State of Washington
Department of Retirement Systems

Backfile Conversion

Request for Proposals
(RFP 99-63)
November 5, 1999

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1 INTRODUCTION & BACKGROUND

1.1 OVERVIEW – STATE OF WASHINGTON, DEPARTMENT OF RETIREMENT SYSTEMS (DRS)

The Washington State Department of Retirement Systems (DRS) is a state agency created by the 1976 Washington State Legislature. DRS currently administers the state's six public sector retirement systems with ten separate plans that have a combined total value of approximately $37 billion.

The purpose of DRS is to administer defined benefit/defined contribution pension plan coverage for state employees, teachers and classified educational employees, law enforcement officers and firefighters, and other employees of participating political subdivisions. Information necessary for administration of these benefits is transmitted to DRS by employers of retirement systems members. As of June 30, 1998, there were 1,235 covered employers participating in multiple systems and/or plans administered by DRS.

A majority of employers report electronically monthly compensation, contributions and hours for each of their eligible employees. DRS collects and stores this information and then grants the member service credit based on the number of hours worked. Active members continue to accrue benefits by virtue of employment in a position covered by one of the Washington retirement systems. Once the amount of their service credit meets the legislative requirements for retirement, members are eligible to retire and begin receiving a monthly benefit. Vested members who leave state service may either leave their contributions in the system and draw a benefit at a later date or withdraw them at the time of (or after) separation from service.

Retired members receive a benefit for life. Their benefit may continue after their death to a survivor or beneficiary. Whether the benefit continues is determined either by the benefit payment option chosen at retirement or by eligibility requirements defined in statute.

Although most employer reporting to DRS is automated, most of the documentation about active and retired members is contained in paper files. That information comes to DRS from members, their employers, spouses and other relatives, as well as courts and medical sources. Information is presented on forms, legal documents, handwritten notes, microfilm/fiche, and photocopies of other documents.

Processing and preserving this information involves the routing of a paper document, such as a member enrollment form, to the Files Unit where a folder is created and a barcode label is created to track the file. The member file folder is then shelved in an end-tab numeric file system until it is needed for a transaction. When the folder is required, DRS staff then log onto the Files Tracking System via a mainframe application and order the file by Social Security number. Paper transmittal slips showing the requester's name and location are produced and affixed to the file folders. The folders are placed in a pickup bin for the courier to deliver to the requester. The member file is then routed person to person until everyone who may have an interest in it is able to access it. Paper documents coming into the department act as triggers for staff to process a multitude of different transactions on DRS's online (mainframe) applications.

During the past several years, DRS has systematically consolidated and engineered its business systems to better support growing business needs. During the planning for this reengineering effort, risks associated with paper documents and the potential benefits of imaging and automated workflow on Agency operations were identified. Estimates by the Washington State Office of the State Actuary indicate a substantial increase in workloads in members requesting retirement and a growing need to access documents within the member folders, as retirement levels are predicted to increase significantly in the next decade.

The nature of public pension plans requires DRS to retain the majority of its member files for a maximum retention period of 75 years or longer. There is no way to predict in advance which documents will be needed for an extended period, thus all are kept for the maximum retention period. Currently, all of these documents are maintained in a paper file system with no means of backup.

DRS has recently entered into a contract with DocSys, Inc. to provide equipment, software and related services for a production Electronic Document Image Management System. Under the terms of the DocSys contract, all incoming documents, or "new" documents will be imaged, indexed and stored for subsequent routing or processing.

The subject of this RFP is the material contained in the historical member files stored at the DRS Files Room. No "new" OR "incoming" documents will be included with this RFP. The successful Vendor will be required to provide and maintain equipment and software compatible with the equipment and software in use by Docsys at DRS.

See **APPENDIX G – Agency Facts and Figures Summary** for parameters to be considered in responding to this Request for Proposal (RFP).

1.2 OBJECTIVES

The objective of this Request for Proposal (RFP) is to select a vendor to image approximately 3,000,000 pages of selected paper documents maintained in member folders at an offsite location. The objectives for this project are:

- Enable the staff to improve quality and timeliness of customer services.
- Reduce reliance on paper flow for the large volume of business information.
- Manage projected increases in customer volumes and services.
- Provide for improved disaster recovery and safety of mission-critical documents through electronic storage.

DRS would like to have this project started by 3/15/2000, and completed by June 30, 2001.

1.3 PROJECT OVERVIEW

It is DRS' intent that this RFP will culminate in a contract, provided DRS identifies an Apparent Successful Vendor that best matches the criteria and other conditions as specified within the RFP.

1.4 RFP ADMINISTRATIVE PROCESS

1.4.1 SCHEDULE OF CONTRACT EVENTS

DRS reserves the right to make changes to this schedule .

1. RFP Release 11/5/1999
2. Pre-bid Conference 11/29/1999
3. Deadline for Vendor Questions 12/3/1999
4. Deadline for Submission of Letter of Intent to Propose ..... 4:30 pm, PST, 12/3/99
5. Response to Vendor Questions 12/8/1999
6. Bid Submission Deadline ..... 4:30 pm, PST, 12/17/99
7. Bid Opening Date and Time ..... 9 am, PST, 12/20/1999
8. Selection of Apparent Successful Vendor 1/10/1999
9. Announce Apparent Successful Vendor 1/11/2000
10. Deadline for Requesting Debriefing Conference 1/19/2000
11. Deadline Date for Beginning of Contract Negotiations 1/24/2000
12. Completion of Vendor Debriefing Conferences 1/26/2000
13. Deadline for Written Protests 2/2/2000
14. Completion of Contract Negotiations 2/14/2000
15. OFM Contract Approval 3/1/2000
16. Begin Backfile Conversion 3/15/2000

1.4.2 RFP COORDINATOR

Vendors may submit questions in writing concerning the intent or clarity of this RFP to the RFP Coordinator, Jim Gunn, at the address below. Unauthorized contact regarding the RFP with other state employees may result in disqualification of the vendor. Any oral communications will be considered unofficial and non-binding. Vendors should rely only on written statements issued by the RFP Coordinator.

Mail: Jim Gunn, RFP Coordinator
Washington State Department of Retirement Systems
P.O. Box 48380
Olympia, WA 98504-8380

Hand Delivered: Jim Gunn, RFP Coordinator
Washington State Department of Retirement Systems

6835 Capitol Boulevard
Tumwater, WA 98501

Telephone: 360-664-7264
FAX: 360- 753-5397
E-Mail: JIMG@DRS.WA.GOV

1.4.3 ACQUISITION AUTHORITY

The issuance of this RFP has been approved by DRS and the Department of Information Services (DIS).

DRS issues this RFP under Chapter 43.105 of the Revised Code of Washington (RCW). This RFP complies with the policies and procedures of DIS and the Information Services Board (ISB). The RCW Chapter 43.105 as amended establishes the Washington Information Services Board (ISB). While the ISB does not purchase for agencies, it regulates the manner in which state agencies may acquire information technology equipment, software and services. The ISB publishes policies and standards that determine when goods and services must be competitively acquired.

The ISB has delegated its purchasing approval authority to the Director of DIS.

This RFP complies with the policies and procedures of the Office of Financial Management (OFM). Any personal services contracts that result from this RFP will be filed with OFM as required under the provisions of Chapter 39.29 RCW. No contract required to be so filed is effective and no work thereunder shall be commenced nor payment made therefor until ten (10) working days following the date of filing, and, if required, until approved by OFM. In the event OFM fails to approve the contract, the contract shall be null and void.

1.4.4 ACQUISITION FUNDING AND EXPENDITURE LIMIT

Funds to purchase identified products and services specified for this acquisition are approved and are within the Agency's delegated authority. Any contract awarded as a result of this procurement is contingent upon the continued availability of state Agency funding.

1.5 VENDOR REQUIREMENTS

1.5.1 VENDOR RESPONSIBILITIES

The prime contractor (referred to as "vendor" within the text of this RFP) shall assume full responsibility for delivery of all products and services provided under this contract. **Further, DRS shall consider the selected vendor to be the sole point of contact regarding contractual matters**. All use of subcontractors and/or third party vendors shall be specifically identified in the vendor's proposal and the prime contractor (vendor) shall describe the type of contractual arrangement that shall exist with all subcontractors and/or third party vendors. The name and address of subcontractors and third party

vendors, if any, shall be included in the proposal, along with a statement of what equipment or software the subcontractor(s) and/or third party vendor(s) will supply.

Use of subcontractors and/or third party vendors does not relieve the vendor of sole responsibility for performance under the contract. The vendor shall be responsible for meeting all of the terms and conditions resulting from this RFP. If at anytime the subcontractors and/or third party vendors of the vendor change, the vendor shall notify DRS in writing prior to making the change. DRS must approve in writing all changes to vendor staffing, including subcontractors and third party vendors. Such DRS approval shall not be unreasonably withheld.

1.5.2 VENDOR REGISTRATION

Vendors shall provide their Federal employer ID number to DRS. Vendors are each responsible for complying with all statutory provisions applicable to doing business in the State of Washington, and with Washington State agencies.

Vendors shall provide descriptions of their organization, which shall include:

- business name
- business address of the location or locations that would service this contract
- telephone, fax number(s) and email address for the location(s) that would service this contract
- a single point of contact at each location (including name and title)
- type of organization (corporation, partnership, etc.)
- length of time (rounded to the nearest year) that the organization has been providing document conversion to electronic images services
- year the organization was established
- names of the principal officers
- the scope of services that are offered

The same information shall be provided for each subcontractor. In addition, the response shall include the length of time you have been affiliated with the subcontractor organization. This response shall be provided as specified in Section 1.6.11, “Proposal Presentation and Format”.

1.5.3 DRUG FREE WORKPLACE

Vendors shall advise their IT professionals that they will be working in a weapon-, drug-, alcohol-, and smoke-free work place.

