

REQUEST FOR INFORMATION
ELECTRONIC RECORDS AND IMAGING MANAGEMENT SYSTEM
PIN #: 072201648MIS

I. INTRODUCTION

The New York City Department of Correction (DOC), is issuing a Request for Information (RFI) to gather information regarding commercially available Electronic Records and Imaging Management solutions and associated services in accordance with NYC Mayoral Directive 2015-3. The mayoral directive can be found at:

<http://www1.nyc.gov/assets/home/downloads/pdf/directives/directive-3.pdf>

DOC Background

DOC provides for the care, custody, and control of individuals charged with crimes in New York City who are detained awaiting the disposition of their case (detainees), those convicted of a crime sentenced to one year or less (City Sentenced), and inmate's sentenced to longer terms awaiting transport to State Facilities.

The Department manages 15 inmate facilities, 10 of which are located on Rikers Island. In addition, the Department operates two hospital Prison Wards (Bellevue and Elmhurst hospitals) as well as Criminal, Supreme, and Family Court holding facilities in each of the five boroughs. During Fiscal Year 2015, the Department handled over 67,000 admissions and managed an average daily inmate population of approximately 10,240 individuals.

DOC has kept all hardcopy (paper) inmate and employee records, documents and logbooks. The majority of which are currently maintained in approximately 100 different storage facilities, including on Rikers Island, Hart Island, and other city storage locations. Some of the storage facilities are in very poor condition. DOC needs all existing inmate and employee hardcopy records, documents and logbooks imaged, as a means to capture all inmate and employee records currently being produced and to interface with future automated systems for managing inmate and employee information.

This RFI does not constitute an offer of a contract with the City of New York. Responding to this RFI will neither increase nor decrease any responder's chances of being awarded a contract from a subsequent solicitation issued by the City, if any, for relevant services. All questions, clarifications, and other comments regarding this RFI should be directed to the contact person included below.

Agency Contact

Name: Cameron Sutton Jr.

Title: Contract Manager

Phone: 718-546-0791

Email: Cameron.Sutton@doc.nyc.gov

II. PURPOSE OF THE RFI

The purpose of this RFI is to gather information to assist DOC in developing, at DOC's sole discretion, a separate, subsequent request for proposal ("RFP") for the procurement of an Imaging and Document Management solution and associated document scanning services.

DOC reserves the right to consider one or more types of projects and/or products from multiple respondents in order to develop an

RFP that would achieve DOC's objectives. In particular, DOC would like to:

- A. Understand how well the commercially available Imaging Services and Document Management solutions meet DOC's needs;
- B. Gather information on vendor methods to determine the quantity of existing DOC hardcopy (paper) inmate and employee records, document and logbooks currently stored in various locations that need to be scanned
- C. Understand size and scope of previous vendor deployments and vendor knowledge and experience deploying in a public safety or law enforcement environment.
- D. Understand the extent to which commercially available solutions will need to be configured and/or customized to meet DOC's Imaging and Document Management solution needs; and,
- E. Gather information on:
 1. Estimated costs to capture existing DOC paper inmate and employee records, document and logbooks;
 2. The amount of time needed to scan existing DOC paper inmate and employee records, document and logbooks
 3. Estimated system implementation costs for a system that provides DOC the ability to create and capture content, review, aggregate and manage, access and distribute and archive and manage records;
 4. Estimated software costs for a system that provides DOC the ability to create and capture content, review, aggregate and manage, access and distribute and archive and manage records;
 5. The options for software licensing for a system that provides DOC the ability to create and capture content, review, aggregate and manage, access and distribute and archive and manage records; and,
 6. The amount of time needed to implement a system that meets DOC's Imaging and Document Management solution needs as described in this RFI.

III. DOC OBJECTIVES

A. Imaging and Document Management Objective

DOC's objectives for a Document Management solution and Imaging services are to:

- 1) Capture, preserve, distribute, and retain for the retention required period of time, all existing DOC inmate and employee information in as efficient of a manner as possible, for legal and risk purposes.
- 2) Create all future inmate and employee information in a manner that facilitates full life cycle document management in as efficient and cost effective manner as possible.

The Electronic Records and Imaging Management system should address the following capabilities:

Create and Capture Content

- Scan
- Create
- Capture/Import
- Index
- Metadata
- Scan/Index Security

Review

- Image Quality Review and Routing

- Document Review and Workflow

Aggregate and Manage

- Document Organization
- Re-Indexing
- Reporting
- Annotations
- Versioning
- Auditing

Access and Distribute

- Document Display
- Document Access Monitoring
- Sorting and Searching Capabilities
- Security Features
- Redaction
- Printing

Archive and Records Management

- Archiving
- Records Management
- Email Archiving

Certification

- Department of Defense (DoD) Standard 5015.2
- SSAE 16

B. Imaging and Document Management Business Level Requirements

1. Create and Capture Requirements

a. Scan

- Scan a variety of documents types of all shapes and sizes (See Capacity section of Detailed Requirements in Attachment A).
- Support typical editing features including deskew, despeckle, brightness and contrast analysis, etc.

b. Create

- Provide electronic forms design, implementation, and processing for 300 various DOC forms
- Develop eForms so that new templates and forms can easily be added as needed
- Capture and store system-generated forms

c. Capture

- Capture online forms and/or images created from online forms or from data in external systems, or sent from other imaging systems.
- Integrate with and capture electronically submitted Microsoft Office documents and attachments, or any other existing DOC authoring tools.
- Import objects from other systems (e.g., TIFF and/or PDF images).
- Automatically create and capture images directly from incoming faxes.

d. Index

- Automatically index the documents as the last step in the capture process.

