regards to the requirement for the system to provide integration capabilities for TeamMate Plus and SmartSheets; please elaborate on what you envision the functions that these integrations will perform?

Answer:

The envisioned functions of interest include the ability to retrieve documents stored in the EDRM/ECM system and save documents/attachments to the EDRM/ECM from the integrated system.

D.36 [RFP Page 10 Redactions, Annotations and Renditions] Would LIPA please describe some business workflows, or business uses cases, where such functionality would be particularly beneficial? Are there rules when doing redaction of specific data elements within a document based on metadata or structure of the document?

Answer:

The specific use cases are not required to submit a responsive proposal. Redaction use cases could include ad-hoc as well as rules and pattern-based redactions.

D.37 Are there any document type based Approval workflows required to be developed, as part of the EDRMS scope, as the documents and records come in?

Answer:

The specific workflows to be implemented for Scope 1B have not been determined yet, so their specifications cannot be elaborated on beyond what is in the RFP.

D.38 What is your current electronic forms solution? Do you currently use any electronic forms? If so, please provide a typical example along with estimated number of total forms.

Answer:

LIPA does not currently have an enterprise electronic forms solution.

D.39 Do you currently have any workflows or automated business processes? If so, please provide a typical example along with estimated number of total workflows.

Answer:

This information is not required to submit a responsive proposal.

D.40 (1) Do you have any sample forms or processes you can provide? Please include the current paper or e-form and a description or diagram of the workflow behind it is possible. We can also demonstrate how we would automate this process using our solution if desired. (2) Would LIPA please share some sample screens from the present system for some of the key processes?

Answer:

This information is not required to submit a responsive proposal.

Note that if any such artifacts are required for the scripted demonstration, LIPA will provide them at the appropriate time along with the script.

D.41 Will unauthenticated users have the need to complete Public facing forms (Ex Form to facilitate a customer records request)?

Answer:

Please see the following requirement in the Requirements Worksheet:

A.1.4.6.9	The system shall preferably support form submission by and transmittal to external as well as internal users.
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D.42 Does LIPA expect to share any of the content to external parties? Is there a need for customers to have access to the repository as authenticated external users?

Answer:

Please see the following requirement in the Requirements Worksheet:

A.1.3.3.5	The system shall provide Enterprise File Synchronization and Sharing (EFSS) capabilities that enable secure and compliant file sharing with internal and external users and synchronization of folders with the repository, in accordance with access permissions and retention policies applied in the system.
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D.43 Is there a need for a public portal where documents would available to the public / read-only access to the repository would be provided for anonymous public users? Is a solution that enables self-service Public Records Requests from a public website of interest?

Answer:

No.

D.44 Are File Plans, Retention Policies and Disposition Methods already defined or must they be discovered and defined as part of scope 1B?

Answer:

File Plans must be discovered, defined and developed as part of Scope 1B. See below for response to Retention Policies and Disposition Methods.

- D.45 Records Management Policies and Retention Schedules related questions (*see below for combined answer to the following sub-questions for D.45*):
- D.45.1 Section C.2.3 states that the contractor will review LIPA's records management policies and retention schedule. Is the contractor expected to review LIPA's policies and record retention schedule for compliance with New York State Archives Schedule LGS-1, which LIPA must implement before January 1, 2021. If so, is a description or copy of LIPA's records management policies and retention schedule available so that the level of effort for the review can be determined?
- D.45.2 As a software vendor we will work with you to implement a system to be compliant with LIPA's and NYS requirements, but we will not advise or propose guidelines for retention. The requirements must be clearly stated and described prior to implementation. Is LIPA seeking help with Governance Policies? Governance Consultation will not be included in our solution, will this preclude our bid from consideration?
- D.45.3 Are the additional state and federal record requirements (beyond Schedule MI-1) at LIPA already defined or are they to be discovered and defined during the implementation?
- D.45.4 Are there specific retention policies (i.e. retain HR records for 5 years) that we'll need to factor into the implementation? If so, please provide a high-level summary of those policies.
- D.45.5 Are Retention Policies and Disposition Methods already defined or must they be discovered and defined as part of scope 1B?

Answer:

LIPA's current Records Management Policy is being provided for reference.

Respondents should assume that prior to commencement of the implementation, LIPA will adopt the recently issued New York State Archives Schedule Records Retention and Disposition Schedule LGS-1, replacing the currently adopted New York State Archives Schedule Records Retention and Disposition Schedule M-1.

LIPA expects to conduct preliminary review and refinement of LGS-1 for development of tailored LIPA retention schedules prior to commencement of the implementation. However, it is anticipated that during the Implementation Phase, additional tailoring, refinement and detailing of the LIPA schedules and policies will be required for alignment and optimization with the system and the newly developed File Plans.