1.6 PROPOSAL

1.6.1 GENERAL PROPOSAL INFORMATION

NOTE: Vendors must submit a Letter of Intent to Respond to this RFP by the date specified in 1/7/16; failure to submit the Letter of Intent will result in the proposal being deemed non-responsive. The vendor shall submit a separate proposal for each bid submitted. All proposals shall have an original

signature by an authorized representative authorized to bind the company. All proposals shall be clearly labeled. The vendor's proposal, in its entirety, shall be submitted to the Department of Retirement Systems, Attention: Jim Gunn, RFP Coordinator, PO Box 48380, Olympia, WA 98504-8380 not later than 4:00 pm on December 17, 1999 as specified in the Schedule of Contract Events (Section 1.4.1). Proposals arriving after the deadline will not be evaluated. All proposals and accompanying documentation will become the property of DRS.

Vendors assume the risk of the method of dispatch chosen. DRS assumes no responsibility for delays caused by any delivery service. Postmarking by the due date will not substitute for actual proposal receipt. Late proposals will not be accepted nor will additional time be granted to any vendor. Do not deliver proposals by facsimile transmission or other telecommunication or electronic means.

1.6.2 PUBLIC RECORD

All bids, proposals, or offers submitted by vendors shall become public information and may be inspected during normal business hours after execution of the contract. All public information may be released in accordance with RCW 42.17. The only exceptions to disclosure of information are listed in the Revised Code of Washington. (See Section 1.6.3 regarding proprietary information.) Primarily, trade secrets submitted by a vendor are the only exceptions to public disclosure by DRS. The submission of any information to DRS by a vendor puts the risk of disclosure on the vendor.

1.6.3 PROPRIETARY INFORMATION NOT FOR PUBLIC DISCLOSURE

Any proprietary information contained in the proposal must be clearly and conspicuously designated as "PROPRIETARY" at the lower right corner of the section. Marking the entire proposal as proprietary will be neither accepted nor honored. If a request is made to view a vendor's proposal, DRS will comply with RCW TITLE 42 PUBLIC OFFICERS AND AGENCIES, DISCLOSURE--CAMPAIGN FINANCES--LOBBYING--RECORDS, RCW 42.17.250 through 42.17.348. If any information is marked as proprietary in the proposal, such information will not be made available until the affected vendor has been given an opportunity to seek a court injunction against the requested disclosure.

Vendor should identify clearly (as "CONFIDENTIAL") any materials which constitute "(valuable) formulae, designs, drawings, and research data" exempt from public disclosure under RCW 42.17.310, or any materials otherwise claimed to be exempt, along with a statement of the basis for such claim of exemption. The State's sole responsibility shall be limited to maintaining the above data in a secure area and to notify vendor of any request(s) for disclosure within a period of five (5) years from date of contract award under this RFP. Failure to so label such materials or failure to timely respond after notice of request for public disclosure has been given shall be deemed a waiver by the vendor of any claim that such materials are, in fact, so exempt.

1.6.4 NON-ENDORSEMENT

As a result of the selection of a vendor to supply products and/or services to DRS, DRS is neither endorsing the vendor's product nor suggesting that the vendor's product is the best or only solution. The vendor agrees to make no reference to DRS in any literature, promotional material, brochures, sales presentation or the like without prior written consent of DRS.

1.6.5 PROPOSAL AND DEMONSTRATION EXPENSES

DRS is not liable for any expense incurred in the preparation, delivery or presentation of proposals in response to this RFP.

1.6.6 NO OBLIGATION TO BUY

DRS reserves the right to reject any and all bids, and to refrain from contracting with any vendor. The release of this RFP does not compel DRS to purchase.

1.6.7 ERRORS IN THE PROPOSALS

DRS shall not be liable for any errors in vendor proposals. Vendors will not be allowed to alter proposal documents after the deadline for proposal submission. DRS, at its sole discretion, may waive minor informalities.

DRS reserves the right to make corrections or amendments to proposals by the Agency or the vendor for errors such as typing, transpositions, or any other obvious errors. Any changes will be date and time stamped and attached to proposals. All changes must be coordinated in writing with, authorized by, and made by the RFP Coordinator. Vendors are liable for all errors or omissions contained in their proposals.

1.6.8 RELEASE OF RFP

This RFP is being issued by the Department of Retirement Systems. Copies of the RFP may be obtained from Jim Gunn, RFP Coordinator, at the address listed previously or phone (360) 664-7266, FAX (360) 753-5397. This RFP is also available at the following website: www.wa.gov/drs/agency/index.htm and click on "Information for DRS Vendors". Copies will be sent by U.S. Mail, e-mail, or may be picked up in person by the vendor. Copies will not be faxed to respondents.

1.6.9 VENDOR INQUIRIES REGARDING SPECIFICATIONS

DRS will consider vendor inquiries regarding any requirements before the deadline for all vendor inquiries of November 29, 1999. All inquiries must be in writing and submitted to the RFP Coordinator by the date specified in the Schedule of Contract Events (Section 1.4.1). DRS reserves the right to modify requirements should a vendor inquiry identify a change that is in the best interest of DRS. Should DRS modify any requirements of this RFP, such modifications will be made by addendum, and will be available on our website (www.wa.gov/drs/agency/index.htm and click on "Information for DRS Vendors").

1.6.10 CONSIDERATION OF MINORITY AND WOMEN BUSINESS ENTERPRISES

In accordance with legislative findings and policies set forth in Chapter 39.19 RCW the State of Washington encourages participation in all of its contracts by minority and women-owned firms certified by the Office of Minority and Women's Business Enterprises (OMWBE). Participation may be either on a direct basis in response to this solicitation or as a subcontractor to a bidder. However, no preference will be included in the evaluation of bids, no minimum level of MWBE participation shall be required as a condition for receiving an award, and bids will not be rejected or considered non-responsive on that basis.

1.6.11 PROPOSAL PRESENTATION AND FORMAT

A vendor's backfile conversion proposal shall be organized and presented as described below (a checklist of these items is also provided for your convenience in APPENDIX F):

A. Introduction

1. A cover letter signed by the vendor's representative authorized to make contractual obligations. The letter shall include acceptance of all the terms and conditions stated in the RFP.
2. Table of Contents
3. Executive summary presenting your understanding of the DRS backfile conversion project, a high level overview of your approach and the distinguishing characteristics of your proposal.
4. Vendor registration information (Section 1.5.2).
5. Subcontractor and third party vendor information, including:
   - Names and addresses.
   - Statement of what equipment or software that they will be supplying.
   - Description of type of contractual arrangement that shall exist with the subcontractor
6. Overview of proposed backfile conversion process.
7. Proposal Certification (Section 1.9.10). (Use Certifications and Assurances Form, APPENDIX C.)
8. State of Washington: Year 2000 Protection and Warranty Language (Section 2.11). (Use form in Appendix A.)
9. Addenda may be used by the vendor to present information of importance not otherwise provided for in the required proposal format.

B. Responses to Technical Specifications (Section 3)

1. The vendor must specify how they will meet the requirements in this RFP.
2. The vendor must provide a list with technical description of each hardware and software item proposed, including a diagram.

C. Responses to Quality Assurance (Section 4)

D. Responses to Project Management & Staffing (Section 5)

E. Responses to Vendor Information (Section 6)

F. Responses to Cost Proposal (Section 7)

Use Cost Worksheet in APPENDIX D to itemize and summarize the cost figures. List additional fees, if any, for options so the Agency can select which options it wants to include.

Any vendor proposal that does not follow this format may be deemed non-responsive and rejected on that basis.

1.7 PROPOSAL SUBMISSION

1.7.1 DRS CONTACT

A complete copy of the original signed bid shall be submitted to:

Mail: Jim Gunn, RFP Coordinator
Washington State Department of Retirement Systems
P.O. Box 48380
Olympia, WA 98504-8380

Hand Delivered: Jim Gunn, RFP Coordinator
Washington State Department of Retirement Systems
6835 Capitol Boulevard
Tumwater, WA 98501

1.7.2 PROPOSAL PREPARATION

Proposals are to be provided on standard 8 ½" x 11" paper. Foldouts containing charts, spread sheets, and oversize exhibits are permissible. The pages must be placed in a binder with tabs separating the major sections of the proposal. Manuals and other reference documentation may be bound separately. All responses, as well as any reference material presented, must be written in English.

Each proposal shall include a complete response. The RFP is functioning as a proposal, checklist and response form.

Proposals must respond to the RFP requirements by restating the number and text of the requirement in sequence and writing the response immediately after the requirement statement. Figures and tables must be numbered and referenced in the text by the corresponding numbers. Figures and tables should always be placed as close as possible to the referencing text. Pages must be numbered consecutively within each section of the proposal showing proposal section number and page number.

Proposals shall be based only on the material contained in this RFP. The RFP shall include all subsequently issued official responses to pre-bid conference questions, amendments, addenda, and other final written material published by DRS pursuant to the RFP. The vendor is to disregard any previous draft material and any oral representations it may have received.

1.7.3 ADDITIONAL PROPOSAL COPIES

The vendor shall provide six (6) paper copies of their complete proposal for use in the evaluation process. Technical manuals may be included as necessary.

Vendor shall provide one (1) electronic copy of the proposal on 3 ½" diskette in MS Word format. If there are discrepancies between the electronic and paper copy, the paper copy shall prevail. These copies shall be sent to the Department of Retirement Systems at the address listed previously.

These copies are in addition to the one (1) original paper proposal.

The vendor shall be required to provide only one copy of professionally printed materials such as Training Manuals, System Manuals, and publicity information. The Evaluation Committee may request additional copies as needed later.

1.7.4 MULTIPLE PROPOSALS

Vendors interested in submitting more than one proposal may do so, provided each proposal stands alone and independently complies with the instructions, conditions, and specifications of the RFP.

1.7.5 WAIVER OF MINOR IRREGULARITIES

DRS reserves the right, at its sole discretion, to waive minor irregularities contained in any proposal.

1.7.6 SINGLE RESPONSE

A single response (i.e., a proposal from only one vendor) to the RFP may, at the sole discretion of DRS, be deemed a failure of competition and DRS may cancel the RFP on that basis. DRS reserves the option to award a contract in the event a single response to the RFP is received.

1.7.7 PROPOSAL REJECTION

Before execution of a contract, DRS reserves the right to reject any or all proposals at any time without penalty.

