

May 11, 2017
Updated May 15, 2017

Questions and Answers – RFP 2017-004 Centralized Records Management System (CRMS)
(Repetitive questions received were combined)

GENERAL

- 1. Can I attend the Pre-bidder's conference remotely?**
Yes. Dial-in number: 866-528-2256
Participant Code:1267022
- 2. For the application, will a cross reference suffice in response to similar questions?**
The intent of Attachment A is to clarify and expand the information in the CRMS Proposal. It is appropriate to cross reference the appropriate section in Attachment A rather than repeat the information.
- 3. Can you estimate how many of the 300 users will be concurrently using the system at any given time?**
There will likely be 400 total users with likely no more than 40 accessing concurrently.
- 4. Can companies from outside the USA apply for the RFP?**
Yes, companies outside the USA can apply.
- 5. Can the project tasks be completed remotely (i.e. outside USA)? Does the company need to be physically present for meetings?**
Although it may be ok for some tasks to be executed remotely, we do not believe it would be appropriate for many of the tasks.
- 6. Can the proposal be submitted by email?**
Proposals must be submitted by mail (hard copy) and by email to czhang@baaqmd.gov
- 7. Does the Air District have a complete and approved retention schedule for the records that will be stored in the CRMS?**
Yes, a Record Retention Schedule was revised by the Board of Directors in 2015.
- 8. On Page 5, the statement, 'Note that the scope of requirements is relatively narrow. The system is intended to manage and track records and to provide archive search capabilities. The scope does not require broader enterprise content management capabilities such as document management and workflow.'**
It is not intended for day-to-day use for work-in-progress document sharing or collaboration.
- 9. The statement above mentions the scope does not require ECM capabilities, such as document management and workflow, however, API's and Workflows are mentioned as requirements for the RFP in the Attachment A, Requirements document. Are these features that you are not looking to implement immediately, but in the future, or are they immediate requirements? Please further define the intent of the statement from Page 5 above.**

“Workflow” refers to any workflow that can support record capture, indexing, and storage process if needed. Workflow is also typically used within records management systems for e.g. review-approval processes of significant record lifecycle actions and events such as disposition. APIs are of interest for potential future integrations.

- 10. Please identify the different cities where operations exist that will use the system. For an enterprise solution, this can be a total count of the number of geographically separated locations.**

The Air District is a 9 Count District covering Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano and Sonoma Counties.

- 11. We have tradeshow both weeks of the 15th and the 22nd. Can we extend the due date for proposals to May 31st?**

No, we cannot extend the due date at this time.

- 12. You mention that part of interviews may give the opportunity for a presentation/demo. Will you be able to provide sample data and use cases for the demo?**

Yes. This information will be provided in advance.

- 13. Do you have a defined budget threshold for the project that cannot be exceeded? Can you share this number?**

There is a proposed budget for the next fiscal year.

- 14. Does the District have a dedicated Records Manager or Records Management Team?**

Yes

SECTION 1 Implementation and Consulting Services

- 15. Please provide document count and total size for the records migration. Please provide some metrics, including number of repositories, volume of data (document count and size) and number of metadata attributes/fields to migrate from ApplicationXtender.**

All digital files will be migrated from AppXtender and the Shared Drive.

AppXtender currently contains 185 GB of files. Each file has no more than 4 or 5 elements of metadata. Shared Drive contains approximately 75K Files and 110 GB

- 16. Will the consulting be for implementing or developing the records system taxonomy?**

Both

- 17. Please provide detail around your consulting requirements. Are you looking for a methodology to utilize an existing file plan/taxonomy in the new system or are you looking to develop a new structure? Do you have a formal retention schedule or must this be developed?**

A Record Retention Schedule was revised by the Board of Directors in 2015. Consulting needed to implement the schedule and any other taxonomy needed in the system.

- 18. What is your preferred method of providing single sign on? (Windows Authentication, Claims-based authentication, LDAP/AD, SAML, etc.)**

Windows Authentication

19. Do you require us to provide the physical database server or simply provide the hardware requirements?

The Air District requires hardware specifications, software with installation and maintenance. The Air District will provide the hardware.