The selected vendor for Scope 1B WILL NOT be expected to review LIPA schedules and policies for compliance with LGS-1 or other federal and state

record requirements; nor will they be expected to provide Legal or Governance Consultation or propose retention guidelines.

The selected vendor for Scope 1B WILL, however, be expected to work with LIPA personnel to refine, detail and/or develop Records Management processes and procedures as needed for alignment and implementation in the system, including review of existing policies and schedules to identify gaps with respect to implementation details. They will be expected to provide expertise and best practices guidance on tailoring policies, procedures and schedules to maximize operational effectiveness and usability with respect to the system.

D.46 Do you use any legacy Records Management System?

Answer:

No.

D.47 Requirement A.1.1.6.4 – “The system shall allow the placing of holds based on any metadata item.” Please elaborate on what your definition of metadata is in this particular circumstance.

Answer:

Metadata in this circumstance could include system properties of the item (for example, Author/Creator or Date Created), any custom attributes, and records management attributes (classification, series, types, etc.)

D.48 Requirement A.1.1.6.9 – “The system shall allow for a predefined approval cycle for placing and removing holds that cannot be overridden in individual instances.” Please explain a circumstance where you would need this – you want a process that can never be overridden?

Answer:

If an approval process has been defined in the system for the placing and removing of holds, the system should have the ability to prevent that process from being overridden in individual instances/in an ad-hoc manner. This is an essential system control for regulatory holds. Note that if ad-hoc/exception processing scenarios are built into the pre-defined approval process, the process would not be considered overridden by actions in compliance with those scenarios. Additionally, it is assumed that the defined/configured processes could be modified per applicable protocols.

D.49 Requirement A.1.2.3.1 - “The system shall allow items to be captured from other standard electronic systems.” - Please define “standard electronic systems”.

Answer:

For manual (non-integrated) capture, the system should generally allow the import of items generated by any arbitrary system. This is a catch all requirement to ensure that the system is able to import any arbitrary document and the import process does not rely on specific document characteristics.

D.50 Requirement A.1.4.4.5 - “The system shall allow items to be printed with or without their metadata.” Please define what metadata you require to be printed – are you referring to redactions?

Answer:

System properties of the item (for example, Author/Creator or Date Created), and preferably any custom attributes and records management attributes associated with the item in the system.

D.51 RFP Requirements sheet Row #160: “The system shall provide advanced full-text search capabilities that include fuzzy, inflectional, customizable thesaurus, proximity, wild card, Boolean, and SOUNDEX.” Could you please provide a use case for the customizable thesaurus?

Answer:

While specific use cases cannot be provided, in general, beneficial use cases for such functionality would include technical subject areas where several different acronyms and terms might be commonly used to refer to a process, equipment type, etc.

D.52 What is your preferred database platform?

Answer:

There is a preference for MS SQL, but this is not a requirement.

D.53 Would the implementation be across all departments at once or go one department at a time?

Answer:

Please refer to RFP *Section C.3* for information on the phasing approach.

D.54 For documents that are already digital (PDF, Word, etc.), are you interested in having those documents converted to a more granular, structured format such as XML?

Answer:

This is not a requirement for this RFP.

D.55 Aside from the ability to update title block data reflected in auto-cad, is there any other CAD management processes that the system should perform?

Answer:

The requirements specified in the RFP are the only requirements that bidders are required to respond to.

D.56 While it's not part of the project, does LIPA see other assistance in O365 such as Governance or Backup?

Answer:

The requirements specified in the RFP are the only requirements that bidders are should respond to. Offered services not set forth in the RFP will not be considered.

D.57 Any future needs that are not in the present Scope that you will want to address down the line?

Answer:

The requirements specified in the RFP are the only requirements that bidders are required to respond to.

D.58 Which of the requirements listed in Attachment A, the "System Functional and Technical Requirements Worksheet", represent pass/fail requirements (i.e. which of the requirements, if not met, mean immediate disqualification of the proposal/solution)?

Answer:

Please refer to the *Instructions* tab of the Requirements Spreadsheet.

D.59 Regarding the statement in the Scope of Services section of the RFP which indicates "This scope is for procurement of the commercial off-the-shelf Enterprise Document and Records Management (EDRM)/Enterprise Content Management (ECM) platform"; on a scale from 1 to 5 where 1 represents a Commercial Off The Shelf (COTS) solution with minimal configuration and 5 represents a platform-based solution such as Office 365 which requires some professional services, customization and possibly third-party products (e.g. to enhance the Records Management capabilities), what is acceptable with respect to the solution you are looking for on this continuum?

Answer:

Respondents may propose any solution that they believe meets the requirements and needs specified in the RFP.