1.7.8 WITHDRAWAL OF PROPOSAL

Vendors may withdraw a proposal that has been submitted at any time up to the bid submission deadline date and time. To accomplish this, a written request signed by an authorized representative of the vendor must be submitted to the RFP Coordinator. After withdrawing a previously submitted proposal, the vendor may submit another proposal at any time up to the bid submission deadline date and time.

1.7.9 RESPONSE - PROPERTY OF DRS

All materials submitted in response to this request become the property of DRS. Selection or rejection of a response does not affect this right.

1.7.10 NECESSARY ANCILLARY EQUIPMENT AND SOFTWARE

Unless specifically excepted by the terms of the RFP, all parts, software, or accessories (i.e. cables, power converters, display devices) ordinarily furnished or required to make the proposed equipment a complete operating unit shall be furnished by the vendor and included in the Cost Proposal. Major components of equipment or software should be itemized with the corresponding cost. See Cost Worksheet, APPENDIX D, for suggested component breakout.

1.7.11 AGENCY RESERVATION OF RIGHT TO EQUIVALENT EVALUATION COMPARISON

DRS may, at its sole discretion, select or reject individual items of services, equipment and/or software proposed by the vendor. As part of the evaluation process, DRS may find it necessary to add or delete services, hardware, and/or software from the vendor's proposal to make equivalent evaluation comparisons.

1.7.12 CONDITION OF PROPOSED EQUIPMENT

All equipment proposed must be new equipment or refurbished. Refurbished equipment must be clearly designated as such, and warranted as new equipment.

1.7.13 CONFIGURATION ADJUSTMENT WITH CONTRACT

The Agency reserves the right to select and exclude any equipment, software, or services for the actual acquisition regardless of the configuration proposed by the vendor. The vendor will be consulted on any such adjustments whenever it is determined that the configuration adjustment may adversely impact the system performance.

1.7.14 BID SUBMISSION DEADLINE AND BID OPENING DATE AND TIME

All vendor proposals shall be received by DRS as explained above, not later than 4:30 p.m. Pacific Standard Time on December 17, 1999. Bid opening will occur at DRS on December 20, 1999. Bid opening is not open to the public or to vendors. Names of responding vendors will be available by 4:00 pm December 20 on the DRS web site (www.wa.gov/drs/agency/index.htm and click on "Information for DRS Vendors").

1.7.15 PRE-BID CONFERENCE

A pre-bid conference will be held November 29, 1999 at 9:00 am at DRS, 6835 Capitol Boulevard, Tumwater, WA in the Boardroom. Each vendor may send a maximum of two representatives to the conference. **During the pre-bid conference, interested vendors may tour DRS' file facility containing the files to be converted. <u>This will be the only opportunity for vendors to see the files and facility.</u>**

NOTE: Directions for the location of the pre-bid conference are attached as APPENDIX E.

1.7.16 SUBMISSION OF LETTER OF INTENT TO PROPOSE

Vendors are required to submit to DRS, at the address below, a Letter of Intent to Respond to this RFP by the deadline of 4:30 pm PST December 3, 1999. Proposals from Vendors who have not submitted a Letter of

Intent to Respond will be disqualified. Letters of Intent need state only that the Vendor *(name)* intends to respond to RFP 99-63, Backfile Conversion.

Mail: Jim Gunn, RFP Coordinator
Washington State Department of Retirement Systems
P.O. Box 48380
Olympia, WA 98504-8380

Hand Delivered: Jim Gunn, RFP Coordinator
Washington State Department of Retirement Systems
6835 Capitol Boulevard
Tumwater, WA 98501

1.7.17 RFP AMENDMENTS

DRS reserves the right to change the Schedule of Contract Events or issue amendments to the RFP at any time. DRS also reserves the right to cancel or reissue the RFP.

1.7.18 RESPONSE TO VENDOR QUESTIONS

Specific questions concerning the RFP should be submitted in writing by the deadline for written inquiries. Vendors should note that the only official and binding response is the written response to questions.

1.8 EVALUATION OF VENDOR PROPOSALS

An Evaluation Committee made up of representatives from the Department of Retirement Systems and other state personnel will be assembled to evaluate the proposals. DRS reserves the right to contact vendors during the evaluation process for the purpose of clarification, if necessary. DRS has the option to contacting the Better Business Bureau and additional industry sources to confirm good business practices and use the information as part of the evaluation.

The evaluation criteria reflect a wide range of considerations. While purchase price is important, other factors are equally significant. The objective is to choose a reliable and experienced vendor capable of providing an effective solution within a reasonable budget and timeframe. Consequently, the State may not select the lowest cost solution.

The proposal will be evaluated using the following criteria based on their weight or importance:

- Services and Support (30%):
  The ability of the vendor to provide professional services and support during the conversion.
- Cost (30%):
  The cost of the proposed system and services will be evaluated based on professional services and any related equipment/software costs.
- Technical Architecture (20%)

The compatibility of proposed systems and services with existing technical architecture and infrastructure.

- Functionality (10%):
  The ability of the proposed system and services to meet or exceed the mandatory requirements stated in this RFP.
- Viability and Vision (10%):
  The financial stability and viability of the vendor and the product. The vendor will also need to demonstrate a viable vision of the future of the company and product.

1.8.1 MANDATORY REQUIREMENTS EVALUATION

Each proposal will be reviewed for compliance with mandatory requirements. If it is determined that a mandatory requirement has not been met, the vendor will be disqualified.

1.8.2 TECHNICAL SPECIFICATIONS AND SERVICES EVALUATION

Each proposal meeting all the Mandatory Requirements will be evaluated on the Technical Specifications, Quality Assurance Requirements, and Project Management and Staffing requirements.

Any Technical Specifications, Quality Assurance Requirements, and Project Management and Staffing information that is incomplete, in which there are significant inconsistencies or inaccuracies may be rejected.

The Technical Specifications, Quality Assurance Requirements, and Project Management and Staffing information will be evaluated based on the weighted evaluation criteria described in 1.8 of this RFP.

1.8.3 VENDOR INFORMATION AND COST EVALUATION

After the Technical Specifications and Services Evaluation, the Evaluation Committee will consider the Vendor Information and Cost Section for each proposal meeting all mandatory requirements.

Any Vendor Information or Cost information that is incomplete, in which there are significant inconsistencies or inaccuracies may be rejected.

The Vendor Information and Cost Section will be evaluated to determine its compliance with the instructions to vendors set forth in this RFP. The Vendor Information and Cost Section will be examined to determine if they are consistent with the requirements for Vendor Information and Cost Section and that the calculations are accurate. If any variance in prices between the summary costs and detailed costs is found, the detailed pricing shall prevail.

1.9 AWARD OF CONTRACT

1.9.1 AWARD NOTIFICATION

This RFP does not obligate the state of Washington or DRS to contract for service(s) specified herein.

DRS reserves the right to award the contract not necessarily to the vendor of the least cost, but rather to the vendor with the best combination of attributes based on the evaluation criteria.

The DRS Evaluation Committee will notify all vendors of the evaluation and selection results. Following approval of the evaluation, DRS shall begin contract negotiations with the Apparent Successful Vendor.

DRS reserves the right to make an award without further discussion of the proposal submitted. There will be no best and final offer procedure. Therefore, the proposal should be submitted on the most favorable terms that the vendor can offer. It is understood that the proposal will become a part of the official file on this matter without obligation to DRS.

1.9.2 DEBRIEFING CONFERENCES

Vendors who submitted a proposal that was not selected will be given the opportunity for a debriefing conference. The request for a debriefing conference must be received by the RFP coordinator within five (5) business days after notification of the Apparent Successful Vendor. The debriefing must be held within five (5) business days of the request.

Discussion will be limited to a critique of the requesting vendor's proposal. Comparisons between proposals or evaluations of other proposals will not be allowed. Debriefing conferences may be conducted in person or on the telephone and will be scheduled for a maximum of one hour.

1.9.3 PROTEST PROCEDURE

A protest procedure is available to vendors who respond to this RFP and who request a debriefing conference. Protests that do not follow the procedure shall not be considered. See APPENDIX H, "Protest Procedure," for specifics about the procedure.

1.9.4 RFP AND RESPONSE INCLUDED IN CONTRACT

The general conditions and specifications of the RFP and the successful vendor's response will become part of the contract by reference only.

1.9.5 CONTRACT SIGNING FOR DRS CONTRACT NEGOTIATIONS

The award of this contract is subject to the successful negotiation of terms and conditions. If mutually agreeable terms cannot be reached within ten working days from the start of contract negotiations, DRS reserves the right to cease negotiations. DRS shall then have the option of starting contract negotiations with the next vendor who has received the highest score. The vendor shall attach a copy of any additional terms and conditions they wish to offer. The RFP and the vendor's proposal shall become part of the contract by reference only.

The Apparent Successful Vendor will be expected to enter into a contract with DRS that is substantially the same as the sample contract in APPENDIX B. In no event is a vendor to submit its own standard contract terms and conditions as a response to this RFP. The vendor should

examine the specific language in the Sample Contract (APPENDIX B) and state whatever proposed modifications the vendor may have to the proposed Terms and Conditions. Vendors' contract change proposals, if any, must include an identification of the specific contract section to which the vendor suggests a modification, along with the exact contract modification language suggested by the vendor. Extraordinary contract modifications may, at the sole discretion of the Agency, be ground for disqualification of the vendor from further consideration in the award of the contract.

1.9.6 TERM OF CONTRACT

The period of any contract resulting from this RFP is tentatively scheduled to begin on or about March 15, 2000, and continue through June 30, 2001. The Agency reserves the right to extend the contract for a single one-year period (from July through June 2002). The option for renewal shall be at the sole discretion of the DRS.

1.9.7 CONTRACT SIGNING FOR DRS

The Director of DRS or his/her delegate are the only individuals who may legally commit DRS to the expenditure of funds for this procurement. No cost chargeable to the proposed contract may be incurred before receipt of a fully executed contract.

