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Janet Phipps, Director

January 12, 2018

To: All Potential Respondents From: Kelli Sizenbach, Purchasing Agent Subject: RFP1418635030

## Addendum One

## Please amend the subject RFP to include answers to the following timely received questions:

- Q1. Is this a new requirement? If not, can you please provide the name of the vendor, the current contract value and eligibility criteria to re-compete?
- A1. This is a new requirement. There is no current contract in place with another vendor.
- Q2. Is there any budget limit for this RFP?
- A2. The State of Iowa relies on respondents to provide a cost effective solution.
- Q3. Are you looking for COTS or customized software? Could you please provide additional details as to whether it is a COTS solution or a customized framework?
- A3. The State is not looking for software.
- Q4. How many users will access the software approximately?
- A4. The State is not looking for software.
- Q5. Are you looking for specific analytical reports or any Dashboard view in the system?
- A5. Progress updates related to the ones listed in the RFP around payment and incentives will be required. Other reports and information can be decided upon with the vendor who wins the contract.
- Q6. What is the current infrastructure and technology in place at Iowa DAS?
- A6. We use Microsoft software and Windows platforms and servers. Card and fiche are scanned and saved in Tiff and PDF formats.
- Q7. Are you looking for cloud-based system?
- A7. The State is not looking for a system.

- Q8. Is there any specific time frame for the Microfilm conversion to complete?
- A8. See section 4.1.1
- Q9. Are you looking for specific application integration with new System?
- A9. The State is not looking for a system.
- Q10. Do you need hardware and software to store these digitized files? OR Do you need a service where vendor will keep and host the digitized files on their premise and make it available web based to IOWA?
- A10. The State is looking for a vendor to scan the Microfiche and Microfilm and then transfer these scans back to the State. The State will store these files.
- Q11. If you don't need a system that is hosted on vendor's premise, do you need hardware and software to be hosted on IOWA premise?
- A11. The State is not looking for a system.
- Q12. Do you require OCR and text searchable PDF?
- A12. Yes.
- Q13. Will it be single page PDF or multiple PDF per card?
- A13. Multipage pdf. There will be at least two pages for each card to cover each side of the card, front and back.
- Q14. How we need to Index the fiche? Is it per image or per card? If on the card, will it be available on title bar? On an average how many index fields we need to capture?
- A14. The fiche need to be index using the corporation number to pair the file for the card images and the file for the fiche images that both belong to the same corporation name. The fiche for one respective corporation should all be consolidated into one tif file and the pdf's for one corporation should be consolidated into one pdf file. The name and number will be on the card if it was assigned a number. Otherwise, the name will be on both the index card and the title bar of the fiche. There will be two different fields, the name and then the number. For corporations that were never assigned a number from our office we will need to discuss options with the vendor of having them assign a number to these corporations starting at an arbitrary point and creating a list or database (on excel, notepad, etc.) to give to us after the project is finished for our use.
- Q15. Do you require any image enhancements?
- A15. If enhancement means enlarging the images no I do not believe so but the images will be hard to make out most likely on some of the worse conditioned copies so we will want to see if there is any ability during the process to clean up poor quality images.