D.60 The RFP mentions “SharePoint Online” in several places: a. Do you already have the requisite SharePoint Online/O365 licensing for the number of anticipated users of the solution? b. What is the current breath of usage in terms of number of: i. Departments ii. Users c. For what workloads are you currently using SharePoint Online (e.g. collaboration portals, Intranet)? d. What, if any, problems or dissatisfaction have you experienced with SharePoint/O365? e. Do you already own any SharePoint-related products (e.g. ShareGate) and if so, which ones f. On a scale from 1 to 5 where 1 represents “None” and 5 represents “Expert”, can you please indicate what SharePoint/O365 skills you currently have in house in terms of: i. Infrastructure, Administration and Maintenance ii. Information Architecture Design and Implementation iii. Content Owner/Authorship iv. PowerShell and C# Development

Answer:

This information is not required to submit a response to this RFP.

D.61 If you have knowledge and experience with SharePoint and Power Automate (Flow), do you anticipate that the required workflows can be addressed with using SharePoint/O365’s built-in workflow capability? Do you anticipate that the built-in forms that come with SharePoint Lists will meet your requirements?

Answer:

Please see the requirements for Workflows and Electronic Forms in the Requirements Spreadsheet.

D.62 We are a SharePoint and Office 365 focused consultancy and have successfully combined these platforms with best of breed third party software products (as needed) to implement comprehensive enterprise document, content and records management solutions; given what you know about SharePoint/O365, including any as-needed 3rd-party add-ons, on a scale from 1 to 5 where 1 represents “Will not meet our requirements” and 5 represents “We believe SharePoint or O365 is the best platform for our needs”, what represents your view on the continuum?

Answer:

This is a vendor and system neutral procurement.

E. REQUIREMENTS/SCOPE - SCOPE 2

- E.1 In Section *D.2.2.5 Classification and Indexing* on page 33, does this incorporate both hard copy documents and ESI?

Answer:

Both hard copy documents and ESI are incorporated in Scope 2. Section *D.2.2.5 Classification and Indexing* on page 33 applies to hard copy documents only. Section *D.2.3.3 Indexing* on page 36 applies to ESI.

- E.2 Section *D.2.2.6 Quality Assurance* mentions microfilm. Is microfilm, microfiche, or negatives a part of the scope for *Attachment D – Content Preparation and Digitization Services Scope* (Scope 2)?

Answer:

We do not expect any microfilm, microfiche, or negatives for Scope 2.

- E.3 Is book bound scanning in scope for Scope 2?

Answer:

There may be a small number of bound volumes that will require digitization under Scope 2.

- E.4 Scope 2 mentions vendors should assume that 80% of the existing/backfile documents in scope will be in electronic format and 20% hardcopy. What is the amount of ESI/digital files (number of documents, page volume and size in TB or GB) and the amount of hardcopy documents (number of documents, boxes and pages)?

Answer:

Detailed assessments of the backfile content have not been conducted as of yet, and we expect this determination to be made as part of the implementation.

Note that preparation of an inventory of existing hardcopy and electronic documents is listed as a potential task under Scope 2, RFP Sections *D.2.2.1 and D.2.3.1*.

- E.5 What is the anticipated total volume of new paper documents annually/per month?

Answer:

We currently estimate that the annual new/day-forward paper document volume (i.e. beyond the backfile conversion) will not exceed 20,000 pages.

E.6 It appears there may be a mix of document types. What types of documents are these?

Answer:

The vast majority of documents are expected to be Small Textual Documents (paper documents up to 11" x 17" in size) of standard business types and functions. There will be some documents related to utility operations, including maps and plans and large (high page count and/or file size) documents.

Note that preparation of an inventory of the documents is listed as a potential task under Scope 2, Sections D.2.2.1 Inventory and D.2.3.1 Inventory.

E.7 Are the pages single sided, double or a mix? If a mix, do you know the percentage of each?

Answer:

Respondents should assume a mix. The percentage is not known, though it is likely that the majority will be single sided.

E.8 What percentage of the paper files are in bound volumes or maps, plans and other documents larger than 11"x17"? What is the percentage of paper documents up to 11" x 17" in size?

Answer:

The actual percentage is not known, but we expect less than 5% each of (1) bound volumes, and (2) maps, plans and other documents larger than 11"x17". The remaining paper documents will be paper documents up to 11" x 17" in size.

E.9 How many images are there within the paper documents?

Answer:

This is not known at this time. We expect this determination to be made as part of the implementation (see RFP Sections D.2.2.1 Inventory and D.2.3.1 Inventory).

E.10 Do you require scanning in color if there is color on the document? If so, what percentage is color?