1.9.8 OFM REVIEW AND APPROVAL

Under the provisions of Chapter 39.29 RCW, this personal service contract is required to be filed with the Office of Financial Management (OFM). No contract required to be so filed is effective and no work shall be commenced nor any payment made until ten (10) working days following the date of filing, and if required, until approved by OFM. In the event OFM fails to approve the contract, the contract shall be null and void.

1.9.9 PROPOSAL CERTIFICATION

The vendor must certify in writing that:

- All vendor proposal terms, including prices, will remain in effect for a minimum of one-hundred-twenty (120) days after the Proposal Due Date.

- All proposed capabilities can be demonstrated by the vendor; and that the proposed hardware and system software is currently marketed and sold.

Vendors shall use the Certifications and Assurances Form in APPENDIX C.

1.9.10 Y2K CERTIFICATION

All hardware and software that are to be provided under this contract shall be year 2000 compliant. All vendors submitting a proposal shall sign the State of Washington: Year 2000 Protection and Warranty Language. See Appendix A for additional requirements.

1.9.11 PUBLICITY

No informational packets, notices, press releases, research reports, and/or similar public notices concerning this project may be released by the Apparent Successful Vendor without prior written approval by the Director of DRS.

1.10 ACCEPTANCE OF SERVICES

1.10.1 DELIVERABLES

The DRS Backfile Conversion Project Administrator shall approve each deliverable. The vendor shall be responsible for testing all hardware and software to ensure that they meet all agreed upon specifications and testing criteria.

A schedule for deliverables, acceptance criteria for the deliverables, and roles and responsibilities will be established during contract negotiations. Payment cannot be made for any deliverable until it has been delivered and accepted by DRS.

DRS will withhold ten percent (10%) of the payment for each identified deliverable. The withheld amounts will be paid after completion and acceptance of all deliverables for the completed contract.

1.11 RECORDS RETENTION

After the date of the announcement of the Apparent Successful Vendor, DRS will retain one master copy of each proposal received for a period of six years. However, due to limited storage capacity and workspace efficiencies, those copies may be moved from DRS headquarters to the Washington State Records Center in Tumwater, Washington, at the end of six months from the date of announcement of the Apparent Successful Vendor. Thereafter, accommodation of any request made pursuant to Chapter 42.17 RCW to examine and/or photocopy proposals submitted in response to this RFP will be necessarily delayed in order to retrieve the requested records. However, DRS will retain, at its headquarters, copies of the proposal from the Apparent Successful Vendor for a period of six years from the execution date of the contract resulting from this procurement.

2 OVERVIEW OF DRS DOCUMENT PROCESSING

2.1 BACKFILE CONVERSION

DRS maintains approximately 3,000,000 pages of paper documents which it intends to backfile image as a result of this RFP. These documents are maintained at DRS' Fileroom location. The successful vendor will be required to participate in a comprehensive system and services acceptance test of the conversion process. During the test, the contents of actual folders will be scanned, indexed and stored using the equipment the vendor has proposed for the conversion. After the required volume of files has been scanned, indexed and stored, DRS will perform quality control checks to ensure image quality, retrieval and interfaces are all performed to vendor and RFP specifications. After any necessary corrections are made by the vendor, the conversion will begin, to coincide with the start date of Production Imaging.

Production imaging will begin operation in May, 2000. The system proposed for the backfile conversion must operate in the same environment as the production imaging system. The vendor for that effort is DocSys, Inc. See Appendix G for a description of equipment DocSys will provide for production imaging. All equipment and software proposed under this RFP must be the same as, or compatible with/equal to the equipment DocSys will provide. DRS will be the sole judge of whether or not any equipment or software proposed as "compatible with/equal to" is acceptable.

2.2 DOCUMENT TYPES

Documents the Agency must manage come from:

- Retirement system members, retirees, dependents, legal order payees, and beneficiaries;
- Participants in the Deferred Compensation Program
- Employers;
- Attorneys (legal documents);
- The health community (medical records);
- Schools (school certificates);
- Other state agencies and entities;
- The federal government;
- Vendors;
- Internal staff;
- Retiree or member "stakeholder" groups and associations; and
- DRS automated systems.

These documents can include multi-part forms, handwritten, typed, copies, "stickies," onion skin, electronic files, card stock. Sizes are variable. Different formats in use at DRS include graphics, word processing, spreadsheets, databases, flowcharting, desktop publishing, and presentation applications. Some current and historical documents have color aspects and notations.

2.3 PAGE VOLUMES

A backfile conversion volume of 3,000,000 pages of paper documents is anticipated, which takes into account double-sided documents.

2.4 INDEXING

The proposed index database will consist of up to fifteen (15) indexes that will have the following characteristics:

Unique Identifier – A unique value that will not change and will provide a fixed reference. For member files, this value exists on and can be obtained from the current mainframe database. For the other groups, the number can be auto-generated by the technology.

Related Number – Social Security number, employer number or other defined reference number.

Standard Name – A member name, participant name, employer name, or other defined reference name.

Document Type – A defined abbreviation for the type of form or document being used.

Program/Plan – A defined abbreviation for the Business Area that is responsible for processing the document.

Date – May be the date on the document, the in-stamp date, or the date the document was scanned.

These are the indexes initially recommended for the main DRS database. However, these indexes and values may change as a result of the EDIMS project (Production Imaging) implementation.

2.5 RECORDS MANAGEMENT

DRS has a forms and publications management and approval process, and has established retention schedules for its forms. However, many current and historical forms do not carry standardized form numbers. Bar-coding is limited to folder management and is not currently part of any forms processing. Retention periods vary from a few days to more than 75 years. DRS must comply with the Records Management Standards set in the Revised Code of Washington (RCW) and the Washington Administrative Code (WAC). See APPENDIX I, “Record Management Standards.”

An Agency forms management program is currently in the developmental stage and shall be in place before full implementation of Imaging.

3 TECHNICAL SPECIFICATIONS

This section describes the anticipated processing and operations that the proposed backfile conversion solution must support. All backfile operations will be conducted on site at DRS' Fileroom location. Backfile operations include such activities as document preparation, scanning, indexing, and quality control checks.

Backfile conversion is to start approximately March 15, 2000, and must be completed by June 30, 2001. Backfile conversion will start at approximately the same time the production imaging system is operational.

Sufficient space for the additional vendor staff and equipment is currently available at the file room site and will be provided by DRS. DRS will also provide network connections and other telecommunications, power and lighting. The selected vendor will be responsible for providing workstations for vendor staff, all backfile servers, jukebox(es), scanning equipment and other hardware and software required, as well as related maintenance costs.

It is not DRS' intent to acquire additional hardware or software as a result of this procurement. Vendors may propose as **optional** any software or hardware which they feel is in the agency's best interest to acquire.

3.1 FILE CONVERSION REQUIREMENTS

3.1.1 DOCUMENTS, QUANTITIES, AND ORDER OF CONVERSION

The backfile system must support the scanning and processing of all Agency historical document types related to member files. Documents will include various paper sizes of white and color paper, as well as faxes, carbon copies and handwritten documents.

Many of the documents require duplex processing. The ability to identify and eliminate blank pages during the data capture process is required

A "paper" backfile "batch" will consist of all documents in a given member's folder. Most folders have a bar-coded label containing the member's SSN and retirement system. The label information will be used to index, when present. Bar-coding features will be required for the backfile conversion process. If the label is not present, the whole batch will be routed to a research queue staffed by DRS personnel.

Several document types, such as legal forms and litigation documents, must be stored so as to allow retrieval of document and information using either indexed values or "full text search" technology. This represents a small percentage – less than five (5) percent – of the documents being converted.

Many of the documents in folders are printed on colored paper. DRS has not yet decided whether or not to scan all documents in full color.

DRS has determined that once backfile conversion begins, users will no longer receive paper folders. Instead, users will request folders by ordering via an existing online (mainframe application) program. The online program will compile the requested folders several times daily, producing a list of folders to be imaged "on demand", or as first priority. "On demand" folders must be available to end-users as scanned images within four (4) hours after the list is produced.

Additionally, DRS has occasional urgent need of a specific folder. In the case of an urgent need, the folder is ordered via the online program, flagging the file as "hot". Any folder so flagged will be processed immediately, taking precedence over any existing or in-progress work. "Hot" folders will be available to requester within 30 minutes of receiving the request.

On a daily basis, when "on demand" folder processing is complete, vendor will proceed to convert the remaining folders in the sequence to be specified by DRS.

3.1.2 FILE ORGANIZATION

The Member files are organized into folders. These folders are identified and categorized by Retirement System/Plan and Social Security Number (SSN). The Member files vary in the number of physical pages but the majority range from 1 to 5 pages per folder.

3.1.3 DOCUMENT PREPARATION

All of the pages presented to the vendor will be converted into images. The vendor will not perform any purging. The vendor shall organize the files so that the documents will be ordered according to the scheme defined by DRS.

The vendor shall physically prepare all pages for scanning.

3.1.4 RETURN OF ORIGINAL DOCUMENTS

The vendor shall place loose pages back into each of the individual folders according to DRS directions and either refile the documents to the proper shelves or place in boxes, as directed by DRS.

3.1.5 INDEXING

The vendor shall index the files according to index values defined by DRS. Some fields, such as the retirement systems, Social Security Number, etc. are contained in an accurate ASCII delimited flat file and will be provided to the vendor on a mutually agreeable magnetic media. All folders have a bar-coded label containing the member's SSN and retirement system.

Vendors must use recognition software capable of identifying forms by document characteristics and indexing accordingly.

Other index values not mentioned here may require input manually.

3.1.6 SCANNING

Vendor shall scan documents presented.

Scan resolutions must be the same as those proposed for the production imaging system. Resolutions of 200 DPI and 300 DPI for Black and White, and Grayscale, and 100 DPI or greater for color are required. Provide separate costs for color scanning and for black and white scanning.

3.1.7 QUALITY CONTROL

Vendor must perform regular quality control checks of scanned images for legibility and completeness, etc., and perform regular quality control checks of indexed images to ensure correct indexes are applied to images. Incorrect indexes or unacceptable images must be re-scanned/re-indexed.