- Ensure that only users with the appropriate level of security have the right to change indexes while other users have read-only access.
 - Support the logical grouping of indexes to enable multiple types of categorization.
 - Significantly reduce the need for manual entry of index field data.
- e. Metadata
- Auto-populate metadata characteristics and provide list-choice selection of metadata.
 - Allow for tracking of a document by any assigned metadata field, e.g., receive, create, or sign date, etc.
 - Enable elements in the repository to inherit metadata of the hierarchy.
 - When a change is made to the metadata attributes, the change is propagated to all document libraries.
- f. Scan/Index Security
- Ensure that once committed to the system – whether scanned in or received electronically – images are not able to be modified.

2. Review Requirements

a. Image Quality Review and Routing

- Provide a means for a visual check of the quality of each imaged batch to ensure that they are both legible and correctly identified.
- Route post-committal (indexed) documents to specific DOC staff for Quality Assurance review based on business rules defined by DOC.

b. Document Review and Workflow

- Provide ability to use workflow to manage the creation and update of a document or set of documents, e.g., trigger actions based on time, event, volume, and user specified rules.
- Route a document for review and/or approval for storage into the records management and/or document management repository. Allow the reviewer to notify a defined list of reviewers of this routing.
- Allow the reviewer to delegate review authority.
- Automatically remind reviewer of documents requiring approval.
- Provide a graphical user interface for defining workflow.
- Allow workflow administrators to define workflow requirements on a per document basis.
- Capture and manage approval metadata – dates, times, users name, etc.
- Provide access LDAP, Active Directory or other similar technology to manage workflow permissions.
- As part of the integration with DOC's existing authoring tool(s):
 - Support a means of document workflow that can be used to define such operations as content review.
 - Support, at a minimum, moving content from authors to editors for review, back to authors and finally to the production staging environment.

3. Aggregate and Manage Requirements

a. Document Organization

- Ability to combine multiple documents (single or multiple pages) and document types into one “compound” document.
- Make the history of image and document intake available as a table of contents for a given file.
- Link files to a common (“parent”) event (e.g., DOC name) and list/view all related documents
- Assign user-defined attributes (e.g., create date, update date and author) that can be used to classify the documents.
- Track the status of the file in the repository, and clearly display the status on the user interface.

b. Re-Indexing

- Allow DOC to append and index new pages to an existing document.

c. Reporting

- Provide both schedule-based and ad-hoc reporting capabilities (e.g., statistical information, self-service queries by user-selected parameters, sort sequence, etc.).
- Provide Computer Output to Laser Disc (COLD) process to index, store, search, retrieve, and display AS400 print spool files.

d. Annotations

- Support a full range of annotations (e.g., text, sticky notes, arrow, line drawing, highlighting) so that users can add comments to any page in a document.

e. Versioning

- Keep multiple versions of a document online.
- Make the number of versions of any particular document easily discernable for the user.
- Force “save as” for multiple versions.
- Automatically display the latest or default version of a document.
- Based on their standard login, allow users to select any version of the document for that they have authorization access.

f. Auditing

- Track author, date, and time modified for each document.
- Identify who made the last change, date content was last updated, and date of content deployment.
- Provide document usage analysis i.e., frequency of document access, history of access and changes, and approval steps in the workflow.
- Allow the appropriate users to view, copy, or print the logs or audit trail.

4. Access and Distribute Requirements

a. Document Display

- Provide a user-friendly means for displaying imaged documents.
- Allow viewer options such as zooming and magnification.
- Launch applications as needed from summary/retrieval screen.
- Allow the user to view any annotations on the document image inserted by DOC staff as the user is viewing the pages of the document.

b. Document Access Monitoring

- Provide document component level check-in/check-out capabilities to prevent multiple copies of a file from being edited, provide a message regarding the user-id currently editing, and offer the ability to receive a notice when the document is no longer checked out for editing.
- Once in library - users must use check out service to retrieve documents.
- Automatically generate notification to individuals who need to be aware of new version.
- Allow for multiple levels of security, specifically viewer, author, owner, and administrator.

c. Sorting and Searching Capabilities

- Allow searches using content (free text), any defined metadata fields, and content attributes.
- Allow users to select the sort sequence for a Query Result List, based on the fields to be displayed in the query.
- Provide search templates and create pre-defined searches

- Perform Keyword, full-text, phrase, Boolean, wild card, and proximity searches
 - Search multiple fields, including user-defined fields
 - Sort, rearrange, and print retrieved records
 - Search electronic document content
 - Export search results to multiple electronic formats, such as PDF, Excel, CSV, etc.
- d. Security Features
- Allow the creation of security profiles for both individuals and groups.
 - Associate a separate security profile with each object in the repository (object is a file, document, folder or annotation) to determine which groups or individuals may view or modify any particular
 - Apply security to users based on user groups
 - Control access to data by agency, department, record series, storage room, and image type
 - Allows for password encryption
 - Allows for locking out users after unsuccessful login attempts
 - Manage access to software functionality and data
- e. Redaction
- Allow authorized users to “black-out” (redact) content in an imaged document online (i.e., based on the user’s security profile).
- f. Printing
- Use standard MS Windows printing functionality.
 - Allow users to select the documents they want to print from a list or index.