20. Is the vendor storing the hard copies of scanned documents?

No, the hard copies will be stored by the Air District.

SECTION 2 Functional Requirements

21. Section 2.2 Requirement #4: Is it required that federated records management is implemented within the scope of this procurement, or simply that the proposed solution has this capability?

We expect that the proposed solution to have this capability, but will only be considered for a later phase of implementation.

22. What is the number of documents to be stored in the system?

The master classification plan is under development.

We are still developing a system for determination of digitizing records versus retaining a hard copy. The intention is to digitize as much as is economically feasible.

23. Can you estimate the percentage of electronic content that would be managed in the new CRMS repository as opposed to being stored in an external repository?

The volume of existing files is 110 GB. That volume will increase as paper documents are digitalized and more documents are created electronically.

24. Regarding records capture requirement, does BAAQMD intent to implement a fully DoD 5105.2 compliant implementation or are you simply looking for a solution that has been DoD 50105.2 certified?

Only 5015.2 certified.

25. Regarding records capture, can you better explain what is meant by “link to and control electronic records in other repositories”. Are you expecting the CRMS to automatically delete/purge records in external systems (via some sort of APi call or integration to the external system)? Or simply to flag records tracked in the CRMS and stored in the external system for deletion from the external system by an administrator?

The CRMS will likely not automatically delete/purge documents in external systems. It will likely flag documents that are at the retention end date.

26. Please provide more details about the number of different system in which content will be migrated from to the new CRMS and the estimated volume of documents from each system.

All digital files will be migrated from AppXtender and the Shared Drive.

AppXtender currently contains 185 GB of files. Each file has no more than 4 or 5 elements of metadata. Shared Drive contains approximately 75K Files at 110 GB

27. Does BAAQMD intend to migrate all record content to the new CRMS over time?

Yes, it is the goal to migrate all the digitized records stored in AppXtender and the Shared drive over time.

28. Who will do the scanning?

Scanning is not part of the scope of the project.

29. Will scanned documents need to be stored physically?

Generally, documents will be either physically or electronically retained, not both.

30. How fast does the CRMS need to be implemented?

We would like the system to be fully implemented within 8 months of project initiation.

31. Do you already know the document needs of each division?

We have requirements from each division, additional detail will be needed.

32. Please identify the Business Units that will be involved in the solution. This includes any Departments for which Items will be tracked and managed in the system. For an enterprise solution, this can be a total count of the number of departments accessing the system.

There will be 10 Departments (Divisions) using this system.

33. Please identify the types of records that will be tracked and managed by each department in the solution. For an enterprise solution, this can be a total count of the number of record types used by various departments.

The records from 10 Departments will be tracked in the software with approximately 110 different Record Types.

34. Please provide the count of Record Series in your formal retention schedule.

Approximately 11 different Record **Series**.

35. How many total users will only require access to place requests to administrators, search/view records, and/or review records for disposition?

350-400.

36. How many total users will only require access to search/view records, review records for disposition, add new records to the system, and/or edit existing records in the system?

10-20.

37. How many "power" users will require the functionality in the questions above, plus require access to create ad-hoc reports, receive/fulfill records requests, make changes to the retention schedule, etc.?

5-10.

38. How many users will be system administrators who can modify and control user access and security?

5.

39. Please provide a list of repositories that will require migration into the system within the scope of the initial implementation. (AppExtender, File shares, etc.)

AppXtender and File Shares.

40. Please detail additional requirements around migration within the scope of the initial implementation (Deduplication, Automatic Classification, etc.)

Deduplication and classification of the records will be required as part of the migration effort.

41. Please provide a list of repositories that will require records management policies to be applied to documents in-place.

Each Division will have a Records Management Policy classifying each record type, specific contents, metadata and retention dates.

42. Physical Records: Please provide a list of repositories that will require migration into the system. (legacy RM systems, spreadsheets, etc.)

This information is stored in Spreadsheets.

43. Physical Records: Please provide a rough estimate of the total number of records (files, boxes, assets, etc.) in each of these repositories.

There are approximately 800 banker boxes of physical records.

44. Physical Records: Will you require Audit/Circulation History to be migrated into the system?

No.

