

REQUEST FOR PROPOSAL

**DCFS Document Imaging and Content Management
Services**

For the Department of Children and Family Services

Through

The Office of Technology Services



File Number: X 3000006704 EP

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**State of Louisiana
Office of State Procurement**

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REQUEST FOR PROPOSAL
FOR
DCFS DOCUMENT IMAGING AND CONTENT MANAGEMENT SERVICES

PART I: ADMINISTRATIVE AND GENERAL INFORMATION

1.1 Background

DCFS Programs and Organization

The Louisiana Department of Children and Family Services (DCFS) mission is to keep children safe, help individuals and families become self-sufficient, and provide refuge during disasters.

The Department of Children and Family Services core goals are:

- Promoting and supporting safe and thriving children and families
- Encouraging and supporting individuals moving into self sufficiency
- Improving customer service through staff productivity and satisfaction
- Reducing fraud and abuse
- Modernizing and realigning business operations and program practices

The Executive Division supervises, manages, and supports the Division of Management and Finance, Division of Operations, and Division of Programs within the Department of Children and Family Services. The Executive Division exercises supervision and control over all functions, staff, and services within DCFS and directly supervises Emergency Preparedness, Communications and Governmental Affairs, Bureau of Audit and Compliance Services and the Executive Counsel. DCFS State Office oversees regional offices, district offices, and parish offices. There are three (3) primary programs within DCFS and they include Child Welfare, Child Support Enforcement and Economic Stability. Child Welfare administers all child welfare programs in the State including Centralized Intake, Child Protective Services, Family Services, Foster Care, Adoptions, Home Development, Child Residential Licensing and other supporting programs. Child Support Enforcement offers parent locator and paternity establishment services, as well as assistance to establish and enforce child support orders (financial and medical) and collection and distribution of child support payments. The Economic Stability section of DCFS assists families with needed assistance programs, including Supplemental Nutrition Assistance Program (SNAP - formerly Food Stamps), Kinship Care Subsidy Program (KCSP), and the Family Independence Temporary Assistance Program (FITAP). Economic Stability also manages funds through the Temporary Assistance for Needy Families (TANF) block grant, the Louisiana Combined Application Project (LaCAP), and the Disaster SNAP Program (DSNAP).

DCFS Programs and Systems

ACCESS	A Comprehensive Enterprise Social Services System - ACCESS is a web based application primarily associated with the Child Welfare program to capture and track information regarding the alleged abuse or neglect of children. The system also contains functionality for the screening of needs and determination of potential eligibility for services allowing users to locate services/providers by selecting from a list of pre-defined needs categories and sub-categories. The screening for needs and determination of potential eligibility functionality is not a public facing application anymore. The system contains a centralized Intake functionality as well.
CAFÉ	Common Access Front End - CAFE delivers an enterprise platform with core common components across Economic Stability, Child Welfare, Child Support Enforcement, and Licensing and Provider Directory workforces, as well as external public portals for Customers, Providers and Vendors.
CMIS	Case Management Information System - The CMIS system is a database-driven (SQL), browser-based Case Management Information System developed by local contractor Blue Streak Technologies for the DCFS Fraud and Recovery Unit (FRU). It provides powerful automation of key processes involved in fraud investigations and allows FRU staff to track DCFS fraud cases.
CSE	Child Support Enforcement - Child Support is an obligation of a parent to provide emotional, financial, and medical support for a child or children. DCFS offers parent locator and paternity establishment services, as well as assistance to establish and enforce child support orders and collection and distribution of child support payments.
CW	Child Welfare - The Child Welfare Division works to meet the needs of Louisiana's most vulnerable citizens. The Child Welfare division works to protect children against abuse and/or neglect, find permanent homes for Louisiana's foster children and to educate the public on Safe Sleep and Louisiana's Safe Haven Law.
DSNAP	Disaster Supplemental Nutrition Assistance Program- The Disaster Supplemental Nutrition Assistance Program System is both web based and mainframe. The web based front end allows clients to pre-apply with basic Disaster Food Stamp application information, via a web browser, telephone, DCFS partner/211 locations and agencies, or traditional local DCFS office contact. The system allows workers to verify application data and issue disaster card numbers. Data is transferred real time to the mainframe system, which is a Sub-system of LAMI. This on-line Mainframe system issues benefits and transmits data to the EBT Vendor for processing benefits on the client's disaster card.
ES	Economic Stability- The Economic Stability section of DCFS assists families with needed assistance programs, including Supplemental Nutrition Assistance Program (SNAP - formerly Food Stamps), Kinship Care Subsidy Program (KCSP), and the Family Independence Temporary Assistance Program (FITAP).

FATS	Family Assessment Tracking System - Used in the Family Services, Adoptions and Foster Care programs to document case activities, develop family assessments and case plans.
FITAP	Family Independence Temporary Assistance Program - Provides temporary cash assistance to families in need.
ICPC	Interstate Compact on the Placement of Children - ICPC provides Adoption placement Services. The Adoption Program seeks adoptive home placement of children who are in the custody of the Department of Children and Family Services' and are legally free for adoption. Services include assessing families who apply to adopt, matching available children with available potential adoptive parents, preparing children for placement, and providing services to the adoptive children and families before, during and after placement is made. ICPC gets requests from all over the world. After getting requests, the ICPC staff enters the information into a web based system.
KCSP	Kinship Care Subsidy Program - Provides cash assistance for eligible children who reside with qualified relatives other than parents.
LAMI	Louisiana Automated Management Information System - An eligibility determination and benefit-calculation system encompassing human services programs. This system provides a full range of human services applications as mandated by State and federal legislation, and combines, under a single data base management system.
LASES	Louisiana Automated Support Enforcement System (LASES) LASES is a system designed to implement the Title IV-D program for the State of Louisiana. Its function is to collect and maintain data on all child support cases and perform automated functions pertaining to locating non-custodial parents; establishing paternity and child/medical support orders; and, enforcing, collecting and distributing support payments.
NYTD	National Youth in Transition Database- NYTD is a web based system to collect information on each youth who receives independent living services paid for or provided by DCFS. The system also collects demographic and outcome information on certain youth in foster care. Information is collected in on-line surveys and the data is provided to the federal government after each reporting period.
QATS	Quality Assurance Tracking System - QATS contains case and member information for Child Welfare quality assurance reviews.
RAS	Recovery Accounts System - This computerized system maintains loss histories for bad debts owed to the State for ten (10) welfare programs. The primary purpose of the system is to process monies collected from clients to repay over issuances they received from any of the welfare programs maintained by the RA system. Some of these programs are: Food Stamps, AFDC/FITAP, Support Enforcement, Medical Vendor Payments, and Disaster Relief.

SNAP	Supplemental Nutrition Assistance Program - Provides monthly benefits that help low income households buy food needed for good health.
STEP	Strategies to Empower People - Assists FITAP recipients with educational, training, and work related activities designed to lead to employment and self-sufficiency.
TANF	Temporary Assistance to Needy Families - Provides temporary financial assistance for pregnant women and families with one or more dependent children. TANF provides financial assistance to help pay for food, shelter, utilities, and expenses other than medical.
TIPS	Tracking, Information and Payment System - An electronic, statewide interagency information management and payment system which is capable of tracking client information and generating payments for child welfare clients. The TIPS system also serves as the Louisiana Adoption Resource Exchange (LARE).

DCFS currently has a document imaging and content management solution that utilizes Psi-Fusion and Psi Capture in the capture solution and On-Base software programs as the hosted repository. The contract for this solution ends in November of 2016 but DCFS is pursuing the option of an emergency contract. Because the Enterprise Architecture solution has not yet been implemented and because DCFS needs to have a solution operational as soon as possible to prevent loss of productivity within the agency, a separate document imaging and document processing center solution is necessary. However, Proposers are encouraged to provide a solution that can easily be integrated with the long-term Enterprise Architecture (EA) Solution (description provided below).

Office of Technology Services

The Office of Technology Services (OTS) was established July 1, 2014 as a means of recognizing cost savings through the consolidation of State IT assets and resources. OTS is seeking to procure a Document Imaging and Content Management (DICM) solution on behalf of the Department of Children and Family Services to support their in-progress efforts to modernize and standardize their current document imaging and content management solution and document processing center (DPC).

OTS leads the technology procurement process in order to standardize technology over the entire organization, seek efficiencies of operations, maintenance, and scalability of new products introduced to the OTS suite of services which can eventually be offered to all in-scope agencies.

The creation of OTS consolidates a wide variety of existing hardware platforms, operating systems, database management systems, networks, third party software, and custom applications. These legacy environments currently reside in multiple physical locations, and have been developed over many years under the direction of the user agencies. OTS plans to apply the Information Technology Infrastructure Library/Control Objectives for Information Technology (ITIL/COBIT) process model to the task of organizing and consolidating the many separate environments; and of identifying and implementing process improvements designed to move the State to more efficient, streamlined, and cost-effective IT operations.

Additionally, the Office of Technology Services has secured the professional services of Deloitte Consulting, LLP in the establishment of a unified, standards-based Enterprise Architecture (EA). The EA was procured on behalf of the Louisiana Department of Health (LDH) (formerly known as the Department of Health and Hospitals or DHH) but is envisioned to become the foundation for the statewide Enterprise Architecture. The Enterprise Architecture will be composed of seven (7) core components: Enterprise Service Bus (ESB), Master Data Management (MDM), Data Warehousing (DWH), Identity and Access Management (IAM), Electronic Document Management System (EDMS), Consumer Communications (CC), and Business Rules Engine (BRE). The long-term vision for the Enterprise Architecture is for a technical infrastructure that will allow for the efficient integration of systems and data sharing.

The Enterprise Architecture does not contain a document imaging component. There are multiple existing document imaging, record management solutions throughout the sixteen (16) in-scope agencies. The long-term vision for OTS is for a solution that will allow for the efficient integration of existing document imaging systems into a single Electronic Data Management System (EDMS) repository established as part of the overall Enterprise Architecture (EA).

Proposers are required to submit a single proposal. Each proposal will be evaluated on merit, references, and documented quality of resources supporting the proposed services and cost.

The Proposer should address how they will execute all activities and provide all resources necessary to implement (setup, configuration, testing) and operate the Document Capture solution, manage and/or host the repository, and operate the Document Processing Center (DPC).

The DICM solution will operate in combination, but not be dependent on other concurrent projects. Because other contractors will be engaged concurrently, this project will include significant coordination of activities.

1.1.1 Purpose

The purpose of this Request for Proposal (RFP) is to obtain competitive proposals, as allowed by Louisiana Revised Statute 39:1595 (formerly 39:1593.C—amended by Act 864 of the 2014 Regular Session), from bona fide, qualified proposers who are interested in providing Document Imaging and Content Management Services.

There are eight (8) areas that must be addressed with the DICM solution:

1. Capture - centralized and distributed means of capturing records, cases, etc. and associated documentation, including video, photographic and audio records.
2. Quality – expectations are to meet or exceed the quality of the originals.
3. Ease of Retrieval – ability to quickly and efficiently view or obtain records for processing.
4. Ability to ensure that records can be associated with a classification scheme, and can be associated with one (1) or more electronic files.
5. Ability to tie information to workflows – based upon the Agency's requirements.
6. Security of information – to meet or exceed the published OTS Information Security Policy. See <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>
7. Records retention – ability to tie and execute automated record retention requirements to individuals, programs, and programmatic incidents with varied timeframes, ability to override timeframes where necessary to extend in case of a monitored event (example –

investigations of fraud). This implementation shall be in accordance with authorized and approved record retention schedules. See **Attachment 6 Retention Processing Requirements**.

8. **Scalability** – ability to scale to encompass the needs of multiple programs without losing functionality, including speed of retrieval.

1.1.2 Goals and Objectives

The following Goals and Objectives that have been identified for this project Contractor are:

- Implement an outsourced Document Processing Center capable of handling all DCFS incoming mail and fax and performing document conversion of paper documents to digital images.
- Use the current PSIGEN software (Capture and Fusion) to facilitate the scanning and indexing of documents processed at the Document Processing Center. Additional information is included in **Attachment 3 Existing DCFS Document Imaging and Content Management System**, as to the software versions to be used with this solution;
- Integrate with the current OnBase centralized repository until such time that the DICM can be integrated with the Electronic Document Management Solution repository being established as a part of the Enterprise Architecture. Additional information is included in **Attachment 3 Existing DCFS Document Imaging and Content Management System** as to what requirements must be met to integrate with this solution;
- Implement a commercial off-the-shelf (COTS) document imaging and content management solution that minimizes the need for any customizations (i.e., changes to source code) made to the base software and runs on up-to-date technology that can seamlessly interface and integrate with other existing and future State systems (See **Attachment 4 Enterprise Architecture Components**);
- Establish a system whereby components can be easily integrated through the Enterprise Architecture (when it becomes available)
- Provide for maximization of one-time capture of documents (e.g. birth certificate, social security card, etc.) with prescribed expiration periods and confidentiality criteria;
- Implement a Lean or Six Sigma analysis process to develop a solution that would transform inefficient and antiquated business practices into more efficient processes that would allow the workforce to improve customer service;
- Implement a solution that seamlessly interfaces and integrates with other business applications providing automated workflow throughout the organization(s) that allows the documents contained within the solution to be linked to and part of the system of record.
- Provide for security, auditing, disaster recovery and business continuity functionality to meet the requirements of the Office of Technology Information Security Policy which is located at <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>
- Implement a solution that improves customer service and provides options for external customers to submit documentation (e.g. email, fax or via online portals) and other internal capabilities such as workforce virtualization.
- Maintain current integration functionality with CAFÉ.

1.2 Definitions

Acronym	Definition
AES	Advanced Encryption Standard – Specification for the encryption of electronic data established by the US National Institute of Standards and Technology (NIST) in 2001.
Agency	Any department, commission, council, board, office, bureau, committee, institution, agency, government, corporation, or other establishment of the executive branch of this State authorized to participate in any contract resulting from this solicitation
API	An interface implemented by a software program that enables it to interact with other software. It facilitates interaction between different software programs similar to the way the user interface facilitates interaction between humans and computers.
Batch	A batch shall be considered a unit of work. A batch will include multiple document files.
BCR	Bar Code Recognition
BRE	Business Rules Engine — An externalized repository of business logic, often written in natural syntax, which can be pointed to by numerous software programs operating in the same common environment for programmatic decisions. Allows program logic to be updated by business users without the need for editing and troubleshooting software code.
CC	Consumer Communications — A convergent set of Information Technology solutions that together provide organizations with the ability to communicate with their customers.
CMMI	Capability Maturity Model Integration
Contractor	Any person having a contract with a governmental body. For sections of this RFP outlining required actions of a Contractor, the Contractor should be understood to refer to the successful Proposer responding to this RFP.
COOP	Continuity of Operations Planning
COTS	Commercial Off-the-Shelf — An item that is commercially available, leased, licensed, or sold to the general public and which requires no special modification or maintenance over its life cycle.
DCFS	Department of Children and Family Services
Deliverable	Those work products or artifacts produced for the State by the Contractor and identified as a Deliverables in the Statement of Work.
Department	One of the divisions within the Department of Children and Family Services.
DICM	Document Imaging and Content Management
Discussions	For the purposes of this RFP, a formal, structured means of conducting written or oral communications/presentations with responsible Proposers who submit proposals in response to this RFP.
DOA	Division of Administration
DPC	Document Processing Center
DPI	Dots per Inch
DWH	Data Warehousing — A system used for reporting and data analysis that integrates data from one (1) or more disparate sources into a central repository of data.
EA	Enterprise Architecture — The organizing logic for business processes and IT infrastructure reflecting the integration and standardization requirements of the company's operating model. The operating model is the desired state of

	business process integration and business process standardization for delivering goods and services to customers
EDMS	Electronic Document Management System – A software program that manages the creation, storage, and control of documents electronically within an organization workflow.
Enterprise Information Integration	A process of information integration, using data abstraction to provide a single interface (known as uniform data access) for viewing all the data within an organization, and a single set of structures and naming conventions.
EDR	Electronic Data Repository
ESB	Enterprise Service Bus — A “software architecture” model used for designing and implementing communication between mutually interacting software applications in a service-oriented architecture (SOA).
Federal Approving Agencies	Centers for Medicare and Medicaid Services, Administration for Children and Families (Children’s Bureau, Office of Child Support Enforcement) and the Food and Nutrition Service.
FERPA	Family Educational Rights & Privacy Act — Enacted by Congress to protect the privacy of students and their parents. Designed to ensure that students and parents of students may obtain access to the student’s educational records and challenge the content or release of such records to third parties.
FISMA	Federal Information Security Management Act — United States legislation that defines a comprehensive framework to protect government information, operations and assets against natural or man-made threats. Emphasizes risk-based policy for cost-effective security.
HIPAA	Health Insurance Portability & Accountability Act — Provides the regulations for use/disclosure of an individual’s health information. Defines how covered entities use Personal Health Information (PHI).
HITECH	Health Information Technology for Economic & Clinical Health Act — Intended to be used to increase the use of Electronic Health Records (EHR).
HSM	Hierarchical Storage Management – A data storage technique which automatically moves data between high-cost and low-cost storage media.
IAM	Identity and Access Management — The management of individual principals, their authentication, authorization, and privileges within or across system and enterprise boundaries with the goal of increasing security and productivity while decreasing cost and downtime.
ICR	Intelligence Character Recognition – Advanced optical character recognition or handwriting recognition system that allows fonts and different styles of handwriting to be learned by a computer during processing to improve accuracy and recognition levels.
Integrate	The term “integrate” is used to describe a process where related systems share information with each other immediately in “real-time”.
Interface	The term “interface” is used to define a process where data from one system is extracted and loaded into another system through an offline process.
In Scope Agencies	All departments and agencies subject to Louisiana Revised Statute 39:15.1.
LaPAC	The State’s online electronic bid posting and notification system located on the Office of State Procurement website https://wwwcfprd.doa.louisiana.gov/osp/lapac/pubMain.cfm
May	The term “may” denotes an advisory or permissible action.

MDM	Master Data Management — A comprehensive method of enabling an enterprise to link all of its critical data to one (1) file, called a master file, that provides a common point of reference.
MFP	Multi-Function Products
Must	The term "must" denotes mandatory requirements.
NAS	Network Attached Storage
NIST	National Institute of Standards and Technology
Occurrence	All loss caused by, or involving, one (1) or more "employees," whether the result of a single act or series of acts.
OCR	Optical Character Recognition
OTS	Office of Technology Services
OOTB	Out of the Box – Works immediately after installation without any configuration or modification.
OSP	Office of State Procurement
Proposer	A firm, venture or individual who responds to this RFP. The successful Proposer responsive to this RFP is also described as the Contractor in this document.
QATS	Quality Assurance Tracking System - QATS contains case and member information for Child Welfare quality assurance reviews.
ROI	Return on Investment
RPO	Recovery Point Objective
RFP	Request for Proposal
RSD	Requirements Specifications Document
RTO	Recovery Time Objective
SAN	Storage Area Network
Shall	The term "shall" denotes mandatory requirements per La. R.S: 39:1556(52).
SOA	Service Oriented Architecture
Should	The term "should" denotes a desirable action.
State	The State of Louisiana
TCI	Total Content Integrator
UAT	User Acceptance Test — Process used to validate system changes prior to implementation.
VPN	Virtual Private Network
Will	The term "will" denotes mandatory requirements.

1.3 Schedule of Events

	<u>Date</u>	<u>Time (CT)</u>
1. RFP posted to LaPac; and Blackout Period begins.	November 9, 2016	
2. Non Mandatory Pre-Proposal Conference See RFP Section 1.7.1 for details	December 1, 2016	10:00 A.M.
3. Deadline to receive written inquiries	December 21, 2016	
4. Deadline to answer written inquiries	January 20, 2017	
5. Proposal Opening Date (Proposal Submission Deadline)	February 9, 2017	10:00 A.M.

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|---|-----------------|
| 6. Oral discussions with Proposers, if applicable | To Be Scheduled |
| 7. Notice of Intent to Award to be mailed | To Be Scheduled |
| 8. Contract Initiation | To Be Scheduled |

NOTE: The State of Louisiana reserves the right to revise this schedule. Revisions before the Proposal Submission Deadline, if any, will be formalized by the issuance of an addendum to the RFP. Revisions after the Proposal Submission Deadline, if any, will be by written notification to the eligible Proposers.

1.4 Proposal Submittal

This RFP is available in electronic form at the LaPAC website <https://wwwcfprd.doa.louisiana.gov/osp/lapac/pubMain.cfm>. It is available in PDF format or in printed form by submitting a written request to the RFP Contracting Officer with the Office of State Procurement. Contact information for the RFP Contracting Officer is provided in Section 1.7.2 of this RFP.

It is the Proposer's responsibility to check the Office of State Procurement LaPAC website frequently for any possible addenda that may be issued. The Office of State Procurement is not responsible for a Proposer's failure to download any addenda documents required to complete a Request for Proposal.

All proposals shall be received in hard copy (printed) form by the Office of State Procurement **no later than the date and time shown in the Schedule of Events**. Fax or email submissions are not acceptable.

Important - - Clearly mark outside of envelope, box or package with the following information and format:

- X **Proposal Name: Document Imaging and Content Management Services for The Dept. Of Children and Family Services**
- X **File Number: X3000006704EP, Solicitation Number: 3000006704**
- X **Proposal Opening Date and Time: February 9, 2017 at 10:00 A.M. CT**

Proposers are hereby advised that the U. S. Postal Service does not make deliveries to our physical location.

Proposals may be mailed through the U. S. Postal Service to our box at:

Office of State Procurement
P. O. Box 94095
Baton Rouge, LA 70804-9095

If delivering by U.S. Postal Service to the P.O. Box listed above, please allow sufficient time for the mail to then be transmitted to the Office of State Procurement. The Office of State Procurement must receive the proposal by the date and time specified in Section 1.3 Schedule of Events.

Proposals may be delivered by hand or courier service to our physical location at:

Office of State Procurement
1201 North 3rd St.
Suite 2-160
Baton Rouge, LA 70802

Proposer is solely responsible for ensuring that its courier service provider makes inside deliveries to our physical location. The Office of State Procurement is not responsible for any delays caused by the Proposer's chosen means of proposal delivery.

Proposers should be aware of security requirements for the Claiborne building and allow time to be photographed and presented with a temporary identification badge.

Proposer is solely responsible for the timely delivery of its proposal. Failure to meet the proposal opening date and time shall result in rejection of the proposal.

PROPOSALS SHALL BE OPENED PUBLICLY AT THE PHYSICAL LOCATION IDENTIFIED ABOVE AND ONLY THE NAME OF THE PROPOSERS SUBMITTING PROPOSALS SHALL BE IDENTIFIED ALOUD. NO OTHER INFORMATION CONTAINED IN THE PROPOSAL SHALL BE RELEASED OR DISCLOSED.

1.5 Proposal Response Format

Proposals submitted for consideration should follow the format and order of presentation described below:

- A. **Cover Letter:** The cover letter should exhibit The Proposer's understanding and approach to the project. It should contain a summary of Proposer's ability to perform the services described in the RFP and confirm that Proposer is willing to perform those services and enter into a contract with the State.

ATTENTION: Please indicate in the Cover Letter which of the following applies to the signer of the proposal. Evidence of signature authority shall be provided upon the State's request.

1. The signer of the proposal is either a corporate officer who is listed on the most current annual report on file with the Secretary of State or a member of a partnership or partnership in commendam as reflected in the most current partnership records on file with the Secretary of State. **A copy of the annual report or partnership record must be submitted to the Office of State Procurement before contract award.**
2. The signer of the proposal is a representative of the Proposer authorized to submit the proposal as evidenced by documents such as, corporate resolution, certification as to corporate principal, etc. **If this applies a copy of the resolution, certification or other supportive documents should be attached to the Cover Letter.**

3. The Proposer has filed with the Secretary of State an affidavit or resolution or other acknowledged/authentic document indicating that the signer is authorized to submit proposals for public contracts. **A copy of the applicable document must be submitted to the Office of State Procurement before contract award.**
4. The signer of the proposal has been designated by the Proposer as authorized to submit proposals on the Proposer's vendor registration on file with the Office of State Procurement.

The cover letter should also

- Identify the submitting Proposer and provide their federal tax identification number;
 - Identify the name, title, address, telephone number, fax number, and email address of each person authorized by the Proposer to contractually obligate the Proposer;
 - Identify the name, address, telephone number, fax number, and email address of the contact person for technical and contractual clarifications throughout the evaluation period.
- B. **Table of Contents:** Organized in the order cited in the format contained herein.
 - C. **Proposer Qualifications and Experience:** History and background of Proposer, financial strength and stability, related services provided to government entities, existing customer satisfaction, volume of merchants, etc.
 - D. **Proposed Solution/Technical Response:** The proposed solution and technical response should demonstrate a clear understanding of the current DCFS DICM system and plans for maintaining it and integrating or converting it into the new EA as it becomes available. These responses should be organized into Phase I and Phase II within the proposal. The response should illustrate and describe the proposed technical solution and compliance with the RFP requirements.
 - E. **Innovative Concepts:** Presentation of innovative concepts, if any, for consideration.
 - F. **Project Schedule:** Detailed schedule of implementation plan for pilot (if applicable) and full statewide or agency implementation. This schedule is to include implementation actions, timelines, responsible parties, etc.
 - G. **Financial Proposal:** Proposer's fees and other costs, if any, shall be submitted in accordance with **Attachment 8, Cost Worksheet**. Prices proposed shall be firm for the duration of the contract. This financial proposal shall include any and all costs the Contractor wishes to have considered in the contractual arrangement with the State.

1.5.1 Number of Response Copies

Each Proposer shall submit one (1) signed original response. Six (6) additional copies of the proposal should be provided, as well as one (1) redacted copy, if applicable (See Section 1.6) and two (2) "searchable" electronic copies on CDs or USB flash drives.

1.5.2 Legibility/Clarity

Responses to the requirements of this RFP in the formats requested are desirable with all questions answered in as much detail as practicable. The Proposer's response is to demonstrate an understanding of the requirements. Proposals prepared simply and economically, providing a straightforward, concise description of the Proposer's ability to meet the requirements of the RFP is also desired. Each Proposer is solely responsible for the accuracy and completeness of its proposal.

1.6 Confidential Information, Trade Secrets, and Proprietary Information

The designation of certain information as trade secrets and/or privileged or confidential proprietary information shall only apply to the technical portion of the proposal. **The cost proposal will not be considered confidential under any circumstance.** Any proposal copyrighted or marked as confidential or proprietary in its entirety may be rejected without further consideration or recourse.

For the purposes of this procurement, the provisions of the Louisiana Public Records Act (La. R.S. 44.1 et. seq.) shall be in effect. Pursuant to this Act, all proceedings, records, contracts, and other public documents relating to this procurement shall be open to public inspection. Proposers are reminded that while trade secrets and other proprietary information they submit in conjunction with this procurement may not be subject to public disclosure, protections must be claimed by the Proposer at the time of submission of its Technical Proposal. Proposers should refer to the Louisiana Public Records Act for further clarification.

The Proposer shall clearly designate the part of the proposal that contains a trade secret and/or privileged or confidential proprietary information as "confidential" in order to claim protection, if any, from disclosure. The Proposer shall mark the cover sheet of the proposal with the following legend, specifying the specific section(s) of the proposal sought to be restricted in accordance with the conditions of the legend:

"The data contained in pages _____ of the proposal have been submitted in confidence and contain trade secrets and/or privileged or confidential information and such data shall only be disclosed for evaluation purposes, provided that if a contract is awarded to this Proposer as a result of or in connection with the submission of this proposal, the State of Louisiana shall have the right to use or disclose the data therein to the extent provided in the contract. This restriction does not limit the State of Louisiana's right to use or disclose data obtained from any source, including the Proposer, without restrictions."

Further, to protect such data, each page containing such data shall be specifically identified and marked "CONFIDENTIAL".

If the Proposer's response contains confidential information, the Proposer should also submit a redacted copy of their proposal along with their original proposal. When submitting the redacted copy, the Proposer should clearly mark the cover as such - "REDACTED COPY" - to avoid having this copy reviewed by an evaluation committee member. The redacted copy should also state

which sections or information has been removed. The proposer should also submit one (1) electronic redacted copy of its proposal on a flash drive or CD. The redacted copy of the proposal will be the copy produced by the State if a competing proposer or other person seeks review or copies of the Proposer's confidential data.

If the Proposer does not submit the redacted copy, it will be assumed that any claim to keep information confidential is waived.

Proposers must be prepared to defend the reasons why the material should be held confidential. By submitting a proposal with data, information, or material designated as containing trade secrets and/or privileged or confidential proprietary information, or otherwise designated as "confidential", the Proposer agrees to indemnify and defend (including attorney's fees) the State and hold the State harmless against all actions or court proceedings that may ensue which seek to order the State to disclose the information.

The State reserves the right to make any proposal, including proprietary information contained therein, available to OSP personnel, the Office of the Governor, or other State Agencies or organizations for the sole purpose of assisting the State in its evaluation of the proposal. The State shall require said individuals to protect the confidentiality of any specifically identified proprietary information or privileged business information obtained as a result of their participation in these evaluations.

Additionally, any proposal that fails to follow this section and/or La. R.S. 44:3.2.(D)(1) shall have failed to properly assert the designation of trade secrets and/or privileged or confidential proprietary information and the information may be considered public records.

1.7 Proposal Clarifications Prior to Submittal

1.7.1 Non-Mandatory Pre-Proposal Conference

A **non-mandatory**, pre-proposal conference will be held on Thursday, December 1, 2016 at 10:00 A.M. CT to 12:00 P.M. CT at the following location:

Claiborne Building
1201 North Third Street, Suite 1-141, Colorado Room
Baton Rouge, LA 70802

Prospective Proposers may participate in the conference to obtain clarification of the requirements of the RFP and to receive answers to relevant questions. Any firm intending to submit a proposal should have at least one (1) duly authorized representative attend the Pre-proposal Conference.

Although impromptu questions will be permitted and spontaneous answers will be provided during the conference, the only official answer or position of the State will be stated in writing in response to written questions.

1.7.2 Proposer Inquiry Periods

The State shall not and cannot permit an open-ended inquiry period, as this creates an unwarranted delay in the procurement cycle and operations of our agency customers. The State reasonably expects and requires *responsible and interested* Proposers to conduct their in-depth proposal review and submit inquiries in a timely manner.

An inquiry period is hereby firmly set for all interested Proposers to perform a detailed review of the proposal documents and to submit any written inquiries relative thereto. *Without exception*, all inquiries **MUST** be submitted in writing by an authorized representative of the Proposer, clearly cross-referenced to the relevant solicitation section (even if an answer has already been given to an oral question during the Pre-proposal conference). All inquiries must be received by the Inquiry Deadline date set forth in Section 1.3 Schedule of Events of this RFP. Only those inquiries received by the established deadline shall be considered by the State. Inquiries received after the established deadline shall not be entertained.