5. Archive and Electronic Records Management Requirements

- a. Archiving
- Securely and permanently store documents in a highly available environment that prevents any unauthorized alteration of DOC/Industry-related content and documents.
- b. Records Management
- Manage the retention of the DOC/Industry-related information for a DOC-defined retention period, e.g., prevent the deletion of documents before the retention period has passed.
 - Add an additional hold on specific documents for litigation or other purposes to prevent the deletion even if the retention period has already expired.
 - Store official record objects into the document management system.
 - Purge objects from the records archive, document management system, or both, including all backup copies, once the retention and hold periods have expired.
 - Expire and retire records while retaining dated archival copies.
 - Notify designated users on expiration or retirement of content.
 - Provide reports against any metadata attributes.
 - Automatically create a table of contents for official records folders.
 - Automatically “file” documents from the document management system while maintaining existing indexing and metadata fields.
 - Save records directly into a central repository from any Windows location or application
 - Ability to pre-assign retention policies on electronic folders
 - Able to manage a variety of electronic records and email
 - Store and edit working documents, with complete revision history

- Create text, memo, check box, drop-down, and custom list user-defined fields for custom metadata
 - Ability to close and lock approved documents
 - Search content using full-text, Boolean, logic and meta-data filters
 - Link to other databases or repositories and apply retention policies
 - Supports all Microsoft Office products
- c. Email Archiving
- Provide a solution for archiving emails that allows stored emails to be organized, easily accessible, and searchable.
 - Automate the process of archiving email documents, e.g., automatically migrate emails that have been classified as records (based upon DOC defined rules) to archival media upon document committal.
 - Eliminate email duplicates.
 - Capture Outlook email from personal Outlook files
- d. Retention Scheduling
- Create record series at global, agency, or departmental level
 - Configure custom record classification codes
 - Able to apply dynamic calculation methods
 - Track active and inactive record phases
 - Calculate retention based on time period or event
 - Manage retention holds on physical and electronic records
 - Set metadata defaults by record series
- e. Full-text Searching
- Perform Keyword, full-text, phrase, Boolean, wild card, and proximity searches
 - Search multiple fields, including user-defined fields
 - Sort, rearrange, and print retrieved records
 - Export search results to multiple electronic formats, such as PDF, Excel, CSV, etc.
 - Search electronic document content

IV. SUBMITTAL PROCESS

A. Schedule

The expected schedule for this RFI is shown in the table below. DOC reserves the right in its sole discretion to modify the schedule at any time. Any modifications to the schedule will be communicated through the RFI Contact identified in Section D below.

Schedule for RFI Response and Evaluation	
Action	Date
RFI Responses Due	3:00 PM, June 1, 2016
Potential Vendor Demonstrations	TBD

DOC is open to receiving written questions submitted to the RFI Contact any time before the due date for responses.

DOC will evaluate the responses received and determine whether and how to proceed with its procurement of Imaging and Document Management solution and services. DOC may or may not issue an RFP, or take any other action it deems appropriate.

DOC may invite responders to demonstrate their solutions.

B. Communications

Respondents will have the ability to submit questions regarding any aspect of this RFI to the RFI Contact identified below. The submission of all questions, and all other communications related to this RFI, should be directed to the RFI Contact.

C. Submission of Responses

All responses shall be submitted **electronically** to the RFI Contact identified below by **3:00 pm E.S.T. on June 1, 2016**.

D. RFI Contact

Respondents are encouraged to seek clarification as required to submit a complete and comprehensive response. Unless otherwise directed, all communications regarding this RFI should be made through the RFI Contact as follows:

Agency Contact

Name: Cameron Sutton Jr.

Title: Contract Manager

Phone: 718-546-0791

Email: Cameron.Sutton@doc.nyc.gov

E. Costs and Expenses

DOC shall not have any responsibility for any costs or expenses incurred by any respondent related to its preparation of a response to this RFI. Each respondent is solely responsible for its own costs and expenses in preparing and submitting a response to this RFI and participating in the RFI process, including the provision of any additional information or attendance at meetings or interviews.

F. No Binding Obligation Is Created

This document is not intended as a solicitation for the award of a contract or a prerequisite for participation in any future solicitation. No contract will be awarded as a result of this RFI and response to this RFI is not required in order to respond to any subsequent RFP. DOC is under no legal, monetary, or contractual obligation to respondents to this RFI. This RFI, and any documents submitted in response thereto, do not constitute and will not give rise to any legally binding obligation on the part of DOC. DOC does not intend to, and shall not be, bound by the terms of this RFI. DOC reserves the right to proceed in any matter that it, in its sole discretion, deems appropriate. DOC also reserves the right to accept and consider any non-compliant response. All responses to this RFI shall become the property of DOC.

G. Reservation of Rights

DOC reserves the right, at its sole discretion, to alter and/or withdraw the RFI at any time and/or not issue an RFP; to choose to discuss various approaches with one or more respondents (including those not responding to the RFI); to use the ideas or approaches submitted in any manner deemed to be in the best interests of DOC, including but not limited to soliciting competitive submissions relating to such ideas or approaches; and/or undertake the prescribed work in a manner other than that which is set forth herein.