45. Physical Records: Will you require the system to manage boxes that are in an onsite warehouse? If so, do you require the ability to locate available space for boxes?

The system will be required to track paper files that will be stored in two offsite warehouses. The system will not have to identify available space.

46. Physical Records: Will you require the system to manage boxes that are with a third party commercial records center? If so, automated ordering/integrations? Please list the offsite storage vendors that require integration.

The system will be required to track a small percentage of documents stored at an offsite storage vendor.

SECTION 3 Technical Requirements

47. Section 3.2 Requirement #3: Is it required that integration with SharePoint is completed within the scope of this procurement, or simply that the proposed solution has this capability? If integration with SharePoint is required, please describe the use cases that are required to be implemented.

It is within the scope of this procurement. There are two use cases: 1) the ability for SharePoint to submit records to the CRMS, where submission methods could include manual (e.g. drag and drop to folder) and automatic (e.g. workflow managed). 2) the ability for SharePoint users to view, access, and retrieve records from the CRMS.

48. Section 3.3, Requirement #1 states, "Ability to support remote/distributed capture, index, image, workflow, and storage servers". Please elaborate on what each of these server types mean to the Air District, e.g., "image server".

We're asking whether system can be distributed for multi-site processing and storage, for efficiency, scalability, and disaster recovery. "Capture" and "indexing" refer to ingestion and classification of records. "Image", "workflow", and "storage" servers provide the archiving, records management, process management, and document storage capabilities. Users can always be distributed, but this asks whether the servers or processes themselves can be distributed.

49. Does the Air District have scanning/capture requirements other than the ability to monitor a folder? If so, please provide metrics, including document types, monthly page count, etc.

Solution should be able to accept all typical ingestion channels – batch scan, multi-function device (MFD) scan, mobile device capture, email and attachments, fax, folder monitoring, etc. The solution is not expected to do the scanning itself except – as question indicates – folder monitoring.

50. Given that the Air District is not looking for enterprise content management capabilities such as document management and workflow, what does "workflow" refer to in this context?

Workflow is typically used within records management systems for e.g. review-approval processes of significant record lifecycle actions and events such as disposition.

51. Section 3.3 Requirement #2: Please explain the use of cloud-based storage, given the intent to implement an on-premises installation. Please describe the Air District's cloud-based storage product/provider.

The District currently utilizes Microsoft office 365 for some cloud based storage. Documents that are ready for storage will be migrated by individual users from SharePoint online or Office 365-outlook to the CRMS.

52. Section 3.3 Requirement #3: Please describe the Air District's current solution/infrastructure for business continuity/disaster recovery. Is it required that the business continuity fail-over features are implemented within the scope of this procurement?

The District's current BC/DR solution involves the regular replication of Windows based Virtual Machines to a remote datacenter. As long as the solution operates in a Microsoft windows environment, and it is virtualizable, it is expected that the District's current solution would likely be compatible.

53. Section 3.3 Requirement #4: Please describe any features for automated load distribution currently employed by the Air District for other high-volume applications.

We would expect that any existing load distribution systems would not be affected by this project.

54. Section 3.5 Requirement #4: Please elaborate on the "decentralized administration" requirement.

Requirement is to allow IT administrators to monitor and manage system without having to be onsite using thick client. Integration with central utilities means that IT administrators can use their enterprise IT tools to monitor system health, performance, utilization, etc.

55. What external repository systems (such as AppXtender) would need to be managed from the procured CRMS?

The files from AppXtender and the Shared drives will be permanently transferred to the new system. The external systems that will not be migrated are Microsoft Office, Microsoft Exchange online, Office 365 Outlook, Outlook Web Access and SharePoint Online.

56. Will BAAQMD provide all server hardware, database licenses and network/disk storage for the solution assuming an on premise implementation?

Yes

57. Attachment A section 3.2 Requirement #2 – is it required that integration with Microsoft Exchange, Outlook, and Outlook Web Access is completed within the scope of this procurement, or simply that the proposed solution has this capability? If integration with Exchange is required please describe the current Exchange architecture, also, please describe the use cases that are required to be implemented.