Inquiries concerning this solicitation should be delivered to the State's contact person for this solicitation, Janelle Brown, by mail, express courier, e-mail, hand, or fax:

Office of State Procurement
Attention: Janelle Brown
P. O. Box 94095
Baton Rouge, LA 70804-9095

1201 North Third St.
Claiborne Bldg., Suite 2-160
Baton Rouge, LA 70802

E-Mail: Janelle.Brown@la.gov Phone: (225) 219-7839/ Fax: (225) 342-9756

Only the person identified above or their designee has the authority to officially respond to Proposer's questions on behalf of the State, including during the Blackout Period. Any communications from any other individuals are not binding to the State.

An addendum will be issued and posted at the Office of State Procurement LaPAC website, to address all inquiries received and any other changes or clarifications to the solicitation. Thereafter, all proposal documents, including but not limited to the specifications, terms, conditions, plans, etc., will stand as written and/or amended by any addendum. No negotiations, decisions, or actions shall be executed by any Proposer as a result of any oral discussions with any State employee or State consultant. It is the Proposer's responsibility to check the LaPAC website frequently for any possible addenda that may be issued. The Office of State Procurement is not responsible for a Proposer's failure to download any addenda documents required to complete a Request for Proposal.

Any person aggrieved in connection with the solicitation or the specifications contained therein, has the right to protest in accordance with La. R.S. 39:1671. Such protest shall be made in writing to the Director of State Procurement at least two (2) days prior to the deadline for submitting proposals.

Note: LaPAC is the State's online electronic bid posting and notification system resident on the Office of State Procurement website [<http://www.doa.la.gov/Pages/osp/Index.aspx>]. In that LaPAC provides an immediate e-mail notification to subscribing Bidders/Proposers that a solicitation and any subsequent addenda have been let and posted, notice and receipt thereof is considered formally given as of their respective dates of posting.

To receive the e-mail notification, Vendors/Proposers must register in the LaGov portal. Registration is intuitive at the following link:
https://lagoverpvendor.doa.louisiana.gov/irj/portal/anonymous?quest_user=self_reg

Help scripts are available on OSP website under vendor center at:
<http://www.doa.la.gov/Pages/osp/vendorcenter/regnhelp/index.aspx>

1.7.3 Blackout Period

The Blackout Period is a specified period of time during a competitive sealed procurement process in which any Proposer, Bidder, or its Agent or Representative, is prohibited from communicating with any State employee or Contractor of the State involved in any step in the procurement process about the affected procurement. The Blackout Period applies not only to State employees, but also to any Contractor of the State. "Involvement" in the procurement process includes but may not be limited to project management, design, development, implementation, procurement management, development of specifications, and evaluation of proposals for a particular procurement. All solicitations for competitive sealed procurements will identify a designated contact person, as per Section 1.7.2 of this RFP. All communications to and from potential Proposers, Bidders, Vendors and/or their representatives during the Blackout Period must be in accordance with this solicitation's defined method of communication with the designated contact person. The Blackout Period will begin upon posting of the solicitation. The Blackout Period will end when the contract is awarded.

In those instances in which a prospective Proposer is also an incumbent Contractor, the State and the incumbent Contractor may contact each other with respect to the existing contract only. Under no circumstances may the State and the incumbent Contractor and/or its representative(s) discuss the blacked-out procurement.

Any Bidder, Proposer, or State Contractor who violates the Blackout Period may be liable to the State in damages and/or subject to any other remedy allowed by law. Further, failure to comply with these requirements may result in the Proposal's disqualification.

Any costs associated with cancellation or termination will be the responsibility of the Proposer or Bidder.

Notwithstanding the foregoing, the Blackout Period shall not apply to:

1. A protest to a solicitation submitted pursuant to La. R.S. 39:1671;
2. Duly noticed site visits and/or conferences for Bidders or Proposers;
3. Oral presentations during the evaluation process; or
4. Communications regarding a particular solicitation between any person and staff of the procuring agency provided the communication is limited strictly to matters of procedure. Procedural matters include deadlines for decisions or submission of proposals and the proper means of communicating regarding the procurement, but shall not include any substantive matter related to the particular procurement or requirements of the RFP

1.8 Errors and Omissions in Proposal

The State will not be liable for any errors or omissions in the proposal. Proposer will not be allowed to alter proposal documents after the deadline for proposal submission, except under the following condition: The State reserves the right to make corrections or clarifications due to patent errors identified in proposals by the State or the Proposer. The State, at its option, has the right to request clarification or additional information from the Proposer.

1.9 Proposal Guarantee

NOT REQUIRED FOR THIS RFP.

1.10 Performance Bond

NOT REQUIRED FOR THIS RFP.

1.11 Changes, Addenda, Withdrawals

The State reserves the right to change the Schedule of Events or issue Addenda to the RFP at any time. The State also reserves the right to cancel or reissue the RFP.

If the Proposer needs to submit changes or addenda, such shall be submitted in writing, signed by an authorized representative of the Proposer, cross-referenced clearly to the relevant proposal section, prior to the proposal opening, and should be submitted in a sealed envelope. Such shall meet all requirements for the proposal.

1.12 Withdrawal of Proposal

A Proposer may withdraw a proposal that has been submitted at any time up to the proposal closing date and time. To accomplish this, a written request signed by the authorized representative of the Proposer must be submitted to the Office of State Procurement.

1.13 Material in the RFP

Proposals shall be based only on the material contained in this RFP. The RFP includes official responses to questions, addenda, and other material, which may be provided by the State pursuant to the RFP.

1.14 Waiver of Administrative Informalities

The State reserves the right, at its sole discretion, to waive administrative informalities contained in any proposal.

1.15 Proposal Rejection

Issuance of this RFP in no way constitutes a commitment by the State to award a contract. The State reserves the right to accept or reject any or all proposals submitted or to cancel this RFP if it is in the best interest of the State to do so. Further, the State reserves the right to cancel or decline to enter into a contract with the successful Proposer at any time after the award is made

and before the contract receives final approval from the Division of Administration, Office of State Procurement.

In accordance with the provisions of La. R.S. 39:2192, in awarding contracts after August 15, 2010, any public entity is authorized to reject a proposal or bid from, or not award the contract to, a business in which any individual with an ownership interest of five percent or more, has been convicted of, or has entered a plea of guilty or nolo contendere to any State felony or equivalent federal felony crime committed in the solicitation or execution of a contract or bid awarded under the laws governing public contracts under the provisions of Chapter 10 of Title 38 of the Louisiana Revised Statutes of 1950, or the Louisiana Procurement Code under the provisions of Chapter 17 of Title 39.

In accordance with Louisiana law, all corporations (see, La. R.S. 12:163) and limited liability companies (see, La. R.S. 12:1308.2) must be registered and in good standing with the Louisiana Secretary of State in order to hold a purchase order and/or a contract with the State.

1.16 Ownership of Proposal

All materials submitted in response to this request become the property of the State. Selection or rejection of a response does not affect this right. All proposals submitted will be retained by the State and not returned to Proposers. Any copyrighted materials in the response are not transferred to the State.

1.17 Cost of Offer Preparation

The State is not liable for any costs incurred by prospective Proposers or Contractors prior to issuance of or entering into a Contract. Costs associated with developing the proposal, preparing for oral presentations, and any other expenses incurred by the Proposer in responding to the RFP are entirely the responsibility of the Proposer, and shall not be reimbursed in any manner by the State of Louisiana.

1.18 Non-negotiable Contract Terms

Non-negotiable contract terms include but are not limited to taxes, assignment of contract, audit of records, EEOC and ADA compliance, record retention, content of contract/order of precedence, contract changes, governing law, claims or controversies, and termination based on contingency of appropriation of funds.

1.19 Taxes

Any taxes, other than State and local sales and use taxes, from which the State is exempt, shall be assumed to be included within the Proposer's cost.

1.20 Proposal Validity

All proposals shall be considered valid for acceptance until such time an award is made, unless the Proposer provides for a different time period within its proposal response. However, the State reserves the right to reject a proposal if the Proposer's acceptance period is unacceptable and the Proposer is unwilling to extend the validity of its proposal.

1.21 Prime Contractor Responsibilities

The selected Proposer shall be required to assume responsibility for all items and services offered in their proposal whether or not they produce or provide them. The State shall consider the selected Proposer to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract.

1.22 Use of Subcontractors

Each Contractor shall serve as the single prime Contractor for all work performed pursuant to its contract. That prime Contractor shall be responsible for all deliverables referenced in this RFP. This general requirement notwithstanding, Proposers may enter into subcontractor arrangements. Proposers may submit a proposal in response to this RFP, which identifies subcontract(s) with others, provided that the prime Contractor acknowledges total responsibility for the entire contract.

If it becomes necessary for the prime Contractor to use subcontractors, the State urges the prime Contractor to use Louisiana vendors, including small and emerging businesses, a small entrepreneurship or a veteran or service-connected disabled veteran-owned small entrepreneurship, if practical. In all events, any subcontractor used by the prime should be identified to the State Project Manager.

Information required of the prime Contractor under the terms of this RFP, is also required for each subcontractor and the subcontractors must agree to be bound by the terms of the contract. The prime Contractor shall assume total responsibility for compliance.

1.23 Written or Oral Discussions/Presentations

The State, at its sole discretion, may require all Proposers who submit proposals determined to be reasonably susceptible of being selected for the award to provide an oral presentation of how they propose to meet the agency's objectives; however, the State reserves the right to enter into an Agreement without further discussion of the proposal submitted based on the initial offers received.

Any commitments or representations made by the Proposer during these discussions, if conducted, may become formally recorded in the final contract.

Written or oral discussions/presentations for clarification may be conducted to enhance the State's understanding of any or all of the proposals submitted. Proposals may be accepted without such discussions.

The State Evaluation Committee may adjust the original scores based upon information received in the presentation using the original evaluation criteria.

1.24 Acceptance of Proposal Content

The mandatory RFP requirements shall become contractual obligations if a contract ensues. Failure of the successful Proposer to accept these obligations shall result in the rejection of the proposal.

1.25 Evaluation and Selection

All responses received as a result of this RFP are subject to evaluation by the State Evaluation Committee for the purpose of selecting the Proposer with whom the State shall contract.

To evaluate all proposals, a committee whose members have expertise in various areas has been selected. A consensus-based evaluation process shall be used to evaluate responses. This committee will determine which proposals are reasonably susceptible of being selected for award. If required, written or oral discussions may be conducted with any or all of the Proposers to make this determination.

Written recommendation for award shall be made to the Director of State Procurement for the responsible Proposer whose proposal, conforming to the RFP, will be the most advantageous to the State of Louisiana, price and other factors considered.

The committee may reject any or all proposals if none is considered in the best interest of the State.

1.25.1 Best and Final Offers (BAFO)

The State reserves the right to conduct a BAFO with one or more Proposers determined by the committee to be reasonably susceptible of being selected for award. If conducted, the Proposers selected to participate will receive written notification of their selection, with a list of specific items to be addressed in the BAFO along with instructions for submittal. The BAFO negotiation may be used to assist the State in clarifying the scope of work or to obtain the most cost effective pricing available from the Proposers.

The written invitation will not obligate the State to a commitment to enter into a contract.

1.26 Contract Negotiations

If for any reason, after final evaluation and issuance of the Intent to Award letter, the responsible Proposer whose proposal is most responsive to the State's needs, price and other evaluation factors set forth in the RFP considered, does not agree to a contract, that proposal shall be rejected and the State may negotiate with the next most advantageous responsible Proposer.

Negotiation may include revision of any non-mandatory terms or conditions, and clarification of the scope of work and/or implementation of the most cost effective pricing available from the Proposers. OSP must approve the final contract form and issue a purchase order, if applicable, to complete the process.

1.27 Contract Award and Execution

The State reserves the right to enter into a contract without further discussion of the proposal submitted based on the initial offers received.

The RFP, including any addenda, and the proposal of the selected Contractor will become part of any contract initiated by the State.

Proposers are discouraged from submitting their own standard terms and conditions with their proposals. Proposers should address the specific language in the sample contract in **Attachment 1** of this RFP and submit any exceptions or deviations the Proposer wishes to negotiate. The proposed terms will be negotiated before a final contract is entered. Mandatory terms and conditions are not negotiable. If applicable, a Proposer may submit or refer to a Master Agreement entered into by the Contractor and the Office of State Procurement in accordance with La. R.S. 39:198(J).

If the contract negotiation period exceeds thirty (30) days or if the selected Proposer fails to sign the contract within **seven (7) calendar** days of delivery of it, the State may elect to cancel the award and award the contract to the next most advantageous responsible Proposer.

Award shall be made to the Proposer with the highest points, whose proposal, conforming to the RFP, will be the most advantageous to the State of Louisiana, price and other factors considered.

The State intends to award to a single Proposer.

1.28 Notice of Intent to Award

Upon review and approval of the evaluation committee's and agency's recommendation for award, OSP will issue a "Notice of Intent to Award" letter to the apparent successful Proposer. The "Notice of Intent to Award" letter is the notification of the award of the contract. However, the "Notice of Intent to Award" is contingent upon successful negotiation of a final contract and approval by the Division of Administration, Office of State Procurement. A contract shall be completed and signed by all parties concerned on or before the date indicated in the "Schedule of Events." If this date is not met, through no fault of the State, the State may elect to cancel the "Notice of Intent to Award" letter and make the award to the next most advantageous responsible Proposer.

OSP will also notify all unsuccessful Proposers as to the outcome of the evaluation process. The proposals received (except for that information appropriately designated as confidential in accordance with La. R.S. 44.1 et. seq.) along with the evaluation factors, points, evaluation committee member names, and the completed evaluation summary and recommendation report are public record and shall be made available, upon request, to all interested parties after the "Notice of Intent to Award" letter has been issued.

Any person aggrieved by the proposed award has the right to submit a protest in writing, in accordance with La. R.S. 39:1671, to the Director of State Procurement, within fourteen (14) days of the award/intent to award. The "Notice of Intent to Award" letter starts the protest period.

1.29 Debriefings

Debriefings may be scheduled by the participating Proposers after the "Notice of Intent to Award" letter has been issued by scheduling an appointment with the Office of State Procurement. Contact may be made by phone at (225) 219-7839 or E-mail to Janelle.brown@la.gov

1.30 Insurance Requirements

Contractor shall furnish the State with certificates of insurance effecting coverage(s) required by the RFP (See **Attachment 9**). The certificates for each insurance policy are to be signed by a

person authorized by that insurer to bind coverage on its behalf. The certificates are to be received and approved by the State before work commences. The State reserves the right to require complete certified copies of all required policies, at any time. The Contractor shall maintain the insurance as shown in **Attachment 9** for the full term of the contract. Failure to comply shall be grounds for termination of the contract.

1.31 Subcontractor Insurance

The Contractor shall include all subcontractors as insured's under its policies or shall insure that all subcontractors satisfy the same insurance requirements stated herein for the Contractor.

1.32 Indemnification and Limitation of Liability

Neither party shall be liable for any delay or failure in performance beyond its control resulting from acts of God or force majeure. The parties shall use reasonable efforts to eliminate or minimize the effect of such events upon performance of their respective duties under the contract.

Contractor shall be fully liable for the actions of its agents, employees, partners or subcontractors and shall fully indemnify and hold harmless the State from any and all claims, damages, expenses, suits, actions, damages and costs of every name and description relating to or arising out of personal injury and damage to real or personal property of any kind, including but not limited to tangible, corporeal, or incorporeal property, directly caused by the negligent or wrongful acts or inaction of Contractor, its agents, employees, partners or subcontractors in the performance of the contract, without limitation; provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the State.

Contractor will indemnify, defend and hold the State harmless, **without limitation**, from and against any and all damages, expenses (including reasonable attorneys' fees), claims judgments, liabilities and costs which may be finally assessed against the State in any action for infringement of a United States Letter Patent with respect to the Products, Materials, or Services furnished, or of any copyright, trademark, trade secret or intellectual property right, provided that the State shall give the Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of Contractor. Where a dispute or claim arises relative to a real or anticipated infringement, the State may require Contractor, at its sole expense, to submit such information and documentation, including formal patent attorney opinions, as the Commissioner of Administration shall require.

The Contractor shall not be obligated to indemnify that portion of a claim or dispute based upon: (i) State's unauthorized modification or alteration of a Product, Material, or Service; (ii) State's use of the Product, Material, or Service in combination with other products, materials, or services not furnished by Contractor; (iii) State's use in other than the specified operating conditions and environment.

In addition to the foregoing, if the use of any item(s) or part(s) thereof shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its own expense and sole discretion as the state's exclusive remedy to take action no later than six (6) months after the issuance of an injunction in the following order of precedence: (i) to procure for the State the right to continue using such item(s) or part(s) thereof, as applicable; (ii) to modify the component so that it becomes non-infringing equipment of at least equal quality and

performance; or (iii) to replace said item(s) or part(s) thereof, as applicable, with non-infringing components of at least equal quality and performance, or (iv) if none of the foregoing is commercially reasonable, then provide monetary compensation to the State up to the dollar amount of the Contract. Any injunction that is issued against the State which prevents the State from utilizing the Contractor's product in excess of six (6) months and for which the contractor has not obtained for the State or provided to the State one of the alternatives set forth in the foregoing sentence is cause for the State to terminate the Contract. In the event of such termination, the State will not be obligated to compensate the Contractor for any costs incurred by the Contractor.

For all other claims against the Contractor where liability is not otherwise set forth in the contract as being "without limitation", and regardless of the basis on which the claim is made, Contractor's liability for direct damages, shall be the greater of \$100,000, the dollar amount of the Contract, or two (2) times the charges for products, materials, or services rendered by the Contractor under the Contract. Unless otherwise specifically enumerated herein mutually agreed between the parties, neither party shall be liable to the other for special, indirect or consequential damages, including lost data or records (unless the Contractor is required to back-up the data or records as part of the work plan), even if the party has been advised of the possibility of such damages. Neither party shall be liable for lost profits, lost revenue or lost institutional operating savings.

The State may, in addition to other remedies available to them at law or equity and upon notice to the Contractor, retain such monies from amounts due Contractor, or may proceed against the performance and payment bond, if any, as may be necessary to satisfy any claim for damages, penalties, costs and the like asserted by or against them.

1.33 Fidelity Bond Requirements

NOT REQUIRED FOR THIS RFP

1.34 Payment

1.34.1 Payment for Services

The Agency shall pay Contractor in accordance with the Cost Worksheet set forth in **Attachment 8**. The Contractor may invoice the State monthly at the billing address designated by the agency. Payments will be made by the State within approximately thirty (30) days after receipt of a properly executed invoice, and approval by the Agency. Invoices shall include the contract and order number, using department and product purchased. Invoices submitted without the referenced documentation will not be approved for payment until the required information is provided.

The Contractor is responsible for developing with DCFS approval the appropriate reporting metrics to be included with each invoice. Costs will be broken down and billed by individual transaction type. The rate to be charged for each transaction type will be determined by the total volume that occurred for each transaction type category within the billing cycle. At no time shall transactions be charged at variable rates within a transaction type category based upon segmented volume levels. Each transaction type will be billed at the same rate within a billing cycle. DCFS shall not be charged for any transactions involving blank pages. Tasks that are completed by DCFS staff cannot be billed by the Contractor.

1.34.2 Late Payments

Interest due by a State Agency for late payments shall be in accordance with La. R.S. 39:1695 at the rates established in La. R.S. 13:4202.

1.34.3 Electronic Vendor Payment Solutions

The State desires to make payment to the awarded Proposer(s) electronically. The methods of payment may be via the State's LaCarte card (procurement card), EVP method that converts check payments to a Visa credit card account with unique security features and electronic remittance notifications, or EFT payments sent directly from the State's bank directly to the payee's bank. Please see **Attachment 10** for additional information regarding electronic payment methods.

1.35 Termination

1.35.1 Termination of the Contract for Cause

The State may terminate the contract for cause based upon the failure of the Contractor to comply with the terms and/or conditions of the contract, or failure to fulfill its performance obligations pursuant to the contract, provided that the State shall give the Contractor written notice specifying the Contractor's failure. If within thirty (30) days after receipt of such notice, the Contractor shall not have corrected such failure or, in the case of failure which cannot be corrected in thirty (30) days, begun in good faith to correct such failure and thereafter proceeded diligently to complete such correction, then the State may, at its option, place the Contractor in default and the contract shall terminate on the date specified in such notice.

The Contractor may exercise any rights available to it under Louisiana law to terminate for cause upon the failure of the State to comply with the terms and conditions of the contract, provided that the Contractor shall give the State written notice specifying the State's failure and a reasonable opportunity for the State to cure the defect.

1.35.2 Termination of the Contract for Convenience

The State may terminate the contract at any time by giving thirty (30) days written notice to the Contractor of such termination or negotiating with the Contractor an effective date.

The Contractor shall be entitled to payment for deliverables in progress, to the extent work has been performed satisfactorily.

1.35.3 Termination for Non-Appropriation of Funds

The continuance of the contract is contingent upon the appropriation of funds to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act or Title 39 of the Louisiana Revised Statutes of 1950 to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

1.36 Assignment

The Contractor shall not assign any interest in the contract by assignment, transfer, or novation, without prior written consent of the State. This provision shall not be construed to prohibit the Contractor from assigning his bank, trust company, or other financial institution any money due or to become due from approved contracts without such prior written consent. Notice of any such assignment or transfer shall be furnished promptly to the State.

1.37 No Guarantee of Quantities

The quantities referenced in the RFP are estimated amounts and are based upon client submissions. DCFS has no control over the quantities submitted. In the event a greater or lesser quantity is needed, the right is reserved by the State of Louisiana to increase or decrease the amount, at the unit cost stated in the proposal. **Attachment 7** includes monthly totals for all of the previous calendar year.

Neither the State nor Agency obligates itself to contract for or accept more than their actual requirements during the period of the contract, as determined by actual needs and availability of appropriated funds.

1.38 Audit of Records

The State legislative auditor, federal auditors and internal auditors of the Division of Administration and the Department of Children and Family Services or others so designated by the DOA, shall have the option to audit all accounts directly pertaining to the resulting contract for a period of five (5) years from the date of final payment or as required by applicable State and Federal law. Records shall be made available during normal working hours for this purpose.

1.39 Civil Rights Compliance

The Contractor agrees to abide by the requirements of the following as applicable: Title VI and Title VII of the Civil Rights Act of 1964 as amended by the Equal Employment Opportunity Act of 1972, Federal Executive Order 11246 as amended, the Federal Rehabilitation Act of 1973 as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, the Fair Housing Act of 1968 as amended, and Contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

Contractor agrees not to discriminate in its employment practices, and will render services under the contract without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, veteran status, political affiliation, disability, or age in any matter relating to employment. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of the contract.

1.40 Record Retention

The Contractor shall maintain all records in relation to the contract for a period of at least five (5) years after final payment.

1.41 Record Ownership

All records, reports, documents, or other material related to any contract resulting from this RFP and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of the State and shall, upon request, be returned by Contractor to the State, at Contractor's expense, at termination or expiration of the contract.

1.42 Content of Contract/ Order of Precedence

In the event of an inconsistency between the contract, the RFP and/or the Contractor's Proposal, the inconsistency shall be resolved by giving precedence first to the final contract, then to the RFP and subsequent addenda (if any) and finally, the Contractor's Proposal.

1.43 Contract Changes

No additional changes, enhancements, or modifications to any contract resulting from this RFP shall be made without the prior written approval of OSP.

Changes to the contract include any change in: compensation; beginning/ ending date of the contract; scope of work; and/or Contractor change through the Assignment of Contract process. Any such changes, once approved, will result in the issuance of an amendment to the contract.

1.44 Substitution of Personnel

The State intends to include in any contract resulting from this RFP the following condition:

Substitution of Personnel: If, during the term of the contract, the Contractor or subcontractor cannot provide the personnel as proposed and requests a substitution, that substitution shall meet or exceed the requirements stated herein. A detailed resume of qualifications and justification is to be submitted to the State for approval prior to any personnel substitution. It shall be acknowledged by the Contractor that every reasonable attempt shall be made to assign the personnel listed in the Contractor's proposal.

The State shall reserve the right to require removal and replacement of any contract personnel whose performance it considers unacceptable.

1.45 Governing Law

All activities associated with this RFP process shall be interpreted under Louisiana Law, including but not limited to La. R.S. 39:1551-1736 (Louisiana Procurement Code) and La. R.S. 39:196-200 (Information Technology Procurement Code), if applicable; purchasing rules and regulations; executive orders; standard terms and conditions; special terms and conditions; and specifications listed in this RFP. Venue of any action brought with regard to the contract shall be in the Nineteenth Judicial District Court, parish of East Baton Rouge, State of Louisiana.

1.46 Claims or Controversies

Any claims or controversies shall be resolved in accordance with the Louisiana Procurement Code, La. R.S. 39:1671-1673.

1.47 Proposer's Certification of No Federal Suspension or Debarment

Certification of no suspension or debarment: By signing and submitting any proposal for \$25,000 or more, the Proposer certifies that their company, any subcontractors, or principals are not suspended or debarred by the General Services Administration (GSA) in accordance with the requirements in "Audit Requirements in Subpart F of the Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" (formerly OMB Circular A-133).

A list of parties who have been suspended or debarred can be viewed via the internet at <https://www.sam.gov>.

1.47.1 Proposer's Eligibility

A statement of the Proposer's involvement in litigation and any suspension or debarment proceedings which could affect this work shall also be included in the Proposal. A suspension or debarment proceeding which could affect this work is any proceeding, whether pending or concluded, that involves a governmental body or governmental entity. If no such litigation, suspension or debarment exists, proposer shall so state.

1.47.2 Continuing Obligation

Contractor has a continuing obligation to disclose any suspensions or debarment by any government entity, including but not limited to General Services Administration (GSA). Failure to disclose may constitute grounds for suspension and/or termination of the Contract and debarment from future contracts.

1.48 Anti-Kickback Clause

The Contractor hereby agrees to adhere to the mandate dictated by the Copeland "Anti-Kickback" Act which provides that each Contractor or subgrantee shall be prohibited from inducing, by any means, any person employed in the completion of work, to give up any part of the compensation to which he is otherwise entitled.

1.49 Clean Air Act

The Contractor hereby agrees to adhere to the provisions which require compliance with all applicable standards, orders or requirements issued under Section 306 of the Clean Air Act which prohibits the use under non-exempt Federal contracts, grants or loans of facilities included on the EPA list of Violating Facilities.

1.50 Energy Policy and Conservation Act

The Contractor hereby recognizes the mandatory standards and policies relating to energy efficiency which are contained in the State energy conservation plan issued in compliance with the Energy Policy and Conservation Act (P.L. 94-163).

1.51 Clean Water Act

The Contractor hereby agrees to adhere to the provisions which require compliance with all applicable standards, orders, or requirements issued under Section 508 of the Clean Water Act which prohibits the use under non-exempt Federal contracts, grants or loans of facilities included on the EPA List of Violating Facilities.

1.52 Anti-Lobbying and Debarment Act

The Contractor will be expected to comply with Federal statutes required in the Anti-Lobbying Act and the Debarment Act.

1.53 Warranties

Contractor warrants that all services shall be performed in good faith, with diligence and care, by experienced and qualified personnel in a professional, workmanlike manner, and according to its current description (including any completion criteria) contained in the scope of work.

No Surreptitious Code Warranty. Contractor warrants that Contractor will make all commercially reasonable efforts not to include any Unauthorized Code in any software provided hereunder. "Unauthorized Code" means any virus, Trojan horse, worm or other software routine or component designed to permit unauthorized access to disable, erase, or otherwise harm software, equipment, or data, or to perform any other such actions. Excluded from this prohibition are identified and State-authorized features designed for purposes of maintenance or technical support.

Contractor further warrants that it has the right to provide and or license its product to the State and that it will operate in accordance with this solicitation. In the event of a material failure of Contractor's product to function and operate, and/or failure by the Contractor to perform its obligations, in accordance with the terms and conditions of the contract that results in the termination of the contract for cause by the State, the State will not be obligated to compensate the Contractor of any costs incurred by Contractor.

1.54 Code of Ethics

The Contractor acknowledges that Chapter 15 of Title 42 of the Louisiana Revised Statutes (La. R.S. 42:1101 et. seq., Code of Governmental Ethics) applies to the Contracting Party in the performance of services called for in the Contract. The Contractor agrees to immediately notify the State if potential violations of the Code of Governmental Ethics arise at any time during the term of the Contract.

1.55 Commissioner's Statements

Statements, acts and omissions made by or on behalf of the Commissioner of Administration regarding this RFP, any Proposer and/or any subcontractor of a Proposer shall not be deemed a conflict of interest when the Commissioner is discharging his duties and responsibilities under law, including, but not limited, to the Commissioner of Administration's authority in procurement matters.

1.56 Proposer's Cooperation

Any Proposer has the duty to fully cooperate with the State and provide any and all requested information, documentation, etc. to the State when requested. This applies even if an eventual contract is terminated and/or a lawsuit is filed. Specifically, the Proposer shall not limit or impede the State's right to audit or to withhold State owned documents.

1.57 Contractor's Cooperation/Close-Out

The Contractor has the duty to fully cooperate with the State and provide any and all requested information, documentation, etc. to the State when requested. This applies even if the Contract is terminated and/or a lawsuit is filed. Specifically, the Contractor shall not limit or impede the State's right to audit or to withhold State owned documents.

1.58 E-Verify

Contractor acknowledges and agrees to comply with the provisions of La. R.S. 38:2212.10 and federal law pertaining to E-Verify in the performance of services under the Contract.

1.59 Security

Contractor's personnel shall comply with all security regulations in effect at the State's premises, the Information Security Policy at <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx> and externally for materials and property belonging to the State or to the project. Where special security precautions are warranted (e.g., correctional facilities), the State shall provide such procedures to the Contractor, accordingly. Contractor is responsible for promptly reporting to the State any known breach of security.

1.60 Key Internal Control Outsourcing

The State of Louisiana/Department of Children and Family Services will require the Contractor and/or subcontractors, if performing a key internal control, to provide some form of assurances that internal controls over the process being administered by the contractor for the user agency is operating properly. The assurances provided by the contractor may be in the form of SOC reports resulting from independent SSAE 16 reviews of internal controls, quality assurance reports, or other financial and performance audits from outside companies to assure both the financial viability of the (outsourced) program and the operational viability, including the policies and procedures placed into operation. If an SSAE 16 review is required, the audit firm will conduct tests of the contractor's activities and render an independent opinion on the operating effectiveness of the controls and procedures.