H. Confidentiality

The names of the respondents to this RFI shall not be confidential. However, subject to the provisions of applicable law, at the request of any respondent, the contents of the response, or any portion thereof, may be treated as confidential. Any request to treat a response or portion thereof as confidential should be accompanied by an explanation justifying the applicability of the protection sought.

V. SUBMITTAL CONTENTS

A complete response will include the following components:

A. Executive Summary

Responses should include an Executive Summary which briefly describes the respondent, the major features of its response, and key highlights of the pricing and terms that the respondent would require in order to provide an Imaging Services and Document Management solutions to DOC that meets DOC's needs as described herein.

B. Description of Respondent

Responses should provide contact information, including, respondent's legal name, business address, name of contact, telephone, email address and website address. Responses also should provide a description of the respondent's qualifications, including a list of similar prior projects and/or services, and a description of experience with providing Imaging and Document Management solution and services similar to what is requested in this RFI.

C. Financial Information

Responses should provide an overview of the financial solvency of the implementation and software firms that would be providing services and products to meet DOC's Imaging and Document Management needs.

D. Description of an Imaging and Document Management solution and services

Responses should set out a general description of the submitter's Imaging and Document Management solution and services, including a description of how closely the DOC needs as described herein are met without any customization or configuration, how much customization and configuration would be needed based on the description herein, how much customization and configuration is typical for an implementation at an organization comparable to DOC, and the relationship between the system implementation team and the software provider.

E. Description of Method for Determining Quantity of Documents to Scan

Provide a description of how the vendor can assist DOC in determining the quantity of DOC hardcopy (paper) inmate and employee records, documents and logbooks that need to be scanned. Include a description of how the vendor would:

- Correct and update all of the quantities and durations in the Detailed Requirements descriptions in Attachment A
- Assist DOC in addressing its extremely complex retention schedule

F. Preferred Contract Terms

DOC's expectation is that a successful RFP, if one is issued, would require it to enter into one or more contracts that could include a combination of fixed (deliverables based) fees for implementation services and initial licensing fees as well as ongoing support and maintenance costs. To the extent possible, responses to this RFI should address the following:

1. Product Characteristics:

- a) Product: Describe the product that would be offered and describe how the product would satisfy DOC objective and business level requirements set forth in Section III, and the Detailed Requirements in Attachment A of this RFI. Include a description of your company's vision for the product over the next 3-5 years.
- b) Determine Quantity of Documents to be scanned: Describe how the vendor would estimate the quantity of documents to be scanned.
- c) Imaging/Scanning Services: Describe how the vendor would image the existing DOC hardcopy (paper) inmate and employee records, document and logbooks currently stored in various locations.
- d) Clarify DOC Retention Policies: Describe how the vendor would assist DOC in clarifying our complex retention policies.
- e) Time to delivery: Describe the expected amount of time needed to:
 - 1. Determine the quantity of documents to be scanned
 - 2. Image/scan all existing DOC hardcopy (paper) inmate and employee records, document and logbooks currently stored in various locations.
 - 3. Assist DOC in clarifying it's complex retention policies
 - 4. Implement an Imaging and Document Management solution similar to what is described in this RFI, at an organization comparable to DOC, through and including "Go-live," the date after all testing has been completed when the system is put into use by users.
- f) System Warranty Period: Describe what types of system warranty you have provided for previous customers.
- g) End user training: What extent of end-user training do you recommend?
- h) System administrator skills: What is the skill set expected for a system administrator? What type of system administrator training do you provide?
- i) Upgrades: What is your release cycle and how will that impact an implementation at DOC? How will customizations and configurations be impacted by future releases?
- j) Platform: What is your standard platform/software stack? What are your interface capabilities?
- k) Infrastructure: DOC prefers to host systems in our data center at our headquarters building in East Elmhurst. Describe the needed hardware, database and operating systems needed to host your system.

2. Structure, Price and Term:

- a) Pricing structure: Provide a general overview of the pricing structure for similar projects that you have offered in the past.
- b) Associated Services Costs: Provide estimated costs and description of the estimates were determined to:
 - 1. Determine the quantity of documents to be scanned
 - 2. Image/scan all existing DOC hardcopy (paper) inmate and employee records, document and logbooks currently stored in various locations.
 - 3. Assist DOC in clarifying it's complex retention policies
- c) System implementation costs: DOC's standard implementation deliverables are included in Attachment B. Based on the implementation deliverables as described in Attachment B, provide estimated system implementation costs and describe how those costs were estimated.
- d) Software licensing costs: Provide the options available and associated fees for 10,000 concurrent system users. Describe when the initial license fees are typically paid. Provide a sample license agreement.

- e) Yearly Maintenance Costs: Provide the fees for ongoing support and maintenance for a system implemented at DOC that meets the needs as described in this RFI.
- f) Term: DOC expects that the contract term will include implementation through a brief warranty period during which maintenance would be supplied at no additional cost, followed by a yearly maintenance and support agreement for a defined duration. Describe your preferred contract term.

G. Department Assumptions Regarding any Potential Vendor

The Department's assumptions regarding the vendor's organizational capabilities that would be necessary for a successful implementation of an Imaging Services and Document Management solutions are as follows:

1. The vendor would have at least five (5) years of successful experience in providing this type of service.
2. The vendor has experience implementing the services described herein in an environment of similar size and complexity as the New York City Department of Correction.
3. The vendor has adequate programmatic, technical, managerial and financial capability to perform the services described within this RFI.
4. The vendor's senior management executives have a minimum of 1 year with the firm and contractor executive management should demonstrate stability.
5. The vendor has sufficient full time staff with relevant skill sets and experience to support an initiative of similar size and complexity.
6. The vendor be financially stable and have the financial resources required to support an initiative of this size as can be validated through a review of the firm's financial statements.