3.1.8 IMAGE TRANSPORT

Vendor must provide a means of transporting the scanned image to the next step and holding it in a queue until it is processed. At a minimum, DRS expects the following steps will be necessary:

Scan
Quality Control
Rescan
OCR
Quality Control
Re-OCR
Index
Index Quality Control
Index Verification via Mainframe
Archives
System Commitment

3.1.9 REPORTING REQUIREMENTS

The system must provide basic input reports. The following reports are listed as a guideline and should not be considered as all-inclusive.

- Number of images scanned, inspected (QC) and indexed, for a given time period (by document type and in total).
- Total number of scan batches completed for a given time period.
- Total number of rescans for a given time period.
- Number of documents waiting in the index queue at any given time.

3.1.10 FACILITIES FOR PREPARATION AND SCANNING

DRS will provide the vendor with space in the current Fileroom location at Tumwater, WA to perform the conversion. DRS will also provide network connections and other telecommunications, power and lighting. Vendors should assume that they will be allowed access 40 hours per week, or 8 work hours per day, five days per week (Monday – Friday), with additional hours to access the facility if requested at least two weeks in advance.

If additional hours per day/week will be required to complete the scope of this RFP within the timeframe, Vendor must specify what hours/days are proposed.

3.1.11 IMAGE FORMAT REQUIREMENTS

Images will be imported into an imaging system being provided by DoxSys, Inc. (see description of system in Appendix G. DRS will use a Microsoft SQL Version 7 database. Images must be in multipage TIFF format.

3.1.12 MEDIA STORAGE/TRANSMISSION REQUIREMENTS

DRS prefers Vendor deliver the data via its WAN/LAN network. However, data entering the production system must not create "bottlenecks" during the day when network use is at peak. Vendor must describe how this situation will be prevented.

If Vendor proposes storing and transmitting data on optical discs, discs must be compatible with DRS/DoxSys production system and network. (See Appendix G.)

3.2 METHODOLOGY & APPROACH

Vendor shall provide a detailed response describing their general methodology to accomplish a large scale, on-site backfile conversion project.

A. Paper Conversion Production Methodology

Please provide a detailed response describing your **general** methodology to accomplish each step in the conversion process outlined in the requirements including:

- Document preparation
- Document scanning
- Document indexing
- Document re-filing/re-boxing
- Quality control
- Turnaround time for original paper documents for color scanning, and for black and white scanning
- Method of transporting images through each step of the process
- Delivery of image and index data to DRS
- Method to ensure image integrity (quality, compression, etc.)

4 QUALITY ASSURANCE REQUIREMENTS

The vendor shall describe how they will provide methodology and performance guarantees to ensure the following

- Pull and prepare 100% of required documents
- Provide 95% of images with less than 5 degrees of skew
- Provide 100% of images in compliance with specified image format / compression
- Provide 100% of images with no data cropped (entire image is scanned)
- Provide 100% of images which are readable / legible unless original is unreadable / illegible
- Provide 100% of images with links to database records
- Provide 100% of database records with links to image(s)
- Link no image to more than one (1) database record
- Validate that all barcodes are correctly read at time of scanning / indexing
- Provide database records with link to correct image(s)
- Validate that the image is accurately and correctly indexed

Note that rescans (e.g., set of images / entire platter is unacceptable) must be provided free of charge.

5 PROJECT MANAGEMENT & STAFFING PLAN

The vendor must explain how it plans to manage and staff the project. This includes the number of staff expected, source of the staffing, and the structure of the organization.

5.1 PROJECT MANAGEMENT STRUCTURE

Detail your project management and staffing structure including:

- Project management personnel
- Scanning personnel
- Preparation personnel
- Scheduling
- Contingency planning
- Other personnel

5.2 TRAINING PROCEDURE AND PROCESS

Detail how you plan to train the people mentioned above. Include the kind and duration of training required and the expected participation of DRS personnel?

5.3 APPROVAL OF PROJECT MANAGEMENT PERSONNEL

Resumes for the project management personnel will be provided as part of the vendor's proposal. The vendor will manage the remainder of the staffing requirements. DRS reserves the right to approve or reject any of Vendor's project management staff and any changes or additions to Vendor's project management staff.

5.4 SUBCONTRACTOR RELATIONSHIPS

If any part of the proposed solution will be subcontracted to another entity, please describe in detail. At a minimum, provide a detailed corporate overview, references, and scope / description of their involvement.

6 VENDOR INFORMATION

6.1 CORPORATE OVERVIEW

The vendor must provide background information of their company and its history of providing paper to image conversion services. Details of the company, its experience, history, and future directions, should include the following in a narrative format:

A. State the year in which the company was founded.

B. State the type of corporation (public or private).
- For both public and private companies, provide a summary of major ownership.
- If a public company, provide the last three annual reports as attachments.
- If private, provide three recent audited financial statements as attachments.

C. State the location of your company headquarters.
D. State the location of your division's headquarters (if applicable).

6.2 LENGTH OF SERVICE

The vendor must describe the length of performance of conversion services sought under this RFP.

6.3 REFERENCE ACCOUNTS

Reference information must be provided to demonstrate the vendor's experience in the conversion projects. Of particular interest is experience with other state retirement systems conversion engagements. Vendor must provide the following:

- A brief statement explaining their experience in servicing State Retirement Systems.

- A minimum of five client references and a list of all similar engagements over the past two

years. The purpose of these references is to substantiate the experience of the vendor. References may be contacted to respond to a list of questions used to evaluate their satisfaction with the vendor.

- Each reference should include the following information:

  - Company name
  - Company address
  - Contact name
  - Contact telephone number
  - Brief description of imaging conversion project.
  - Completion date of the project.

- The vendor shall specify how DRS should contact the references. The Evaluation Committee may contact each reference. The contact shall be the person who is (or was) directly involved in the project (not the procurement officer).

- DRS reserves the rights to obtain reference information from sources other than those reported in the vendor's proposal and use that information in evaluating the vendor.

7 COST SECTION

This section must describe the costs associated with the backfile conversion. This cost section will be used to evaluate each vendor's proposal. This section and all the specified requirements are mandatory. Failure to submit the details required will result in disqualification.

7.1 COST

The vendor must provide the following:

- A cost schedule for ALL hardware, software and services needed to meet the requirements that are outlined in this RFP. Each cost should be itemized such that, should DRS decide that they do not want a specific service or the number of documents to be converted is different than estimated, the associated cost can be easily identified.

- A price schedule for any additional or optional hardware (including detail specifications) and software which DRS would retain title to at the conclusion of this contract is required. DRS shall have the option to procure the hardware from the vendor through a separate procurement process.

- Any anticipated travel expenses must be incorporated into the vendor's fee. Travel expenses do not need to be itemized. Travel expenses cannot be paid on an "as incurred basis," an "out of pocket" basis, or as "miscellaneous or sundry."

7.2 COST WORKSHEET

A Cost Worksheet must be completed for the software, hardware, and professional services. The vendor shall provide both the list price and discount prices in the proposal. The Cost Worksheet includes the basic elements that DRS anticipates will be needed.

7.2.1 HARDWARE AND SOFTWARE COSTS AND PRICING

The vendor shall provide a list of the hardware and software costs involved with this project.

Vendor shall describe and provide costs for any software or hardware to remain in possession of DRS at the conclusion of the Contract.

7.2.2 PROFESSIONAL SERVICES COSTS & PRICING

The vendor shall provide the professional services costs (project management, personnel, etc,) involved with this project. This will include a brief description of each position and the number of personnel anticipated for the project. Third party services included in this proposal shall also be included. The hourly costs must be identified by project role as well as the time required for each task.

APPENDIX A
REQUIREMENTS FOR YEAR 2000
AND
STATE OF WASHINGTON: YEAR 2000 PROTECTION AND WARRANTY LANGUAGE CERTIFICATION

1) The vendor warrants that the proposed solution is Year 2000 compliant as defined below. This warranty is perpetual and shall survive through the termination of this agreement. For the purposes of this agreement, the following definitions shall apply:

   i) "Date Data" means any data, formula, algorithm, process, input or output which includes, calculates, or represents a date, a reference to a date, or a representation of a date, including, but not limited to the following:

      a) No value for *current date* will cause any interruption in operation.
      Current Date means today's date as known to the record keeping system.

      b) Date-based functionality will behave consistently for dates prior to, during, and after year 2000. General date integrity will include, but is not limited to:

      1999/09/09
      1999/12/31
      2000/01/01 Saturday and not Monday as in 1900/01/01
      2000/01/02 Sunday and not Tuesday as in 1900/01/02
      2000/02/29 Tuesday
      2000/03/01 Wednesday
      2000/12/31
      2001/01/01
      Year 2000 is recognized as a leap year.

      Dates will role over correctly from/to:

      1999/12/31 to 2000/01/01
      2000/02/28 to 2000/02/29
      2000/02/29 to 2000/03/01

      c) In all interfaces and data storage, the century in any date will be specified either explicitly or by unambiguous algorithms or inference rule.

   ii) "Year 2000 Compliant" means:

a) The functions, calculations, and other computing processes of EDIMS (collectively "processes") perform in a consistent manner regardless of the date in time on which the processes are actually performed and regardless of the Date Data input to EDIMS, whether before, on, during or after January 1, 2000 and whether or not the Date Data is affected by leap years;

b) EDIMS accepts, calculates, compares, sorts, extracts, sequences, and otherwise processes Date Data and returns and displays Date Data, in a consistent manner regardless of the dates used in such Date Data, whether before, on, during or after January 1, 2000;

c) EDIMS will function without interruptions caused by the date in time on which the processes are actually performed or by the Date Data transmitted to EDIMS, whether before, on, during or after January 1, 2000;

d) EDIMS accepts and responds to two-digit year-date input in a manner that resolves any ambiguities as to the century in a defined, predetermined, and appropriate manner;

e) EDIMS stores and displays the Date Data in ways that are unambiguous as to the determination of century;

f) No Date Data will cause EDIMS to perform an abnormally ending routine or function within the processes or generate incorrect values or invalid results.

2) The vendor warrants that EDIMS has been tested by the vendor to determine whether EDIMS is Year 2000 compliant. The vendor shall notify DRS immediately of the results of any test or any claim or other information that indicates that EDIMS is not Year 2000 compliant.