Other forms of assurances may be required by the State Agency. The Contractor may be required to provide a quality control plan, such as third party Quality Assurance (QA), Independent Verification and Validation (IV & V), or other internal project/program reviews or audits.

These audits and/or assurances will require the Contractor to provide any assistance, records access, information system access, staff access, and space access to the party selected to perform the indicated audit. If a SSAE 16 review or audit is required of the Contractor, an audit firm will submit to the State Agency and/or Contractor a final report on controls placed in operations for the project and include a detailed description of the audit firm's tests of the operating effectiveness of controls.

The Contractor shall supply the State Agency with an exact copy of the report within thirty (30) calendar days of completion. When required by the State Agency, such audits may be performed annually during the term of the Contract. The Contractor shall agree to implement recommendations as suggested by the audits within three (3) months of report issuance at no cost to the State Agency. The cost of the SSAE 16 audit is to be borne by the Contractor and it shall be included in the cost being proposed in response to this RFP.

PART II: SCOPE OF WORK/SERVICES

2.1 Scope of Work/Services

The purpose of the Document Imaging and Content Management Solution (DICM) project is twofold: 1) to establish and operate a document processing center for DCFS and 2) to obtain the services of a qualified Contractor to mimic the functionality of the current system, while taking into consideration the future plan to integrate into the EA and provide scalability to the EA.

Because the Enterprise Architecture for OTS is not currently in place, an interim solution utilizing existing software will be necessary in order to fulfill the needs of DCFS. Once the EA and EDMS are ready and available for integration, the goal of the State is for the content management components to be integrated and converted into the EA and EDMS. Because of this, OTS encourages the Proposer to utilize the information that is provided on the existing DICM system located in **Attachment 3** and the information provided on the Enterprise Architecture in **Attachment 4** to alleviate any future issues with conversion of imaged documents and processing to the Enterprise Architecture's EDMS. This interim solution of the proposal should be referenced as Phase I in the response and should be considered a separate plan with its own costs. Phase I should include the methodology and steps to integrate into the proposed solution, and requirements for maintaining this in the event that the temporary solution must be maintained for a longer than expected timeframe.

In addition, a separate plan and cost needs to be identified for the Proposer to fully integrate the content management component into the EA and EDMS. This separate cost will be used in the cost evaluation. Phase II should include the methodology and steps to integrate with the EA EDMS when it is in place, and projected timeframes for doing so.

In both plans, the DICM solution must offer document capture, indexing, audit, storage, content management, form processing, digital signatures, electronic-document workflow, report, retrieval capabilities, and retention/destruction of records.

DOA OTS prefers a solution that is designed as a Software as a Service (SaaS), to ensure rapid set-up. The end goal is to have the DICM solution to be incorporated into the EA with the repository being the EA EDMS (IBM FileNet).

Cost for Phase I (DICM Costs) and Phase II (EA Integration Costs) must be included in the Cost Worksheet provided in **Attachment 8**.

First, DOA OTS requires a scalable solution to meet the needs of the State's growing content management requirements. This solution must be able to be tightly integrated with the EDMS solution once it is available. The required approach must offer a comprehensive product suite,

integrated in a seamless manner and be highly focused on providing a high return on investment (ROI).

Second, the project will require the selected Contractor to establish and operate a document processing center, imaging and content management service solution. The document processing center will provide for daily operations, equipped and staffed to perform the document conversion of paper documents submitted for benefitting programs as well as being responsible for managing other forms of electronic content (e.g. processing of content and indexing from distributed scanning stations, fax or email). The document processing center shall serve as the entry point for the majority of documents required and used by DCFS.

The selected Contractor will be responsible for implementing components that provide the functionality described in this Statement of Work. Design of the proposed solution, including prototypes, as well as each step in the system development life cycle, shall be reviewed for approval by OTS and the serviced agency. All updates and modifications are subject to the same review.

2.1.1 Document Imaging/Content Management

The Document Imaging Content Management Contractor:

- Must work with OTS and DCFS staff to design/develop/deploy/support and operate the components and systems that interface with the various agency's systems.
- Must specify any and all necessary infrastructure hardware and software not currently used by DCFS, yet necessary to implement and operate the proposed DICM solution. Such infrastructure includes, but is not limited to operating systems, development tools, and DICM software solutions. All components of the solution must be tested and determined compatible for use with the State's existing hardware and network infrastructure and comply with the State's published security policies which can be found at: <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>. The required testing and determination of component compatibility shall be validated by OTS staff.
- Must prepare, provision, and maintain for the life of the contract all user and technical training materials as necessary.
- Must conduct user and technical training in formal classroom settings or web-based environment that covers the topics in a detailed end-to-end functional manner.
- Must provide the OTS maintenance support teams with complete, detailed, end-to-end training of the DICM environment, including configurations and applications.
- Must warranty delivered solution, including hardware and software supplied through the contract expiration date.
- Must provide for the transfer of the manufacturer warranty associated with any supplied products for this solution.
- Will be required to coordinate and provide technical assistance and appropriate documentation for interfacing with diverse systems included in the project, technical help desks and the repository established as a part of the Enterprise Architecture for OTS. Contractor must provide help desk support, not limited to issues related to missing pages, skewed documents, and, low resolution.
- Must support all of the most common document and file formats - .doc, .docx, xls, xlsx, pdf, msg, txt, csv, jpeg, gif, wav, TIF, AVI, etc.
- Must be able to index both metadata and internal document contents for common file types. DICM indexing requirements will be determined based on department-specific

needs (i.e., some department-specific document libraries may not require document content indexing while still requiring metadata indexing).

- Must support annotations on documents such as Sticky Notes, Text Notes, Redaction, and Highlights.
- Must have the ability to comply with multiple record retention policies as required by State and Federal regulations without personnel intervention. The State requires the ability to easily change these policies as regulations and as laws change. The solution will also require the capability to export documents as required by document retention.
- Must be capable of integrating with the EA – Identity and Access Management Component.
- Must support Optical Character Recognition (OCR) to allow for automated document content indexing.
- Must be capable of handling the upload of documents from external users, such as citizens.
- Must include both a User Interface and an API process that will integrate with a distributed capture solution that enables scanning at local State offices by State workers.
- Must include interfaces that will work both with the existing scanning technology – Lexmark Multi-function Devices and with any current/future scanners or document capture systems.
- Must allow for integration/onboarding of content taxonomy on a case-by-case basis upon the implementation of new systems into the DICM and the EDMS.
- Must allow for security that takes into account specialized requirements of disparate departments, programs and groups that will use the DICM system.
- Must leverage an existing centralized antivirus system to scan newly uploaded documents.
- Must allow for Document Workflows that will be determined on a case-by-case basis.
- Must work effectively (meet SLAs for submittal and retrieval) on all common platforms and devices – desktop, web and mobile – including but not limited to the latest versions of common desktop browsers (Chrome, Firefox, Safari), common mobile browsers, and Internet Explorer 9 and above.
- Must meet Disaster Recovery Time Objectives (RTO) of twelve (12) hours and Disaster Recovery Point Objectives (RPO) of one (1) hour.

The following represents a general list of activities and services that the successful Proposer shall perform as a part of this RFP. Proposers may recommend additional tasks not specifically identified here, as a result of the Proposer's project approach and application of best practices.

2.1.2 Document Processing Center (DPC)

The successful Contractor will need to establish and operate in East Baton Rouge Parish, a document processing center for daily operation, equipped and staffed to perform the document conversion of paper documents submitted for benefitting agencies and programs, as well as managing content that is incorporated into the solution via distributed scan stations, uploads, fax, and email. The DPC shall serve as the entry point for the majority of documents required and used by DCFS programs. Mail is disbursed at the Bluebonnet Drive, Baton Rouge United States Post Office to mailboxes currently owned by the State. As a part of the post mail processing, the Document Processing Center (DPC) will also be responsible for forwarding Voter Registration forms to the Secretary of State's office, returning original documentation (i.e. birth certificates or

Social Security cards) to customers, and handling any cash and fees which may be received in the mail.

The successful Contractor will meet the following requirements:

- Ensure speed and accuracy in inputting and distributing content as defined by the Performance Requirements in Section 4.1 in order to facilitate access by appropriate stakeholders for the intended business reason.
- Establish the “chain of custody” over any and all documents/records.
- Ensure consistency in the quality of content captured, produced and inputted as defined by the Performance Requirements in Section 4.1.
- Establish and ensure appropriate indexing and classification scheme as identified by DCFS program staff for ease in document retrieval.
- Ensure the timely delivery of document images and content wherever and whenever needed as defined by the Performance Requirements in **Attachment 5 – Service Level Agreements**.
- Ensure the security, accuracy, and confidentiality of citizen's information as dictated by OTS, State and Federal regulatory requirements.
- Use advance technologies to extract information/data from documents for program use (e.g., Intelligent Character Recognition (ICR), Optical Character Recognition (OCR), and Intelligent Document Recognition (IDR)).
- Ensure timely and accurate system(s) integration as defined by agreed upon timelines.
- Establish a DPC with adequate space for the production floor, mailroom, storage, warehouse, office and amenities that can be scaled upwards as DCFS needs are increased.
- Procure and implement all required hardware, software, equipment and infrastructure for a DPC that will integrate with the Enterprise Architecture's EDSM once it becomes available.
- Secure all data communications, electrical power, and telecommunications equipment/lines.
- Arrange for utilities, data/network communications, electrical power, and telecommunications equipment/lines and all other contracts needed to operate the facility.
- Secure all licenses, inspections, and other requirements according to state law or local ordinances, codes, etc.
- Ensure physical site security, which include intrusion detections, recorded video surveillance, and access control.
- Hire, train, and manage contractor staff for operations at the DPC.
- Meet the program requirements of the various agencies as they come on board.
- Meet the timelines, milestones, and deliverables dates that are defined and approved in the project plan.
- Document a transition schedule for moving people and equipment into the facility.
- Create appropriate artifacts to document the layout of the production floor and the flow of work through receiving, mailroom, document preparation, scanning, quality control and output.
- Provide network connectivity from the DPC to the State for near-real-time access and transmission of images and other managed content.

- Provide and maintain separate development, test, training, and production environments.
- Provide for the functionality to capture and report appropriate metrics for use in operational cost allocation plans within a department and across varied agencies to accurately allow OTS to distribute costs based on such things as system development, system usage, system storage, and sheets scanned, items manually indexed, etc. by program funding sources (e.g., for DCFS - IV-E vs. SSBG vs. IV-D vs. TANF vs. SNAP, LDH, DOTD, etc.).
- Storage of physical documents that have been processed and which must be retained through the end of the retention period(s).
- When paper documents reach the end of the specified retention period, as defined by the department or the state record retention regulations, then the documents shall be destroyed by the Contractor in accordance with any state and federal regulations, or the documents will be sent to State archives depending on the specific document requirements. A destruction certificate listing all destroyed documents shall be provided to the specific agency. See **Attachment 6: Retention Processing Requirements**.
- Perform the DPC Tasks listed in **Attachment 11: DPC Task Definitions**.

2.1.3 Mail/FAX Services

The Contractor will be responsible for executing all mail related activities and services for specific agency programs. Upon termination of the contract any post office boxes used to fulfill the objectives in this engagement will be transferable to the State without an associated costs.

In addition, the Contractor will be responsible for FAX services and executing all related activities and services for specific programs based upon facsimiles received. Upon termination of the contract, any fax telephone numbers used to fulfill the objectives of this engagement will be transferable to the State without an associated costs.

2.1.4 Software

The Contractor will be responsible for providing and supporting all software described within their proposal as well as any software owned by the State (listed in **Attachment 3**) and incorporated as a part of the solution. In the event, any new software purchased for this engagement does not fulfill the obligations of this procurement, the State will not be responsible for costs incurred for the return of this software or for replacement of the software which will fulfill the obligations of this procurement. Upon termination or expiration of the contract, software licenses shall be transferrable to the State without additional cost.

2.1.5 Hardware

The Contractor will be responsible for providing, configuring, and supporting all hardware needed to implement the DICM, Document Processing Center, and Mail Services. In the event, any new hardware purchased for this engagement does not fulfill the obligations of this procurement, the State will not be responsible for costs incurred for the return of this hardware or for replacement of the hardware which will fulfill the obligations of this procurement.

2.1.6 Requirements

The Contractor will be responsible for executing all activities needed for requirements analysis/validation including any gap or business process reengineering defined in their proposal, required by this RFP or as otherwise agreed upon in writing. The Contractor should be familiar with appropriate Louisiana programs, policies, and information systems. A Requirements Specification Document will be required as a deliverable. The current solution meets the Requirements included in **Attachment 2**. Any new solution proposed must meet or exceed the requirements included in **Attachment 2**.

2.1.7 Access to Repository

The Contractor will be responsible for executing all activities to ensure full integration with the various systems used and documenting them accordingly. This includes access to the solution's initial repository, OnBase, as well as, the potential integration into File Net as part of the EDMS.

2.1.8 Security

The Contractor will be responsible for executing all activities necessary to develop, implement, (setup, configuration, population, testing) and maintain security of documents and information handled by the DICM, DPC, and Mail activities. Currently, this is handled via a site to site VPN connection in which the Contractor will need to obtain and maintain hardware capable of terminating a VPN connection originating from the State data center (ISB). In addition, security for software and hardware must meet or exceed OTS Information Security Policy which is located at: <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>

2.2 Period of Agreement

The term of any contract resulting from this solicitation will be for a term of five (5) years unless otherwise terminated in accordance with the termination provision of the contract.

2.3 Price Schedule

Prices proposed by the Proposers shall be submitted on the Cost Worksheet furnished herein on **Attachment 8**. Prices submitted shall be firm for the term of the contract. Prices shall include delivery of all items F.O.B. destination.

2.4 Deliverables

The deliverables listed in this section are the minimum required from the successful Contractor. Each Proposer must describe what deliverables will be provided per their proposal and specify how and when the proposed deliverables will be provided. The deliverables listed below should be addressed in the order presented below.

Deliverable 1: Detailed Project Plan

This deliverable is the first update of the project plan submitted with the proposal of the successful Contractor. The project plan is a living document and must be updated, reviewed and approved at weekly intervals, or whenever requested by the State throughout the project to reflect actual project status and timelines. The State must approve in advance any change that results in a change of a milestone date.

Deliverable 2: Deliverable Document Templates

Contractor must work with OTS (or its subcontractors, and the agency receiving service to design templates for each subsequent document deliverable including but not limited to requirement documents; detailed design documents; training plans; testing plans; conversion/interface/integration plans; status reports; issue tracking; executive meeting summaries; and other project documents. These template designs are critical to ensuring that the deliverables and other project documents consist of the expected content and are in a format agreed to by all parties. Each template must be separately approved by the State.

Deliverable 3: Communication Plan

The Communication Plan must describe how the project will establish a reliable means of assuring visibility and co-operation by communicating status and news about the project to all appropriate stakeholders. It describes the communication rules to be applied and the organizational matrices of communications and meetings. The Communication Plan must identify the processes, methods, and tools required to ensure timely and appropriate collection, distribution, and management of project information for all project participants.

Deliverable 4: Transition Plan (from current contractor)

The Transition Plan must describe how the Proposer will develop, test and transition services from the former Contractor. Define assumptions and risks to meeting any stated timelines. This includes transference of licenses, mailbox pickup, and storage of documents awaiting destruction which must be maintained until they meet the timeframe for destruction.

Deliverable 5: Requirements Specifications Document (RSD)

The RSD will take proposal requirements, validate them, and identify how and where the requirements are met in the system design. At a minimum, the RSD must include the following:

1. Detailed user requirements.
2. An overview of the system architecture and how components are integrated to meet the RFP requirements.
3. A detailed description of the hardware and software configuration to be used.

Deliverable 6: Operational Plan

In the Operational Plan the Contractor must provide the workflow processes and operational procedures required by the Contractor, OTS, and agency staff in order to perform their duties using the new imaging functionality.

Deliverable 7: Security Plan

The Security Plan must describe how the solution will meet the security levels needed in order to operate successfully. This plan should describe what security threats may exist and how implementing security standards required by OTS will be used to mitigate those threats. The Contractor shall provide a document that outlines the security measures that are required at a minimum including the following measures:

1. Authentication
2. Authorization
3. Management
4. Confidentiality
5. Accountability
6. Physical Security of the Document Processing Center

The Security Plan must comply with the OTS Information Security Policy:

<http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>

Deliverable 8: Design Specifications Document (DSD)

For any software developed or modified specifically in response to this RFP, the Contractor will provide complete design documentation. The DSD will detail every element of the solution, explaining in exact and specific terms what the Contractor is building and deploying. This is the design document that describes the technical specifications used by development team members to build the required deliverables. At a minimum, the DSD must include the following:

1. A detailed workflow outlining the capture/scanning, indexing, retrieval and reporting processes.
2. A Visio/Architecture Network Diagram of the proposed solution.
3. A detailed description of software capabilities and how they meet the requirements in the RFP, including capture and index, retrieval and view, and report processes.
4. The conceptual, logical and physical design specifications.

Deliverable 9: Test Plan

The Test Plan must describe the strategy and approach used to plan, organize, and manage the project's testing activities. It must include unit, system, user acceptance and capacity test plan. It must identify testing objectives, methodologies and tools, expected results, responsibilities, and exit criteria and resource requirement. This document is the primary plan for the testing team. At a minimum, the Test Plan must include the following:

1. A test plan and schedule for each system module.
2. A description of test scenarios and scripts that cover testing all functional requirements, and expected results.
3. An organization plan showing Contractor and State personnel responsible for testing.
4. Detailed management of the testing effort, including strategies for dealing with delays in the testing effort, back-up plan, back-up personnel and so forth.
5. Procedures for tracking and correcting deficiencies discovered during testing.
6. Plan for updating documentation based on test results.
7. Plan for organizing test results for State review.
8. Establish clear exit criteria for System & UAT testing efforts.

Deliverable 10: Training Plan

The Training Plan must identify all the training related activities and training manuals/materials for State Staff. This will include the timing and location for training user and technical staff, at all levels, in the proper use and support of the new system and functionalities. State technical staff must be trained to facilitate transition of duties and responsibilities to the State.

Deliverable 11: Implementation Plan

The Implementation Plan must describe the factors necessary for a smooth deployment and transition to ongoing operations, including a recommendation on a staggered rollout statewide versus going live statewide simultaneously. It must encompass the process of preparing, installing, testing, training, stabilizing, and transferring the solution to an operational production environment. This must include details regarding installation scenarios, monitoring for stability, and verifying the soundness of the new solution.

Deliverable 12: Disaster Recovery Plan

Describe disaster recovery procedures in case a disaster or serious service interruption occurs at the Contractor production site or at the State's Data Center site. This will also describe procedures for continued emergency access to the system. This plan should be developed in conjunction with procedures developed for disaster recovery services at the State's Data Center. The Contractor is expected to develop a plan that dovetails with the State's current disaster recovery plans. The plan should specifically include elements to address the RPO/RTO set forth in this RFP as well as business continuity due to service failure.

Deliverable 13: System Test Results

System testing shall follow the pre-approved test plan detailed in Deliverable 9. At a minimum, system test results must include:

1. System performance benchmarks resultant from the capacity analysis.
2. A summary of the status of testing and the completeness of testing scenarios.

Deliverable 14: User Acceptance Test (UAT) Results

User acceptance testing shall follow the pre-approved test plan detailed in Deliverable 9. At a minimum, UAT results must include the following:

1. System performance benchmarks resultant from the capacity analysis.
2. A summary of the status of testing and the completeness of testing scenarios.

Deliverable 15: Support Plan

The Support Plan must describe how the solution will be supported once operational. The plan should also outline how the Contractor will provide on-site support during the initial implementation or pilot implementation phases. This includes a description of the Contractor and OTS support personnel and their roles as well as the processes to resolve problems arising within solution boundaries. Plan must also address upgrades, licensing fees and restrictions.

Deliverable 16: Transition Plan (to a new contractor or OTS)

The Transition Plan will detail the process for ensuring a smooth transitioning (handing over) of services to OTS in the event they assume this business process or another contractor if they should win this business through a competitive process. This deliverable should include at a minimum the scope, a transition strategy, knowledge transfer plan, transition schedule, roles and responsibilities, communication and escalation process, review meetings, risk/mitigation plan, status reporting and clearly identified milestones.

Deliverable 17: Acceptance in Production of Delivered Modules

This deliverable consists of final State approval of release-specific delivered modules and their implementation into statewide production.

Deliverable 18: Warranty Support Period

As the final deliverable of each specific release of functionality, Contractor will supply ongoing warranty support after the production implementation of each module throughout the life of the contract. The warranty support period provides for issue resolution, hardware and software defects and other system functionality issues with the new system. This support must be included in the firm fixed price provided on Attachment 8 Cost Worksheet.

2.5 Technical

2.5.1 Document Imaging and Content Management

Proposer should describe how the following will be provided:

- Design, develop, test, deploy, support, and operate the DICM while integrating with components and systems as required by working with OTS staff and DCFS to determine efficiencies and workflow;
- Provide any and all necessary infrastructure hardware and software not currently used by the State, yet necessary to implement and operate the proposed solution. Specifications should take into account the proposed EA infrastructure. Such infrastructure is not limited to operating systems, development tools, and document management solutions. All proposed components of the solution must be tested and determined compatible for use with the State's existing hardware by OTS staff;
- Ensure timely and accurate systems integration with the agency's applications and systems;
- Procure and implement all required hardware, software, equipment, and infrastructure which has not been provided. The Contractor shall leverage existing State owned software;
- Secure all data communications, electrical power, and telecommunications equipment/lines;
- Arrange for utilities, data/network communications, electrical power, and telecommunications equipment/lines and all other contracts needed to operate the document processing facility ;
- Secure all licenses (while leveraging those already owned by the State), inspections, and other requirements needed to operate the document processing center according to state law and local ordinances, codes, etc.;
- Prepare, provision, and update all user and technical training materials as necessary;
- Provide user and technical training in formal classroom settings and web-based environment that sufficiently covers the topics in a detailed end-to-end functional manner;
- Provide OTS maintenance support team with complete, detailed, end-to-end training of the DICM environment, configuration and application;
- Provide for the transfer of the manufacturer warranty associated with any COTS supplied products procured for this solution;
- Coordinate and provide technical assistance and appropriate documentation for integrating agency applications, and any agency system replacement workflows to the DICM solution;
- Create and manage a centralized repository in the event that the Enterprise Architecture EDMS is not yet available (as part of Phase 1);
- Ensure speed and accuracy in inputting and distributing content as defined by the Performance Requirements (Section 4.1) in the RFP and Service Level Agreements (**Attachment 5**) in order to facilitate access by appropriate stakeholders for the intended business reason;
- Ensure consistency in the quality of content captured, produced and inputted as defined by the Performance Requirements (Section 4.1) in the RFP and in the Service Level Agreements (**Attachment 5**);
- Establish and ensure appropriate indexing for document retrieval;

- Ensure the timely delivery of document images and content wherever and whenever needed as defined by the Performance Requirements (Section 4.1) in the RFP and in the Service Level Agreements (**Attachment 5**);
- Provide the functionality to capture and report appropriate metrics (including but not limited to daily input/output) for use in operational cost allocation plans to accurately allow OTS to distribute costs based on such things as system development, system usage, system storage, and sheets scanned items manually indexed, etc. by program funding source (e.g. IV-E vs. SSBG vs. IV-D vs. CCDF vs. SNAP vs. XIX, etc.);
- Ensure the security, accuracy and confidentiality of customer information as dictated by the agency(s), State and Federal regulatory requirements;
- Use advance technologies to extract information/data from documents for program use (e.g., Intelligent Character Recognition (ICR), Optical Character Recognition (OCR), and Intelligent Document Recognition (IDR));
- Meet agency program requirements for document processing management;
- Assume responsibility for meeting the timelines, milestones, and deliverables dates that are defined and approved in the project plan;
- Document a transition plan and schedule for moving people and equipment into the facility. Schedule should include the transition of PO boxes and mail pick up from postal facilities. Transition schedule should also include the movement and storage of paper documents still being held by the prior contractor until retention timeframes are met;
- Create appropriate artifacts to document the layout of the production floor and the flow of work through receiving, mailroom, document prep, scanning, quality control, and output;
- Provide and maintain separate development, test, training and production environments;
- Provide for the ability to expunge and/or retain documents as per DCFS Retention Schedule (**Attachment 6**) and in accordance with the Louisiana's Secretary of State procedures regarding retention of electronic records;
- Provide document destruction certificates listing all destroyed documents to the originating agency (in case of shared documentation, this is the agency where the document originated from), and;
- Warrant the delivered solution, including any hardware and any integrated COTS supplied products through contract termination date.
- Work with other DCFS contractors to fulfill the mission of the agency.
- Document a response for each deliverable listed in Section 2.4 – Deliverables.

2.5.2 Document Processing Center (DPC)

The winning Contractor will need to establish and operate in East Baton Rouge Parish, a document processing center for daily operation, equipped and staffed to perform the document conversion of paper documents submitted for benefitting agencies and programs, as well as managing content that is incorporated into the solution via distributed scan stations, uploads, fax, and email. The DPC shall serve as the entry point for the majority of documents required and used by DCFS programs. Mail is disbursed at the Bluebonnet Drive, Baton Rouge United States Post Office to mailboxes currently owned by the State. The Proposer should describe how they will execute all mail related activities. In addition, describe the turnover of operations of the mail services in the event of a termination of the contract. The Proposer should describe how they will execute all FAX related activities. The Proposer should describe how they will turn over the operations of the FAX services in the event of a termination of the contract.

Proposer should describe how the following will be accomplished:

- Establish a document processing center with adequate space for the production floor, mailroom, storage/warehouse, offices and amenities located in East Baton Rouge Parish, Louisiana. It is suggested that the DPC may want to be near the main post office on Bluebonnet Drive for ease in retrieving mail;
- Ensure physical site security, which includes intrusion detections, recorded video surveillance, and access control;
- Provide network connectivity from the processing center to the State for real-time access and transmission of images and other managed content;
- Establish the “chain of custody” over any and all documents/records;
- Hire, train and manage staff required to operate the DPC and oversee project responsibilities;
- Provide storage of physical documents as defined by record retention requirements (see **Attachment 6**); When paper documents reach the end of the specified retention period as defined by the agency or state record retention regulations, then the documents shall be destroyed by the Contractor in accordance with any state and federal regulations or the documents will be sent to State archives depending on the specific document requirements.

2.5.3 Proposed Software

Proposer must submit in the Technical Proposal each piece of software proposed in the solutions including Operating System versions and any other third party software that is required. The Proposer must also indicate in their Technical Proposal whether the software is a COTS product or not and on which operating systems and versions the software is compatible with or certified on.

The Proposer must provide a statement in their Technical Proposal affirming that all software, licenses and data used to fulfill the objectives of this engagement will be transferable to the State at contract termination without additional costs.

2.5.4 Proposed Hardware

The Proposer must submit in the Technical Proposal each piece of hardware required to operate their proposed solution and the DPC. The Contractor will not be responsible and should not include hardware that is external to their operations (distributed scanners located within the agencies). Hardware proposals must include configuration information including architecture, Operating System versions required to support software and hardware configurations, number and type of processors, memory requirements, and physical storage needs. Hardware proposals must include only basic and recommended configuration information needed for the proposed solution. The information provided will be utilized by the State to develop the total cost of a fully configured hardware system(s). The Contractor will be responsible for purchasing and maintaining all hardware during the life of the contract.

Any proposal which includes the purchase of additional hardware should include an option for the State to “lease to own” at the termination of the contract.

2.5.5 Database Requirements

The Proposer must provide in their Technical Proposal a list identifying any databases that will be used in the proposed solution.

2.5.6 Access to Repository

The Proposer shall describe how the solution will support integration and access to all information in the image repository in Phase I (pre-EA availability) and Phase II (EA available for integration). A Web Services interface is preferred but access via a different means is allowable subject to approval. The means of access to the image repository must be published, documented, versioned and maintained so that the State can utilize it for projects that are outside the scope of this RFP. In order to enable ongoing State maintenance, the Contractor must provide the application programming interface (API) documentation and any other specifications that are needed to access the repository contents.

2.5.7 Architectural Diagrams

The Proposer must provide in their Technical Proposal high-level visual architectural diagram(s) with legends that depict the proposed solution and demonstrates how all the hardware and software components of the proposed solution will interact with one another. Proposer must also provide in their Technical Proposal, an accompanying detailed description of all the hardware and software to be utilized in the solution. Architectural diagram(s) proposed should take into account integration with the EA components.

2.5.8 Scanning and Document Preparation

The Proposer must provide in their Technical Proposal a description of how they will meet the following list of responsibilities that OTS requires the DICM Contractor to provide as part of their services. The proposed solution may supplement this list.

In-scope agencies will be responsible for determining the level of tasks related to back-filing of documents for their agencies on a case-by-case basis. Tasks will include:

1. Performing document preparation by removing staples, paper clips, binder clips, unfolding documents, repairing of dog ears, and taping documents smaller than 3 ½" X 5" to 8 ½" X 11" sheets.
2. Inserting document separator sheets and boxing documents for transportation.
3. Preparing a manifest sheet for shipping.

The Contractor will be responsible for the following tasks:

1. Prepare and execute quality control for each scanned page to verify readability, de-skew, de-speckle, and preparation defects; rescanning will be done as necessary to correct all defects. See Attachment 5: Service Level Agreements.
2. Prepare and execute a security plan. Files may contain confidential information and sensitive data protected by laws such as HIPAA, IRS, FERPA, or other regulatory devices. Security standards must meet standards defined in the IRS 1075. A security plan shall be proposed that ensures the security of the documents and the data contained therein according to OTS Security Policies and Procedures. The OTS website was updated: <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>

3. Perform initial check and pre-preparation of hardcopy documents, and insertion of document separator sheets for documents received directly.
4. Documents shall be picked up and securely transported to scanning site.
5. Documents that have not been prepared for scanning by State agencies shall be prepared for scanning which includes the removal of fasteners, separation of folded forms, and paste-up of small documents.
6. Documents shall be sorted, scanned, indexed, and examined for quality control.
7. A copy of all images and data shall be retained for five (5) years or the latter of contract termination or expiration. In the event of disaster or data loss at OTS, upon request, the Systems implementer shall transmit a copy of the missing images to OTS.

2.5.9 Indexing

The Proposer must provide in their Technical Proposal a description of how they will index documents. All scanned documents shall be indexed in accordance with the data fields provided by the specific agencies, as agreed upon during the appropriate phase of this project. The indexing component must support a robust search capability allowing the use of multiple criteria that returns matches in a format that allows for easy selection of the proper record. The indexing component must minimize manual entry efforts and manual entry errors by extracting and automating pre-filling of index values.