The District currently utilizes Microsoft office 365 for some cloud based storage. Documents that are ready for storage will be migrated by individual users from SharePoint online or Office 365-outlook to the CRMS.

58. Can you please provide Attachment A as either a Word or Excel document?

Word version of Attachment A has been posted on our website.

59. Please provide detail around requirements for setting user access start and end dates.

User access start and end dates must be configurable by administrative users of the system

60. As per the RFP instructions (Section III – B. Submittal of Proposals page 3), vendors are requested to provide a response in accordance with Section V – Proposal Format, Content and submittal. Section 1.e. of Section V requests a response to Attachment A Sections 1, 2, 3, and 4. Requirements in Attachment A are similar to the requirements listed in Section V. Please confirm in order to avoid duplication, a cross reference will suffice to respond to similar questions in the tables provided in Attachment A?

i.e.

Requirement	Response
Do you have a standard approach and process for CRMS implementation services? What are major phases, and what are the key tasks or activities in each Stage?	Response provided in proposal response Section f. Implementation Plan an Program Schedule page X

The intent of Attachment A is to clarify and expand the information in the CRMS Proposal. It is appropriate to cross reference the appropriate section in Attachment A rather than repeat the information.

SECTION 4 Vendor Requirements

61. In regards to "Retain electronic records migrated from other BAAQMD systems (e.g. ApplicationXtender and shared drives)", can you please elaborate regarding the following:

A.) Estimated volume of AX documents

AppXtender currently contains 185 GB of files.

B.) Estimated volume of shared drive documents to be migrated.

Shared Drive contains approximately 75K Files and 110 GB

C.) How is the shared drive content organized?

Content to be migrated under this scope is organized by filename and directory.

62. Section 4.1 - Vendor Stability and Relevant Focus

1.) Provide company financial data for past 3 years

A.) Would BAAQMD be willing to sign a NDA?

The District cannot confirm at this time.

63. Section 4.1 – Vendor Stability and Relevant Focus (page 10 of RFP), due to the sensitive nature of the Financial requirement, please confirm it is acceptable for each firm to submit the Financial data for past 3 years directly to Bay Area Air Quality Management District.
See Section III, Paragraph B.6 of the RFP regarding the disposition of the proposals.

64. The repository for retention of historical records in electronic format is expected to keep history for how many years?

It depends on the Retention Schedule. Many of the documents must be retained forever.

65. Track paper records that have not been digitized. Do we need to maintain a separate repository to track paper records that have not been digitized?

Yes

SECTION 5 Pricing

66. Section 5.2 – Design and Implementation Services and Support

Questions: Implementation Services – Migration of Documents from existing Systems – What systems will documents be migrated from? How many documents will be migrated? Please provide more information on what is expected to be migrated from existing systems and the existing systems.

AppXtender currently contains 185 GB of files. Each file has no more than 4 or 5 elements of metadata. Shared Drive contains approximately 75K Files at 110 GB

67. The cost of software solutions can vary widely depending on budget. Our firm has delivered successful projects across various budget ranges. To help us best meet the goals of your solicitation, can you please approximate a budget range for this project? For example, is the anticipated budget range or maximum budget:

a) Less than \$100,000

b) \$100,000 - \$150,000

c) \$150,000 - \$250,000

d) \$250,000 - \$350,000

e) \$350,000 - \$500,000

f) \$500,000+

A budget range for the software is not available at this time

- 68. What, if any, specific qualifications are you looking for in an implementation partner? For example, we have multiple Microsoft Gold and Silver Competencies, Certified Masters and MVPs, etc.; will the proposal scoring take our credentials into account?**

The scoring mechanism to evaluate each bid, and each vendor is available in the body of the RFP on page 8

- 69. What, if any, special consideration will California Certified Small Businesses receive in this procurement?**

The scoring mechanism to evaluate each bid, and each vendor is available in the body of the RFP on page 8

- 70. On a scale from 1 to 5 where 1 represents a COTS solution (e.g. minimal customization) and 5 represents a custom-built solution (mostly services and development), what is acceptable with respect to the solution you are looking for on this continuum?**

The District is seeking an out of the box solution with the minimum amount of customization required to meet the specifications detailed in the RFP

- 71. Do you anticipate a mix of on-site and remote project delivery? In our experience, we generally find it useful to be onsite during discovery meetings, installations, etc. however we can keep project expenses down by utilizing remote delivery for parts of the project.**

Although it may be ok for some tasks to be executed remotely, we do not believe it would be appropriate for many of the tasks.