Answer:

Some documents will require scanning in color. The specific percentage is not known, though it is expected to be a minority of the total paper documents. We expect this determination to be made as part of the implementation (see RFP Sections D.2.2.1 Inventory and D.2.3.1 Inventory).

E.11 Are there subfolders or documents within a main folder to identify/ index? Approximately how many files/folders are there?

Answer:

It is expected that this will be the case for some document sets. The number of files/folders is not known at this time; we expect this determination to be made as part of the implementation (see RFP Sections D.2.2.1 Inventory and D.2.3.1 Inventory).

E.12 Will each file be one document or will each file be broken down into multiple document types? If multiple document types, how many?

Answer:

For existing electronic files, we expect that typically there will be a one-to-one correspondence between files and documents, but it is certainly possible and perhaps likely that there will be some files or document sets for which a single digital file will need to be broken down/decomposed into multiple documents. The number of such files or documents per file is not known at this time.

E.13 Approximately how many different Document Classifications/Types/Metadata Sets do you have?

Answer:

This is not known at this time.

E.14 What are the indexing requirements, how many fields, and where is the indexing information found on the document? Or is it on a folder tab? Can you provide information on the required indexing fields, field description and size of those fields?

Answer:

The specific indexing scheme and target File Plan for each set of documents will be developed by the Implementation Vendor for each phased implementation. The location of the indexing information will vary by document set. Please refer to RFP Sections D.2.2.5 Classification and Indexing and D.2.3.3 Indexing for more information.

E.15 Is there is database that exists with the indexing criteria that we can use to validate and cross reference?

Answer:

Overall, no; however, some document sets may have associated applications/databases that could be leveraged to validate or cross-reference the indexing.

E.16 What is the current physical records management data repository? Do your existing paper-based records include classification for schedule and retention policies?

Answer:

There is currently no single physical records management data repository. Respondents should assume that the existing paper-based records will not already be marked/tagged with the associated classifications for schedule and retention policies.

E.17 Are documents boxed up? If so, how many and what size are the boxes? If no, who is required to box? If files are left to the vendor to box on-site, will boxes be provided by the Customer or will the vendor be asked to provide them? If they are boxed, is there a “to”, “from” description on the box identifying the contents?

Answer:

You should assume for the purposes of your proposals that you will be responsible for packing all records, in boxes you provide. However, vendors will be expected to accept boxes, if any, that are pre-packed by LIPA.

Handling, transfer and storage of all boxes, whether packed by the Vendor or LIPA, will conform to the specifications in the RFP. Please refer to Section D.3.2.2 Handling, Transfer, Storage, and Security for details, including but not limited to:

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.3.2.2.6 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.

E.18 Do you anticipate retrievals during the time the documents are with the vendor? If so, how many on average in a day or week?

Answer:

While we do not necessarily anticipate frequent retrievals of documents while they are with the vendor for imaging, respondents must be prepared to satisfy Requirement D.3.2.5.1 of the RFP regardless of the frequency or number of retrievals.

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.

E.19 Will you receive the documents back once they're scanned or will they be destroyed at the vendor location?

Answer:

As stated in Section D.2.2.6 of the RFP, LIPA will determine, for each records set, whether it intends to retain or destroy the original documents after digitization. Requirements for each case are specified in the RFP. See RFP Section D.3.2.6 Post-Processing Requirements.

E.20 Is leaving the documents in batch file format after scanning acceptable rather than reassembling?

Answer:

Please refer to RFP Section D.3.2.6 Post-Processing Requirements, including the following:

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.

E.21 Must all hardcopy scanning in Scope 2 take place in New York, or will LIPA allow scanning in another state?

Answer:

There is no requirement that hardcopy scanning take place in New York. The requirements specified in *Attachment D* of the RFP must be met regardless of the location of the scanning. LIPA will not permit offshore scanning.

E.22 Would LIPA prefer to have the scanning project done onsite at their office if possible?

Answer:

No, LIPA does not have a preference for scanning to be done onsite.

E.23 Will the contractor be responsible for scanning paper documents into the system?

Answer:

The model we are envisioning is that the Scope 2 Vendor will be responsible for preparing indexing data for scanned and existing digital content in a format that allows for bulk import into the new system; and the Scope 1B Vendor will be responsible for importing the content into the new system. Refer to RFP *Sections C.2.4* and *D.2.3* for more details.

E.24 For Scanning requirements: is the vendor expected to scan documents as per the specifications listed?

Answer:

The Scope 2 Vendor will be responsible for scanning existing documents per the specifications in *Attachment D* of the RFP.

E.25 Are there any professional scanners in place at LIPA? If any, from which vendor?

Answer:

Respondents should assume that existing scanners in place at LIPA are MFDs. Specific makes and models should not be required to submit a responsive proposal.