H. Other Issues to be Addressed in Responses

1. Describe ways in which you believe DOC could streamline or reduce costs and/or time to delivery.
2. Describe any other critical information that you believe should be included in a solicitation for Imaging and Document Management solution and services.

Attachment A

Detailed Requirements

Capture-Related Needs for Existing Inmate and Employee Records

Note: All of the following quantities and durations are estimates. DOC is seeking vendor services to confirm, correct, update, the noted quantities and durations.

Capacity

- Capacity to scan, index, and store a minimum of 80 new documents/800 pages daily to a maximum of 200 documents/900 pages, consisting of up to 80 multiple page documents and forms and 25 logbooks (200 pages, 8 1/2 inches by 14 inches, per book)
- Capacity to backfile up to 120 files daily as file requests and updates are made, averaging 10 pages per file, adding 1,200 pages daily for up to 4 years.
- Capacity to review 10 to 20 file requests daily from:
 - 100,000 documents/1,000,000 pages from files that are currently active or have not been inactive more than five years in the event of new activity.
 - 45,000 active files from a total of over 200,000 inmate and employee records currently established with the agency.
 - 70,000 inactive files, out of the 110,000 inactive inmate and employee records, held for retention before designated "marked for deletion" after 30+ years of inactivity.
- Ability to display and select from a list of documents with the following viewing functions:
 - List all documents belonging to a specific inmate or employee record
 - List all documents received within a user-specified date range (used to search for potential mis-indexed documents)
 - Page forward and backward through a list of documents and pages of a specific document, with the ability to go directly to a specific document or page.
 - Magnify and rotate the page to improve viewing a part of the document
- Ability to change documents after scan/index:
 - Change document index (reindex) information indexed from user input, including relationship to file.
 - Delete duplicate or impertinent documents from files.
 - Combine documents that were accidentally separated at scan/index time.
 - Split documents that were accidentally combined at scan/index time.
- Ability to print a document, specific range of pages of a document or a pre-selected group of documents belonging to an inmate or employee record.
- Equipment must operate with minimal impact in an office environment (e.g. noise, temperature, floor load capacity, electrical), not requiring any special considerations for facilities and HVAC requirements.

Retention

Note: This information applies to capturing existing hard copy files as well as all future documents created and captured in the system.

- The DOC document retention schedule is very complex. Ability to maintain document retention of files:
 - Ability to establish a by id and active status, with update capability.
 - Retain all indexed documents.
 - Retain access to inactive file documents for up to 30+ years, retained for up to 10 years, and restored on magnetic after 20 years if needed.
 - Delete permanently or "mark for deletion" files after 30 years of being inactive

Additional Functional Requirements

Scan

- Ability to scan into the system, documents that are of non-standard paper sizes and weights, can be scanned into the system
- Ability to scan documents that vary greatly in paper size (i.e. 2" x 2" to 11" x17"), paper type, print quality, and format into the system

- Ability to capture images on both sides of double-sided documents
- Documents are automatically “tattooed” when scanned with user-defined selected information such as scan device, batch number, page number within the batch, and scan/receive date
- Ability to scan documents using gray scale resolution
- Ability to scan photographs or other documents in full-color
- Ability to support standard imaging and image editing features including but not limited to: color, resolution, de-skew, de-speckle, crop, etc.,

Index

- Document indexing typically occurs at the time an image is committed
- Documents can be indexed to multiple inmate or employee IDs
- Documents with no inmate or employee ID can be indexed
- Ability to define multiple index (i.e., catalogue) fields (e.g., inmate or employee ID, document type, etc.)
- Document indexes include an indicator if the document contains multiple pages
- Automatic assignment of file names using customized DOC naming procedures

Metadata

- Ability to enter the date a document was received, the document type, and the inmate or employee ID for all imaged documents
- Ability to enter and track a document “create or signed date” in addition to document received date and scan date when a document is indexed
- Ability to define an unlimited number of document types
- Ability to capture additional metadata from eForms (e.g., to document originator, document creation date, physician’s name, etc.)
- Enable indexing and searching of documents by a variety of user-defined metadata attributes.

Scan/Index Security

- Security profiles are used to control access to indexing functions
- All images within the system – whether scanned in or received electronically – are not able to be modified

Capturing Facsimiles

- Ability to automatically create and capture images directly from incoming faxes
- Ability to separate documents for multiple records received by fax into their respective files and index to multiple document types

Developing and Capturing eForms

- Develop up to 300 different types of eForms for implementation that will include both transactional and non-transaction (i.e., correspondence only) data
- Hold JAD session to refine eForm requirements
- System will not capture online forms if all required fields are not complete
- Ability for system administrators to develop new forms and screens (e.g., using HTML or XML)
- Ability to capture TIFF and/or PDF images sent electronically - individually or in batches; from internal systems
- Ability to capture TIFF and/or PDF images sent electronically - individually or in batches - from external systems.