2.5.10 Establish Backup Procedures

The Proposer must provide in their Technical Proposal backup plans and procedures for restoration of data or images lost due to system or user error, or in the event of a disaster. This is especially vital in terms of Imaging, as the original paper-based information may no longer exist. Backup and restoration of data requires the following to be strictly enforced:

- Documented procedures for backups.
- Connection types and remote repositories for redundancy.
- Regular audits of the procedure to determine validity and completeness of data and images to be restored.
- Test schedule and transition plan for State staff to follow upon contract expiration.
- All Backup Procedures must be strictly coordinated with OTS and comply with all applicable OTS policy, procedures and security standards.

All Backup Procedures must be rigorously tested in coordination with OTS and proven successful before backup procedures will be approved by OTS.

2.5.11 Establish Continuity of Operations Planning

The Proposer must provide in their Technical Proposal plans and procedures for continuity of operations in case of disasters or unexpected events that cause loss or inability to access essential information for the in-scope agencies. Disasters may include, but are not limited to fire, flood, and hurricanes. Less obvious, but equally disastrous events include but are not limited to human error, vandalism, unauthorized access, loss, theft, equipment failure, leaking pipes, insects, rodents, mold and terrorism. Continuity of Operations Planning (COOP), or disaster

preparedness planning is critical to the State's ability to deliver valuable services to its citizens during and immediately after a disaster or other unexpected event. COOP for DICM should include provisions for the following:

1. Data recovery
2. Software recovery
3. Hardware recovery
4. Facility issues
5. Critical personnel issues
6. Virus Protection
7. Documentation of system priorities, critical hardware and software
8. Recovery point objectives (RPO)
9. Recovery time objectives (RTO)

OTS requires the Contractor to establish a secondary off-site mirrored content storage device with immediate and automated rollover capabilities from the failed site to be used in case of a disaster or some other need determined by OTS. This includes being able to replicate the current document processing center as well as hardware and software necessary to run the production environment.

In addition, COOP should include a vital records plan to safeguard records that are essential to the continued functioning or reconstitution of a government entity. Plans should be tested on a regularly scheduled basis to validate their effectiveness and to identify areas that could be strengthened based on criteria provided by state during this process.

2.5.12 Mail Services

Describe how the Proposer will execute all mail related activities. In addition, describe the turnover of operations of the mail services in the event of a termination of the contract. The Proposer must provide in their Technical Proposal the timeline for delivery of documents into the repository or if available, the Enterprise Architecture EDMS. The Proposer should address where and how often mail will be picked up/delivered and the expected timeframes from receipt to availability of content into the repository. The electronic versions of the paper contents shall be available within (24) twenty-four hours of receipt at the Document Processing Center. The Proposer must show how mail will be tracked, including mail counts, from the time of mail receipt to input into the OnBase repository.

2.5.13 Project Expectations

Proposer shall address the following requirements in detail in their Technical Proposal. The Proposer should outline suggested expectations regarding roles and responsibilities for State staff and that the Proposer express in detail their understanding of responsibilities in the areas of Customization/Development, Implementation, Warranty, Training, and Deliverables.

2.5.14 Project Roles and Staffing

This section describes the key roles identified by OTS that shall be accommodated within the contractor's organizational structure. Consistent with the needs of OTS, the Contractor's assigned team must have prior experience in enterprise document capture solutions, including imaging, content management, system implementations, document processing center operations, and the proposed software solution products. Experience in each area must be accounted for on the team. At a minimum, OTS considers individuals acting in the following roles to be key personnel:

Proposer must address how they will staff their teams based on the following key project roles. Proposers shall provide resumes for the proposed key personnel to be assigned to this project, including those of subcontractors, if any:

- Project Manager
- Technical Architect
- DPC Operations Manager
- Conversion Manager
- Testing Manager
- Training Manager
- Business Continuity/Disaster Recovery Manager
- Document Imaging Subject Matter Expert (SME)

2.5.14.1 Project Manager

The Project Manager provides overall project management and coordination. Primary responsibilities are the development and maintenance of project work plans, identification and assignment of resources, coordination of project activities with OTS staff and with other vendors (i.e. Enterprise Architecture vendor and their subcontractors), and communication and presentation to stakeholders. The Project Manager must be within the Implementation Contractor's organizational chain of command with sufficient authority to acquire resources as needed to ensure project success. The Project Manager shall be on site for the life of the contract.

The Project Manager must meet the following minimum experience requirements:

- Seven (7) years of project management experience in systems development and implementation projects of similar scope and complexity.
- Five (5) years of project management experience in Web development or large scale SOA implementation projects.
- Three (3) years of experience in management of enterprise document capture including document imaging and content management, document processing center operations or department wide related projects.
- Experience in the management of projects in accordance with the proposed development methodology.
- Experience in the use of project management tools and techniques.
- Experience in dealing with a diverse set of people and ideas and demonstrating a spirit of openness, adaptability and willingness to work toward compromise when needed.
- Ability to contribute toward creating a harmonious results-oriented team.

2.5.14.2 DPC Operations Manager

The DPC Operations Manager is responsible for supervising the day to day operations of the document processing center, including all mailroom and indexing/data entry functions. This position will ensure that all performance standards are met and that a high level of customer service is provided to all internal and external customers, they will monitor customer escalations, issue trends and workload forecasting, and they will develop, track and monitor key Customer Service metrics to manage the organization effectively. The DPC Operations Manager shall be on site for the life of the contract.

The DPC Operations Manager must have the following minimum skills:

- Experience in large scale program and project management.
- Experience in operations management coordinating services and subcontractors' activities to meet scope, schedule and budget.
- Ability to make operational decisions in a fast paced, high stress environment.
- Ability to remain calm and exercise tact and diplomacy in researching and resolving customer complaints and in dealing with employees.
- Ability to work independently with limited management supervision.
- Must be detail-oriented and proficient in all areas of customer service, and possess strong inter-personal skills.
- Experience in communicating and working with clients.

2.5.14.3 Technical Architect

The Technical Architect is responsible for ensuring the technical feasibility and stability of the design and configuration of the application development environment, the software testing environment, and the project facility network infrastructure, and other technologies necessary to support the services described in this RFP. The Technical Architect must confirm that the system architecture not only meets the business program requirements, but also the IT requirements, particularly related to performance and maintainability. The Technical Architect shall be on site for the life of the contract.

The Technical Architect must have the following minimum skills:

- Five (5) years of experience in the implementation of large Web-based applications.
- Three (3) years of experience working with the technical tools proposed for use on the DICM.
- Strong understanding of application systems and technical infrastructures.
- Excellent communication and writing skills.
- Ability to contribute toward creating a harmonious results-oriented team.
- Experience and proficiency in mentoring staff.

2.5.14.4 Conversion Manager

The Conversion Manager is responsible for the creation of data purification, and conversion plans, identification of data requiring conversion and all systems requiring conversion, analysis, design, development, and testing of data conversion/transformation and conversion programs: data purification and conversion scheduling, including proper order of conversion elements and management of resources for conversion activities. The Conversion Manager shall be on site during the conversion phases of the project.

The Conversion Manager must have the following experience:

- Five (5) years previous experience working with converting multiple and multi-platform legacy systems into a single system.
- Three (3) years previous experience in the development of conversion cleanup reporting for staff utilization in data purification.
- Three (3) years successful management of the conversion of systems on previous projects of similar scope and complexity.
- Three (3) years in managing application development analysts and programmers coding conversion routines.
- Experience using the proposed development methodology and proposed data model for any proposed products.
- Ability to contribute toward creating a harmonious results-oriented team.
- Experience and proficiency in mentoring staff.

2.5.14.5 Testing Manager

Testing Manager is responsible for developing and managing all software verification and validation plans, activities and resources for unit testing, integration testing, system testing, regression testing, field testing, security testing, intrusion detection and vulnerability testing, temporal event testing and assisting the State in user acceptance testing. Testing activities shall be conducted on a variety of State hardware. Experience and knowledge of Rational Tools is required. Jira/JAMA experience and knowledge is desired for integration efforts into the EA EDMS. The Testing Manager shall be on site during the testing phases of the project.

The Software Testing Manager must have the following experience:

- Three (3) years' experience in the managing software testing activities on projects of similar scope and complexity.
- Successful completion of one (1) project as software testing manager.
- Three (3) years of experience using application development tools proposed for the DICM.
- Experience in creating software testing plans using automated planning tools.
- Experience in traceability of requirements to test cases and test scenarios.
- Experience in the proposed development methodology.
- Experience in managing application development analysts and programmers.
- Excellent verbal and written communication skills.
- Ability to contribute toward creating a harmonious results-oriented team.
- Experience and proficiency in mentoring staff.

2.5.14.6 Training Manager

The Training Manager is responsible for developing training plans, developing curricula and training material, presentation of training materials as required, managing and coordinating the activities of training Contractor staff, scheduling training classes, scheduling Contractor staff for training, and monitoring Contractor staff completion of training and obtaining feedback via surveys on the quality of the training and addressing issues identified from feedback received. The Training Manager shall be on site during the training phases of the project.

The Training Manager must have the following experience:

- Five (5) years of experience as a training manager on technology projects of similar scope and complexity.
- Experience developing a training program for human services related systems.
- Formal training in the development and delivery of training programs.
- Experience using the most current training methods in the industry, including web or computer based training, as well as instructor led classroom training.
- Experience in managing trainers and working with end users.
- Excellent verbal and written communication skills.
- Ability to contribute toward creating a harmonious results-oriented team.
- Experience and proficiency in mentoring staff.

2.5.14.7 Business Continuity/Disaster Recovery Manager

The Business Continuity/Disaster Recovery Manager is responsible for ensuring proper controls, processes, documentation, and standards are adhered to in order to use the system following a catastrophic event. Has overall responsibility for planning, developing and managing the business continuity processes and disaster recovery protocols to ensure timely, accurate and acceptable availability of system to meet agency requirements. The Business Continuity/Disaster Recovery Manager shall be on site during the implementation phase of the Business Continuity/Disaster Recovery portions of the project.

The Business Continuity/Disaster Recovery Manager must have the following experience:

- Five (5) years of experience developing, assessing, and conducting business continuity or disaster recovery processes on projects of similar scope and complexity.
- Formal training in business continuity and disaster recovery methodologies and techniques.
- Excellent written and communication skills.
- Ability to contribute toward creating a harmonious results-oriented team.
- Experience and proficiency in mentoring staff.

2.5.14.8 Document Imaging Subject Matter Expert

The Document Imaging Subject Matter Expert is responsible for ensuring proper controls, processes, documentation, and standards are adhered to in the Document Processing Center. Has overall responsibility for being the definitive source of knowledge, technique, or expertise in

document imaging. Will function as the organizational ambassador for the document imaging and content management knowledge area, and will use their expertise to support the agency's vision and strategic direction. The Document Imaging Subject Matter Expert Manager shall be on site for the life of the contract.

The Document Imaging Subject Matter Expert must have the following experience:

- Three (3) years of experience in enterprise document capture including document imaging and content management, or document processing center operations.
- Strong understanding of application systems and technical infrastructures used in DICM.
- Strong understanding of business processes used in DICM.
- Excellent written and communication skills.
- Ability to contribute toward creating a harmonious results-oriented team.
- Experience and proficiency in mentoring staff.

2.5.15 Requirements Validation

The Contractor will, in coordination with OTS, review and validate all DICM requirements listed in **Attachment 2** in addition to any related automated business re-engineering processes to identify gaps or inconsistencies. The Proposer shall describe their process for validating requirements.

2.5.16 Detailed Design

The Proposer will provide a detailed design of the DICM system, including:

- Information Repository – definitions of information types, document input formats, representation of multipage, multi-sheet documents; indexing modes and attributes; relationships; foldering, libraries, and numbering schemes. The Detailed Design Document would be necessary for Phase I. Phase II would utilize the EDMS as established by the EA. The Detailed Design for Phase II would be necessary should the EA EDMS become available and OTS and DCFS agree it would be in the best interest of the Department to move the information processed to the EA EDMS.
- System Architecture – The specification of servers, scanners, mass storage subsystems, software components and network interfaces necessary to implement the proposed solution successfully.
- Business Process Integration – Identification of tasks associated with integrating the proposed solution with an existing software application, including repository location and use of hierarchical storage management tools.
- Functions – How documents are created, scanned, revised, reviewed, managed, and administered using the proposed solution.

2.5.17 Conversion/Integration/Migration

This project may involve conversion, integration, and migration of paper case records and existing data and images from legacy document imaging system to the new EA EDMS.

DCFS has a current document processing contractor which deposits images into a proprietary repository (OnBase). Because it is critical for DCFS to have a DICM as soon as possible, the

Contractor will be required to migrate all data, images, and software tools from the current repository and/or backup/recovery repository to the Contractor's repository, DPC and backup/recovery repository (Phase 1 as previously described in Section 2.1), which would be prior to the integration with the EA EDMS. The intent is to transfer all images owned by DCFS to the EA EDMS within the Enterprise Architecture as soon as feasible and available and where OTS and DCFS agree to the feasibility of this conversion. As such, the Proposer's solution should include information on how this process will be handled. The EA EDMS is FileNet.

The current system in place is described in **Attachment 3**.

2.5.18 System Testing

The Proposer must describe in their Technical Proposal their approach for System Testing. The Contractor shall provide testing of all components of the DICM to ensure a fully functional system prior to cut-over/go-live. Testing will include all components, modules and functionality that is to be implemented for the DICM, and at different levels. (e.g. application, software, hardware, agency/program level, security, intrusion detection, vulnerability, performance and stress testing). The Contractor will consult with OTS (as the lead) in conjunction with DCFS to ensure that all aspects of the testing environment are ready. Conversion run tests from the existing system will be scheduled through OTS. Tests will be run during off peak hours, if needed to minimize network load. Each developed entity will be thoroughly tested by the Contractor before it is scheduled for user acceptance testing (UAT) with the State.

2.5.19 User Acceptance Testing (UAT)

The Proposer must describe in their Technical Proposal their approach for User Acceptance Testing. Each system module will undergo UAT by the State prior to production implementation. The Contractor is responsible for developing UAT testing scenarios. However, the State UAT team will test all aspects of the system, because the State is not limited to the Contractor's scenarios. The locations for UAT staff will be at the State's discretion. Upon formal State approval of a module's UAT, schedule will be determined with OTS for implementation into the production environment.

2.5.20 Implementation

The Proposer must provide in their Technical Proposal their plan to implement the DICM solution into production. The plan should include a detailed description of the factors necessary for a smooth deployment and transition to an operational production environment. It must encompass the process of preparing, installing, training, stabilizing, and transferring the solution to operations. This includes installation scenarios, monitoring for stability, and verifying the soundness of the new solution.

2.5.21 Systems & End User Documentation & Training

The Contractor shall provide system and department specific end user documentation and training to ensure the effective and successful use of the DICM solution. At a minimum, documentation will include user manuals and on-line help. For non-COTS (commercial-off-the-shelf) components and for the customized components of COTS systems, the Contractor is also responsible for providing sufficient system documentation to permit OTS application maintenance.

2.5.22 Support Services

Proposer must include a description of the proposed ongoing support, which will start upon the release of scheduled functionality in UAT and conclude at contract termination. Support includes licenses, help desk support, bug fixes, updates and releases. Contractor must guarantee that their proposed solution will comply and address all requirements throughout the entire support phase. Proposer must also address the following in their proposal:

- Identify the average response and defect resolution times. Provide examples of current measurements and metrics.
- Describe the process for providing application fixes and enhancements.
- Identify average turnaround times for fixes and enhancements.
- Describe how they will accommodate prioritization of new features and enhancements by the State.
- Identify an anticipated schedule for new releases and updates to any proposed COTS content management products.
- Confirm that the proposed solution shall include ongoing support services in a manner that all State and Federal regulatory requirements will be met.

2.5.23 Systems Maintenance & Ongoing Technical Support

The Contractor will be responsible for all hardware and software costs inclusive and not limited to licensing and maintenance required for system delivery and ongoing support until contract termination with OTS. OTS will provide the software and annual maintenance for the software programs listed in Section 2.5.23.1. The Contractor will provide system maintenance and ongoing technical support, including telephone, Web-based and /or onsite technical support. During the term of the contract, the following software and hardware maintenance services will be provided by the Contractor:

- All new releases of the software product(s),
- All software and hardware modifications, updates and revisions,
- All software and hardware system improvements,
- All functional problem resolutions to the software and hardware product(s),
- All software and hardware documentation modifications, updates and revisions.

2.5.23.1 Software Licenses and Annual Maintenance provided by OTS

The following software licenses will be provided to the Contractor for use in support of the Document Imaging and Content Management system:

- OnBase: v15.0.1.84 (Manufacturer Hyland Software)
- PSI Capture: v5.4.2.11(Manufacturer PSIGEN Software Inc.)
- PSI Fusion: v2.0.0.3.0 (Manufacturer PSIGEN Software Inc.)
- RightFax v10.6.0.330 RightFax Business Server (Manufacturer OpenText Corp.)

In addition to providing the use of the software licenses free of charge, OTS will provide the annual maintenance costs required to use the licenses.

2.5.24 Quality Control

In accordance with the written plan, the Contractor shall perform quality control on each scanned page to verify readability, de-skew, de-speckle, and preparation defects, and will rescan as necessary to correct all defects. The Proposer is required to submit the quality control plan with their proposal. The plan shall specify the level of checking performed, the pass/fail criteria, and the defect correction process.

2.5.25 Quality Assurance

Agencies will perform spot checks on each batch. In the event that there are illegible or damaged images (fuzzy, unclear, wrong orientation, miss-scanned or indexed) the Contractor shall incur the cost of reprocessing, and deliver the reprocessed documents within twenty-four (24) hours of notification.

2.5.26 Batch Identification (Batch-ID)

The Contractor shall identify a process for assigning batches with unique numbers. The numbering scheme shall provide proper identification of the batch during processing by the Contractor.

2.6 Project Management

The project will be managed by a project plan developed and maintained by the Contractor in close coordination and under approval of an OTS Project Manager. The Proposer shall provide a detailed Project Plan with the proposal in Microsoft Project format including timeline, tasks, key milestones and deliverables. The DICM project plan must be coordinated with OTS management to ensure integration, coordination, and a seamless implementation with other ongoing projects.

The Contractor shall designate a project manager who will be the primary contact for all project activities. OTS will also designate a project manager who will be the primary contact.

The OTS Project Manager, with the help of the project team, will be responsible for the following:

- Coordinating the reporting, review, and quality assurance process;
- Facilitating formal deliverable review;
- Facilitating the effective participation of State staff and external stakeholders;
- Monitoring the progress of all principal project participants;
- Facilitating the timely resolution of issues raised;
- Developing, with the Contractor's Project Manager, the agenda and topics for the monthly steering committee meetings and various quarterly/semi-annual advisory committee meetings;
- Scheduling the Project kick-off meeting and presenting the State project organization, staffing, and role and responsibility definition; and
- Reviewing the overall project work plan and schedule with the Contractor.
- Providing background and supporting documentation established by OTS/DCFS.

2.6.1 Progress and Status Reports

Throughout the project, the Contractor will be required to prepare weekly written progress reports as well as monthly status reports to the OTS Project Manager.

2.6.2. Weekly Progress Report

The weekly progress reports shall include a high level description of ongoing tasks and a list of action items that need immediate attention by OTS, the agency and/or Contractor's project team.

2.6.3 Monthly Status Report

The monthly status report shall be the formal document that updates the project plan indicating the status of the project with regards to the following:

- Description of progress made during the reporting period, outstanding risks, issues and recommendations for resolution;
- Results obtained from previously identified issues;
- Deliverables completed and accepted during the reporting periods;
- Identification/summarization of risks and impacts identified that may affect the project;
- Identification of the action and the person(s) responsible for mitigating the risk and resolving the problem;
- Identification of outstanding issues and recommendations that might impact technical requirements, cost and scheduling requirements, including tasks, and deliverables that have fallen behind schedule, the reason, corrective measures and timelines to get the project back on schedule;
- Provide metrics regarding schedule variance; and
- Provide schedule performance index.

2.6.4 Document Image Integrity

The Contractor's solution must allow the agencies served by OTS to use the document images in courts of law where defined in day-to-day business processes. Document images must have the ability to be viewed and printed as they were originally captured (e.g. without annotations, markups or other edits) as well as the appropriate audit trail to view any changes to metadata or other such fields. The Proposer should describe in their Technical Proposal how their solution will achieve this requirement.

2.7 Software Solution Requirements

Each Proposer should address how their proposed solution will meet the requirements listed in this section and in **Attachment 2**. The DICM will need to address the enterprise content management needs of the in-scope agencies should they participate in this line of service.

Proposers must address the following factors:

- **Document Capture:** Documents must be able to be captured via scanner, multifunction device, fax machine, mail server, online form, network directory, computer output and more. The capture environment must allow users to capture, process, store, and retrieve files in virtually any file format from virtually any source. Images must be able to be enhanced, manipulated and analyzed to ensure they are de-skewed, correctly orientated and unnecessary lines, borders, speckles and edge noise are removed, thus improving image quality and recognition results. Once the image has been properly enhanced, it should then be stored in the Electronic Document Management System (EDMS) which is a part of the Enterprise Architecture for OTS or the Phase I alternative, if not yet available. The solution must also allow authorized users remote and distributed document imaging functionality and the associated workflow (e.g. centralized indexing, routing of files, etc.) at field offices and a process for clients to email, fax or upload documents or other electronic content through a portal and the ability to process them accordingly.
- **Document Recognition:** Solution must employ capabilities for many flexible formats such as from a Scanning Station for Web based scanning and imaging, including Bar Code Recognition (BCR), Optical Character Recognition (OCR), Intelligent Character Recognition (ICR), and Intelligent Document Recognition (IDR) as well as 3rd party database lookups and must integrate with any TWAIN compliant scanner or Multi-Function Products (MFP). Barcode recognition support must be able to be conducted via software or hardware. OCR modules must be able to perform recognition on all text or on specified zones or pages or fields. Recognition engine must contain a built-in dictionary and the ability to create custom entries to assist in determining the accuracy of recognized words. The solution must also be able to accept remote services to capture application output such as print streams and reports from MVS, z/OS, Windows, Linux, and Unix platforms as well as remote uploads, direct fax, e-forms, email conversion, and direct data feed, including via data entry, web, and database interfaces. The required input types must be able to be configured to automatically initiate workflow capabilities to streamline data processing and service delivery.
- **Image Resolution and Color:** OTS requires a solution that supports images of varying resolutions with most images being captured at 200 DPI however higher resolutions are needed for Optical Character Recognition (OCR) processing. OTS also requires a solution that supports capture of color, grayscale, and black and white images, which can

be stored as TIFF, JPEG and PDF files. The solution shall have flexibility to make a color scanner capture a document in black and white or grayscale instead of color to minimize image storage requirements at the time of capture if desired. Conversely, OTS requires the ability to store selected digital images (for example photograph of abused child for DCFS) at the highest quality to provide the proper level of detail.

- **Image Quality:** Although it is understood that the key to image quality is the quality of the original documents and the scanner, OTS requires a solution that allows customizable hardware and software settings for resolution, page size, orientation, brightness, threshold detection, and duplex scanning in order to optimize the capture environment. Image enhancement functionality shall quickly identify and correct poor quality images before they are sent for storage in the EDMS repository. Image enhancement functionality should include capabilities such as de-skew and de-speckle, brightness, contrast, hole punch removal, black border removal, and cropping to improve the quality of images for easier reading by users.
- **Compression and Storage:** OTS requires a solution that supports compressed file formats. An integrated scanning function must create files in the widely accepted Group 4 TIFF format for lossless compression of image data, and then automatically decompresses such images when they are viewed or printed. The solution must import, store, route, display, print and export compressed formats. The solution must also support Operating System or device-level storage configurations, including disk compression technologies to ensure that maximum system performance is maintained. Solutions may use a variety of storage technologies, including RAID, Server Attached Storage, Storage Area Network (SAN), Network Attached Storage (NAS), optical jukebox, WORM drives, and hierarchical storage management (HSM). In addition, solution must support the ability to archive objects to third-party storage solutions such as an EMC Centera and can be used with third-party backup software and hardware for secure offline backup. Solution must have the ability to store unlimited amounts of object data, based on the capacity of storage devices available. Captured documents and other types of electronic content (e.g. audio and video files) may be stored as a series of directories and subdirectories containing documents within a variety of online, near-line, and offline storage options. Metadata for each document must include a unique document identification number, capture/linking/modification history; file properties, workflow history and status, document indexes, user privileges, and the path locations for associated documents. Proper encryption to enhance security is required.
- **Indexing:** OTS requires a solution that provides a powerful indexing structure that permits the organization and representation of documents in a variety of flexible ways to support business and organizational storage and retrieval requirements. Where practical, no repetitive keying should be necessary to index documents. Solutions should support index formats including bar code, batch sequence, date/time, empty, literal, ICR, OCR zone, pre-defined list, serial number, unique ID, user entry, user name and coded script. Automatic indexing methods must be employed when available to reduce indexing errors and duplicate field entries. The solution should address a process for dealing with orphaned records as well as duplicate documents. Indexing through e-mail and fax capture functions should automatically index items they receive. Once a document is captured (scanned or imported), the solution must be able to link and associate the document or electronic content with record(s) in the relevant legacy systems. When linking is done manually, the solution must support the ability to assign index values such as document type by allowing the user to select from a drop-down list and thus no keying is required. The Contractor along with OTS and the participating agencies will produce an indexing schema for each Department or agency during the appropriate phase of the project.

- **Image/Content Retrieval:** OTS requires a solution that integrates with the legacy systems in such a manner that the relevant content is provided as a link on the page from which the user is seeking the content. Additionally, the solution must provide the ability to search for specific content by a variety of means. Similarly, the solution must employ workflow processes to route content to a designated workflow queue or user(s). Thus content is easily delivered to the user with appropriate alerts such as a flashing icon, audible alarms, message alerts or e-mail notifications to make users aware of when items arrive in a specific queue or of other statuses, ensuring that items will be acknowledged and processed efficiently upon arrival.
- **Content Management:** OTS requires a solution that provides the capability to create time and event-based retention policies using ordinary language to define rules in accordance with unique business requirements. This retention management functionality must be presented within a user-friendly policy design and allow retention policies to be applied in accordance to multiple business rules, ensuring all new documents captured in the system are stored instantly under the correct policy. Functionality must be able to allow the user to apply holds and require approvals to prevent unintended modifications or deletions, and use audit functionality to track actions within the system and produce a chain of custody for all information. Furthermore, the system must be capable of tracking physical documents to display the exact location of a box, folder or document.
- **Security** - Security mechanisms for the DICM solution must comply with State OTS security standards. The ability to perform specific tasks related to this solution must be associated with specific job functions. This solution must also support limiting the viewing of documents to the appropriate party, such as confidential cases or documents. The solution must also allow for an unlimited view capability for designated users. The Contractor is responsible for configuration and integration of the security required to support the DICM Solution.

PART III: EVALUATION

The evaluation committee shall assign points to its evaluation of each Proposal as follows:

Evaluation Criteria	Possible Points
Financial Proposal (Section 3.1)	
DICM Costs	36
EA Integration Costs	4
Technical Proposal (Section 3.2)	60
Total Possible Points	100

The proposal will be evaluated in light of the material and the substantiating evidence presented to the State, not on the basis of what may be inferred.

The scores for the Financial and Technical Proposals will be combined to determine the overall score. The Proposer with the highest overall score will be recommended for award.

A sealed cost model will be used for award evaluation purposes. The evaluation model shall be sealed and shall be available to all Proposers immediately after the proposal opening. No further information as to the content will be given out prior to proposal opening. If you are unable to attend the proposal opening, please contact Janelle Brown at (225) 219-7839 or email Janelle.brown@la.gov to obtain a copy of the sealed cost model.

3.1 Financial Proposal

Prices proposed by the Proposers shall be submitted on the price schedule furnished in **Attachment 8**. Prices proposed shall be firm.

The information provided in response to this section will be used in the Financial Evaluation to calculate lowest evaluated cost.

There will be two (2) scores weighted independently to determine the overall Proposed Cost. The first score includes the overall DICM costs while the second score includes costs associated to the EA Integration.

Proposer shall fill out the DICM Cost Worksheet (Attachment 8) as follows:

1. **Phase I** - Enter the cost per page/document for each of the DICM tasks that occur **Pre-Enterprise Architecture Integration** under the monthly range columns:
 - a. Mail Prep Services
 - b. Scanning Services
 - c. Indexing Services
 - d. Storage Services
 - e. Destruction Services
 - f. Post Mail Processing

2. **Phase II** – Enter the cost per page/document for each of the DICM tasks that occur Post-Enterprise Architecture Integration under the monthly range columns:
 - a. Mail Prep Services
 - b. Scanning Services
 - c. Indexing Services
 - d. Destruction Services
 - e. Post Mail Processing

The above financial criteria will be evaluated by multiplying the Proposer's cost per page/document by the weighted value assigned by the State. The Pre and Post Integration scores will then be assigned separate percentages and added together to determine the Proposer's overall DICM cost. The overall DICM cost will then be used in the following equation to determine the score for the DICM cost.

A Proposer's cost score for DICM Costs will be based on the cost information provided in **Attachment 8** and computed as follows:

$$BCS = (LPC/PC \times FPP)$$

Where: BCS = Computed cost score (points) for proposer being evaluated
 LPC = Lowest proposed cost of all proposers
 PC = Total cost of proposer being evaluated
 FPP = Financial Proposal Points

Proposers shall fill out the EA Integration Cost Worksheet as follows:

1. Enter the hourly rate to be billed for the IT Job Categories provided for a conversion into OTS' Enterprise Architecture for the following:
 - a. Project Manager, Conversion Manager
 - b. Technical Architect
 - c. Document Imaging Subject Matter Expert

The above financial criteria will be evaluated by multiplying the Proposer's hourly rate by the Estimated Hours for Conversion to come up with a Total Estimated Cost for each IT Job Category. The Total Estimated Costs for each IT Job Category will then be added together to obtain the Total Cost of Conversion. This Total Cost of Conversion will then be used in the following equation to determine the score for the EA Integration Cost.