- Q16. We assume, minimum scanning DPI is 300. Is this correct?
- A16. Yes, at a minimum.
- Q17. Is there any requirement to destruct the fiche we need to return the original fiche?
- A17. All the Fiche MUST be returned to the Secretary of State's office after being scanned. The SOS office is required to have the physical copy.
- Q18. How we need to submit final digitized deliverable?
- A18. Please provide the State with your solutions to digital delivery.
- Q19. Will DAS be willing to ship the records via third-party carrier (such as FedEx, UPS)? Respondent will supply DAS with shipping containers, along with instructions on how to pack the boxes and accurately protect the fiche while in transport.
- A19. Potentially this could work. Section 3.2 Exhibit 12 has a built point asking for a description of your transportation plan.
- Q20. Exhibit 12, second bullet, please define errors (image quality, data base?)
- A20. Examples of errors are mirrored images, missing image files, files that are not paired correctly corresponding media, incorrectly assigned corporation
- Q21. Exhibit 13, the first bullet point again raises the question of the extent of indexing, is each page within the fiche to be indexed separately?
- A21. No, the individual pages do not need to be indexed separately. What needs to be indexed are the groups of microfiche that are all associated with one corporation. If you look at the examples below the fiche are in jackets that house the individual pages. The jackets are associated with the corporations along with the index card. We need indexing to keep these records together.
- Q22. Exhibit 13 asks for indexing by Corporate Name and Number, is there an existing data file that includes this information that can be imported.
- A22. Yes, there is, we will provide that list. We also need to have potential solutions offered to
- Q23. Regarding the final repository for the images and data, will they be added to the imaging system used by the Secretary of State's office? If so, what is that platform?
- A23. Yes, the Secretary of State's office has its own database and software that it will put the images onto for our business services division use.
- Q24. Page 22, Section 6.6 refers to an Administrative Fee of 1 per cent, is this fee payable on this project or is for future projects that may result from this Master Contract?

- A24. This will not apply to this contract and will not be included in the contract itself.
- Q25. What is the difference between a microfiche and a physical card?
- A25. The physical card is an index card that has on it all the filings done with that corporations. The Microfiche are the images of the pages of filings that are stored in jackets. Both are held in a sleeve to keep the information for one corporation together. There are many corporations with multiple jackets. There are fewer with multiple cards but they do also occasionally occur.
- Q26. Please provide a photo of a microfiche and a physical card from your collection.
- A26. See examples below.
- Q27. What is the average number of images on the microfiche?
- A27. We average about 7.5 images of fiche to a corporation. This has a wide variance with some corps having 3 images or less and others having upwards of 100.
- Q28. Describe the microfiche jackets, step-and-repeat, original camera masters or duplicates?
- A28. The microfiche are in jackets that are typically paired with an index card. There can be multiple jackets of fiche as well. The microfiche are all originals and very in quality due to time and handling as well as who was creating them for our office. See Examples below.
- Q29. Do the microfiche have the Corporate Name and Number on the title strip?
- A29. All of them will have the name and some will have the number depending on if it has a card or doesn't. There are also lots of corporations in the set that were never issued numbers.
- Q30. What is the average weight of one of the 180 boxes?
- A30. Single trays are average 11.5 pounds while, a double-wide tray averages 23 pounds.
- Q31. How many daily searches are made for records contained in the Lektriever?
- A31. It varies widely throughout the year. Some weeks can have over twenty records requests while other could have a handful. Most of this is based on if corporations are trying to merge, are being audited, or have questions relating to their original documents. Therefore, it is not a consistent daily request for records.
- Q32. Please describe the "web-based search mechanism" that the DAS will be using.
- A32. I'm not sure what this is referring to. The Secretary of State's office will need to be able to access the images through our own corporation system software. This means that the

files will need to be sent to us to be stored on our own servers after the images are scanned in. This transfer can be done through the best way the vendor sees fit that is also compatible with our system including but not solely required to be web based.

- Q33. Is the DAS looking for a hosted solution or will you be managing the data internally?
- A33. The Secretary of State will be managing the data internally.
- Q34. Please confirm there are roughly one million images contained within this microfilm collection.
- A34. See Section 1.5 for estimated information.
- Q35. The monthly schedule requires the digitization of 45-60 trays per month. What is the average number of recalls for fiche/cards during the month that the trays will be offsite for digitization?
- A35. We cannot easily project that out since these records are only part of the collection of media. The other half have already been scanned in and are often the more requested sections of corporations.
- Q36. Can a recall be satisfied by the vendor scanning the fiche/card and providing the images over a secure FTP?
- A36. Yes, this is a method that could be used in such a scenario.
- Q37. The second bullet point on p.13 asks the vendor to describe how they will associate Corporate Name and Number with MetaData. Please describe the MetaData that we will be associating with.
- A37. The Metadata being referred to is anything that is in the sets of information that are not the corporate name and number which may need to be used to keep track of the different corporations.
- Q38. Is each Corporation contained on its own microfiche card or will multiple corporations ever be located on the same fiche card?
- A38. There are two parts to a file jacket. The index card which will need to be a pdf and then a sleeve or multiple sleeves with fiche in them. There may be instances where if corporations combined or merged that there are what may seem like multiple corporations but they are one corporation to be entered under the one number. Most examples of this instance should be an irregular occasion. We don't know all the different outliers within the files that could arise though so it will be important to have an easy way to communicate with the vendor when such problems arise.
- Q39. The second bullet point on p.14 references standards for account representatives as part of the Performance-Based Criteria. Please describe how an account representative is related to incentives/disincentives for a digitization project.