3) The vendor agrees to indemnify and hold DRS and its officers, directors, employees, agents, successors, and assigns harmless from and against any and all claims, suits, actions, liabilities, losses, costs, reasonable attorney's fees, expenses, judgments or damages, whether ordinary, special or consequential, resulting from any third-party claim made or suit brought against DRS or such persons, to the extent such results from the vendor's breach of the warranties contained in this section.

4) Time is of the essence on Year 2000 issues. If either party identifies an actual or potential Year 2000 compliance problem, the parties' contract managers or their designees will confer immediately, and in no circumstance later than thirty-six (36) hours following discovery of the problem. The purposes of the conference shall be to identify the problem, the potential effects, the possible causes and possible solutions.

   The vendor shall identify the possible causes for the problem and the possible solution, and shall communicate that information to DRS. The vendor and DRS shall devise a mutually acceptable written plan and allocate appropriate resources and personnel in attempting to

verify and correct the problem, and the time frame within which the work should be accomplished. If the parties cannot develop a mutually acceptable plan within ninety-six (96) hours after discovery of the problem, the vendor shall be in breach of this agreement. DRS, however, may in its sole discretion extend the time for developing the mutually agreeable plan beyond the 96-hour period.

In the written plan, the vendor shall, at its expense, commit the resources necessary to correct any nonperformance, error, or defect. The vendor shall deliver the correction to DRS at a date mutually agreed upon. In the event a mutually acceptable date cannot be agreed upon, the schedule and priority for repairs shall be in the sole discretion of DRS. The vendor shall use its best efforts to work with DRS on any problems, including the plan to verify and correct the problems, that the contract managers or their designees identify in their meetings. If the vendor contracts with another company or an independent contractor to carry out its obligations to DRS under this section, the vendor shall include in its contract with the other company or contractor the obligations contained in this section. It is the responsibility of the vendor to repair or replace EDIMS.

STATE OF WASHINGTON: YEAR 2000 PROTECTION AND WARRANTY CERTIFICATION

The Vendor warrants that any software and/or hardware provided pursuant to this contract will be Year 2000 compliant. This warranty includes a representation that dates on and after the Year 2000 do not cause computational problems nor do these dates diminish the functionality of the software and/or hardware including, but not limited to, date data century recognition calculations that accommodate same century and multi-century formulas and date values, Year 2000 leap year calculations, and date data interface values that reflect the century. Failure to comply with Year 2000 requirements shall entitle the Agency to a refund of three (3) times the initial software license fee and/or three (3) times the contracted costs of hardware as liquidated damages. The Vendor has no liability for any failure to comply with this provision that is caused solely by failure of an interconnected third-party product to be Year 2000 compliant.

Signature of Respondent	Title	Date

APPENDIX B
SAMPLE CONTRACT

APPENDIX C
CERTIFICATIONS & ASSURANCES FORM

I/we make the following certifications and assurances as a required element of the proposal to which it is attached, understanding that truthfulness of the facts affirmed here and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related contract(s):

1. I/we declare that all answers and statements made in the proposal are true and correct.

2. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for the purpose of restricting competition. However, I/we may freely join with other persons or organizations for the purpose of presenting a single proposal.

3. The attached proposal is a firm offer for a period of 120 days following receipt, and it may be accepted by DRS without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 120-day period.

4. In preparing this proposal, I/we have not been assisted by any current or former employee of the state of Washington whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official, public capacity. (Any exceptions to these assurances are described in full detail on a separate page and attached to this document.)

5. I/we understand that DRS will not reimburse me/us for any costs incurred in the preparation of this proposal. All proposals become the property of DRS, and I/we claim no proprietary right to the ideas, writings, items, or samples, unless so stated in this proposal.

6. Unless otherwise required by law, the prices and/or cost data which have been submitted have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by him/her prior to opening, directly or indirectly to any other Proposer or to any competitor.

7. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached sample contract and general terms and conditions. If there are any proposed modifications to these terms, I/we have described those proposed modifications in detail on a page attached to this document.

8. No attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

_____ _____

Signature of Proposer Date

APPENDIX D
COST WORKSHEET

The following Cost Worksheet shall be completed to provide DRS with a detailed breakdown of individual item costs. Relevant detail or items should be included. If a line item is not applicable to Vendor's proposal, use the abbreviation "N/A".

Item	Unit Cost (For Service & Support, specify daily rates)	Full Backfile Conversion
• Software		
License Costs		
Data Server OS		
Workstation OS		
Application		
Communication Link		
• Hardware		
Workstations		
Servers		
Scanners		
Printers		
Optical Storage Devices		
Tape Drives for 6250 dpi		
Monitors		
• Professional Services		
Conversion Pricing		
Setup & Analysis		
Training		
Other		
• Other		

APPENDIX E
DIRECTIONS TO DRS LOCATION

[DRS Welcome Page] Map to the NEW Building

From the North

- Take I-5 South to Exit 101, "Airdustrial Way."
- Turn left at the light onto Airdustrial Way and go back over the freeway.
- Turn left on Capitol Boulevard.
- Drive approximately 1/2 mile.
- The DRS building is located on the left hand side of Capitol Boulevard.

From the South

- Take I-5 North to Exit 101, "Airdustrial Way."
- Turn right on Airdustrial Way.
- Turn left on Capitol Boulevard.
- Drive approximately 1/2 mile.
- The DRS building is located on the left hand side of Capitol Boulevard.

APPENDIX F
EDIMS RFP RESPONSE CHECKLIST

This checklist is provided to assist vendors in ensuring the completeness of their proposals. It does not relieve the vendors of their responsibility to thoroughly read the RFP and add any items not on this list. DRS does not assume responsibility for any omissions.

Response Items – General	**Where Referenced**	✓
Separate proposals for each bid	1.6.1, 1.7.4	

Cover letter	1.6.11	
Table of contents	1.6.11	
Executive summary	1.6.11	
Vendor registration information	1.5.2	
Subcontractor & third party vendor information	1.5.1	
Overview of proposed application	1.6.11	
Certifications and Assurances Form	1.9.9, APPENDIX C	
Y2K Protection and Warranty Certification	Section 1.9.10, Appendix A	
Addenda	1.6.11	
Itemized list & diagram of proposed hardware and software	1.6.11	
Technical description of hardware and software	1.6.11	
Responses to technical requirements – functionality	Section 3	
Responses to technical requirements – system architecture	Section 3	
Responses to services & support requirements	Section 5	
Supplemental materials	1.6.11	

Responses to Technical Specifications	Section 3	
Responses to Quality Assurance	Section 4	
Responses to Project Management & Staffing	Section 5	
Responses to Vendor Information	Section 6	
Responses to Cost Proposal	Section 7	

APPENDIX G
AGENCY FACTS & FIGURES SUMMARY

Current Environment:

Historical Data (as of June 1999)

855,000 members with history

302,000 member folders in archives - off site
553,000 member folders on site (remote Agency site)
2,500 to 5,000 Member folders on the floor
300 (minimal) number of folders recalled from archives each month
Infrequent events to mass pull and move folders to archives

200,000 inactive or withdrawn folders subject to archiving
353,000 active and retired member folders to be imaged

10,000,000 pages (est.) are filed within the 553,000 on site folders
7,000,000 pages are subject to purging prior to imaging

File Folder Usage (paper intensive - no microfiche)

7,000 Member folder requests each month
1,000 DCP Participant Activity Requests each month

Business Environment:

Location
All Member paper folders are located at a remote Agency site
All Back file imaging will occur at the remote Agency site
All New business scanning activity will be located on site, centralized.

Business:
- Social Security number is key for locating member data and folders
- DRS serves members and retirees of six retirement systems in ten separate plans
- Member could have a separate folder for more than one system

Major Member Processes:	**Pgs Each**
Enrollment (members & employers)	1
Withdrawals	1
Benefit estimates	1
Service credit adjustments	4
Retirements	6-8
Death & disabilities	4-6
Survivor benefits	4
Legal appeals and legal order payments	10-200

Description of DoxSys, Inc. System Configuration

	Manufacturer Part Number	Description
		SOFTWARE
	Lucent	***Workflow Automation Software***
		ViewStar Application Framework
		ViewStar Document Channel-Interaction
		ViewStar Document Channel-Library Services
		ViewStar Internet Channel-Retrieval
	Kofax	***Image Software-Scanning Input***
		Ascent Capture v3.1 Workstation (3 pack)
		Ascent Capture v3.1 Scan station (3 pack)
	Sheridan Software	***Development Software***
		ActiveSuite Plus
	Seagate	
		Crystal Reports 7
	IBM	***Viewer Software - Mainframe Data***
		S/390 AFP Viewer Plug-in
	Lead Technologies	***Document Format Display***
		Leatools Runtime Document v11.5 Express (Users)
	TMS Sequoia	***Document Format Display - Internet***
		ViewDirector Prizm Plug-in
	Attachmate	
		EXTRA! Developer Series QuickApp v4.1
	Microsoft	
		Windows NT Server v.4.0 sp5
		SQL Server v7.0
		Visual Basic Enterprise 6.0
		Office Professional 97