Other Content Management

- Provide support for full text search.
- Provide built-in viewers/converters for a wide variety of file types.
- Provide digital rights management capabilities.
- Provide check in/check out functionality for electronic documents.
- Provide notification features for files that are checked out (over due, availability, etc.).
- Ensure version control of documents templates as they are changed or modified.
- Allow rollback to a previous version of a document template.
- Enable collaborative document creation and/or markup.
- Enable attachment of documents to e-mails and e-mail distribution lists.
- Store location identification of paper documents (attributes should minimally include folder, box, and physical location).

Technical Requirements

- Provide user-configurable functions requiring no programming for scanning, indexing, storage, retrieval, and archival.
- Software and applications used must be compatible with the current agency network, currently SUSE LINUX Ver. 9 & 11 based servers and Windows based servers, version 2008, Ethernet and TCP/IP.
- Software and applications used must be compatible with the most current PC Imaging workstation desktop, currently using Windows XP Professional Edition and Windows 7, Office 2007/2013, Internet Explorer 8 to 11.0.96, 8GB RAM, 500GB HDD and 18" to 22" LCD monitors.
- Capable of securing access to application functions and data by predefined roles:
 - Secured and restricted access for user administration to allow type of access to application based on user's roles and responsibilities.
 - Secured and restricted access for Scan and Index of documents
 - Secured and restricted access for Update ability of file documents and data
 - Secured and read only access to file documents including ability to print
 - Ability to track and review audit trail of transactions with documents and files
- Capable of handling and displaying documents with the following characteristics:
 - Separating and grouping pages by document
 - Document page count ranging from 1 up to at least 99
 - Pages of various paper thickness and fragility, requiring flatbed scanning
 - Page size ranging from 3 inches by 5 inches to 8 1/2 inches by 14 inches.
 - Double-sided multiple page logbooks with up to 200 pages, 8 1/2 inches by 14 inches, per book
 - View multiple page documents with ability to page or directly go to any page.
- Scanning hardware and software component capable of:
 - One-sided scanning speed of at least 20 pages per minute.
 - Ability to scan in duplex mode, scanning both sides of two-sided documents in one pass. If possible, have capability of automatically dropping blank sides.
 - Duty cycle capable of handling at least 2,100 pages per day
 - ADF (automatic document feeder) capable of handling a stack of 1 to 50 pages
 - Flatbed scanning for special handling of pages not appropriate for the ADF
 - Ability to switch between ADF and flatbed from software during a scan session without having to interrupt the current scan batch session, start a new scan batch, restart the scan application, or reboot the scan workstation.
 - Capable of saving images in TIFF bitonal CCITT Group 4.
 - TIFF bitonal resolution options of 200 and 300 dpi.
 - Save each document page as a single page TIFF file, logically grouping multi-paged document images to signify a document.
 - Automatic assignment of a unique id for each document.
 - Automatic assignment of a unique id for each page image, with a reference to the document and page it belongs to
 - Automated method for separating and grouping scanned pages by document
- Index documents by the following:
 - Provider id, a variable length number up to 10 digits that uniquely identifies the file a document belongs to.
 - Date scanned, system-provided and unchangeable date the document was scanned.
 - Date indexed, system-provided and unchangeable date the document was indexed.
 - Date received, user-defined legal date when the document was received by the agency, initially defaulted to date scanned or previous document indexed.
 - Document type, user-defined document type that distinguishes the various types of documents within a file or for different user procedures.
 - Other user-defined index fields to be determined later from business needs
- Automate processes for maintaining document storage:
 - Automatically store new documents after being indexed as permanent legal copy.
 - Automatically stores copy of new documents for online access and printing.
 - Automated process to purge all documents that have been inactive for over 2 years, keeping access available to copy on storage device.
 - Ability to restore documents from storage if becomes active after 2 years.
- Maintain information for each file including:
 - Provider id, a variable length number up to 10 digits that uniquely identifies the inmate or employee record.
 - Active status, default is "active" with user ability to change to "inactive" or back to "active" at any time when a status has changed
 - Inactive date, default "NULL" with user ability to update when has become closed and inactive.

- Maintain system table of user-defined document types to control indexing of documents to pre-established document types
- Quality assurance functions for document viewing and performing document administrative functions for reindex.
- View documents full page at 100 dpi on a 1600 by 1200 pixel display monitor, with viewing functions to magnify and rotate for viewing detail.

Implementation Requirements

- Implementation must take less than 6 months to complete
- Users and support staff must have documented procedures, software, and hardware for performing system administration; system operations; system, data, backups and recovery; and user data processing
- Ongoing service support contract must be available for software and hardware
- Capable of migrating data to other imaging systems or expanding the use of other product features to accommodate new user requirements
- Minimal or no training is required to set up and implement products
- Vendor has been providing imaging products for at least 5 years