- A39. The State wants to know the standards the person who will manage the State of Iowa's account is held and how those standards are measured.
- Q40. As indicated on p.14, please describe the requirements for the "proposed system" that the vendor is required to propose.
- A40. The State relies on vendors to determine what to propose based on the project described.
- Q41. The Experience Section requests three letters of reference from current or previous customers; are these to be included in our proposal or sent in separately? If sent in separately, please provide instructions to do so.
- A41. Please see section 3.2 Technical Proposal.
- Q42. This section references the vendor describing their ability to scan using OCR and requesting the vendor to describe the file format. Is the DAS looking for a multipage searchable PDF per Corporation/Corporate Name/number?
- A42. The Index cards need to be saved as multipage searchable PDF's for all of the typed text.
- Q43. What is the on-site coordination and support services that are required?
- A43. The State is asking respondents to describe their implementation strategy and include any on-site coordination and support services that will be necessary.
- Q44. Does the DAS want grayscale or bitonal images?
- A44. Greyscale.
- Q45. Can the agency be clearer as to what format they have, if they have more than one format, if they have more than one format for the same asset?
- A45. The index cards are in multiple page PDF files and the microfiche images are in multipage TIF files.
- Q46. If these are all actually microfiche are they 16mm or 35mm or a mix
- A46. I'm not sure, the height of the fiche image tends to be 5/8 of an inch so I believe it would be 16mm. The only variance we have in the size of fiche are ones done on legal sized paper are longer in width I think than the usual ones.
- Q47. How many rows do the fiche have and how many are full?
- A47. One file jacket has 5 rows and they vary greatly on how full they are. Look at examples below for more detail.
- Q48. 121500 cards x 7.5 images should yield 911,250 images correct?

- A48. Per section 1.5, this is an estimate. We do not know how many cards or images will be in the set.
- Q49. Fiche typically have a titlebar at the top. Is anything written on the titlebar and is it opaque or translucent? Is the information typed or handwritten?
- A49. Yes, the corporation name is typed in the title bar and the number can be written in as well if needed to keep the fiche and index cards together. Most of the title bars appear to be opaque.
- Q50. Can a corporation span multiple fiche?
- A50. Yes, multiple lines of fiche filings can be associated with one corporation.
- Q51. There is a potentially troublesome type of fiche where individual frames are cut and slid into the channels causing them to float around or fall out of the fiche. Is the agency aware if this exists in the collection. It is not common but was a technique used to "add" pages to a file. If these were all filmed once a company was closed then this would not be the case.
- A51. Our fiche does have individual frames that are stored in jackets but for the most part they are in stripes stored in the channels of the jackets. The images are of the documents filed by the corporation every time that they submitted a filing so each was cut and put into a file jacket and are based on how many pages were in the filing. Examples of images are provided below.
- Q52. Does the agency have any electronic list of Dead Corporation names? Is there a list that relates number to name?
- A52. No. The dead corporations were never listed and these files were never assigned a number as they were dissolved before the numbering of corporations was done.
- Q53. Is this procurement for just imaging or for imaging and a system to manage the digital assets it?
- A53. Just imaging and transferring those images back to the State of Iowa.
- Q54. A W-9 is typically only supplied by the contracted vendor since it is only provided to the IRS when payments are being made. Does this really need to be submitted with the bid?
- A54. Please see Exhibit 4.
- Q55. The schedule of trays distributed to the vendor forces the project to span 5 months and requires multiple deliveries. Can vendors propose a shorter schedule with one or two pickups? Likely the agency is concerned about access to the originals. If vendors can provide images of cards within 4, 8 or 24hrs to allow for more cards to be collected, is this acceptable?
- A55. Vendors can propose a shorter schedule.