		HARDWARE
Workstations		
	Dell	***Color Production Scanning Workstation***
		Pentium III 500 MHz Processor
		9GB,IDE, 7200 RPM
		3.5, 1.44MB Floppy Drive
		Microsoft Windows NT 4.0, CD, WS, SP5
		17/40X, IDE, WNT, M/MT, PWS
		Full Documentation Kit, WS410, MDT
		128MB, ECC, SDRAM, 1DIMM
		Windows Performance Keyboard
		Diamond Fire GL1 Vidio Card, WS410
		Logitech 2 Button System Mouse
		3COM 3C900B PCI Combo
		Kofax Adrenaline 1700s
		Kofax Cable for Kodak
	Dell	***Color Flatbed Scanning Workstation***
		Pentium III 500 MHz Processor
		9GB,IDE, 7200 RPM
		3.5, 1.44MB Floppy Drive
		Microsoft Windows NT 4.0, CD, WS, SP5
		17/40X, IDE, WNT, M/MT, PWS
		Full Documentation Kit, WS410, MDT
		128MB, ECC, SDRAM, 1DIMM
		Windows Performance Keyboard
		Diamond Fire GL1 Vidio Card, WS410
		Logitech 2 Button System Mouse
		3COM 3C900B PCI Combo
	Dell	***Developer Workstations***
		Pentium III 500 MHz Processor
		9GB,IDE, 7200 RPM
		3.5, 1.44MB Floppy Drive
		Microsoft Windows NT 4.0, CD, WS, SP5 / Win95
		17/40X, IDE, WNT, M/MT, PWS
		Full Documentation Kit, WS410, MDT
		128MB, ECC, SDRAM, 1DIMM
		Windows Performance Keyboard
		Diamond Fire GL1 Vidio Card, WS410
		Logitech 2 Button System Mouse
		3COM 3C900B PCI Combo
Servers		
	IBM	***Optical Server (control optical storage)***
		IBM Netfinity 5000 Rack Mount-500MHz
		128MB Upgd
		PIII 500MHz Processor Upgrade
		175W Redundant Power Supply

		10/100 Fault tolerant Adapter
		9.1GB Ultra SCSI HDD (3)
		Netfinity ServeRaid-3L Ultra2 SCSI Adapter
		Adaptec SCSI Controller and Cable
	IBM	***Capture / Task / Import & Fax Servers (6 units)***
		IBM Netfinity 5000 Rack Mount-500MHz
		128MB Upgd
		PIII 500MHz Processor Upgrade
		175W Redundant Power Supply
		10/100 Fault tolerant Adapter
		9.1GB Ultra SCSI HDD (3)
		Netfinity ServeRaid-3L Ultra2 SCSI Adapter
Scanners		
	Kodak	***Scanners***
	857-0053	Digital Science Scanner 3590C Color Scanner
	Hewlett Packard	***Scanner***
	HP6520Cxi	HP ScanJet 6250Cxi Business Series color Scanner, 25 Page ADF, 35mm slide adapter
		SCSI Card and Cable
Optical Storage Devices		
	Hewlett Packard	***Jukebox***
	C1107J	HP1200EX Jukebox, 6 drives, 283 slots, Adaptec SCSI Adapter. Cable and APC SU 700 UPS
		Write-once cartridges
Monitors		
	CornerStone	***Monitors***
	P1500	Professional 21-inch Color Monitor - 31 - 117 kHz, 1600 x 1200 at 85 Hz, .22 MM horizontal dot pitch

APPENDIX H
PROTEST PROCEDURE

A. Procedure

This protest procedure is available to vendors who respond to this RFP and who request a debriefing conference. Protests are made:

1. To the Department of Retirement Systems (DRS) after the vendor debriefing. Vendor protests shall be received in writing by the DRS within five (5) calendar days of the debriefing.

2. To the Department of Information Services (DIS) only after protesting to the DRS and its resolution is not satisfactory to the protesting party. Protests to DIS shall be received, in writing, within five (5) business days after the vendor has received notification of a decision on the protest from DRS.

3. To the ISB for acquisitions approved by the ISB, only after protesting first to DIS and DIS resolution is not satisfactory to either party. Protests to the ISB shall be made within five (5) business days after the vendor has received notification of the DIS decision.

B. Grounds for protest are:

1. Errors were made in computing the score.

2. The Agency failed to follow procedures established in the RFP, the ISB policy titled "Acquisition and Disposal of Information Technology Resources," or applicable state or federal laws or regulations.

3. Bias, discrimination or conflict of interest on the part of an evaluator.

Protests not based on these criteria shall not be considered.

C. Format and content

Protesting vendors shall include, in their written protest to DRS and DIS, all facts and arguments upon which they rely. Vendors shall at a minimum, provide:

1. Information about the protesting vendor: name of the firm, mailing address, phone number and name of individual responsible for submission of the protest.

2. Information about the acquisition and the acquisition method.

3. Specific and complete statement of the Agency action(s) protested.

4. Specific reference to the grounds for protest.

5. Description of the relief or corrective action requested.

6. For protests to DIS or the ISB, a copy of the DRS' written decision on the protest.

D. Review process

Upon receipt of vendor protest, the DRS shall postpone further steps in the acquisition process until the vendor protest has been resolved.

The DRS' internal protest review procedures consist of the following:

1. The DRS shall perform an objective review of the protest by individuals not involved in the acquisition protested. The review shall be based on the written protest material submitted by the vendor.

2. A written decision will be delivered to the vendor within three (3) business days after receipt of the protest, unless more time is needed. The protesting vendor shall be notified if additional time is necessary.

E. Department of Information Services (DIS) Review Process

The vendor may protest to DIS in writing within five (5) business days after the vendor has received notification of the Agency decision.

DIS shall consider all the available facts, and issue a decision in writing within five (5) business days after receipt of the protest, unless more time is needed. The protesting vendor shall be notified if additional time is necessary. The DIS decision constitutes the final step of the protest process, except protests that may be reviewed by the Information Services Board (ISB) as outlined under Section G, "ISB Review Process."

F. Final Determination

The final determination shall:

1. Find the protest lacking in merit and uphold the Agency's action; or

2. Find only technical or harmless errors in the Agency's acquisition process conduct, determine the Agency to be in substantial compliance, and reject the protest; or

3. Find merit in the protest and provide the Agency options, which may include:
   - Correct its errors and reevaluate all proposals, and/or
   - Reissue the vendor solicitation document, or

4. Make other findings and determine other courses of action as appropriate.

G. ISB Review Process

Protests to the ISB may be made only for ISB approved acquisitions, and only after review by DIS. Protests of the decision of DIS shall be made by letter to the Chair, ISB, who may establish procedures to resolve the protest. Protests shall be received by the Chair, ISB, within five (5) business days after the decision of DIS in order to be considered. The resulting decision is final, with no further administrative appeal available.

APPENDIX I
RECORD MANAGEMENT STANDARDS

CHAPTER 40.10 RCW
MICROFILMING OF RECORDS TO PROVIDE CONTINUITY OF CIVIL GOVERNMENT

Sections:
40.10.010 Essential records--Designation--List--Security and protection--Reproduction.
40.10.020 Essential records--Reproduction and storage-- Coordination of protection program--Fees.

RCW 40.10.010 Essential records--Designation--List--Security and protection--Reproduction. In order to provide for the continuity and preservation of civil government, each elected and appointed officer of the state shall designate those public documents which are essential records of his office and needed in an emergency and for the reestablishment of normal operations after any such emergency. A list of such records shall be forwarded to the state archivist on forms prescribed by the state archivist. This list shall be reviewed at least annually by the elected or appointed officer to insure its completeness. Any changes or revisions following this review shall be forwarded to the state archivist. Each such elected and appointed officer of state government shall insure that the security of essential records of his office is by the most economical means commensurate with adequate protection. Protection of essential records may be by vaulting, planned or natural dispersal of copies, or any other method approved by the state archivist. Reproductions of essential records may be by photo copy, magnetic tape, microfilm or other method approved by the state archivist. Local government offices may coordinate the protection of their essential records with the state archivist as necessary to provide continuity of local government under emergency conditions. [1982 c 36 § 1; 1973 c 54 § 1; 1963 c 241 § 1.] NOTES: Severability--1973 c 54: "If any provision of this 1973 amendatory act, or its application to any person or circumstance is held invalid, the remainder of the act, or the application of the provision to other persons or circumstances is not affected." [1973 c 54 § 6.]

RCW 40.10.020 Essential records--Reproduction and storage-- Coordination of protection program--Fees. The state archivist is authorized to reproduce those documents designated as essential records by the several elected and appointed officials of the state and local government by microfilm or other miniature photographic process and to assist and cooperate in the storage and safeguarding of such reproductions in such place as is recommended by the state archivist with the advice of the director of community, trade, and economic development. The state archivist shall coordinate the essential records protection program and shall carry out the provisions of the state emergency plan as they relate to the preservation of essential records. The state archivist is authorized to charge the several departments of the state and local government the actual cost incurred in reproducing, storing and safeguarding such documents: PROVIDED, That nothing herein shall authorize the destruction of the originals of such documents after reproduction thereof. [1995 c 399 § 58; 1986 c 266 § 45; 1985 c 7 § 106; 1982 c 36 § 2; 1973 c 54 § 2; 1963 c 241 § 2.] NOTES: Severability--1986 c 266: See note following RCW 38.52.005.

CHAPTER 40.14 RCW PRESERVATION AND DESTRUCTION OF PUBLIC RECORDS

Sections:

40.14.040 Records officers--Designation--Powers and duties.
40.14.050 Records committee--Composition, travel expenses, meetings, powers and duties--Retention schedules. 40.14.060 Destruction, disposition of official public records or office files and memoranda--Record retention schedules.
40.14.070 Destruction, disposition of local government records--Preservation for historical interest-- Local records committee, duties--Record retention schedules.

RCW 40.14.040 Records officers--Designation--Powers and duties. Each department or other agency of the state government shall designate a records officer to supervise its records program and to represent the office in all contacts with the records committee, hereinafter created, and the division of archives and records management. The records officer shall: (1) Coordinate all aspects of the records management program. (2) Inventory, or manage the inventory, of all public records at least once during a biennium for disposition scheduling and transfer action, in accordance with procedures prescribed by the state archivist and state records committee: PROVIDED, That essential records shall be inventoried and processed in accordance with chapter 40.10 RCW at least annually. (3) Consult with any other personnel responsible for maintenance of specific records within his state organization regarding records retention and transfer recommendations. (4) Analyze records inventory data, examine and compare divisional or unit inventories for duplication of records, and recommend to the state archivist and state records committee minimal retentions for all copies commensurate with legal, financial and administrative needs. (5) Approve all records inventory and destruction requests which are submitted to the state records committee. (6) Review established records retention schedules at least annually to insure that they are complete and current. (7) Exercise internal control over the acquisition of filming and file equipment. If a particular agency or department does not wish to transfer records at a time previously scheduled therefor, the records officer shall, within thirty days, notify the archivist and request a change in such previously set schedule, including his reasons therefor. [1982 c 36 § 4; 1979 c 151 § 51; 1973 c 54 § 3; 1957 c 246 § 4.]