Attachment B

Sample Implementation Services Deliverables

Task	Task Description	Deliverables	Acceptance Criteria
Phase 1 Plan			
Task 1	Project Management and Implementation Approach	1. Project Plan	<p>The Project Plan must describe all deliverables by task. The Project Plan will also describe the Contractor’s <<PROVIDED SYSTEM>> project-specific:</p> <ul style="list-style-type: none"> • Scope Management • Contractor Resource Management • DOC Roles and Responsibilities • Contractor Roles and Responsibilities • Risk Management • Schedule Management • Quality Management/Testing Approach for all aspects of testing • Knowledge Transfer Approach • Communication and Escalation Procedures
		2. Project Timeline	<p>The Contractor Project Manager must provide a detailed Project Timeline using Microsoft Project.</p> <p>The Project Timeline must address each of the 25 project deliverables, and must include sub-tasks to a level of detail that allows accurate tracking and reporting on progress for each deliverable on a weekly basis.</p> <p>All entries in the Project Timeline must be linked based on relevant dependencies in a manner that allows for accurate critical path analysis.</p> <p>The Project Timeline must be designed so that an accurate picture of the schedule and progress to date can be represented at an executive summary level by showing the higher level tasks only.</p> <p>On a weekly basis, the Contractor Project Manager must use Microsoft Project to continually re-assess the project’s critical path and recommend actions to avoid schedule slips or mitigate impacts when slips occur.</p>
Task 2	Requirements Specification Document	1. Requirements Validation and Analysis	<p>The Contractor must perform a requirements validation and analysis of the noted requirements to ensure that the <<PROVIDED SYSTEM>> is able to conduct all the functionality described. This review and validation must include meeting with DOC staff and subject matter experts to fully understand the scope, purpose, and implications of each of the Requirements. Initial interface and data conversion requirements must also be validated and analyzed at this time.</p> <p>The Requirements Validation and Analysis must be documented in a Requirements Specification Document that is:</p> <ul style="list-style-type: none"> • Correct, complete, and consistent with DOC’s

Task	Task Description	Deliverables	Acceptance Criteria
			<p>business processes and business needs;</p> <ul style="list-style-type: none"> • Sufficient for beginning application configuration; • Testable
		2. Annotated Requirements Document	The Annotated Requirements Document must provide the ability to describe and trace the life of each requirement from the requirements validation and analysis (e.g. from source, through configuration, acceptance, deployment and maintenance).
Task 3	Data Migration Approach	1. Detailed Outline (by data source) of how data will be migrated and validated	<p>The Data Migration Approach must include:</p> <ul style="list-style-type: none"> • A detailed description of the strategy for automated and manual conversion efforts; • The DOC-identified data to be converted and the sources of that data; • A detailed mapping of all current to future state data sources; • Identification of the minimum amount of data necessary to effectively operate the system; • Processes to be used for validation, standardization, purification, and "unduplication" of the data. DOC and Contractor staff will jointly make decisions regarding edit criteria, default values, and error exceptions; • Methods for converting the data (automated and manual processes); • Identification of DOC resources required to manually purify, convert data or review the results of conversion activities in test or production; • Identification and development of reports used to clearly demonstrate that the load and all possible situations are handled properly to provide an audit trail for all the data loaded into the system; • How errors will be detected, corrected and how users will be involved in this process; • How all data conversion activities will be monitored; • Fallback strategies in case of data conversion failures.
Task 4	System Interface Approach	<ul style="list-style-type: none"> • Description of how system interfaces will be built and tested 	The System Interface Approach Document must specify the data elements that DOC defines for import, the trigger for the import (scheduled or triggered), the target fields to be imported into the CMS, and how errors are handled.
Phase 2 Design and Build			
Task 5	Design and Configuration and/or Customization	1. Design and/or Configured and Customized Base Software	<p>Contractor shall install the base software system on DOC provided hardware. This will include installation of each of the solution components needed to meet the noted in the DOC Development, Test and Production environments.</p> <p>Contractor shall configure the system to meet the Noted Requirements.</p>

Task	Task Description	Deliverables	Acceptance Criteria
			<p>The Contractor must validate successful installation of the product by demonstrating that the implemented solution meets all functional requirements.</p>
		2. Configuration Report	The Configuration Report must specify all product configurations, including cross references to specific requirements.
		3. Database and ETL design and development	<p>The Contractor must provide technical documentation regarding the relational database design, record or table layouts and data dictionary sufficient for DOC to administer the installed, configured system after the warranty period has been completed.</p> <p>The Contractor must validate successful installation of the database by demonstrating that the implemented solution meets all technical requirements.</p>
		4. Reports Design and Development	The Contractor must provide samples of all standard and custom forms and reports with narrative descriptions of all fields displayed on the report, input parameters and an explanation of how to execute each report.
Task 6	Data Migration	1. Data Migration	<p>In accordance with the Data Migration Approach document, the Contractor shall:</p> <ul style="list-style-type: none"> Convert and migrate DOC legacy source historical data into the <<PROVIDED SYSTEM>> target data files and tables; and, Produce all necessary reports to support the conversion effort. <p>The Contractor and the DOC project team will review the data migration activities to ensure proper data field mapping and loading prior to acceptance.</p>
		2. Validated migration results and reports	<p>The Contractor shall provide testing results. DOC will validate the data conversion to ensure that it is in compliance with the data conversion mapping as described in the Data Migration Approach document.</p> <p>The data migration tests will be reviewed and evaluated using DOC-defined defect ratings. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p> <p>Complete database diagrams detailing the mapping of data sources to the CMS database will be submitted to DOC and the validated data conversion results and reports indicating that all data has been successfully converted.</p>
Task 7	Interface Development	1. Interface Design and Development	The Contractor must conduct design reviews (walkthroughs) with DOC to demonstrate that the interfaces design is in accordance with the System Interface Approach Document.