A Proposer's cost score for EA Integration Costs will be based on the cost information provided in **Attachment 8** and computed as follows:

$$BCS = (LPC/PC \times FPP)$$

Where: BCS = Computed cost score (points) for proposer being evaluated
 LPC = Lowest proposed cost of all proposers
 PC = Total cost of proposer being evaluated
 FPP = Financial Proposal Points

3.2 Technical Proposal – 60 Points

The following criteria are of importance and relevance to the evaluation of this RFP and will be used by the Evaluation Committee in the evaluation of the technical proposal. Such factors may include but are not limited to:

- **Qualified Proposer**
- **Past Performance**
- **Approach and Methodology**
- **Staff Competencies**

3.2.1 Qualified Proposer – 15 Points

Points will be assigned based on Qualifications of Proposer using a consensus-based evaluation process. Areas to be evaluated include but are not limited to the depth and relevance of Proposer's experience in document imaging and content management; experience in the public sector; and the firm's financial strength, stability, and integrity.

3.2.2 Past Performance – 15 Points

Points will be assigned based on Past Performance using a consensus-based evaluation process. Areas to be evaluated include but are not limited to the Proposer's experience in similar document processing center environments of similar size and scope.

3.2.3 Approach and Methodology – 20 Points

Points will be assigned based on Approach and Methodology using a consensus-based evaluation process. Areas to be evaluated include but are not limited to the comprehensive solutions that are based on an understanding of the current DPC infrastructure and systems environment. These solutions need to include how the Proposer will provide the scope and breadth of services that are responsive to the present and future needs of DCFS while considering the proposed implementation schedule.

3.2.4 Staff Competencies – 10 Points

Points will be assigned based on Staff Competency descriptions of the proposed staff for the Project Roles and Staffing, using a consensus-based evaluation process. Areas to be evaluated include but are not limited to the depth and relevance of Proposer's proposed staff, as referenced in Section 2.5.14 - Project Roles and Staffing. Proposals that do not provide firm commitments of the Proposed Staff, should expect to receive lower scores than proposals that provide firm commitments of the Proposed Staff.

PART IV: PERFORMANCE STANDARDS

4.1 Performance Requirements

The minimum performance standards for the system are described below. Response time will be measured when the system is available and it must be available for use by users twenty four (24) hours per day seven (7) days per week.

- Exception handling procedures to be used during the conversion must achieve a daily 99 percent confidence rate of index accuracy. All documents must be entered using double key data entry to assure at least 99 percent accuracy rate. Corrections that require re-indexing will be at the Contractor's expense.
- All document edges shall be visible in the image. Documents will be scanned so that there is no data loss from folded corners or other obstructions that cover information on the documents.
- The image shall not be skewed more than 0.5 degrees from parallel with the longitudinal axis of the image. Skew is measured from the two (2) corners of the documents image parallel to the longitudinal edge.
- Contractor shall be responsible for verifying the accuracy and legibility of all scanned images.
- Work that is not satisfactory, as determined by DCFS, shall be reworked by the Contractor at their expense.
- 100 percent of all images scanned and transmitted into the EDMS or alternate solution must be readable and of equal or greater quality than the original document.
- Images must be rendered within a three (3) second response time per page. This performance standard applies only to the components and solutions that are provided by the Contractor.
- Images that are electronically submitted will be available to users within four (4) hours or less.
- Documents scanned will be available in electronic version within twenty-four (24) hours of receipt.
- The Contractor will be responsible for ensuring that the system will have an uptime 99 percent of the time measured by any twenty-four (24) contiguous hours.
- The Contractor will be responsible for responding to any agency requests within twenty-four (24) hours of issuance by the agency.
- 100 percent of the electronic documents that enter the system will be scanned for virus, spyware, and malware to ensure contents integrity and mitigate likelihood of system corruption.

4.2 Performance Measurement/Evaluation

To measure the performance of the components and solutions provided by the Contractor, a test user environment consisting of standard PCs will be set up in close proximity to the production servers. Test scenarios simulating a single user performing tasks in a basic workflow will be created to measure the response time from the test user environment to the production system. These scenarios will be measured against the Service Level Agreements detailed in **Attachment 5**. The Contractor will have the ability to review the test scenarios, test user environment, and the failure criteria for the test scenarios before the test scenarios are used to determine compliance with the response time performance standard. By utilizing the test user environment, the network delays outside of the Contractor's control will not be measured. The test user environment will be used to execute the test scenarios. If the test scenarios fail, the Contractor will be notified that the response time standard is not being met.

Attachment 1: SAMPLE GENERIC CONTRACT

STATE OF LOUISIANA
PARISH OF _____

File No. _____
Solicitation No. _____

(NAME OF CONTRACT)

1. CONTRACT

Be it known, that effective upon approval by the Director of State Procurement, as evidenced by the Director's signature on this document, the *(Agency Name)* (hereinafter sometimes referred to as "State") and *(Contractor's name and legal address including zip code)* (hereinafter sometimes referred to as "Contractor") do hereby enter into contract under the following terms and conditions.

2. SCOPE OF SERVICE

Contractor hereby agrees to furnish the following services:

(If the Scope of Services is more lengthy than will fit here, it may be attached separately, referenced and incorporated herein.)

2.1. PERFORMANCE REQUIREMENTS

2.3. PERFORMANCE MEASUREMENT/EVALUATION

2.4. VETERAN-OWNED AND SERVICE-CONNECTED DISABLED VETERAN-OWNED SMALL ENTREPRENEURSHIPS (VETERAN INITIATIVE) AND LOUISIANA INITIATIVE FOR SMALL ENTREPRENEURSHIPS (HUDSON INITIATIVE) PROGRAMS REPORTING REQUIREMENTS

During the term of this contract and at expiration, the Contractor will be required to report Veteran-Owned and Service-Connected Disabled Veteran-Owned and Hudson Initiative small entrepreneurship subcontractor or distributor participation and the dollar amount of each.

3. CONTRACT MODIFICATIONS

No amendment or variation of the terms of this contract shall be valid unless made in writing, signed by the parties and approved as required by law. No oral understanding or agreement not incorporated in the contract is binding on any of the parties.

Changes to the contract include any change in a) compensation; b) beginning/ending date of the contract; c) scope of work; and/or d) Contractor change through the assignment of contract process. Any such changes, once approved, will result in the issuance of an amendment to the contract.

4. FUND USE

Contractor agrees not to use contract proceeds to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority. This provision shall not prevent the normal dissemination of

factual information relative to a proposition on any election ballot or a proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority.

5. HEADINGS

Descriptive headings in this contract are for convenience only and shall not affect the construction of this contract or meaning of contractual language.

6. PAYMENT TERMS

The Contractor shall invoice the State Agency directly and payment shall be made by the State Agency directly to the Contractor in accordance with the payment terms agreed to in this Contract.

7. LATE PAYMENTS

Interest due by the State Agency for late payments shall be in accordance with La. R.S. 39:1695 at the rates established in La. R.S. 13:4202.

8. DELIVERABLES

Contractor will deliver the item(s) or service(s) as described below (or per the attached) per the following schedule.

9. TAXES

Contractor agrees that all applicable taxes are included in the schedule pricing. State agencies are exempt from all State and local sales and use taxes.

10. TERMINATION

10.1. TERMINATION OF THIS CONTRACT FOR CAUSE

The State may terminate this contract for cause based upon the failure of Contractor to comply with the terms and/or conditions of the contract, or failure to fulfill its performance obligations pursuant to this contract, provided that the State shall give the Contractor written notice specifying the Contractor's failure. If within thirty (30) days after receipt of such notice, the Contractor shall not have corrected such failure or, in the case of failure which cannot be corrected in thirty (30) days, begun in good faith to correct such failure and thereafter proceeded diligently to complete such correction, then the State may, at its option, place the Contractor in default and the contract shall terminate on the date specified in such notice.

The Contractor may exercise any rights available to it under Louisiana law to terminate for cause upon the failure of the State to comply with the terms and conditions of this contract, provided that the Contractor shall give the State written notice specifying the State's failure and a reasonable opportunity for the State to cure the defect.

10.2. TERMINATION OF THIS CONTRACT FOR CONVENIENCE

The State may terminate this Contract at any time by giving thirty (30) days written notice to the Contractor of such termination or negotiating with the Contractor an effective date.

The Contractor shall be entitled to payment for deliverables in progress, to the extent work has been performed satisfactorily.

10.3. TERMINATION FOR NON-APPROPRIATION OF FUNDS

The continuation of this contract is contingent upon the appropriation of funds to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act or Title 39 of the Louisiana Revised Statutes of 1950 to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.

11. OWNERSHIP

All records, reports, documents, or other material related to this contract and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of State, and shall, upon request, be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

All records, reports, documents and other material delivered or transmitted to Contractor by the State shall remain the property of the State, and shall be returned by Contractor to the State at Contractor's expense, at termination or expiration of this contract.

12. USE OF AGENCY'S FACILITIES

Any property of the State furnished to the Contractor shall, unless otherwise provided herein, or approved by the State and/or Agency, be used only for the performance of this contract.

The Contractor shall be responsible for any loss or damage to property of the State and/or State Agency which results from willful misconduct or lack of good faith on the part of the Contractor or which results from the failure on the part of the Contractor to maintain and administer that property in accordance with sound management practices, to ensure that the property will be returned to the State and/or State Agency in like condition, except for normal wear and tear, to that in which it was furnished to the Contractor. Upon the happening of loss, or destruction of, or damage to property of the State, the Contractor shall notify the State thereof and shall take all reasonable steps to protect that property from further damage.

The Contractor shall surrender to the State and/or State Agency all property of the State and/or State Agency prior to settlement upon completion, termination, or cancellation of this contract. All reference to the Contractor under this section shall include any of its employees, agents, or subcontractors.

13. WAIVER

Waiver of any breach of any term or condition of this contract shall not be deemed a waiver of any prior or subsequent breach. No term or condition of this contract shall be held to be waived, modified or deleted except by the written consent of both parties.

14. WARRANTIES

Contractor warrants that all services shall be performed in a workmanlike manner, and according to its current description (including any completion criteria) contained in the scope of work.

This paragraph may only apply when software is involved.

No Surreptitious Code Warranty. Contractor warrants that Contractor will make all commercially reasonable efforts not to include any Unauthorized Code in the software provided hereunder. "Unauthorized Code" means any virus, Trojan horse, worm or other software routine or component designed to permit unauthorized access to disable, erase, or otherwise harm software, equipment, or data, or to perform any other such actions. Excluded from this prohibition are identified and State-authorized features designed for purposes of maintenance or technical support.

Contractor further warrants that it has the right to provide and or license its product to the State and that it will operate in accordance with this contract. In the event of a material failure of Contractor's product to function and operate, and/or failure by the Contractor to perform its obligations, in accordance with the terms and conditions of the contract that results in the termination of the contract for cause by the State, the State will not be obligated to compensate the Contractor of any costs incurred by Contractor.

Extent of Warranty: THESE WARRANTIES REPLACE ALL OTHER WARRANTIES, EXPRESS OR IMPLIED, INCLUDING THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE

15. INDEMNIFICATION AND LIMITATION OF LIABILITY

Neither party shall be liable for any delay or failure in performance beyond its control resulting from acts of God or force majeure. The parties shall use reasonable efforts to eliminate or minimize the effect of such events upon performance of their respective duties under this contract.

Contractor shall be fully liable for the actions of its agents, employees, partners or subcontractors and shall fully indemnify and hold harmless the State from suits, actions, damages and costs of every name and description relating to personal injury and damage to real or personal tangible property caused by Contractor, its agents, employees, partners or subcontractors in the performance of this contract, without limitation; provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the State.

Contractor will indemnify, defend and hold the State harmless, **without limitation**, from and against any and all damages, expenses (including reasonable attorneys' fees), claims judgments, liabilities and costs which may be finally assessed against the State in any action for infringement of a United States Letter Patent with respect to the Products, Materials, or Services furnished, or of any copyright, trademark, trade secret or intellectual property right, provided that the State shall give the Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of Contractor. Where a dispute or claim arises relative to a real or anticipated infringement, the State may require Contractor, at its sole expense, to submit such information and documentation, including formal patent attorney opinions, as the Commissioner of Administration shall require.

The Contractor shall not be obligated to indemnify that portion of a claim or dispute based upon: (i) State's unauthorized modification or alteration of a Product, Material, or Service; (ii) State's use of the Product, Material, or Service in combination with other products, materials, or services not furnished by Contractor; (iii) State's use in other than the specified operating conditions and environment.

In addition to the foregoing, if the use of any item(s) or part(s) thereof shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its own expense and sole discretion as the State's exclusive remedy to take action no later than six (6) months after the issuance of an injunction in the following order of precedence: (i) to procure for the State the right to continue using such item(s) or part (s) thereof, as applicable; (ii) to modify the component so that it becomes non-infringing equipment of at least equal quality and performance; or (iii) to replace said item(s) or part(s) thereof, as applicable, with non-infringing components of at least equal quality and performance, or (iv) if none of the foregoing is commercially reasonable, then provide monetary compensation to the State up to the dollar amount of the Contract. Any injunction that is issued against the State which prevents the State from utilizing the Contractor's product in excess of six (6) months and for which the Contractor has not obtained for the State or provided to the State one of the alternatives set forth in the foregoing sentence is cause for the State to terminate the Contract. In the event of such termination, the State will not be obligated to compensate the Contractor for any costs incurred by the Contractor.

For all other claims against the Contractor where liability is not otherwise set forth in the contract as being "without limitation", and regardless of the basis on which the claim is made, Contractor's liability for direct damages, shall be the greater of \$100,000, the dollar amount of the Contract, or two (2) times the charges for services rendered by the Contractor under the Contract. Unless otherwise specifically enumerated herein mutually agreed between the parties, neither party shall be liable to the other for special, indirect or consequential damages, including lost data or records (unless the Contractor is required to back-up the data or records as part of the work plan), even if the party has been advised of the possibility of such damages. Neither party shall be liable for lost profits, lost revenue or lost institutional operating savings.

The State may, in addition to other remedies available to them at law or equity and upon notice to the Contractor, retain such monies from amounts due Contractor, or may proceed against the performance and payment bond, if any, as may be necessary to satisfy any claim for damages, penalties, costs and the like asserted by or against them.

16. INSURANCE AND BONDS

16.1. INSURANCE

Contractor will be required to provide the State of Louisiana with Certificates of adequate insurance indicating coverage required, *(in accordance with Section(s) _____ of the RFP)*. The Contractor shall maintain the insurance for the full term of this contract. Failure to comply shall be grounds for termination of this contract.

16.2. PERFORMANCE BOND

Contractor shall provide a Performance Bond (Surety Bond) in the amount of _____ dollars (\$_____) to insure the successful performance under the terms and conditions of this Contract. The performance bond shall be written by a surety or insurance company

currently on the U.S. Department of the Treasury Financial Management Services list of approved bonding companies which is published annually in the Federal Register, or by a Louisiana domiciled insurance company with at least an A-rating in the latest printing of the A.M. Best's Key Rating Guide to write individual bonds up to 10 percent of policyholder's surplus as shown in the A.M. Best's Key Rating Guide or by an insurance company that is either domiciled in Louisiana or owned by Louisiana residents and is licensed to write surety bonds.

No surety or insurance company shall write a performance bond which is in excess of the amount indicated as approved by the U.S. Department of the Treasury Financial Management Service list or by a Louisiana domiciled insurance company with an A-rating by A.M. Best up to a limit of 10 percent of policyholders' surplus as shown by A.M. Best; companies authorized by this Paragraph who are not on the treasury list shall not write a performance bond when the penalty exceeds 15 percent of its capital and surplus, such capital and surplus being the amount by which the company's assets exceed its liabilities as reflected by the most recent financial statements filed by the company with the Department of Insurance.

In addition, any performance bond furnished shall be written by a surety or insurance company that is currently licensed to do business in the State of Louisiana.

The Contractor shall maintain the performance bond for the full term of this contract. Failure to comply shall be grounds for termination of this contract.

16.3. FIDELITY BOND

The Contractor shall be required to provide a Fidelity Bond in the amount of \$_____ to protect the State from loss resulting from acts of crime or fraud perpetrated either by the Contractor, its agents or subcontractors or against the Contractor, its agents or subcontractors. The Department of _____ shall be the named beneficiary.

The fidelity bond furnished shall be written by a surety or insurance company that is currently licensed to do business in the State of Louisiana. The Contractor shall maintain the performance bond for the full term of this contract. Failure to comply shall be grounds for termination of this contract.

17. LICENSES AND PERMITS

Contractor shall secure and maintain all licenses and permits, and pay inspection fees required to do the work required to complete this contract, if applicable.

18. SEVERABILITY

If any term or condition of this contract or the application thereof is held invalid, such invalidity shall not affect other terms, conditions or applications which can be given effect without the invalid term, condition or application; to this end the terms and conditions of this contract are declared severable.

19. SUBCONTRACTORS

The Contractor may enter into subcontracts with third parties for the performance of any part of the Contractor's duties and obligations. In no event shall the existence of a subcontract operate to release or reduce the liability of the Contractor to the State and/or State Agency for any breach

in the performance of the Contractor's duties. The Contractor will be the single point of contact for all subcontractor work.

20. SUBSTITUTION OF PERSONNEL

If, during the term of this contract, the Contractor or subcontractor cannot provide the personnel as proposed and requests a substitution, that substitution shall meet or exceed the requirements stated herein. A detailed resume of qualifications and justification is to be submitted to the State for approval prior to any personnel substitution. It shall be acknowledged by the Contractor that every reasonable attempt shall be made to assign the personnel listed in the Contractor's proposal.

The State shall reserve the right to require removal and replacement of any Contract personnel whose performance it considers unacceptable.

21. ASSIGNMENT

Contractor shall not assign any interest in this contract by assignment, transfer, or novation, without prior written consent of the State. This provision shall not be construed to prohibit the Contractor from assigning his bank, trust company, or other financial institution any money due or to become due from approved contracts without such prior written consent. Notice of any such assignment or transfer shall be furnished promptly to the State.

22. CODE OF ETHICS

The Contractor acknowledges that Chapter 15 of Title 42 of the Louisiana Revised Statutes (La. R.S. 42:1101 et. seq., Code of Governmental Ethics) applies to the Contracting Party in the performance of services called for in this contract. The Contractor agrees to immediately notify the State if potential violations of the Code of Governmental Ethics arise at any time during the term of this contract.

23. CONFIDENTIALITY

The following provision will apply unless the State agency statement of work specifically indicates that all information exchanged will be non-confidential:

All financial, statistical, personal, technical and other data and information relating to the State's operations which are designated confidential by the State and made available to the Contractor in order to carry out this contract, shall be protected by the Contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the State. The identification of all such confidential data and information as well as the State's procedural requirements for protection of such data and information from unauthorized use and disclosure shall be provided by the State in writing to the Contractor. If the methods and procedures employed by the Contractor for the protection of the Contractor's data and information are deemed by the State to be adequate for the protection of the State's confidential information, such methods and procedures may be used, with the written consent of the State, to carry out the intent of this paragraph. The Contractor shall not be required under the provisions of the paragraph to keep confidential any data or information, which is or becomes publicly available, is already rightfully in the Contractor's possession, is independently developed by the Contractor outside the scope of the contract, or is rightfully obtained from third parties.

24. CONTRACT CONTROVERSIES

Any claim or controversy arising out of this contract shall be resolved by the provisions of Louisiana Revised Statute 39:1671-1673.

25. RIGHT TO AUDIT

The State Legislative auditor, federal auditors and internal auditors of the Division of Administration, or others so designated by the DOA, shall have the option to audit all accounts directly pertaining to the contract for a period of five (5) years from the date of final payment or as required by applicable State and Federal Law. Records shall be made available during normal working hours for this purpose.

26. CONTRACTOR'S CERTIFICATION OF NO FEDERAL SUSPENSION OR DEBARMENT

Contractor has a continuing obligation to disclose any suspensions or debarment by any government entity, including but not limited to General Services Administration (GSA). Failure to disclose may constitute grounds for suspension and/or termination of this Contract and debarment from future contracts.

27. CONTRACTOR'S COOPERATION/CLOSE-OUT

The Contractor has the duty to fully cooperate with the State and provide any and all requested information, documentation, etc. to the State when requested. This applies even if this Contract is terminated and/or a lawsuit is filed. Specifically, the Contractor shall not limit or impede the State's right to audit or to withhold State owned documents.

28. COMMISSIONER'S STATEMENTS

Statements, acts and omissions made by or on behalf of the Commissioner of Administration regarding the RFP or RFP process, this Contract, any Contractor and/or any subcontractor of the Contractor shall not be deemed a conflict of interest when the Commissioner is discharging his duties and responsibilities under law, including, but not limited, to the Commissioner of Administration's authority in procurement matters.

29. SECURITY

Contractor's personnel will comply with all security regulations in effect at the State's premises, the Information Security Policy at <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx> and externally for materials and property belonging to the State or to the project. Where special security precautions are warranted (e.g., correctional facilities), the State shall provide such procedures to the Contractor, accordingly. Contractor is responsible for promptly reporting to the State any known breach of security.

30. TERM OF CONTRACT

This Contract is effective upon OSP approval and will end no later than *<length of term specified in the RFP>*, unless otherwise terminated in accordance with the Termination provision of this Contract. The State has the option, upon acceptance by the Contractor, to extend for *<extension language as specified in the RFP>*.

31. COMMENCEMENT OF WORK

No work shall be performed by Contractor and the State shall not be bound until such time as this Contract is fully executed between the State and the Contractor and all required approvals are obtained.

32. E-VERIFY

Contractor acknowledges and agrees to comply with the provisions of La. R.S. 38:2212.10 and federal law pertaining to E-Verify in the performance of services under this Contract.

33. COMPLIANCE WITH CIVIL RIGHTS LAWS

The Contractor agrees to abide by the requirements of the following as applicable: Title VI and Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, Federal Executive Order 11246 as amended, the Federal Rehabilitation Act of 1973 as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, the Fair Housing Act of 1968 as amended, and Contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

Contractor agrees not to discriminate in its employment practices, and will render services under this contract without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, veteran status, political affiliation, disability or age in any matter relating to employment. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this contract.

34. RECORD RETENTION

The Contractor shall maintain all records in relation to this contract for a period of at least five (5) years after final payment.

35. ANTI-KICKBACK CLAUSE

The Contractor hereby agrees to adhere to the mandate dictated by the Copeland "Anti-Kickback" Act which provides that each Contractor or subgrantee shall be prohibited from inducing, by any means, any person employed in the completion of work, to give up any part of the compensation to which he is otherwise entitled.

36. CLEAN AIR ACT

The Contractor hereby agrees to adhere to the provisions which require compliance with all applicable standards, orders or requirements issued under Section 306 of the Clean Air Act which prohibits the use under non-exempt Federal contracts, grants or loans of facilities included on the EPA list of Violating Facilities.

37. ENERGY POLICY AND CONSERVATION ACT

The Contractor hereby recognizes the mandatory standards and policies relating to energy efficiency which are contained in the State energy conservation plan issued in compliance with the Energy Policy and Conservation Act (P.L. 94-163).

38. CLEAN WATER ACT

The Contractor hereby agrees to adhere to the provisions which require compliance with all applicable standards, orders, or requirements issued under Section 508 of the Clean Water Act which prohibits the use under non-exempt Federal contracts, grants or loans of facilities included on the EPA List of Violating Facilities.

39. ANTI-LOBBYING AND DEBARMENT ACT

The Contractor will be expected to comply with Federal statutes required in the Anti-Lobbying Act and the Debarment Act.

40. GOVERNING LAW

This Contract shall be governed by and interpreted in accordance with the laws of the State of Louisiana, including but not limited to La. R.S. 39:1551-1736 (Louisiana Procurement Code) and La. R.S. 39:196-200 (Information Technology Procurement Code), if applicable; purchasing rules and regulations; executive orders; standard terms and conditions; special terms and conditions; and specifications listed in the RFP; and this contract. Venue of any action brought with regard to this Contract shall be in the Nineteenth Judicial District Court, parish of East Baton Rouge, State of Louisiana.

41. INDEPENDENT ASSURANCES

The State of Louisiana/*Insert agency name* will require the Contractor and/or subcontractors, if performing a key internal control, to provide some form of assurances that internal controls over the process being administered by the contractor for the user agency is operating properly. The assurances provided by the contractor may be in the form of SOC reports resulting from independent SSAE 16 reviews of internal controls, quality assurance reports or other financial and performance audits from outside companies to assure both the financial viability of the (outsourced) program and the operational viability, including the policies and procedures placed into operation. If an SSAE 16 review is required, the audit firm will conduct tests of the contractor's activities and render an independent opinion on the operating effectiveness of the controls and procedures.

Other forms of assurances may be required by the State Agency. The Contractor may be required to provide a quality control plan, such as third party Quality Assurance (QA), Independent Verification and Validation (IV & V), or other internal project/program reviews or audits.

These audits and/or assurances will require the Contractor to provide any assistance, records access, information system access, staff access, and space access to the party selected to perform the indicated audit. If a SSAE 16 review or audit is required of the contractor, the audit firm will submit to the State Agency and/or Contractor a final report on controls placed in operations for the project and include a detailed description of the audit firm's tests of the operating effectiveness of controls.

The Contractor shall supply the State Agency with an exact copy of the report within thirty (30) calendar days of completion. When required by the State Agency, such audits may be performed annually during the term of the Contract. The Contractor shall agree to implement recommendations as suggested by the audits within three (3) months of report issuance at no

cost to the State Agency. The cost of the SSAE 16 audit is to be borne by the Contractor and it was included in the cost proposed in response to the RFP.

42. COMPLETE CONTRACT

This is the complete Contract between the parties with respect to the subject matter and all prior discussions and negotiations are merged into this contract. This contract is entered into with neither party relying on any statement or representation made by the other party not embodied in this contract and there are no other agreements or understanding changing or modifying the terms. This Contract shall become effective upon final statutory approval.

43. ORDER OF PRECEDENCE

The Request for Proposals (RFP), dated _____, and the Contractor's Proposal dated _____, are attached hereto and, incorporated into this Contract as though fully set forth herein. In the event of an inconsistency between this Contract, the RFP and/or the Contractor's Proposal, unless otherwise provided herein, the inconsistency shall be resolved by giving precedence first to this Contract, then to the RFP and finally, the Contractor's Proposal.

THUS DONE AND SIGNED AT _____ on this ___ day of _____ 20___, and, IN WITNESS WHEREOF, the parties have executed this Contract.