- Q56. Is the information export controlled (meaning none of the images or assets can leave the country)?
- A56. None of the physical assets can leave the country. Digital copies are required to stay in the US as well.
- Q57. Some vendors will propose sending the fiche out of the country for imaging and indexing, is this acceptable and how will the agency control this?
- A57. The physical records cannot leave the country. Digital records cannot be saved stored or downloaded outside of the US.
- Q58. Some vendors will allow overseas subcontractors or staff to remote into a server for indexing, is this allowed and if not how will the agency control this?
- A58. It should be fine if they use someone outside of the US to perform tasks over the web but none of the physical assets or digital copies can leave the country or be stored in a foreign country. This means no digital files can be stored or save on servers or downloaded to local computers that exist outside of the US. We would want to discuss with them what it is that is being shared overseas for transparency to understand what if any risks are involved in doing so. If solutions can be provided that allow for workers in other countries to access the information in accordance with this policy than they can submit a proposal
- Q59. Out of state conversion is currently an option in this RFP, however it is unclear if a vendor proposing to convert out of state would receive a lower evaluation for doing so. Can the agency identify if there would be an evaluation preference for local conversion and if so can out of state vendors offer an option to scan on site?
- A59. The only preference is based on tied bids, see section 5.4.
- Q60. The cost for indexing is directly related to how many keystrokes are required. How many keystrokes on average for a Corporation name, how many for the number and how many for any additional metadata.
- A60. Corporation name is roughly 29, number will be 5 or 6 depending on the number of dead files with numbers. For all corporations without a number (roughly 2/3rds of the corporation) we will need indexing to be done by the vendor where they are assigning the number for the corporation. This process can be discussed during the proposals to come up with solutions but the most plausible one our office has is that the numbers would start at 2,000,000. We would need them to be tied to a list with the name and have this number be used to pair the index cards and fiche to keep them with one another.
- Q61. OCR. Is this a requirement or should just be listed as an option. Is the majority of the content machine typed?
- A61. Searchable PDF's must be supplied for index cards on all the typed sections of the card which should be mainly the name. This will always be machine typed but the rest of the

information could be hand written and doesn't have to be readable just the typed name does. The fiche does not need OCR, they will be saved as multipage tif's.

- Q62. Can the agency consider estimating the number of keystrokes by counting a dozen records and extrapolating, then change from an all-inclusive price to a unit rate contract to fairly assess all vendors in the evaluation and to fairly compensate vendors for the actual work they perform on the contract? Based on the low numbers of frames (7.5) per fiche some vendors will want to charge a rate per fiche, others per image and others a blend of both.
- A62. The reason we want to bill by tray was because we used a per image basis the first time we had images scanned in for a prior set of information and it became apparent that we couldn't track how much was being scanned in from our end. We don't have hard counts on any of the material, be it number of corporations, fiche and cards, or images. Therefore we wanted to bill based off something we have a solid number on which is the number of trays we have.
- Q63. Technical Evaluation Points and how they are awarded. For example weights associated with proposed solution, experience, references?
- A63. See section 5.3.
- Q64. Cost Evaluation Points.
- A64. See section 5.5.
- Q65. Is the agency looking for the least expensive solution that meets the minimum specifications or the most expensive solution with maximum accuracy?
- A65. See section 5.1.
- Q66. Can vendors provide a base solution to meet the minimum specifications and options with higher data accuracy and features? If so must these options be a complete and separate proposal. Please also indicate if a vendor would be evaluated lower for providing the agency options rather than a single solution with a fixed priced for the lot and no options.
- A66. See Exhibit 17.
- Q67. Payment terms and evaluations. Can the agency state if they will evaluate cost based on discounts or incentives?
- A67. See Section 5.5.
- Q68. Will there be an opportunity to view and inspect the cards prior to the response date?
- A68. Yes, this can be requested through the Purchasing Agent.