Task	Task Description	Deliverables	Acceptance Criteria
		2. Interface Test and Results	<p>The deliverable from this task will be the tested and validated interfaces.</p> <p>The interface tests will be reviewed and evaluated using DOC-defined defect ratings. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p>
Task 8	Testing	1. Integration Test and Results	<p>The Contractor must conduct integration testing to validate the correct operation of all components of the <<PROVIDED SYSTEM>> and to verify that there were no unanticipated side effects to the System. Records of the integration test results must be provided to DOC.</p> <p>The integration tests will be reviewed and evaluated using the DOC-defined defect ratings. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p>
		2. Performance Test and Results	<p>The Contractor must use automated load/stress testing software to measure system performance in the DOC environment.</p>
		3. User Acceptance Test and Results	<p>DOC will provide a team of users to conduct acceptance testing and document any identified defects. The Contractor will be responsible for resolving defects found during acceptance testing.</p> <p>The user acceptance tests will be reviewed and evaluated using the DOC-defined defect ratings. Approval will be based on test results with no defects of critical or high severity or critical or high priority ratings, and with a minimal number (quantity to be defined prior to testing) of medium and low severity ratings.</p>
Phase 3 Delivery			
Task 9	System Descriptions	1. Technical/Operational Descriptions	<p>Product Technical Documentation: The Contractor must provide Product Technical Documentation that describes the technical architecture of the Product.</p> <p>The Product Technical Documentation must also describe hardware specifications.</p> <p>Product Operation Documentation: The Contractor must provide Product Operation Documentation that describes the steps necessary to enable DOC staff to support and maintain the solution in production from an administrative perspective.</p> <p>The Product Operation Documentation must describe the</p>

Task	Task Description	Deliverables	Acceptance Criteria
			steps and procedures needed to operate the Product on a day-to-day basis. It also must include information relating to system start-up and shut down procedures, backup and restore procedures, batch job submission procedures, security procedures, table maintenance procedures.
		2. Runbook	The Contractor must provide Product User Documentation (i.e. a "Runbook") that describes the operation of the DOC <<PROVIDED SYSTEM>> product from the perspective of the end user. The Runbook should cover sign on and sign off sequences, menu operation, screen descriptions, and means of invoking on-line help tools.
Task 10	Knowledge Transfer	1. Description of Knowledge Transfer Approach	<p>The Contractor must provide a software knowledge transfer plan that includes:</p> <ul style="list-style-type: none"> • The proposed knowledge transfer plan/strategy, including end-users, and technology personnel; • The role and responsibility of the Contractor team in the design and implementation of the knowledge transfer plan (e.g., development of customized knowledge transfer materials, delivering knowledge transfer to DOC end-users); and • The role and responsibility of DOC staff in the design and implementation of the knowledge transfer plan.
		2. Customized Product Technical/Operational Knowledge Transfer	<p>The Contractor must provide DOC a complete manual for the technical knowledge transfer. The Contractor must update this manual to reflect customization, integration and interface efforts. In preparing the documentation changes, the Contractor will identify and ensure that any DOC-specific changes are properly annotated to facilitate re-application when the next release of the software is distributed.</p> <p>The Contractor must provide complete on-site knowledge transfer of key technical, operational and systems administration staff.</p> <p>Contractor will provide DOC System Administrators knowledge transfer on the configuration and maintenance of the system. Knowledge transfer shall be scheduled as needed to meet DOC needs.</p>
		3. Customized Product Functional Knowledge Transfer	<p>The Contractor must provide DOC a complete manual for the functional knowledge transfer. The Contractor must update this manual to reflect customization, integration and interface efforts.</p> <p>The Contractor must provide complete on-site knowledge transfer to key end user staff.</p>
Task 11	Deployment/Go-Live	1. Go-Live Checklist	The Contractor must provide a checklist that contains all the information required to assemble the application, databases and supporting infrastructure in order to place the new system into production. The checklist must describe the

Task	Task Description	Deliverables	Acceptance Criteria
			<p>tasks and activities (Contractor and DOC) that need to take place to efficiently and effectively move the application from the pre-production (testing, configuration) environment to the production, operations and maintenance environment and to integrate use of into the DOC case management business processes. This checklist must include the DOC approval of testing activities and both technical and functional knowledge transfer.</p>
		<p>2. Rollout to Production Approach Description</p>	<p>The Contractor must provide a detailed schedule of activities with key go-no go decision points identified throughout the deployment process. This description must also detail a back-out and recovery process to be triggered in the event the turnover to production fails. The back-out and recovery process must ensure that the old System is maintained and restored if necessary and all remaining data remaining available to DOC users with no impact to their job function or activities.</p>
		<p>3. <<PROVIDED SYSTEM>> Production Deployment</p>	<p>The Contractor must be onsite and available before and after deploying the system to the production environment to help DOC get started using the <<PROVIDED SYSTEM>> software. The Contractor staff must be ready to assist with questions, concerns, and able to resolve any issues that may arise.</p> <p>Any bug patches or upgrades that occur during the production deployment will be the responsibility of Contractor with knowledge transfer to DOC's technology staff.</p> <p>Once the roll-over to the production environment is completed, the 90-day Warranty period will begin.</p> <p>The Warranty Period will exercise all functionality, interfaces, and integration components. To this end, the new system will be loaded with actual, fully migrated data from the current systems.</p> <p>DOC shall continue to test the system for ninety (90) days in its intended live production environment. The system must operate in good working order in its intended live production environment for ninety (90) consecutive days without the occurrence of a Critical or High Severity Defects (as defined by DOC) of the system to occur.</p>