WITNESSES SIGNATURES:

CONTRACTOR SIGNATURE:

Contractor's Name: _____

Contractor's Title: _____

WITNESSES SIGNATURES:

State of Louisiana, Office of Technology Services
STATE AGENCY SIGNATURE:

Date: _____

Agency's Name: Richard Howze

Agency's Title: Chief Information Officer

WITNESSES SIGNATURES:

State of Louisiana, Division of Administration
STATE AGENCY SIGNATURE:

Date: _____

Agency's Name: *type name*

Agency's Title: Deputy Commissioner

State of Louisiana, Division of Administration

ATTACHMENT 2 DCFS DICM FUNCTIONAL REQUIREMENTS

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sbl Component	Comments
1	Document Capture	The system shall support a variety of data capture methods; scanners, multifunctional devices, fax machines, mail servers, online forms, network directory, computer output and print streams.	DC,DPC,RR	PSI-C,PSI-DC,OB	
2	Document Capture	The system shall have the ability to capture envelope information.	DC,DPC,RR	OB	
3	Document Capture	The system shall use non-proprietary file formats for both work-in-progress and long-term archival storage.	DC,DPC,RR	PSI-C,PSI-DC,OB	
4	Document Capture	The system shall support a minimum resolution of 200 dots per inch (dpi).	DC,DPC,RR	PSI-C,PSI-DC,OB	
5	Document Capture	The system shall retain colors used in specific document types.	DC,DPC	PSI-C,PSI-DC	
6	Document Capture	The system shall store document images so they are compatible with other existing and future systems.	RR	OB	
7	Document Capture	The system shall support different types and sizes of paper in the scanning process, ranging from: 3.5" x 3.5", letter, legal, or an irregular size, such as 11"x17" and other large scale documents.	DC,DPC	PSI-C,PSI-DC	
8	Document Capture	The system shall support automatic conversion of scanned documents and other images to standardized formats including, but not limited to: TIFF, JPEG and Full Text Searchable PDF	DC,DPC	PSI-C,PSI-DC	
9	Document Capture	The system shall support user-entered and bar-coded indexing of scanned documents based on bar-coded documents and separator pages.	DPC,DC	PSI-C,PSI-DC	
10	Document Capture	The system shall support document scanning individually and in large batches.	DPC,DC	PSI-C,PSI-DC	
11	Document Capture	The system should provide standard object compression and storage processes.	DC,DPC	PSI-C,PSI-DC	
12	Document Capture	The system should allow object categorization for automated content tagging.	DC,DPC	PSI-DC,PSI-C	
13	Document Capture	The system should allow for object annotation (e.g., date stamping, workgroup identification, etc.)	DC,DPC	PSI-DC	
14	Document Capture	The system should support the manual import of electronic files.	RR	OB-R	
15	Document Capture	The system should support the automatic import of electronic files.	RR	OB-R	
16	Document Capture	The system should provide integrated and synchronized document capture.	DC	PSI-DC	
17	Document Capture	The system should render documents in multiple formats.	RR	OB-R	
18	Document Capture	The system should support folders that contain various document formats.	RR	OB	
19	Document Capture	The system should provide automated and easy to use tools for document profling at the site where the document is created and received.	DC,DPC	PSI-DC,PSI-C	
20	Document Capture	The system should retain original formatting of captured documents.	DC	PSI-DC,PSI-C	
21	Document Capture	The system should replicate documents as close as possible to the original, while minimizing storage requirements.	DC,DPC	PSI-C,PSI-DC	
22	Document Capture	The system should assign file name/computer generated record identifier to document/record automatically as they are created.	RR	OB	
23	Document Capture	The system should support the capture of digital records from a range of records-generating systems including common office applications, imaging & graphic design systems, security administration systems, business reporting systems, etc.	RR	OB-R	
24	Document Capture	The system should support a wide range of scanner types that are ISIS and TWAIN compliant including multi functional devices.	DC,DPC	PSI-DC,PSI-C	
25	Document Capture	The system should scan a variety of documents that have been created on paper, linen, card stock, etc.	DC,DPC	PSI-DC,PSI-C	
26	Document Capture	The system should support centralized and distributed scanning capabilities.	DC,DPC	PSI-C,PSI-DC	
27	Document Capture	The system should provide the scan operator the ability to touch-up and/or improve the quality of the scanned documents.	DC,DPC	PSI-C,PSI-DC	
28	Document Capture	The system should support automatic forms processing capabilities: structured documents can be processed using electronic forms or forms processing to reduce manual data entry and improve data accuracy.	DPC,DC	PSI-C	
29	Document Capture	The system should support automatic imaging of single-sided, two-sided, and multiple page documents.	DC,DPC	PSI-C,PSI-DC	
30	Document Capture	The system should support scanning by single sheet feeding and by automatic document feeder.	DC,DPC	PSI-DC,PSI-C	
31	Document Capture	The system should allow documents to be scanned at a range of resolutions.	DC,DPC	PSI-DC,PSI-C	
32	Document Capture	The system should provide black and white, grayscale and color scanning.	DC,DPC	PSI-DC,PSI-C	
33	Document Capture	The system should allow users to set up document batch classes and identify specific types of documents and forms.	DPC,DC	PSI-C	
34	Document Capture	The system should provide batch setup process that allows an operator to establish a batch using a system assigned batch identification code.	DPC,DC	PSI-C	
35	Document Capture	The system should provide batch setup process that allows an operator to select a document type from a list of document types or classes.	DPC,DC	PSI-C	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
36	Document Capture	The system should provide batch setup process that allows an operator to establish a batch of mixed document types and classifications.	DPC, DC	PSI-C	
37	Document Capture	The system should provide batch setup process that allows an operator to enter a comment or description about the batch.	DPC	PSI-C	
38	Document Capture	The system should support electronically selectable color drop out.	DPC	PSI-C	
39	Document Capture	The system should support the ability to insert single or multiple pages, reorder pages and delete one or more pages without having to delete and rescan the entire batch.	DC;DPC	PSI-C, PSI-DC	
40	Document Capture	The system should support the ability to insert single or multiple pages into existing documents.	DPC; DC; RR	PSI-C, PSI-DC; OB	
41	Document Capture	The system should support different processing steps depending on the type of document or form.	DPC; DC; RR	OB	
42	Document Capture	The system should allow users to monitor the time required to complete the Scanning-Quality Control-Metadata cycle for a specific batch, for all batches scanned on a specific day, or for batches that completed in a particular queue on a specific day.	DPC; RR	PSI-C	
43	Document Capture	The system should allow for an entire batch to be coded as a single document.	DPC	PSI-C	
44	Document Capture	The system should allow a batch to be parsed into several documents of one (1) or more pages, each of which may have different metadata values.	DPC	PSI-C	
45	Document Capture	The system should provide for the ability to return a batch to the scanning operator for repair of one (1) or more pages in the batch.	DPC	PSI-C	
46	Document Capture	The system should support the suspension of work on one (1) batch to allow the operator to access a higher priority batch, complete processing of that batch, and then re-open the suspended batch.	DPC	PSI-C	
47	Document Capture	The system should allow operators to designate fields required for manual and default data entry before the scan process begins.	DPC; DC	PSI-C	
48	Document Capture	The system should support the ability to adjust scan density.	DC; DPC	PSI-DC; PSI-C	
49	Document Capture	The system should support messages to the operator that provide the ability to accept or reject that a page or pages are about to be deleted.	DC; DPC	PSI-DC; PSI-C	
50	Document Capture	The system should allow for a receipt to be printed for scanned documents.	DC	PSI-DC	REMOVED
51	Document Capture	The system should allow preview of the receipt before printing.	DC	PSI-DC	REMOVED
52	Document Capture	The system should allow the ability to add comments to the receipt.	DC	PSI-DC	REMOVED
53	Document Capture	The system should allow the user to save a copy of the receipt automatically with the supporting documents.	DC	PSI-DC	REMOVED
54	Document Capture	The system should have the ability to trace documents using the receipt ID.	DC	OB-R	REMOVED
55	Document Storage, Organization and Indexing	The system shall support the ability to handle the storage of large volumes of documents.	RR	OB	
56	Document Storage, Organization and Indexing	The system shall support compression of digital records.	RR	OB	
57	Document Storage, Organization and Indexing	The system shall support the ability to attach and maintain a relationship between documents/records when a document/record has multiple supporting attachments (maintains embedded or linked parent/child relationships).	RR	OB-R	
58	Document Storage, Organization and Indexing	The system shall support the ability to reference and link superseded documents/records to current documents/records.	RR	OB	
59	Document Storage, Organization and Indexing	The system shall support real-time, near real-time, and off-line document archiving to multiple storage mediums.	RR	OB	
60	Document Storage, Organization and Indexing	The system shall support the ability to search by person, case or provider during attaching, indexing, and retrieving functions.	RR	OB-R	
61	Document Storage, Organization and Indexing	The system shall support the ability to associate a document to multiple customers/providers.	DC;RR	PSI-DC, OB-R	
62	Document Storage, Organization and Indexing	The system shall support the ability to link/unlink multiple pages of the same document that will be identified through a single ID.	RR; DC	OB-R; PSI-DC	
63	Document Storage, Organization and Indexing	The system should support integrated and distributed storage environments.	RR	OB	
64	Document Storage, Organization and Indexing	The system should support the ability for storage of records in multiple digital repositories.	RR	OB	
65	Document Storage, Organization and Indexing	The system should support Storage Area Network (SAN).	RR	OB	
66	Document Storage, Organization and Indexing	The system should support the ability to store records permanently or for a predefined period.	RR	OB	
67	Document Storage, Organization and Indexing	The system should support storing objects of various types in nonproprietary and reliable formats.	RR	OB	
68	Document Storage, Organization and Indexing	The system should support storing of images in TIFF, PDF, JPEG and other formats.	RR	OB	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
69	Document Storage, Organization and Indexing	The system should support the ability to capture various documents with different index fields to be set up by the administrator(s), to manage and manipulate them in a structured, or organized hierarchy.	DC,DPC; RR	PSI-DC;PSI-C; OB	
70	Document Storage, Organization and Indexing	The system should support the ability for indexing to be conducted separately from scanning.	DC,DPC	PSI-DC;PSI-C	
71	Document Storage, Organization and Indexing	The system should support the ability to link information to identifiers (e.g. Case/Person ID).	DC,DPC; RR	PSI-DC;PSI-C; OB	
72	Document Storage, Organization and Indexing	The system should allow the other applications access to relevant documents and content via web services or other protocols upon State approval.	RR	OB-R	
73	Document Storage, Organization and Indexing	The system should allow the department to define its own index fields, field values and edit/requirements.	DC,RR	PSI-DC, OB-R	
74	Document Storage, Organization and Indexing	The system should have the ability to import, store, manage and play video and audio files.	RR	OB-R	
75	Search, Retrieval, Display and Editing	The system shall use non-proprietary formats and viewers for common PC application files (.doc, .xls, .ppt, .vsd etc.).	RR	OB-R	
76	Search, Retrieval, Display and Editing	The system shall use non-proprietary formats and viewers for image files (TIFF, JPEG, PDF, etc).	RR	OB-R	
77	Search, Retrieval, Display and Editing	The system shall support using non-proprietary formats and viewers for web content.	RR	OB-R	
78	Search, Retrieval, Display and Editing	The system shall use non-proprietary formats and viewers for XML streams.	RR	OB-R	
79	Search, Retrieval, Display and Editing	The system should use non-proprietary formats and viewers for video clips.	RR	OB-R	
80	Search, Retrieval, Display and Editing	The system shall use non-proprietary formats and viewers for digital photographs.	RR	OB-R	
81	Search, Retrieval, Display and Editing	The system shall use non-proprietary formats and viewers for audio files and tapes.	RR	OB-R	
82	Search, Retrieval, Display and Editing	The system shall allow documents to be viewed concurrently online by any number of people in multiple locations.	RR	OB-R	
83	Search, Retrieval, Display and Editing	The system should support the ability to conduct sound-ex searches.	RR	OB-R	
84	Search, Retrieval, Display and Editing	The system should support application-specific searching capability.	DC,RR	PSI-DC, OB-R	
85	Search, Retrieval, Display and Editing	The system should support keyword searching across document/object contents.	RR; DPC	OB-R;PSI-C	
86	Search, Retrieval, Display and Editing	The system should support object type specific searching.	RR	OB-R	
87	Search, Retrieval, Display and Editing	The system should support multi-level drill-down query capabilities.	RR	OB-R	
88	Search, Retrieval, Display and Editing	The system should support a choice of retrieval methods including Boolean-expression and "fuzzy logic" searches.	RR	OB-R	
89	Search, Retrieval, Display and Editing	The system should support an organized way to browse through all objects (i.e. thumbnails, universal reader).	RR	OB-R	
90	Search, Retrieval, Display and Editing	The system should allow users to determine the method for displaying search results and to select the descriptive information to be included.	RR	OB-R	
91	Search, Retrieval, Display and Editing	The system should allow multiple search functions, including first name, last name, date of birth, Social Security Number, State ID number or case number, address, date scanned during attach/index/retrieve functions.	RR	OB-R	
92	Search, Retrieval, Display and Editing	The system should use various functions to search and view documents, such as date received, document type, by worker, client or case.	RR	OB-R	
93	Search, Retrieval, Display and Editing	The system should support viewing a scanned image with the ability for users to enlarge (i.e. zoom in) either an entire page or a specific portion of a page.	RR	OB-R	
94	Search, Retrieval, Display and Editing	The system should support the ability to fully rotate images left or right, up to 180 degrees and resave.	RR, DC,DPC	PSI-C, OB-R,PSI-DC	
95	Search, Retrieval, Display and Editing	The system should support the ability to enable multiple instances of the viewer for the purpose of having multiple documents in memory at the same time.	RR	OB-R	
96	Search, Retrieval, Display and Editing	The system should provide on screen document information including title, page, date created/ revised, version, document owner, etc.	RR	OB-R	
97	Search, Retrieval, Display and Editing	The system should support single and dual page viewing so that a document can be viewed in booklet style.	RR	OB-R	
98	Search, Retrieval, Display and Editing	The system should support zooming in on an image; users are able to pan the image on the screen via single-click, mouse-drag manipulations.	RR	OB-R	
99	Search, Retrieval, Display and Editing	The system should provide a tracking mechanism when hard copy documents are retrieved and returned to storage.	DPC	IC	
100	Search, Retrieval, Display and Editing	The system should support multiple document types and automatically launches associated applications or viewers.	RR	OB-R	
101	Search, Retrieval, Display and Editing	The system should support the automatic launching of a document's native application or special viewing software, depending on whether the user wants to view or revise/edit a document.	RR	OB-R	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	SoI Component	Comments
102	Search, Retrieval, Display and Editing	The system should provide for a full array of library services for revising/editing documents.	RR	OB	
103	Search, Retrieval, Display and Editing	The system should enable users to check out/check in non archived documents.	RR	OB-R	
104	Search, Retrieval, Display and Editing	The system should support a comment field for each document that is updateable during retrieval and review.	RR	OB-R	
105	Search, Retrieval, Display and Editing	The system should present a list of changes and comments and take the user to the specific areas as the changes are selected.	RR	OB-R	
106	Search, Retrieval, Display and Editing	The system should provide annotation tools.	RR	OB-R	
107	Search, Retrieval, Display and Editing	The system should allow documents to be viewed when the user is in another application.	RR	OB-R	
108	Search, Retrieval, Display and Editing	The system should support the ability to search within a retrieved document.	RR	OB-R	
109	Retention and Disposal	The system shall retain files based on the predefined retention schedules provided by DCFS.	RR	OB-RM	
110	Retention and Disposal	The system shall provide flexibility for assigning non-standard retention periods and disposal actions.	RR	OB-RM	
111	Retention and Disposal	The system shall support an event disposition schedule.	RR	OB-RM	
112	Retention and Disposal	The system shall support a time based disposition schedule.	RR	OB-RM	
113	Retention and Disposal	The system shall provide status (active, inactive, open, closed) archiving and expungement functionality. The status and expungement process must comply with all State and Federal regulations.	RR	OB-RM	
114	Retention and Disposal	The system should archive/delete files based on the predefined retention schedule.	RR	OB-RM	
115	Retention and Disposal	The system should generate triggers when the documents exceed the retention time period (for specific documents/records).	RR	OB	
116	Retention and Disposal	The system should provide options for archiving, or purging the document at the end of a lifecycle.	RR	OB-RM	
117	Retention and Disposal	The system should provide the ability (for authorized users) to extend the retention period of a record/document.	RR	OB-RM	
118	Retention and Disposal	The system should automatically recalculate the record/document life cycle based on the changes to the retention schedule.	RR	OB-RM	
119	Retention and Disposal	The system should provide support for ad hoc disposal of document images and records to be limited to authenticated users and to also capture transaction details.	RR	OB-RM	
120	Retention and Disposal	The system should allow authorized users to specify a disposition schedule for backup copies.	RR	OB-RM	
121	Access and Security	The system shall provide the ability to assign rights by individual and/or by group.	RR	OB	
122	Access and Security	The system shall provide document and folder level security.	RR	OB	
123	Access and Security	The system shall provide permission types (read only, write/edit, copy protected, print protected, and document/record linking ability).	RR	OB	
124	Access and Security	The system shall support Lightweight Directory Access Protocol (LDAP), Active Directory and facilitate "single sign on".	RR	OB	
125	Access and Security	The system shall support data, referential and relational integrity.	RR	OB	
126	Access and Security	The system shall support redacting in native format and resaving.	RR	OB	
127	Access and Security	The system shall support redacting in the saved format.	RR	OB-R	
128	Access and Security	The system shall have the ability to distribute automatic updates, status alerts and notices through an API.	RR	OB-R	
129	Access and Security	The system shall have the ability to restrict access to selected pages within a document and to non-archived documents depending on their completion status.	N/A	N/A	REMOVED
130	Access and Security	The system shall support the ability to identify documents as confidential and limit their viewing to specific staff.	RR	OB	
131	Access and Security	The system should be capable of withholding all or part of a search result according to pre-defined access controls.	RR	OB	
132	Access and Security	The system should allow security to be centrally administered, with a secondary departmental level of security with local administrators.	RR	OB	
133	Access and Security	The system should provide authorization flexibility to permit groups from multiple departments to work on documents.	RR	OB	
134	Access and Security	The system should support user profiles.	DC,RR	PSI-C, OB-R	
135	Access and Security	The system should support Advanced Encryption Standard (AES) defined by NIST for transmission.	RR	OB	
136	Access and Security	The system should provide full security capabilities at the folder, type, group and individual level.	RR	OB	
137	Access and Security	The system should allow authorized users to create, edit and delete documents/records and their components.	RR	OB	
138	Access and Security	The system should allow only authorized users to specify user defined business rules and access rules to metadata fields.	RR	OB	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
139	Access and Security	The system should allow only authorized users to create, edit and delete document/record retention and disposition schedules.	RR	OB	
140	Access and Security	The system should allow only authorized users the ability to define retention period, disposition criteria, and permanent storage location.	RR	OB	
141	Access and Security	The system should prevent changes to stored records/documents within its repositories by unauthorized users.	RR	OB	
142	Access and Security	The system should have the ability to prevent changes to metadata fields that are tagged "not editable".	DC,RR	PSI-DC, OB-R	
143	Access and Security	The system should have the ability to limit which work group can view, annotate, save and print documents/records based on specified record/folder categories.	RR	OB	
144	Access and Security	The system should support only authorized users to add/change records/documents to specific folders.	DC,RR	PSI-DC, OB	
145	Access and Security	The system should support only authorized users to edit or delete references or links associated with a record/document.	RR	OB	
146	Access and Security	The system should support authorized users to designate records as active or inactive.	RR	OB	
147	Access and Security	The system should have the ability to encrypt sensitive private information, such as medical documents and authentication information, while stored in a database, and while transmitting this data across the network.	RR, DC, DPC	DC	OB; PSI-C; PSI-
148	Access and Security	The system should provide authorized users the ability to select, re-size, re-color, and delete image annotations	RR	OB	
149	Access and Security	The system should only allow authorized users the ability to modify an Index record; including migration from active to inactive status, and vice versa.	RR	OB	
150	Access and Security	The system should only allow authorized users to create, modify, and view image annotations including, at a minimum, lines, boxes, highlights, text, and affixed notes.	RR	OB	
151	Access and Security	The system should allow only authorized users to close record folders after the retention period is complete.	RR	OB	
152	Access and Security	The system should allow only authorized users to open a previously closed record folder and add records to it.	RR	OB	
153	Access and Security	The system should allow only authorized users to expunge sensitive information from all record formats it captures, including audio and video.	RR	OB	
154	Access and Security	The system should ensure that access to sensitive metadata is available only to authorized personnel.	RR, OPC, DC	DC	OB; PSI-C; PSI-
155	Access and Security	The system should have the ability to allow specific users to designate a proxy.	DPC, DC, RR	OB	PSI-C; PSI-DC;
156	Access and Security	The system should support automatic logoff (timeout) when system is left unused for a system-defined period of time.	RR, DC	OB	PSI-DC
157	Access and Security	The system should support the ability to turn access on and off by user with proper security.	RR, DC, DPC	DC	OB; PSI-C; PSI-
158	Access and Security	The system should support the ability to suspend all user access rights when a user ID is terminated.	RR, DC, DPC	DC	OB; PSI-C; PSI-
159	Access and Security	The system should support the ability to limit log-on of user IDs to one (1) workstation at a time.	DC, RR	PSI-DC, OB-R	
160	Access and Security	The system should support the ability to allow specified users to log on to multiple work stations.	DC, RR	PSI-DC, OB-R	
161	Workflow	The system shall provide workflow options that are simple to use, flexible, configurable, and programmable.	RR	OB-W	
162	Workflow	The system shall incorporate a workflow strategy in which documents can be routed to other users and be set up in work queues.	RR	OB-W	
163	Workflow	The system shall support documents to be prioritized in each queue on basis of date and time, or based on user defined attribute(s).	RR	OB-W	
164	Workflow	The system should allow authorized users to define and configure document states, rules, actions, and lifecycles with an easy to use interface (point-and-click selection) without contractor support.	RR	OB-W	
165	Workflow	The system should support a workflow with automatic routing logic.	RR	OB-W	
166	Workflow	The system should support workflow that includes automatic criteria calculation.	RR	OB-W	
167	Workflow	The system should support workflow configurable notifications.	RR	OB-W	
168	Workflow	The system should support workflow that supports load balancing.	RR	OB-W	
169	Workflow	The system should support ad hoc workflow.	RR	OB-W	
170	Workflow	The system should support workflow that can be web enabled.	RR	OB-W	
171	Workflow	The system should hide or show a disabled icon for those queues to which a user does not have access.	RR	OB-W	
172	Workflow	The system should offer a choice for automatic or manual workflow.	RR	OB-W	
173	Workflow	The system should support the ability to initiate workflow from electronic forms, Internet forms and e-mail messages.	RR	OB-W	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
174	Workflow	The system should support the ability to see the list of documents waiting in his/her respective workflow queue.	RR	OB-W	
175	Workflow	The system should support the ability to work on the document or redirect the document to another user or queue.	RR	OB-W	
176	Workflow	The system should support the ability to check the series of tasks user must complete.	RR	OB-W	
177	Workflow	The system should support automatic workflow triggers when a document is received by a user.	RR	OB-W	
178	Workflow	The system should have a calendar and task list functions.	N/A	N/A	REMOVED
179	Workflow	The system should have the ability to automatically detect and report bottlenecks within workflow routing.	RR	OB-W	
180	Workflow	The system should have the ability to automatically send e-mail notices to identified management when bottlenecks occur after a specific time period.	RR, DC	OB-W, PSI-DC	
181	Workflow	The system should have the capability to redirect workflow routing if any user is on an extended leave.	RR	OB-W	
182	Workflow	The system should provide minor, major and branch version controls.	RR	OB	
183	Workflow	The system should support workflows nested within workflows.	RR	OB-W	
184	Workflow	The system should support the creation of pre-defined and re-usable workflows.	RR	OB-W	
185	Workflow	The system should support automatically forwarding of documents to the successive stage once an action step has been completed.	RR	OB-W	
186	Workflow	The system should allow the ability to forward images to other users without access to the system, based on agency rules and regulations.	RR	OB-R	
187	Usability	The system shall conform to recognized Web application industry standards, including Section 508 compliance.	RR, DC	OB, PSI-DC	
188	Usability	The system shall support the ability to file a note for each document category as a scanned image.	DC, DPC	PSI-C, PSI-DC	
189	Usability	The system shall allow case/customer level documents to be transferred to other cases/customers or linked/unlinked to multiple cases/customers.	DC, RR, DPC	PSI-DC, OB-R	
190	Usability	The system should exhibit continued integrity of digitally signed documents and records (e-sign and/or e-approval).	RR	OB-R	
191	Usability	The system should support standard compression of saved documents when needed.	RR	OB	
192	Usability	The system should give users the ability to edit configuration files and alter the look and feel of individual desktops.	RR	OB-R	
193	Usability	The system should offer users the ability to view/hide restricted menu options and toolbars.	RR	OB-R	
194	Usability	The system should give users the ability to make document changes, track all changes, and access changed documents by current and previous information.	RR	OB	
195	Usability	The system should support the ability to notify user if the same document currently exists for the selected client/case/provider, category and type and offer the option of saving or discarding document.	RR	OB	
196	Usability	The system should allow users to assign/re-assign documents to user defined document types/categories, to optimize document organization for future retrieval.	DC, RR	PSI-DC, OB-R	
197	Usability	The system should allow the ability to sort, view, save, and print portions of a document.	RR	OB-R	
198	Usability	The system should allow user to change the stored orientation (portrait, landscape, rotated) of a single image, a series of tagged pages, a page range, or an entire document by rotating and saving the orientation.	RR	OB-R	
199	Usability	The system should allow for authorized users to delete, transfer or reclassify a document.	RR	OB-R	
200	Usability	The system should support the ability to navigate from one image to the next image in the queue, forward and backward and jump directly to the first and last page of the document.	RR, DC	OB-R, PSI-DC	
201	Usability	The system should support printing of the active page, pages or documents currently in the viewer.	RR	OB-R	
202	Usability	The system should provide help functionality/tutorials to provide assistance to the users.	DC, RR	PSI-DC, OB-R	
203	Usability	The system should support spell-check functionality at all data entry stages.	N/A	N/A	REMOVED
204	Usability	The system should allow the sharing of documents.	RR	OB-R	
205	Usability	The system should support the ability to provide comment fields for each document.	RR	OB-R	
206	Usability	System should support the ability to edit single/multiple page documents to fix errors.	DC, RR	PSI-DC, OB-R	
207	Usability	The system should support the ability to navigate between individuals and cases, view and access all images that have been linked to an individual/case based on the user's security level.	RR	OB-R	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
208	Audit	The system shall support un-editable audit trails by any user including a system administrator.	RR	OB	
209	Audit	The system shall allow audits by user accounts/login.	RR	OB-RS	
210	Audit	The system shall allow audits of all record access/actions.	RR	OB-RS	
211	Audit	The system should audit all document access/actions.	RR	OB	
212	Audit	The system shall audit all metadata access/actions.	RR	OB	
213	Audit	The system should support audit queues allowing periodic review for quality assurance.	RR	OB-W	
214	Audit	The system should allow audits by user group.	RR	OB-RS	
215	Audit	The system should audit all file plan access/actions.	RR	OB	
216	Audit	System should support reconstruction of events and actions related to mishandling of documents, records, metadata or any other information.	RR	OB; OB-RS	
217	Audit	System should support reconstruction of events and actions related to data compromises.	DPC	SS	
218	Audit	System should support reconstruction of events and actions related to denial of service.	DPC	SS	
219	Audit	System should provide the ability to file audit data as records.	RR	OB	
220	Audit	System should have the ability to prevent audit reports/logs from being edited even by system administrators.	RR	OB	
221	Audit	System should have the ability to generate standard, historic and ad hoc statistical reports from audit logs for selected user accounts/login, activities and modules.	RR	OB-RS	
222	Reporting and Printing	The system shall allow images to be printed on any suitably configured printer attached to the network.	DPC,RR	OB-RS	
223	Reporting and Printing	The system shall generate reports.	RR	OB-RS	
224	Reporting and Printing	The system shall support restricted access to designated pages or fields in a document.	N/A	N/A	REMOVED
225	Reporting and Printing	The system shall support the ability to generate/view reports via integration to CAFÉ.	RR	OB-R	
226	Reporting and Printing	The system should allow for acceptance of computerized (ASCII) files.	RR	OB	
227	Reporting and Printing	The system should support the ability to print images with or without the entity's name, program case number and/or state ID number, user printing and date imaged.	RR	OB-R	
228	Reporting and Printing	The system should be able to send images, labels, and reports to any suitable network printer.	RR	OB-R	
229	Reporting and Printing	The system should be able to print content in single sided, duplex and booklet formats.	RR	OB-R	
230	Reporting and Printing	The system should allow for customized document print jobs, to include selection of single page, tagged pages, page ranges, all pages.	RR	OB-R	
231	Reporting and Printing	The system should allow users the ability to print a document without having to view it.	RR	OB-R	
232	Reporting and Printing	The system should be able to track statistics relative to number of pages printed, to whom it was sent, and addresses.	RR	OB-RS	
233	Reporting and Printing	The system should provide statistics on how efficient users are working within the system; how many documents are scanned per day; how many images are approved; and who is doing each job, etc.	DC; DPC	OB-RS, PSI-C	
234	Reporting and Printing	The system should give users the ability to print selected portions of documents.	RR	OB-R	
235	Reporting and Printing	The system provides the ability to create, view, save and print complete file metadata.	RR, DC	OB-R, PSI-DC	
236	Reporting and Printing	The system should provide reports on document life cycle information including audit trails and historical comments.	RR	OB-R	
237	Reporting and Printing	The system should provide reports on retention period information.	RR	OB-RS	
238	Reporting and Printing	The system should provide reports on disposition date.	RR	OB-RS	
239	Reporting and Printing	The system should provide reports on disposition action/event.	RR	OB-RS	
240	Reporting and Printing	The system should provide reports on record category identifier.	DC	OB-RS	
241	Reporting and Printing	The system should provide reports on file names.	RR	OB-RS	
242	Reporting and Printing	The system should provide reports on file location names.	RR	OB-RS	
243	Reporting and Printing	The system should provide reports on documents/records with no specific retention schedule or disposition schedule.	RR	OB-RS	
244	Reporting and Printing	The system should monitor and report on available storage space.	RR	OB-RS	
245	Reporting and Printing	The system should send alerts regarding dangerously low storage space and prompts for corrective measures.	DPC	SS	
246	Reporting and Printing	The system should provide statistics on storage consumed by system processes, data, and documents/records.	DPC	SS	
247	Reporting and Printing	The system should allow administrators to set maximum number of printable pages.	N/A	N/A	REMOVED