- 72. On a scale from 1 to 5 where 1 represents “An on-premises solution housed in your facility, managed and maintained by you” and 5 represents “An entirely cloud-based solution managed by you”, what best represents the desired solution on this continuum?**

The District is seeking an on-premises solution.

- 73. If any contractor or product vendor provided you with a product demonstration, proof of concept, pricing, or any other analysis related to this procurement in the past 12 months: a) Can you please provide the names of all contractors and vendors?**

b) Are these contractors and/or vendors eligible to bid on this project?

The District continually reviews software products and systems for potential implementation.

- 74. If an existing taxonomy (e.g. Document Types and any term sets from an existing ECM/ERM system) will be leveraged in the new solution, can you please provide details/documentation for all Document Types/Classes and Terms?**

Files stored in AppXtender contain 4-5 elements of metadata. A comprehensive list of all Record Types is being collected at this time.

- 75. The RFP states that the solution should be “right-sized for a ~400-person government organization”; to confirm, how many users of the system should we assume for the purposes of providing licensing cost estimates?**

The Air District fluctuates between 350 to 400 employees. All staff will have access to the software with varying degrees of functionality.

76. If you envision a migration of documents and associated metadata from file shares: a) Approximately how many documents need to be migrated?

b) What is the total size in GB/TB of the content to be migrated?

All digital files will be migrated from AppXtender and the Shared Drive. AppXtender currently contains 185 GB of files. Each file has no more than 4 or 5 elements of metadata. Shared Drive contains approximately 75K Files at 110 GB

77. We are a SharePoint-focused consultancy and have successfully combined SharePoint with best of breed third party software products to create comprehensive document, enterprise content and records management solutions. Do you see this as a viable option for your needs?
Yes, we currently use SharePoint for some of our operations.

78. On a scale from 1 to 5 where 1 represents an onsite comprehensive instructor-led training solution with labs and workbooks (i.e. highest cost) and 5 represents basic solution-specific knowledge transfer sessions conducted by technical resources and delivered remotely (i.e. lowest cost), what represents your vision of training for the following audiences?

a) If onsite training is desired, how many students can your training room facilitate?

Audience	Score	# of Students
Administrators	1	5
Power Users	1	5
End Users	2	10-20

79. What is your vision for the longer-term post implementation support in terms of a Service Level Agreement, i.e. turn-around time, number of hours per week, hours of coverage, etc.?
We will require any system upgrades, and customer support after the system is fully implemented.

80. Do you have internal resources to handle Level-1 support (e.g. training questions, hardware/network problems, etc.)?
Yes, we have staff dedicated to the CRMS.

81. Regarding your current use of and experience with SharePoint: a) What version of SharePoint are you currently licensed for (e.g. SharePoint 2016, SharePoint Online G3, etc.)

b) Do you already own the requisite SharePoint licensing for the number of anticipated users of the solution being contemplated in this solicitation?

c) What is the current breath of SharePoint usage in terms of number of:
i) Departments
ii) Users

iii) Site Collections

d) For what workloads are you currently using SharePoint (e.g. collaboration portals, document management, intranet/extranet, ECM or ERM, workflow/process automation, BI, etc.)?

e) What, if any, problems or dissatisfaction have you experienced with SharePoint?

f) Do you already own any SharePoint-related products (e.g. ShareGate, Nintex, etc.) and if so, which ones?

g) On a scale from 1 to 5 where 1 represents “None” and 5 represents “Expert”, can you please indicate what SharePoint skills you currently have in house in terms of:

- i) SharePoint Infrastructure, Administration and Maintenance**
- ii) Information Architecture Design and Implementation**
- iii) Content Owner/Authorship**
- iv) PowerShell and C# Development**

Answers to this question are not available for the current stage of the RFP process