- Q69. Does the State have a "web-based search mechanism" for retrieving/viewing the final images in place? Or is it the expectation that the responder will provide such a mechanism?
- A69. We need a mechanism to receive the final copies of all the scanned images to that we can house the information on our own servers. The Secretary of State's office currently does not have a mechanism set up to receive these files so a method or mechanism to transfer the information to us would need to be done.
- Q70. Whether companies from Outside USA can apply for this? (like, from India or Canada)
- A70. Yes
- Q71. Whether we need to come over there for meetings?
- A71. We would like to have an in person meeting if possible at the beginning of the project but as the project progresses we can work with having weekly or bi weekly phone call meetings to get progress updates etc. which can be worked out with the vendor who wins the bid.
- Q72. Can we perform the tasks (related to RFP) outside USA? (like, from India or Canada)
- A72. Once again, physical records cannot leave the country and we would prefer them to not leave the state. No information physically or digitally can be stored anywhere outside the US. This means even digital copies cannot be downloaded or stored in a sever or computer outside of the US for any purpose. If a vendor wants to use a web based system to view or go over records that doesn't require them to download or store the files on a foreign computer this can be done but otherwise no tasks that require information to be stored in a foreign country both physically and digitally can be done for this project.
- Q73. Can we submit the proposals via email?
- A73. See Section 3.
- Q74. Would we be able to utilize the metadata to perform match and merge type indexing?
- A74. The indexing that will need to be done is having the corporation number pairing the fiche and index cards so that they can be tied to the same corporation name.
- Q75. On average, how many digits is the Corporate Number?
- A75. The number is anywhere from in the single digits up to six digits currently. It may be higher though based on how the records that do not have a corporation number will be handled and this is TBD with the vendor and their recommendations compared to our system needs.

Due to the amount of questions, The State is extending the following deadlines:

Questions Round Two: Due January 18, 2018 RFP Responses: Due January 26, 2018 at 3:00 PM CT

See the following pages for the examples requested.



This corporations filing has one index card and two jackets of fiche. The index card needs to be scanned in both front and back as a multipage pdf file. The two jackets are associated with the same corporation. They have the names listed above but are slightly different so the corporation number acts as the unique identifier that pairs the images all together to keep them from being seperated. This is part of what is being asked with the indexing. The corporations that have numbers need to have the card and fiche paired using the corporation number to keep them together so they can be entered into our corporation software system with their existing corporation on record.



This example is to show that there is a wide variety of the amount of images per corporation. Only having one fiche in a jacket is quite common. On the other hand, some corporations can have upwards of 100+ images. Each of these corporations have to have their fiche images and card images kept associated with the name and if available number.



The index card in this example has a different name than the one listed on the fiche jacket. This is not a problem because the number can be used as a unique identifier for both to keep them together. There are going to be numerous corporations that do not have numbers and need to have the index card and fiche be able to be found easily. We will be open to hearing the best options that are provided in the proposals to help solve this as our office is not set on a method to do so.



This corporation had four jackets with each having fiche images that need to be scanned in and later merged all together as a tif image so that these images are all in one file.



This is an example of a file jacket with film but no index card. The above picture is the jacket in the sleeve. We would need the film scanned in under the name and number listed on the header. The bottom picture is just the jacket. The pages of the fiche are all one filing group.



These photos are of a corporation with no number. The names are both the same but it was never assigned a number. Therefore, we will need them to be entered under a different unique identifier potentially or have other solutions proposed to us during the proposal.

## Please acknowledge receipt of this addendum by signing in the space provided below, and <u>return this</u> <u>letter with your offer (do not send back separately).</u>

I hereby acknowledge receipt of this addendum.

Signature

Date

Typed or Printed Name