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
248	Reporting and Printing	The system should allow authorized users to customize document print jobs to include printing with and without annotations, redactions and footers.	RR	OB-R	
249	Reporting and Printing	The system should allow each department unit to easily establish custom performance measures and create ad-hoc reports.	RR	OB-R	
250	Reporting and Printing	The system should have the ability to create nested folders for standard reports that can be run by authorized users on demand.	RR	OB-RS	
251	Reporting and Printing	The system should allow for posting documents that the state makes available in conjunction with other public agencies.	RR	OB-R	
252	Reporting and Printing	The system should present published documents in non-revisable formats.	RR	OB	
253	Reporting and Printing	The system should support functionality to ensure that selected documents cannot be duplicated or printed.	RR	OB	
254	Performance	The system should exhibit acceptable response times for user-defined functions as specified in section 4.1 Performance Requirements.	DPC; DC	SS	
255	Performance	The system should allow employees to quickly access records/documents as specified in section 4.1 Performance Requirements.	DPC; DC	SS	
256	Performance	The system should be expandable and scalable to accommodate additional users and applications.	DPC; RR	SS, OB	
257	Performance	The system should be built upon industry standard components and software (ISO 23081 and ISO 15489).	RR	OB	
258	Performance	The system should work seamlessly with the DCFPS Infrastructure.	DPC; DC; OnBase	SS	
259	Metadata	The system shall support a range of active metadata including record identifiers, subject/title, media type, format, activity date fields, publication date, users associated with file, author, addressee, originating organization, current location, priority level, other user defined fields.	RR	OB	
260	Metadata	The system shall support schemas to manage metadata.	RR	OB	
261	Metadata	The system should support a range of internal disposal triggers based on active metadata including date of record registration, date of last retrieval, folder opening or closing date, folder last review date.	RR	OB	
262	Metadata	The system should allow authorized users the capability of adding user defined metadata fields.	RR	OB	
263	Metadata	The system should offer authorized users the ability to modify any existing metadata field labels.	RR	OB	
264	Metadata	The system should allow authorized users the ability to create and maintain drop-down metadata lists.	RR	OB	
265	Metadata	The system should allow metadata to be automatically derived.	DC; DPC	PSI-DC	
266	Metadata	The system should offer authorized users the ability to edit record metadata before filing.	DC; RR	PSI-DC, OB-R	
267	Metadata	The system should support storing metadata together with the records/documents and separately in a database.	RR	OB	
268	Metadata	The system should allow linking/unlinking metadata (regardless of where stored) accurately to document/record.	RR	OB-R	
269	Metadata	The system should support encoding scheme that defines the values or the syntax of a metadata element.	RR	OB-R	
270	Metadata	The system should support security features that allow only authorized personnel to specify user-defined business rules and access rules to metadata fields.	RR	OB-R	
271	Metadata	The system should support the ability to add batch level information to the documents (e.g. batch id).	DPC	PSI-C	
272	Integration with Other Systems	The system shall allow for importing index data from an outside database for system initialization and update.	RR	OB	
273	Integration with Other Systems	The system shall provide easy mechanisms to export objects to other environments/applications.	RR	OB-R	
274	Integration with Other Systems	The system shall support multiple object import methods for electronic objects: direct upload, print file, email, copy (drag & drop).	RR	OB-R	
275	Integration with Other Systems	The system shall provide a web browser interface that is easy to use and configurable, across different platforms.	RR	OB-R	
276	Integration with Other Systems	The system shall provide Application Programming Interface (API) layer that allows integration.	RR	OB	
277	Integration with Other Systems	The system shall integrate with standard and enterprise applications.	RR	OB	
278	Integration with Other Systems	The system shall provide transformation tools that enable administrators to easily map data flow between the EDR and CAFE.	RR	OB	
279	Integration with Other Systems	The system shall provide an open architecture structure with a standardized approach for interfaces between different types of systems and applications.	RR	OB	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sel Component	Comments
280	Integration with Other Systems	The system shall provide tools and/or methodologies that will allow future EDR releases to accommodate existing interfaces without re-programming.	RR	OB	
281	Integration with Other Systems	The system shall incorporate the recognized standards for external interfaces (e.g., ANSI X.12 and federally specified data interchange formats).	RR	OB	
282	Integration with Other Systems	The system shall allow the ability to pull and populate indices from CAFE and other databases if applicable/available.	RR	OB	
283	Integration with Other Systems	The system should provide the ability to store scanned documents in TIFF Group IV, but users are able to export documents to other graphics formats.	RR	OB, OB-R	
284	Integration with Other Systems	The system should support editing in the original application and re-saving in the Electronic Document Repository.	RR	OB	
285	Integration with Other Systems	The system should support imaging to different file formats such as group IV TIFF, JPEG, PDF, etc.	RR	OB	
286	Integration with Other Systems	The system should offer the ability to import files and other information from existing databases and repositories.	RR	OB	
287	Integration with Other Systems	The system should be capable of running on a virtual server.	RR	SS	
288	Integration with Other Systems	The system should support multiple object import methods for email, paper, fax and scanning including batch scanning, barcodes and/or Optical Mark Reader.	DPC, DC	PSI-C	
289	Integration with Other Systems	The system should communicate and invoke existing and future systems, databases and directories without significant effort spent integrating the software.	RR	OB	
290	Integration with Other Systems	The system should provide standardized approach for regularly exchanging information and documents.	RR	OB	
291	Integration with Other Systems	The system should establish processes that automatically search for and record information contained in other applications or databases.	RR	OB	
292	Integration with Other Systems	The system should support the ability for servicing multiple state agencies in its business integration processes.	RR	OB	
293	Integration with Other Systems	The system should support the ability to access and combine unstructured and structured information.	RR	OB	
294	Backup & Disaster Recovery	The system shall provide backup capability or support standard backup utilities.	DPC	DR	
295	Backup & Disaster Recovery	The system shall support data integrity following any system failure and full recovery capabilities for records, metadata, indexing and any additional information needed to access data.	DPC	DR	
296	Backup & Disaster Recovery	The system shall allow in the event of a disaster, the software application to be capable of failover to the disaster recovery site within an acceptable timeframe, to be determined collaboratively.	DPC	DR	
297	Backup & Disaster Recovery	The system shall allow that the software application and all data to be transferable to a State-provided SAN device at the disaster recovery site to replicate the required data for the backup system. (The disaster recovery SAN should be the same model as the primary).	RR	DR	
298	Backup & Disaster Recovery	The system shall support a method of data replication that offers real-time replication to secondary sites.	DPC	DR	
299	Backup & Disaster Recovery	The system should provide the capability to automatically create backups / redundant copies of documents / records.	DPC	DR	
300	Backup & Disaster Recovery	The system should allow authorized users to define storage options for disposition of documents / records.	DPC	DR	
301	Backup & Disaster Recovery	The system should support backing up of all metadata for all documents / records.	DPC	DR	
302	Backup & Disaster Recovery	The system should support full and incremental backup.	DPC	DR	
303	Backup & Disaster Recovery	The system should support full backup and differential backup.	DPC	DR	
304	Backup & Disaster Recovery	The system should support full mirror and reverse incremental backup.	DPC	DR	
305	Backup & Disaster Recovery	The system should support continuous data protection.	DPC	DR	
306	Backup & Disaster Recovery	The system should support magnetic tape backup.	DPC	DR	
307	Backup & Disaster Recovery	The system should support hard disk backup.	DPC	DR	
308	Backup & Disaster Recovery	The system should support remote backup.	DPC	DR	
309	Backup & Disaster Recovery	The system should support the following data repository models: real-time, near-real-time, off-line, off-site vault, data recovery center.	DPC	PSI-C	
310	Backup & Disaster Recovery	The system should allow for a job scheduler function to ensure consistency in data backup.	DPC	DR	
311	Backup & Disaster Recovery	The system should ensure that any partial updates to files (following system failure) are properly identified.	DPC	DR	
312	Backup & Disaster Recovery	The system should provide a trigger to alert that a recovery was attempted (following system failure).	DPC	DR	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
313	Backup & Disaster Recovery	The system should provide a trigger to alert if files could not be fully recovered following system failure.	DPC	DR	
314	Backup & Disaster Recovery	The system should allow for the software application to be capable of operation at an offsite location when recovery from a disaster is occurring.	DPC	DR	
315	Backup & Disaster Recovery	The system should support a process by which the primary and secondary systems will be re-synchronized and operations will resume at the conclusion of a disaster.	DPC	DR	
316	Documentation	The system shall include routine system maintenance, backup and restoration as well as full recovery (for records, metadata, indexing and any additional information needed to access data) documentation.	DC;DPC	OB, PSI-DC	
317	Documentation	The system shall allow for all user manuals to be viewed on line with a printer friendly view.	DC;RR	OB, PSI-DC	
318	Documentation	The system should include document development guides.	DC;RR	OB, PSI-DC	
319	Documentation	The system should include database management, expansion and reorganization documentation.	RR	OB	
320	Documentation	The system should include database models and associated entity relationship diagrams.	RR	OB	
321	Documentation	The system should include a data dictionary.	RR	OB	
322	Documentation	The system should include manuals for installation, training and end users.	DC;RR	OB, PSI-DC	
323	Documentation	The system should provide documentation templates so that each participating department is able to create a "procedures guide" for performing functions designated for the department.	DC;RR	OB, PSI-DC	
324	Documentation	The system should provide templates that will include detailed instructions/procedures with bracketed areas where each department can insert the name of the department, department work group, etc. that would be performing each activity or task.	DC;RR	OB, PSI-DC	
325	Documentation	The system should provide on-line tutorials for all application modules and system functions.	DC;RR	OB, PSI-DC	
326	Signature and Authentication	The system shall provide industry-standard signature tools.	RR	OB-DS	
327	Signature and Authentication	The system should provide authentication technology which ensures that transactions can be legally and securely conducted.	RR	OB-DS	
328	Signature and Authentication	The system should support the recording of hand written electronic signatures in conjunction with documents submitted.	RR	OB	
329	Signature and Authentication	The system should support recording approvals on documents issued through any system.	RR	OB-DS	
330	Quality Control	The system shall support viewing and editing of scanned batches for image cleanup and enhancement at both Scanning and distributed Quality Control stations.	DPC; DC	PSI-C; PSI-DC	
331	Quality Control	The system shall support an exception handling process.	DPC	PSI-C	
332	Quality Control	The system shall support automatic indicators for inferior quality scanned documents that fall below given percentage threshold indicator.	DPC	PSI-C	
333	Quality Control	The system should support the ability for the operator to immediately see the correct part of the image coupled with the field to be corrected or filled.	DPC	PSI-C	
334	Quality Control	The system should allow a minimum confidence percentage to be set, depending on the recognition technology being used.	DPC	PSI-C	
335	Quality Control	The system should support the manual keying of information is separated from exception handling.	DPC	PSI-C	
336	Quality Control	The system should support page count validations and alerts the operator when there is a difference and allows the scanned total to be accepted or rejected.	DPC	PSI-C	
337	Quality Control	The system should support entry of comments or notes about pages that must be rescanned.	DPC	PSI-C	
338	Quality Control	The system should allow an authorized user to select and view any page scanned in the current batch before and until the operator releases the batch to the Metadata queue.	DPC	PSI-C	
339	Quality Control	The system should allow a previously scanned batch to be retrieved prior to completion of the Metadata step.	DPC	PSI-C	
340	Quality Control	The system should allow for quality control of metadata to be performed before writing the scanned images to permanent storage.	DC;DPC	PSI-C; PSI-DC	
341	Quality Control	The system should support the ability to accept or reject and comment on the reason a document was rejected.	DPC	PSI-C	
342	Recognition Technology	The system shall support Optical Character Recognition, Zone OCR, and Point-and-Shoot OCR.	DPC, DC	PSI-C	
343	Recognition Technology	The system shall support fully scriptable Intelligent Character Recognition for unconstrained hand print.	DPC; DC	PSI-C; PSI-DC	
344	Recognition Technology	The system shall support full-text indexing.	DPC; DC	PSI-C; PSI-DC	
345	Recognition Technology	The system shall support optical Mark Recognition.	DPC; DC	PSI-C; PSI-DC	
346	Recognition Technology	The system shall support manual key in of unrecognizable data.	DPC	PSI-C	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
347	Recognition Technology	The system shall support bar code sheets for batch processing.	DC;DPC	PSI-C, PSI-DC	
348	Recognition Technology	The system shall support bar code software which provides both linear and 2D symbols.	DPC; DC	PSI-C	
349	Recognition Technology	The system shall support extracting data from content to be used with CAFÉ and other agency applications.	RR	OB-R	
350	Recognition Technology	The system should support character recognition in English, Spanish and other languages.	DPC; DC	PSI-C	
351	Document Capture	The capture sub-system shall have the ability to import one (1) or multiple documents that belong to the same case.	DC; OnBase	PSI-DC	
352	Document Capture	The capture sub-system shall have the ability to import one (1) or multiple documents that belong to different cases.	DC; OnBase	PSI-DC	
353	Document Capture	The capture sub-system shall have the ability to apply Keywords to one (1) or multiple documents at the same time.	DC; DPC	PSI-DC; PSI-C	
354	Document Capture	The capture sub-system shall have the ability to route documents to one (1) or more users at the same time.	DC; DPC	PSI-DC; PSI-C	
355	Document Capture	The capture sub-system shall have the ability to filter users by Program Type Group, Parish/Office to narrow down the list of relevant users when routing the document.	DC; DPC	PSI-DC; PSI-C	
356	Document Storage, Organization and Indexing	The content management sub-system shall have the ability to provide separate Document Types to store legacy image data.	RR	OB	
357	Document Storage, Organization and Indexing	The content management sub-system shall have the ability to secure Document Types (Archival) assigned to store legacy image data in such a way that only authorized users can add new document to it while others are still able to retrieve from these Document Types.	RR	OB	
358	Search, Retrieval, Display and Editing	The users of the retrieval sub-system shall have the ability to search the repository by one (1) or multiple Document Types within the same Document Type Group.	RR	OB-R	
359	Search, Retrieval, Display and Editing	The users of the retrieval sub-system shall have the ability to search the repository for Document Types relevant to their Program Type Group or Program Type.	RR	OB-R	
360	Search, Retrieval, Display and Editing	The users of the retrieval sub-system shall have the ability to search the repository for all Document Types they are authorized to view by common Keywords within one (1) query.	RR	OB-R	
361	Search, Retrieval, Display and Editing	The users of the retrieval sub-system shall have the ability to search the repository for all Document Types under the Permanent Document Type Group by common Keywords within one (1) query.	RR	OB-R	
362	Search, Retrieval, Display and Editing	The users of the retrieval sub-system shall have the ability to search for documents recently scanned by Keywords such as Submitted By.	RR	OB-R	
363	Search, Retrieval, Display and Editing	The retrieval sub-system shall have the ability to display common Keywords in search results list generated by common queries.	RR	OB-R	
364	Search, Retrieval, Display and Editing	The retrieval sub-system shall have the ability to display Keywords relevant to their Program Type Group or Program Type in search results list generated by customized queries.	RR	OB-R	
365	Search, Retrieval, Display and Editing	The retrieval sub-system shall have the ability to sort Keyword columns in a search results list.	RR	OB-R	
366	Search, Retrieval, Display and Editing	The users of the retrieval sub-system shall have the ability to add/update Keyword values on multiple documents listed in a search result at the same time.	RR	OB-R	
367	Search, Retrieval, Display and Editing	The users of the retrieval sub-system shall have the ability to route documents to authorized users of the content management sub-system.	RR	OB-R	
368	Access and Security	The content management sub-system shall have the ability to secure documents that belong to confidential cases.	RR	OB	
369	Access and Security	The content management sub-system shall have the ability to provide a highly secured Document Type Group and Document Types to classify documents as a sealed record.	RR	OB	
370	Workflow	Authorized users (supervisors) of workflow sub-system shall have the ability to view other user's queue items.	RR	OB-W	
371	Workflow	The workflow sub-system shall have the ability to filter users by Program Type Group, Parish/Office to narrow down the list of relevant users when assign/re-assign the document.	RR	OB-W	
372	Workflow	The workflow sub-system shall have the ability to detect items without certain identifying Keywords and hold them in a queue called "Missing Information", until these Keywords are provided.	RR	OB-W	
373	Workflow	The workflow sub-system shall have the ability to detect items without qualified case worker information and hold them in a queue called "Unidentified Case Worker", until qualified case worker is provided.	RR	OB-W	

Requirement Number	Requirement Group	Original Requirement Text	Solution Area	Sol Component	Comments
374	Metadata	The content management sub-system shall have the ability to identify the original (at capture) Program Type Group, Parish/Office and Submitted By Username of the document.	DC/RR	PSI-DC	
375	Conversion	Conversion of data items contained in the PSI database and inclusion in the OnBase Document Repository will be performed. Based on initial discovery, there are approximately 400,000 pages included in this conversion.		Conversion	
376	Conversion	Conversion of data contained in the db2 database (BIOS) and inclusion in the OnBase Document Repository will be completed. Initial discovery indicates that there are approximately 2,350,000 records to be converted.		Conversion	REMOVED
377	Conversion	Conversion of data items contained in the Mobius View Direct Mainframe database and inclusion in the OnBase Document Repository will be performed. Based on initial discovery, there are approximately 225,000,000 records included in this conversion.		Conversion	
378	Conversion	Conversion of data items contained in the Mobius View Direct for NETS (distributed Platform) database and inclusion in the OnBase Document Repository will be performed. Based on initial discovery, there are approximately 2,140,000 records included in this conversion.		Conversion	
379	Integration with Other Systems	The system shall provide a means for DCFs workers to access OnBase from CAFÉ with single sign on authentication.	RR	OB-R	
380	MCI	The system shall support the receipt of a master client index file.		Inspect	
381	MCI	The system shall support additions to the master client index file.		Inspect	
382	MCI	The system shall support updates to the master client index file.		Inspect	
383	Software	The system shall support the automatic loading of software onto MFPs.		Inspect	
384	Software	The system shall support the automatic loading of software onto workstations.		Inspect	
385	Security (End-to-End)	The system shall have specific configuration for access level 1. (See Security Role Definitions)	RR	OB-R	
386	Security (End-to-End)	The system shall have specific configuration for access level 2. (See Security Role Definitions)	RR	OB-R	
387	Security (End-to-End)	The system shall have specific configuration for access level 3. (See Security Role Definitions)	RR	OB-R	
388	Security (End-to-End)	The system shall have specific configuration for access level 4. (See Security Role Definitions)	RR	OB-R	
389	Security (End-to-End)	The system shall have specific configuration for access level 5. (See Security Role Definitions)	RR	OB-R	
390	Security (End-to-End)	The system shall have specific configuration for access level 6. (See Security Role Definitions)	RR	OB-R	
391	Security (End-to-End)	The system shall have specific configuration for access level 7. (See Security Role Definitions)	RR	OB-R	
392	Workflow (End-to-End)	The system shall process an application with a caseworker into that caseworker's My New Applications queue.	RR	OB-W	
393	Workflow (End-to-End)	The system shall process documents with no caseworker into Unidentified Recipient (Public) queue.	RR	OB-W	
394	Workflow (End-to-End)	The system shall process applications with no caseworker into Unprocessed Applications (Public) queue.	RR	OB-W	
395	Workflow (End-to-End)	The system shall process official mail into Official Mail queue.	RR	OB-W	
396	Workflow	The system shall have the ability to display Name and Novell ID in user dropdowns within Workflow.	RR	OB-W	

GLOSSARY TERMS FOR ATTACHMENT 2

ACRONYM	FULL NAME	DESCRIPTION
DC	Distributed Capture	The Distributed Capture solution area includes capture software at the local offices.
DPC	Document Processing Center	The Document Processing Center solution area includes the site that will receive and process mail and house the server hardware. The DPC will use PSIGEN software to scan and process documents.
DR	Disaster Recovery	The Disaster Recovery solution component is part of the Document Processing Center solution area. Disaster Recovery includes off-site hardware to support a redundant data site. This solution component includes all functions related to Disaster Recovery.
IC	Inventory Control	The Inventory Control solution component is part of the Document Processing Center solution area. Inventory Control will be accessed by DPC users to maintain document inventory and quality. This solution component includes features such as viewing, enhancing and editing of image and metadata.
OB	OnBase Content Management	The OnBase Content Management solution component is part of the Repository and Retrieval solution area. OnBase Content Management will be deployed on servers at DPC and accessed by system administrators to make modifications to the setup and configuration for all OnBase solution components.
OB-DS	OnBase Digital Signature	The OnBase Digital Signature solution component is part of the Repository and Retrieval solution area. OnBase Digital Signature will be deployed on servers at DPC and accessed by DCFS users via a web-browser. This solution component provides an interface to electronically sign a document in the repository.
OB-R	OnBase Retrieval	The OnBase Retrieval solution component is part of the Repository and Retrieval solution area. OnBase Retrieval will be deployed on servers at DPC and accessed by DCFS users via a web-browser. This solution component includes feature such as retrieval of documents by DTG and DT. Custom Queries for each PTG/PT is also available in this component along with annotations (highlight, notes and redaction), re-classification of documents and editing keywords.
OB-RM	OnBase Records Management	The OnBase Records Management solution component is part of the Repository and Retrieval solution area. OnBase Records Management will be deployed on servers at DPC. This solution component provides an interface to manage retention and disposal activities.

OB-RS	OnBase Reporting Services	Reporting Services is an application that enables organizations to closely monitor their OnBase implementation, keeping track of all aspects of performance and is designed in such a way that any element within OnBase can be audited to provide business and IT metrics. Reports drill down to the Document Type, document, Keyword, and user levels. Reports can be rendered in numerous presentation and export formats, including bar and line graphs and pie charts.
OB-W	OnBase Workflow	The OnBase Workflow solution component is part of the Repository and Retrieval solution area. OnBase Workflow will be deployed on servers at DPC and accessed by DCFS user via a web-browser. This solution component provides a mechanism for delivery of documents (mail) scanned at the DPC to a case worker. In addition, it provides a follow-up tickler tool that allows case workers to set reminders on documents in workflow. A document can also be forwarded to one (1) or more case workers or removed from the workflow.
PSI-C	PSIGEN Capture	The PSIGEN Capture solution component is part of the Document Processing Center solution area. PSIGEN Capture will be accessed by DPC users to scan and process daily mail. This solution component includes features such as scanning, indexing, document classification and OCR.
PSI-DC	PSIGEN Distributed Capture	The PSIGEN Distributed Capture solution component is part of the Distributed Capture solution area. PSIGEN Fusion will be deployed via a web based url and import images scanned by the Multi Function Printers on a network share. This solution component includes feature such as indexing (assigning Keywords), classification of documents into DTG and DT, and
RR	Repository & Retrieval	The Repository & Retrieval solution area includes the content management repository of images and metadata.
SS	Storage and Server	The Storage and Server solution component is part of the Document Processing Center solution area. Storage and Server includes on-site hardware to support data storage. This solution component includes all the functions related to Server and Storage hardware.

SECURITY ROLE DEFINITIONS FOR ATTACHMENT 2

Role Definition	Onbase Records	PTG	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7	Level 8	Level 9	Permissions Description
Economic Stability	Temp Staff, Auditors, Vendors	Clerical	Case Worker	Supervisors, Program Operation Managers, Area Director	State Office Staff	Records Manager	System Administrator					
Child Development & Early Learning	Temp Staff, Auditors, Vendors	Clerical (new), Receptionist	Clerical (experienced), Specialist (field staff)	Supervisors, Program Managers	Assistant Directors	Records Manager	System Administrator					
Child Welfare	Auditors, Interns	Clerical	Case Worker, Assistant, Case Worker	Supervisor, Program Operation Managers	Area Director, Regional Administrators, State Office Staff	Records Manager	System Administrator					
Child Support Enforcement	Temp Staff, Auditors, Vendors	Administrative Staff, Legal Clerical				Records Manager	System Administrator					Supervisor, Program Operation Managers, Area Director, Regional Administrator
Onbase Retrieval	Retrieve	Ability to access Onbase Document Retrieval and Custom Query										
	Save Rotation	Save orientation of image										
	Save	Save document to desktop										
	Print	Print document										
	Annotate	Can apply/change/delete sticky notes, highlights, redaction										
	Check In / Out	Check In and Check Out Documents, Create Revisions										
	View Revisions	View revisions and original version of the document										
	Import	Import documents in Onbase										
	Change DT	Can Change Document Type (DT)										
	Modify Keywords	Can Change Keyword Values										
	Values											
	Document Properties											
	Envelope	Ability to create ad-hoc document groups										
	Document History	Can view Document History, Workflow Queue, Workflow Transactions, Source of document										
	Delete	Delete document(s)										
	Access to Workflow											
	Can apply Digital Signature											
	Access To PRTG Specific Folder											
	Ability to run Onbase Report Services											
	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention	Change status or documents to active/inactive for retention
	Records Destruction	Records Destruction/purging of documents over retention period										

Attachment 3: Existing DCFS Document Imaging and Content Management System

Capture Software: PSI Capture: v4.6.0.28 (Manufacturer PSIGEN) PSI Fusion: v1.2.0.28 (Manufacturer PSIGEN)
Retrieval Software: OnBase v11.0.2.161 (Manufacturer Hyland)
Operating System Used: Windows Server 2008 R2
Database type(s) Used: SQL (version 2008)
File formats: Single-Page Tagged Image File Format (TIFF Group IV) Multi-Page Tagged Image File Format (TIFF Group IV) Portable Document Format (PDF) Standard COTS file formats (i.e. .doc, .docx, .xls, .xlsx, pdf, msg, txt, csv, jpeg, GIF, wav, TIF, AVI, etc.)
Storage Hardware - Technology Used: SAN: EMC VNX5700
The RAID Level used on disks storing the images: RAID5
Current Quality Control Procedures for the system, including the % of images that are visually inspected and when it is performed (scanning, conversion, indexing or other): 100% visually inspected at scanning process and Indexing process.
Disaster Prevention/Recovery Plan Test Cycles (monthly, annually or other): Annually
Location of Offsite Storage of backup media: Sandy, UT (Xerox)
Backup cycle: Daily
Backup Media Refresh Rate: San Replication is near real time replication
Disaster Recovery Site: Hot
Name of current Vendor Involved: Xerox State & Local Solutions
Disk space the imaging system uses for image storage currently: 56TB
License counts for the software that will be available to the new Contractor: OnBase: 9999

PSIGEN Capture:

- 57 Licenses total
- 10 of the 57 Licenses have capture module installed
- 3 of the 57 have dual core OCR processing licensing
- 5 of the 57 have Quad Core OCR processing licensing

PSIGEN Fusion:

- 5000 for Production
- 500 for DEV and UAT
- 500 for Training

RightFax:

- Business Server w/11 total FoIP enabled channels; PDF; 2-308 Fax Gateways

Current Document Imaging solution is Hosted.

Document Intake is currently handled through the current Contractor at the Document Processing Center. (DCFS would like to continue outsourcing this process through a DPC, housed in Baton Rouge). In addition, the current solution allows for intake/uploads by agency staff through local scanners. This process must also continue.

Business Processes included in the current solution (these processes must continue):

Workflow - Used for routing of documents to staff.

E-forms - Used to allow a single document to be worked independently by multiple workers within workflow, managing confidential case status, and driving CAFÉ integration workflow processes.

Electronic Signature - Allows staff to note a signature on document(s)

Interfaces with other systems included in the current solution:

Interfaces with CAFÉ both internal and external facing portals.

Autofill SQL Database for OnBase, Capture and Fusion

Customized interface pre-processors for CAFÉ uploads

Reporting SQL Database Server for Capture and Fusion

Level of document indexing: Indexing/Custom Indexing

Access to the imaged documents include internal and external access:

Internal access for agency staff based upon defined security roles

External access for users thru their CAFÉ account to only document what the user uploaded themselves.

A limitation of the current system that needs to be addressed is that OnBase does not currently limit the Document Type selection based on the security role or group.

Attachment 4: Enterprise Architecture Components

Background

The Enterprise Architecture (EA) is the technological infrastructure for the Department of Health & Hospital's Medicaid Modernization efforts. Procured initially to support the Medicaid Eligibility & Enrollment System using federal 90/10 funding, its utility and value as a statewide asset was quickly recognized.

The components

Seven software components comprise the EA:

- ◆ **Identity Access Management** — all users, both internal and external, will be validated through a common security portal
- ◆ **Enterprise Service Bus** — all applications will pass through the ESB to access the other components using standardized methods
- ◆ **Master Data Management** — stores common, shareable, reusable records, such as for an "applicant" or a "provider," to improve data integrity within and across applications
- ◆ **Data Warehouse** — a statewide data storage system that will allow for cross application or even statewide reporting of information
- ◆ **Electronic Document Management** — a document storage system that will allow flexible and scalable storage of a variety of file types
- ◆ **Consumer Communications** — a system that will allow for the production and distribution of internal and external communications
- ◆ **Business Rules Engine** — an easy-to-use tool that will allow agency personnel to create and maintain the rules that underlie the decision logic within an application

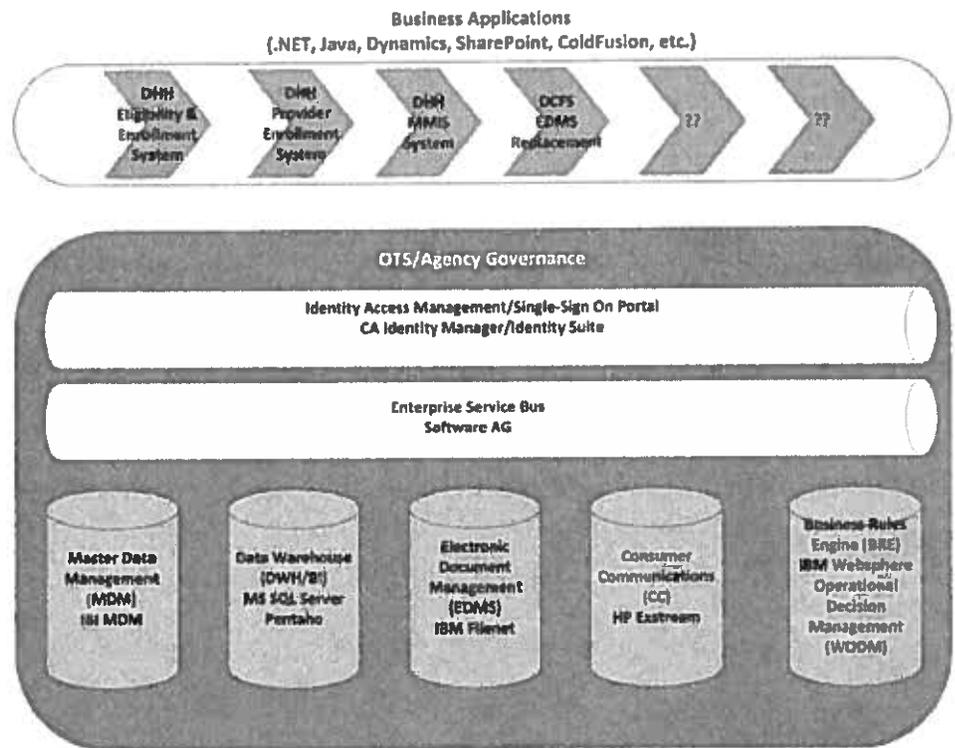
Key Advantages

- ◆ Infinitely scalable and highly robust
- ◆ Highly available for all applications or systems integrated into it
- ◆ Cost effective, eliminating the need for unnecessary hardware and software
- ◆ Standardized, thus decreasing both the time to procure and the time to implement new systems

Governance

OTS will work with agency decision makers to provide oversight of the EA. All proposed new applications to be integrated into the EA will undergo a thorough analysis to determine the appropriateness and impact on the existing systems.

Also included in the EA are sophisticated technologies that will facilitate cost allocation as well as close monitoring of the system's performance, reinforcing OTS's commitment to provide exceptional customer service.



Attachment 5: Service Level Agreements

The Service Level Agreements listed below are currently being met by the existing solution. The State desires to continue meeting these levels of performance. Proposers may suggest additional service level agreements which their solution will be able to fulfill.

1. General Overview

This Attachment sets forth:

- The general levels of response and availability associated with the current Document Imaging and Capture Management System
- Penalties for Non-Compliance
- The responsibilities of Contractor and State
- Processes for Defects and Change Management

The following are general performance standards that DCFS expects the Contractor to adhere to for the term of the contract:

1. All document edges shall be visible in the image. Documents will be scanned so that there is no data loss from folded corners or other obstructions that cover information on the documents.
2. The image shall not be skewed more than 0.5 degrees from parallel with the longitudinal axis of the image. Skew is measured from the two corners of the documents image parallel to the longitudinal edge.
3. To achieve an image standard that is either of equal to or greater than the original, Contractor will only be required to use the techniques of the imaging solution necessary to produce clear optimum images for DCFS.
4. Contractor shall be responsible for verifying the accuracy and legibility of all scanned images.
5. Work that is determined not satisfactory by DCFS shall be reworked by the Contractor at their expense. However, for unsatisfactory work that does not fall within a specific Key Performance Indicator description in this Attachment, the party that contributes the greater part of the cause for the unsatisfactory work will bear the cost of reworking by the Contractor.
6. All images scanned and transmitted into the Electronic Document Repository (EDR) by the Contractor will be as readable and of equal or greater quality as compared to the original document.
7. Images that are electronically submitted will be available to users within four (4) Business Hours or less.
8. "Business Hours" for the purposes of this Attachment shall be defined as 7:00 a.m. CT- 4:30 p.m. CT on Business Days.
9. "Business Days" for the purposes of this Attachment shall be defined as Monday through Saturday excluding Contractor holidays unless indicated in Section 2 Service Level Agreements of this Attachment.

10. The Contractor will be responsible for responding to any request that DCFS makes in writing (or orally that is confirmed the same day in writing by sending an email to Contractor's mail account designed to receive confirmations) within one (1) Business Day of receipt by Contractor unless otherwise specified in the Contract.
11. All electronic documents that enter the system will be scanned for virus, spyware, and malware to ensure contents integrity and mitigate likelihood of system corruption.
12. All mail will be scanned on the day it is received by the Contractor. The scanned date/time is used as the beginning point for the calculation of timely processing.
13. Contractor holidays consist of New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and Christmas. Contractor will notify DCFS two (2) days in advance if the holiday is to be observed on a day other than the specific holiday.

2. Service Level Agreements

Regardless of whether the work is deemed satisfactory, the table below identifies the Key Performance Indicators in the Services Level Agreements (SLA) against which performance shall be measured and against which any Penalties may be applied.

#	Service Level Agreements	Key Performance Indicator Description	Measured	Penalty Calculation Method	Base Penalty (per variance)
1	System Availability	The System shall be available 98% of the time for access by users to conduct typical transactions twenty four (24) hours a day seven (7) days a week, fifty-two (52) weeks a year with the exception of planned maintenance outages as agreed to by the parties.	Calculated based upon twenty-four (24) hour periods.	Linear	\$400
2	System Performance	The System shall deliver results of index-based search for records within three (3) seconds 95% of the time. This performance standard applies only to the components and solutions that are provided by the Contractor.	Calculated monthly	Linear	\$200
3	System Performance	Images must be delivered within a three (3) second response time per page 95% of the time. This performance standard applies only to the components and solutions that are provided by the Contractor.	Calculated monthly	Linear	\$200

#	Service Level Agreements	Key Performance Indicator Description	Measured	Penalty Calculation Method	Base Penalty (per variance)
4	Image Timeliness	Contractor must make 95% of all documents available to the workers within twenty-four (24) hours from the date the documents are received/scanned at the Document Processing Center. This measurement excludes Sundays and Contractor holidays.	Calculated monthly	Linear	\$2,500
5	Image Timeliness	Contractor must make 98% of all documents available to the workers within forty-eight (48) hours from the date the documents are received/scanned at the Document Processing Center. This measurement excludes Sundays and Contractor holidays.	Calculated monthly	Linear	\$1,500
6	Image Timeliness	Contractor must make 98% of all electronic documents available to the worker within four (4) Business Hours on Business Days. Business Days/ Hours for this SLA are defined as Monday thru Friday 7:00 a.m. CT - 4:30 p.m. CT excluding Contractor holidays.	Calculated monthly	Linear	\$3,500
7	Image Quality	Contractor must ensure that 99.4% of images are <u>either</u> of equal or greater quality than the original document.	Calculated monthly	Linear	\$2,000
8	Data Quality	Contractor must ensure a 98% data accuracy rate for documents submitted to the imaging system.	Calculated monthly	Linear	\$2,500
9	Purging of Documents from Repository	Upon receipt of a request from the State to purge a document from the repository, the Contractor must ensure documents are purged within fourteen (14) working days and a certificate of completion will be provided to the requesting party.	Calculated monthly	Linear	\$2,500

#	Service Level Agreements	Key Performance Indicator Description	Measured	Penalty Calculation Method	Base Penalty (per variance)
10	Transfer of Documents from Repository	Upon receipt of a request from the State to transfer/copy a document from the repository, the Contractor must ensure documents are transferred/copied within fourteen (14) working days and a certificate of completion will be provided to the DCFS.	Calculated monthly	Linear	\$2,500

Penalties

When a Key Performance Indicator (KPI), as outlined above is not met, a penalty may be imposed for such failure. The first time a Key Performance Indicator is not met, the Contractor shall have one (1) calendar month from the month in which the failure occurred to correct the failure. If the failure is corrected within the corrective action period, the penalty will be waived. If the KPI(s) are not met and the failure is not corrected within the corrective action period, the DCFS may impose penalties. Penalties shall be applied retroactively beginning with the first month in which the KPI failure occurred. The penalty is removed when the Contractor is in compliance with the KPI(s) at issue, and any penalty will be assessed only for the measurement period in which the KPI failure occurred. If the Contractor fails to comply again for the same KPI, the penalty may be imposed without the benefit of the corrective action period. The penalty is no longer assessed when the Contractor is in compliance. There shall be a cap on the amount of penalties collected in any one (1) month of ten (10%) percent of the total monthly invoice. Penalties assessed shall be compensated in the form of service price reductions applied directly against the Contractor's monthly billing invoices. For the purposes of determining whether a KPI is met or failed, the Parties agree that Performance Standards shall be measured at the aggregate (state wide) level, not on a regional or program basis.

The provisions of this section shall not apply in situations in which an entity or entities, including DCFS, other than the Contractor (including their subcontractors) contributes the greater part of the cause for such failure.

In the event Contractor believes it has not met any KPI due to mitigating circumstances other than provided above, Contractor may submit a written request for a waiver to the Secretary of DCFS for all or part of a penalty. Contractor agrees that the denial of a waiver request shall not constitute a claim or controversy for resolution under La. R.S. 39:1671-1673.

After each Release Implementation, the Contractor shall receive a forty-five (45) day grace period during which penalties will not be imposed. Penalties shall not apply to pilots. Penalties for KPI's are determined based upon a methodology, which assigns financial responsibility to the Contractor if it fails to achieve performance levels required. The remedy increases—either mathematically or according to the agreed upon schedule—as the Contractor variance from an agreed benchmark increases.

The Key Performance Indicators include the following elements:

- Performance measures
- Time periods during which performance will be measured
- Method of calculation
- A dollar amount that represents the base penalties values.

The base penalties value is applied to each unit of variance from a specific performance benchmark. The amount of the penalty increases with each occurrence. The amount of the increase is determined by applying the Linear formula described below. DCFS may assess penalties for every instance where the Contractor fails to meet a KPI.

Formula

DCFS KPI formula's incorporates one (1) basic computational method:

- "Linear:" Penalties are agreed upon by the parties for each level of variance from the benchmark for the KPI.

Example

If the benchmark for the KPI is 99%, and the Contractor achieved 92%, then the variance from the benchmark is 7. Assuming the base penalty of \$2000, the formula would be as follows:

Linear Method

$$7(2000) = \$14,000$$

Assumptions

The Methodology for Penalties includes the following assumptions:

1. The following components of the penalty process are mutually agreed upon by the parties to the contract:

- The measures that constitute the linear, incremental variances that trigger a penalty (e.g., "each percentage point," "each calendar day," etc.);
- Calculations will not be rounded. Fractional numbers will be included.
- The dollar value applied as the base penalty unit to each incremental variance; and
- Performance metrics that are used to benchmark the methodology (e.g., system availability percentage rate).

Roles and Responsibilities

Contractor Responsibilities

Contractor responsibilities and/or requirements in support of this Attachment consist of:

- Meet responsibilities associated with assigned Defects and Service Level Agreements.
- Develop, generate, and deliver KPI reports by the 5th Business Day of the month on all Service Level Agreements, preceded by preliminary reports submitted by the Contractor by the first business day of the month.
- Appropriate notification to State for all scheduled maintenance.
- Implement defined processes to deliver and report these service levels.

State Responsibilities

State responsibilities and/or requirements in support of the SLAs include:

- Assist Contractor in the development and generation of monthly SLA reports.
- Availability of State representative(s) when resolving a Defect.
- Communicate specific information about Defects or missed Service Level Agreements.

Hours of Coverage, Response Times & Escalation

Incidents

Each party is required to notify the other party promptly of any issues, concerns or complaints regarding any matter under this Attachment. The parties will use every endeavor to resolve, by a process of consultation, any differences or issues arising between them with respect thereto. All incidents should be reported to help desk to insure proper recording and tracking. However in order to provide a formal mechanism for the resolution of issues that may arise for critical and high level defects, in relation to the provision of services, escalation procedure are detailed in Escalation Procedures Section of this Attachment.

Severity & Response Times

The following are Incident severity classifications that will be used to prioritize Contractor's response to such Incidents. Contractor will work diligently to respond to reported Incidents in the times indicated below.

For the purposes of the following, a "Defect" shall be defined as an imperfection or deficiency in a project component where that component does not meet its requirements or specification and needs to be either repaired or replaced.

Severity/Priority	Description
1 – Critical	<p>This code/configuration is assigned to an Incident with the most urgent need of a fix. An Incident requiring this level of response occurs when incorrect results or failure have occurred that are critical to program execution and processing cannot continue until the Defect is corrected. The specific types of Incidents to which this code/configuration can be assigned are an OnBase outage, a Fusion Outage, Security Breach or an infrastructure failure (e.g. electrical, heating or cooling system) which gives rise to an imminent Hardware failure.</p> <ul style="list-style-type: none"> • Response within two (2) hours of the time that the Contractor determined the existence of the Incident or is alerted to its existence. • Identification and Resolution within twelve (12) hours of the time that the Contractor determined the existence of the Incident or is alerted to its existence. • Move fix to production within a twenty-four (24) hour period, if feasible.
2 – High	<p>This code/configuration is associated to a Defect which occurs when incorrect results were received or a specific function was interrupted. It is distinguished from a "Critical" code/configuration by the ability of the system to have some processing continue, while some processing is incorrect.</p> <ul style="list-style-type: none"> • Response within twenty-four (24) hours, • Identification and Resolution within forty-eight (48) hours, • Move fix to production within seven (7) days, if feasible. <p>The time period creates risk primarily by reducing the time available for testing.</p>
3 – Medium	<p>This code/configuration indicates an unexpected or a minor Defect where the result of the function is not interrupted, but the results do not match those expected.</p> <ul style="list-style-type: none"> • Response within seventy-two (72) hours, • Identification and Resolution within ten (10) working days. • Move fix to production: within next scheduled build release or ninety (90) days whichever is less. <p>The time period allows for the standard process of identifying the Defect, proposing a design or implementation fix, implementing the fix, unit test, integration test, system test, UAT regression test with focus on the Defect resolution and promotion to production.</p>

Severity/Priority	Description
4 – Low	<p>This designation indicates the Defect does not affect any significant system component or area of functionality and there is little to no changes to business processes.</p> <ul style="list-style-type: none"> • Move fix to production at a mutually agreed upon scheduled build release. <p>The time period allows for the standard process of identifying the Defect, proposing a design or implementation fix, implementing the fix, unit test, integration test, system test, UAT regression test with focus on the Defect resolution and promotion to production.</p>
5 – Change Request	<p>This designation indicates an end user suggestion or a request for system enhancement. It does not impact production and is not necessary for a successful implementation. The State may request an enhancement at additional cost through the Change Control Board process. Change requests will be approved by the Change Control Board and the Office of State Procurement prior to implementation into the production environment.</p>

The ability of Contractor to meet the response times indicated above for Defects reported by the State is directly dependent upon State resource availability to test, authorize, and execution of the code deployment to the Production environment, and, in the event that a data-fix is required, the State's validation of the test execution of the data fix as well as the execution of the necessary database scripts in the Production environment. Time required waiting for State resource responsibility execution will not be considered in the time calculations associated with this Service Level Agreement.

Escalation Procedures

The achievement of the performance targets set forth above will require the coordinated, collaborative effort of the State and the Contractor Project Managers. The Contractor's Project Manager will be the single point of contact for the prompt resolution of any failure to promote a performance target.

State shall notify the Contractor's Project Manager if the applicable Services are at any time performed at a level below the performance target level in the table above. In such event, the Contractor's Project Manager will investigate the problem and jointly initiate actions to promote resolution and future compliance.

Where the parties cannot resolve issues in relation to performance, these issues should ultimately be elevated to Contractor Lead Engagement Principal and the Deputy State Document Imaging & Content Management Project Director. In the event that a grievance is made or that the expected service levels are not achieved, and all reasonable steps to resolve this grievance or inferior service have been taken by the parties concerned, the dispute will be forwarded to the Contractor's Executive QA Principal and the State Document Imaging & Content Management Project Director for final resolution.

Maintenance and Service Changes

All maintenance must be documented and communicated. It is anticipated that these activities will render systems and/or applications unavailable for normal user interaction. Maintenance and service changes must be conducted during non-working hours and coordinated with other systems (i.e. CAFÉ) in order to minimize downtime. Maintenance and Service changes shall follow the general procedures listed in the Change Management Section of this Attachment.

Change Management

It is likely that during the course of the contract that there will be events that take place that cause a need for some level of change. Change Management refers to any event that alters the existing state of services, including software, hardware, networks, and facilities. The Contractor should use commercially reasonable efforts to reduce the disruption of services by using a standard process to communicate and implement changes.

The table below outlines the process for planned and unplanned changes which include communication protocols, business impact descriptions, and notification procedures. Any changes will require mutual agreement in writing.

CONTRACTOR CHANGE MANAGEMENT		BUSINESS IMPACT	STATE NOTIFICATION AND CONFIRMATION	EXAMPLE
Planned	Standard	Minor or repetitive changes considered part of the normal workflow with no effect on Agency's business.	None	Activation, request for new account.
	Minor	Small changes that have a documented and proven implementation process with little impact to the business.	Contractor will advise State five (5) working days in advance. State must confirm notification.	Installing patch on server.
	Moderate	Changes that may affect multiple applications and have a broad business impact.	Contractor will advise State five (5) working days in advance. State must confirm notification.	New Operating System or version upgrade, local communication room upgrade in network infrastructure.
	Major	Changes that may affect multiple applications across multiple departments, with a significant impact to business.	Contractor will advise State ten (10) working days in advance. State must confirm notification.	Replacing old information system with new.
Unplanned	Critical (After-hours)	Changes that must be performed in order to correct a faulty service having some impact on business. Impact to business does not warrant immediate correction.	Contractor will advise State as soon as possible after knowing such a change is required. State must confirm notification.	Hung process on a server – needs to be corrected before next tape backup is scheduled.
	Emergency (Immediate)	Changes that must be performed in order to correct a faulty service having a major impact on business. Impact to business requires immediate resolution.	Contractor will advise State immediately. State must confirm notification.	Virus attack on network.

Attachment 6: Retention Processing Requirements

1. The Document Management solution shall provide the capability to expunge/destroy documents per DCFS Policies and approved retention schedules and the Louisiana Secretary of State Archives' Division requirements regarding destruction/retention of records. This includes ensuring that the indexing or classification scheme(s) for documents include the elements necessary to comply with the approved retention schedules.
2. The Document Management solution shall provide the capability to transfer/copy electronically stored documents to the Louisiana Secretary of State Archives' Division for permanent retention per DCFS Policies, DCFS approved retention schedules and the Louisiana Secretary of State Archives' Division requirements regarding destruction/retention of records. This includes ensuring that the indexing or classification scheme(s) for documents include the elements necessary to comply with the approved retention schedules.
3. The Document Management solution shall maintain an audit file of all documents destroyed and/or transferred/copied for permanent retention.
4. The solution shall provide the capability to modify the rules for retaining/destroying documents when the approved departmental retention schedule changes.

Current Purging/Expungement Process:

DCFS staff provides an electronic file from OnBase, listing all IDs with corresponding documents that require purging/expungement. This file is then processed by the Contractor within the OnBase system where all of the necessary files are prepped for purging/expungement. Once these files are prepped, DCFS staff members with appropriate system security access will be able to systematically purge/expunge the file.

Current Archival Records Management Process:

DCFS staff provides an electronic file from OnBase, listing all IDs with corresponding documents that require transfer/copy to Louisiana Secretary of State Archives' Division. This file is then processed by the Contractor within the system where all of the necessary files are prepped for copy/archive. Once these files are prepped, DCFS staff members with appropriate system security access will be able to systematically copy/archive the file and send it to Louisiana Secretary of State Archives' Division.

Attachment 7: 2015 DPC Totals by Program/Month*

Calendar Year 2015	Mail Prep (Pages)	Scanning (Pages)	Storage Only (Pages)	Post Mail Processing (Envelopes)	Indexing (Documents)
ES 2015-12	254,597	254,597	308,514	1,019	175,547
GDEL 2015-12			17		
LIC 2015-12	416	416	396	0	287
CSE 2015-12	125,570	125,570	36,909	14	69,233
CW 2015-12	0	0	32,473	0	
ES 2015-11	218,999	218,999	756,357	665	171,423
GDEL 2015-11			16		
LIC 2015-11	425	425	514	0	213
GSE 2015-11	206,950	206,950	53,901	29	147,225
CW 2015-11			28,447		
ES 2015-10	268,768	268,768	1,172,172	1,461	197,845
GDEL 2015-10			7		
LIC 2015-10	665	665	588	0	505
GSE 2015-10	176,202	176,202	77,262	19	105,856
CW 2015-10			44,709		
ES 2015-9	303,784	303,784	1,264,311	1,528	223,958
CDEL 2015-9			24		
LIC 2015-9	321	321	530	0	180
GSE 2015-9	152,403	152,403	90,636	15	66,000
CW 2015-9			41,514		
ES 2015-8	282,708	282,708	1,284,253	1,081	210,810
GDEL 2015-8			14		
LIC 2015-8	233	233	641	0	173
CSE 2015-8	136,730	136,730	91,874	16	64,407
CW 2015-8			41,045		
ES 2015-7	277,922	277,922	1,305,238	3,177	207,730
CDEL 2015-7			4		
LIC 2015-7	382	382	747	0	262
CSE 2015-7	145,173	145,173	100,472	23	68,745
CW 2015-7			40,380		
ES 2015-6	288,377	288,377	1,299,356	1,475	225,007
GDEL 2015-6			9		
LIC 2015-6	336	336	784	0	219
CSE 2015-6	144,512	144,512	95,088	30	68,925

Calendar Year 2015	Mail Prep (Pages)	Scanning (Pages)	Storage Only (Pages)	Post Mail Processing (Envelopes)	Indexing (Documents)
GW 2015-6			39,883		
ES 2015-5	224,143	224,143	1,155,317	1,064	179,741
GDEL 2015-5			10		
LIC 2015-5	170	170	375	0	110
CSE 2015-5	140,125	140,125	76,264	30	62,976
GW 2015-5			33,507		
ES 2015-4	250,877	250,877	1,218,791	1,212	184,814
GDEL 2015-4			2		
LIC 2015-4	402	402	505	0	261
CSE 2015-4	125,166	125,166	69,624	14	60,724
CW 2015-4			13,669		
ES 2015-3	318,758	318,758	1,321,480	1,821	226,825
CDEL 2015-3			28		
LIC 2015-3	377	377	367	0	194
CSE 2015-3	147,547	147,547	70,638	42	69,874
GW 2015-3			13,166		
ES 2015-2	248,471	248,471	1,053,965	1,411	195,256
CDEL 2015-2	274	274	100	0	
LIC 2015-2	235	235	321	0	280
CSE 2015-2	141,547	141,547	51,651	19	79,204
GW 2015-2	2,560	2,560	12,529	0	96
ES 2015-1	275,283	275,283	1,334,320	1,466	190,978
CDEL 2015-1	2,397	2,397	2,955	0	
LIC 2015-1	268	268	408	0	174
CSE 2015-1	123,610	123,610	58,716	18	71,168
GW 2015-1			9,713	0	
Calendar Year Totals	4,987,683	4,987,683	14,707,506	17,649	3,327,225

***For informational purposes only.**

ATTACHMENT 8 - COST WORKSHEET

DICM Costs Phase I: Pre Enterprise Architecture Integration

Monthly Totals							
Task	Model	1-249,999	250,000-499,999	500,000-999,999	1,000,000-1,499,999	1,500,000-1,999,999	2,000,000+
Mail prep services	cost/page						
Scanning services	cost/page						
Storage services	cost/page						
Destruction services	cost/page						
Task	Model	1-124,999	125,000-249,999	250,000-499,999	500,000-749,999	750,000-999,999	1,000,000+
Indexing services	cost/document*						
Task	Model	1-499	500-999	1,000-1,499	1,500-1,999	2,000-2,499	2500+
Post mail processing	cost/envelope*						

* cost/document = one price for a document, regardless of number of pages.

* cost/envelope = one price for an envelope, regardless of number of pages.

DICM Costs Phase II: Post Enterprise Architecture Integration

Monthly Totals							
Task	Model	1-249,999	250,000-499,999	500,000-999,999	1,000,000-1,499,999	1,500,000-1,999,999	2,000,000+
Mail prep services	cost/page						
Scanning services	cost/page						
Destruction services	cost/page						
Task	Model	1-124,999	125,000-249,999	250,000-499,999	500,000-749,999	750,000-999,999	1,000,000+
Indexing services	cost/document*						
Task	Model	1-499	500-999	1,000-1,499	1,500-1,999	2,000-2,499	2500+
Post mail processing	cost/envelope*						

* cost/document = one price for a document, regardless of number of pages.

* cost/envelope = one price for an envelope, regardless of number of pages.

ATTACHMENT 8 - COST WORKSHEET

Enter Proposer Name Here	
IT Job Categories	Hourly Rate (1)
Project Manager, Conversion	
Manager	
Technical Architect	
Document Imaging Subject Matter	
Expert	
Total Cost of Conversion	

EA Integration Costs:

The following hourly rates will be evaluated but will only be used if/when the State decides to move forward with EA Integration.

NOTES:

(1) Proposer shall provide all inclusive billing rates for each IT Job Category (travel and other expenses included)

ATTACHMENT 9: INSURANCE REQUIREMENTS FOR CONTRACTORS

The Contractor shall purchase and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Contractor, its agents, representatives, employees or subcontractors.

A. MINIMUM SCOPE AND LIMITS OF INSURANCE

1. Workers Compensation

Workers Compensation insurance shall be in compliance with the Workers Compensation law of the State of the Contractor's headquarters. Employers Liability is included with a minimum limit of \$500,000 per accident/per disease/per employee. If work is to be performed over water and involves maritime exposure, applicable LHWCA, Jones Act, or other maritime law coverage shall be included and the Employers Liability limit increased to a minimum of \$1,000,000. A.M. Best's insurance company rating requirement may be waived for workers compensation coverage only.

2. Commercial General Liability

Commercial General Liability insurance, including Personal and Advertising Injury Liability, shall have a minimum limit per occurrence of \$1,000,000 and a minimum general aggregate of \$2,000,000. The Insurance Services Office (ISO) Commercial General Liability occurrence coverage form CG 00 01 (current form approved for use in Louisiana), or equivalent, is to be used in the policy. Claims-made form is unacceptable.

3. Automobile Liability

Automobile Liability Insurance shall have a minimum combined single limit per occurrence of \$1,000,000. ISO form number CA 00 01 (current form approved for use in Louisiana), or equivalent, is to be used in the policy. This insurance shall include third-party bodily injury and property damage liability for owned, hired and non-owned automobiles.

4. Cyber Liability

Cyber liability insurance, including first-party costs, due to an electronic breach that compromises the State's confidential data shall have a minimum limit per occurrence of \$1,000,000. Claims-made coverage is acceptable. The date of the inception of the policy must be no later than the first date of the anticipated work under this contract. It shall provide coverage for the duration of this contract and shall have an expiration date no earlier than 30 days after the anticipated completion of the contract. The policy shall provide an extended reporting period of not less than 24 months from the expiration date of the policy, if the policy is not renewed. The policy shall not be cancelled for any reason, except non-payment of premium.

B. DEDUCTIBLES AND SELF-INSURED RETENTIONS

Any deductibles or self-insured retentions must be declared to and accepted by the Agency. The Contractor shall be responsible for all deductibles and self-insured retentions.

C. OTHER INSURANCE PROVISIONS

The policies are to contain, or be endorsed to contain, the following provisions:

1. General Liability and Automobile Liability Coverages

- a. The Agency, its officers, agents, employees and volunteers shall be named as an additional insured as regards negligence by the contractor. ISO Form CG 20 10 (current form approved for use in Louisiana), or equivalent, is to be used when applicable. The coverage shall contain no special limitations on the scope of protection afforded to the Agency.
- b. The Contractor's insurance shall be primary as respects the Agency, its officers, agents, employees and volunteers. Any insurance or self-insurance maintained by the Agency shall be excess and non-contributory of the Contractor's insurance.
- c. Any failure of the Contractor to comply with reporting provisions of the policy shall not affect coverage provided to the Agency, its officers, agents, employees and volunteers.
- d. The Contractor's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the policy limits.

2. Workers Compensation and Employers Liability Coverage

The insurer shall agree to waive all rights of subrogation against the Agency, its officers, agents, employees and volunteers for losses arising from work performed by the Contractor for the Agency.

3. All Coverages

- a. Coverage shall not be canceled, suspended, or voided by either party (the Contractor or the insurer) or reduced in coverage or in limits except after 30 days written notice has been given to the Agency. Ten-day written notice of cancellation is acceptable for non-payment of premium. Notifications shall comply with the standard cancellation provisions in the Contractor's policy.
- b. Neither the acceptance of the completed work nor the payment thereof shall release the Contractor from the obligations of the insurance requirements or indemnification agreement.
- c. The insurance companies issuing the policies shall have no recourse against the Agency for payment of premiums or for assessments under any form of the policies.
- d. Any failure of the Contractor to comply with reporting provisions of the policy shall not affect coverage provided to the Agency, its officers, agents, employees and volunteers.

D. ACCEPTABILITY OF INSURERS

All required insurance shall be provided by a company or companies lawfully authorized to do business in the jurisdiction in which the Project is located. Insurance shall be placed with insurers with a A.M. Best's rating of A-:VI or higher. This rating requirement may be waived for workers compensation coverage only.

If at any time an insurer issuing any such policy does not meet the minimum A.M. Best rating, the Contractor shall obtain a policy with an insurer that meets the A.M. Best rating and shall submit another Certificate of Insurance as required in the contract.

E. VERIFICATION OF COVERAGE

Contractor shall furnish the Agency with Certificates of insurance reflecting proof of required coverage. The Certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. The Certificates are to be received and approved by the Agency before work commences and upon any contract renewal thereafter.

In addition to the Certificates, Contractor shall submit the declarations page and the cancellation provision endorsement for each insurance policy. The Agency reserves the right to request complete certified copies of all required insurance policies at any time.

Upon failure of the Contractor to furnish, deliver and maintain such insurance as above provided, this contract, at the election of the Agency, may be suspended, discontinued or terminated. Failure of the Contractor to purchase and/or maintain any required insurance shall not relieve the Contractor from any liability or indemnification under the contract.

F. SUBCONTRACTORS

Contractor shall include all subcontractors as insureds under its policies OR shall be responsible for verifying and maintaining the Certificates provided by each subcontractor. Subcontractors shall be subject to all of the requirements stated herein. The Agency reserves the right to request copies of subcontractor's Certificates at any time.

G. WORKERS COMPENSATION INDEMNITY

In the event Contractor is not required to provide or elects not to provide workers compensation coverage, the parties hereby agree that Contractor, its owners, agents and employees will have no cause of action against, and will not assert a claim against, the State of Louisiana, its departments, agencies, agents and employees as an employer, whether pursuant to the Louisiana Workers Compensation Act or otherwise, under any circumstance. The parties also hereby agree that the State of Louisiana, its departments, agencies, agents and employees shall in no circumstance be, or considered as, the employer or statutory employer of Contractor, its owners, agents and employees. The parties further agree that Contractor is a wholly independent contractor and is exclusively responsible for its employees, owners, and agents. Contractor hereby agrees to protect, defend, indemnify and hold the State of Louisiana, its departments, agencies, agents and employees harmless from any such assertion or claim that may arise from the performance of this contract.

H. INDEMNIFICATION/HOLD HARMLESS AGREEMENT

Contractor agrees to protect, defend, indemnify, save, and hold harmless, the State of Louisiana, all State Departments, Agencies, Boards and Commissions, its officers, agents, servants, employees, and volunteers, from and against any and all claims, damages, expenses, and liability arising out of injury or death to any person or the damage, loss or destruction of any property which may occur, or in any way grow out of, any act or omission of Contractor, its agents, servants, and employees, or any and all costs, expenses and/or attorney fees incurred by Contractor as a result of any claims, demands, suits or causes of action, except those claims, demands, suits, or causes of action arising out of the negligence of the State of Louisiana, all State Departments, Agencies, Boards, Commissions, its officers, agents, servants, employees and volunteers.

Contractor agrees to investigate, handle, respond to, provide defense for and defend any such claims, demands, suits, or causes of action at its sole expense and agrees to bear all other costs and expenses related thereto, even if the claims, demands, suits, or causes of action are groundless, false or fraudulent.

ATTACHMENT 10: ELECTRONIC VENDOR PAYMENT SOLUTION

In an effort to increase efficiencies and effectiveness as well as be strategic in utilizing technology and resources for the State and Contractor, the State intends to make all payments to Contractors electronically. The LaCarte procurement card will be used for purchases of \$5,000 and under, and where feasible, over \$5,000. Contractors will have a choice of receiving electronic payment for all other payments by selecting the Electronic Vendor Payment solution (EVP) or Electronic Funds Transfer (EFT). If you receive an award and do not currently accept the LaCarte card or EVP or have not already enrolled in EFT, you will be asked to comply with this request by choosing one the following three options. You may indicate your acceptance below.

The LaCarte Procurement Card uses a Visa card platform. Contractors receive payment from state agencies using the card in the same manner as other Visa card purchases. Contractors cannot process payment transactions through the credit card clearinghouse until the purchased products have been shipped or received or the services performed.

For all statewide and agency term contracts:

- Under the LaCarte program, purchase orders are not necessary. Orders must be placed against the net discounted products of the contract. All contract terms and conditions apply to purchases made with LaCarte.
- If a purchase order is not used, the Contractor must keep on file a record of all LaCarte purchases issued against this contract during the contract period. The file must contain the particular item number, quantity, line total and order total. Records of these purchases must be provided to the Office of State Purchasing on request.

EVP method converts check payments to a Visa credit card thereby streamlining payments to your organization. Participants receive a credit card account number with unique security features. This card will have \$0 available funds until an invoice is approved for payment. As payments are approved, electronic remittance notifications are sent via email along with approval to charge the card for that amount. EVP requires no change to current invoice procedures; it is secure, and does not require your bank information.

EFT payments are sent from the State's bank directly to the payee's bank each weekday. The only requirement is that you have an active checking or savings account at a financial institution that can accept Automated Clearing House (ACH) credit files and remittance information electronically. Additional information is available at <http://www.doa.louisiana.gov/OSRAP/EFTforWebsite.pdf>. To facilitate this payment process, you will need to complete and return both EFT enrollment forms found at <http://www.doa.louisiana.gov/ERP/pdfs/LaGov%20AP-03%20-20EFT%20Vendor%20Enrollment%20Form.pdf> and <http://www.doa.louisiana.gov/OSRAP/EFTforWebsite.pdf>

If an award is made to your company, please check Payment Type Will Accept Already enrolled which option you will accept or indicate if you are LaCarte already enrolled.

EVP
EFT

Printed Name of Individual Authorized

Authorized Signature for payment type chosen

Date

Email address and phone number of authorized individual

Attachment 11: Document Processing Center (DPC) Task Definitions

Mail Prep Services – activities required to allow scanning of documents, etc. that include, but are not limited to, sorting mail, removing document(s) from envelope, unfolding pages, repairing of dog ears, removing staples, paper clips, binder clips, and taping documents smaller than 3 ½" X 5" to 8 ½" X 11" sheets.

Scanning Service – the physical scanning of paper documents, pictures, etc., to create an electronic image(s) which can be indexed and stored in a repository for future search and retrieval by an individual.

Indexing Services – the manual application of indices (keywords) to an electronic document/ image for the purpose of establishing a mechanism to allow for the storage and future search and retrieval of the electronic image from a storage repository.

Storage Services – the saving of an electronic document/ image into a storage repository for future search and retrieval.

Destruction Services – the storage and subsequent shredding of paper documents received by the DPC upon approval of DCFS.

Post Mail Processing Services – handling of items that must be returned to the sender or forwarded to DCFS or another entity or individual via mail or delivery to State agency.