RCW 40.14.050 Records committee--Composition, travel expenses, meetings, powers and duties--Retention schedules. There is created a committee, to be known as the records committee, composed of the archivist, an appointee of the state auditor, an appointee of the attorney general, and an appointee of the director of financial management. Committee members shall serve without additional salary, but shall be entitled to travel expenses incurred in accordance with RCW 43.03.050 and 43.03.060 as now existing or hereafter amended. Such expenses shall be paid from the appropriations made for operation of their respective departments or offices. The records committee shall meet at least once every quarter or oftener as business dictates. Action by the committee shall be by majority vote and records shall be kept of all committee business. It shall be the duty of the records committee to approve, modify or disapprove the recommendations on retention schedules of all files of public records and to act upon requests to destroy any public records: PROVIDED, That any modification of a request or recommendation must be approved by the head of the agency originating the request or

recommendation. The division of archives and records management shall provide forms, approved by the records committee, upon which it shall prepare recommendations to the committee in cooperation with the records officer of the department or other agency whose records are involved. [1985 c 192 § 1; 1975-'76 2nd ex.s. c 34 § 83; 1957 c 246 § 5.] NOTES: Effective date--Severability--1975-'76 2nd ex.s. c 34: See notes following RCW 2.08.115.

RCW 40.14.060 Destruction, disposition of official public records or office files and memoranda--Record retention schedules. (1) Any destruction of official public records shall be pursuant to a schedule approved under RCW 40.14.050. Official public records shall not be destroyed unless: (a) The records are six or more years old; (b) The department of origin of the records has made a satisfactory showing to the state records committee that the retention of the records for a minimum of six years is both unnecessary and uneconomical, particularly if lesser federal retention periods for records generated by the state under federal programs have been established; or (c) The originals of official public records less than six years old have been copied or reproduced by any photographic or other process approved by the state archivist which accurately reproduces or forms a durable medium for so reproducing the original. (2) Any lesser term of retention than six years must have the additional approval of the director of financial management, the state auditor and the attorney general, except when records have federal retention guidelines the state records committee may adjust the retention period accordingly. An automatic reduction of retention periods from seven to six years for official public records on record retention schedules existing on June 10, 1982, shall not be made, but the same shall be reviewed individually by the state records committee for approval or disapproval of the change to a retention period of six years. Recommendations for the destruction or disposition of office files and memoranda shall be submitted to the records committee upon approved forms prepared by the records officer of the agency concerned and the archivist. The committee shall determine the period of time that any office file or memorandum shall be preserved and may authorize the division of archives and records management to arrange for its destruction or disposition. [1982 c 36 § 5; 1979 c 151 § 52; 1973 c 54 § 4; 1957 c 246 § 6.]

RCW 40.14.070 Destruction, disposition of local government records--Preservation for historical interest--Local records committee, duties--Record retention schedules. County, municipal, and other local government agencies may request authority to destroy noncurrent public records having no further administrative or legal value by submitting to the division of archives and records management lists of such records on forms prepared by the division. The archivist, a representative appointed by the state auditor, and a representative appointed by the attorney general shall constitute a committee, known as the local records committee, which shall review such lists and which may veto the destruction of any or all items contained therein. A local government agency, as an alternative to submitting lists, may elect to establish a records control program based on recurring disposition schedules recommended by the agency to the local records committee. The schedules are to be submitted on forms provided by the division of archives and records management to the local records committee, which may either veto, approve, or amend the schedule. Approval of such schedule or amended schedule shall be by unanimous vote of the local records committee. Upon such approval, the schedule shall constitute authority for the local government agency to destroy the records listed thereon, after the required retention period, on a recurring basis until the schedule is either amended or revised by the committee. Except as otherwise provided by law, no public records shall be destroyed

until approved for destruction by the local records committee. Official public records shall not be destroyed unless: (1) The records are six or more years old; (2) The department of origin of the records has made a satisfactory showing to the state records committee that the retention of the records for a minimum of six years is both unnecessary and uneconomical, particularly where lesser federal retention periods for records generated by the state under federal programs have been established; or (3) The originals of official public records less than six years old have been copied or reproduced by any photographic, photostatic, microfilm, miniature photographic, or other process approved by the state archivist which accurately reproduces or forms a durable medium for so reproducing the original. An automatic reduction of retention periods from seven to six years for official public records on record retention schedules existing on June 10, 1982, shall not be made, but the same shall be reviewed individually by the local records committee for approval or disapproval of the change to a retention period of six years. The state archivist may furnish appropriate information, suggestions, and guidelines to local government agencies for their assistance in the preparation of lists and schedules or any other matter relating to the retention, preservation, or destruction of records under this chapter. The local records committee may adopt appropriate regulations establishing procedures to be followed in such matters. Records of county, municipal, or other local government agencies, designated by the archivist as of primarily historical interest, may be transferred to a recognized depository agency. [1995 c 301 § 71; 1982 c 36 § 6; 1973 c 54 § 5; 1971 ex.s. c 10 § 1; 1957 c 246 § 7.] NOTES: Copying, preserving, and indexing of documents recorded by county auditor: RCW 36.22.160 through 36.22.190. Destruction and reproduction of court records: RCW 36.23.065 through 36.23.070.

Chapter 434-663 WAC
IMAGING SYSTEMS, STANDARDS FOR ACCURACY AND DURABILITY

Last Update: 2/1/94

WAC

LEGALITY OF ELECTRONIC IMAGING SYSTEMS USED
FOR MANAGING AND STORING PUBLIC RECORDS

434-663-100 Legality.

DEFINITIONS

434-663-200 Electronic document imaging system.
434-663-210 Document scanning.
434-663-220 Image.
434-663-230 Enhancement.
434-663-240 Archival records.
434-663-250 Open system.
434-663-260 De facto standard.

QUALITY OF DIGITAL IMAGES

434-663-300 Quality of digital images.
434-663-310 Enhancement of original image.
434-320 Compressing image data for storage.

USABILITY OF IMAGE AND INDEX DATA OVER TIME

434-663-400Usability of image and index data over time.
434-663-410 Defining indexing requirements.
434-663-420 Preservation strategy.
434-663-430 Header on image files.
434-663-440 Backup for recovery.
434-663-450 Ensuring usability.
434-663-460 Stability of media.
434-663-470 Storage media.
434-663-480 Optical media durability.
434-663-490 Archival, permanent, and long-term off-line storage environment.

FUNCTIONALITY OF SYSTEM COMPONENTS

434-663-500 Open systems architecture.
434-663-510 Backward compatibility.
434-663-520 Availability of index data base for off-line media.
434-663-530 Technical documentation.

RETENTION AND DISPOSITION OF RECORDS

434-663-600 Retention and disposition of public records.
434-663-610 Records retention scheduling for records on imaging system.
434-663-620 Security copies.
434-663-630 Agency acquisition--Department of information services approval.

WAC 434-663-100
Legality.
Electronic imaging systems may be legally used for recording, producing, reproducing, maintaining, and storing public records provided that they materially meet the standards set forth in this regulation; and the retention and disposition of the original and copies regardless of media are scheduled in accordance with Chapter 40.14 RCW. Nothing in this chapter can be construed to limit the admissibility as evidence of any public record. The purpose of this regulation is the preservation of information, and the facilitation of the migration of archival, permanent, and long-term records.
[Statutory Authority Chapter 40.14 RCW. 94-04-102, § 434-663-100, filed 2/1/94, effective 3/7/94.]

DEFINITIONS

WAC 434-663-200
Electronic document imaging system.
An electronic document imaging system is a computer-based configuration of equipment and software that stores machine-readable document images and their associated character-coded index data for on-demand retrieval. Electronic images can be computer generated, or created through document scanning.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-200, filed 2/1/94, effective 3/7/94.]

WAC 434-663-210
Document scanning.
A specially designed input workstation is required to convert documents or images to machine-readable form for computer processing and storage. At a minimum, the input workstation includes a document scanner, an image processor unit, a video display unit, keyboard, and access to storage. Using a solid-state array or other photo-sensitive components, the document scanner measures the amount of light associated with successively encountered PELs (Picture ELement) and transmits a corresponding electrical signal that is converted to computer compatible digital codes.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-210, filed 2/1/94, effective 3/7/94.]

WAC 434-663-220
Image.
An image can be a document, picture, or graphic. An image can be produced by scanning paper or film documents, producing images through a computer program, receiving an image by means of a fax, or by other means.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-220, filed 2/1/94, effective 3/7/94.]

WAC 434-663-230
Enhancement.
Any method including adjusting brightness and contrast, or algorithm employed with the objective of producing an accurate and legible copy.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-230, filed 2/1/94, effective 3/7/94.]

WAC 434-663-240
Archival records.
Archival records are records that have permanent and/or historical value and are scheduled as archival. Long-term records are records having a retention period in excess of ten years. Permanent records are those records that are required by specific statute to be retained permanently.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-240, filed 2/1/94, effective 3/7/94.]

WAC 434-663-250
Open system.
Open system is defined to be a system that implements sufficient public specifications for interfaces, services and supporting formats to enable applications software to be ported across a wide range of systems, to interoperate or interchange with other applications on local and remote systems, and to interact with users in a style that facilitates portability. Public specifications are maintained by open, public consensus process to accommodate new technology over time, and which are consistent with international standards.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-250, filed 2/1/94, effective 3/7/94.]

WAC 434-663-260
De facto standard.
A de facto standard is a widely accepted industry standard without official recognition by a standards group.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-260, filed 2/1/94, effective 3/7/94.]

QUALITY OF DIGITAL IMAGES

WAC 434-663-300
Quality of digital images.
Ensuring the quality of digital images requires exercising control over six processes: Conversion of the original image to digital data, enhancement of the digital image if necessary, compression of the digital data for storage, decompression of digital data for retrieval, displaying the image, and printing.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-300, filed 2/1/94, effective 3/7/94.]

WAC 434-663-310
Enhancement of original image.
Enhancement can be used to ensure readability of the documents and to improve the accuracy of the copy by scanning these documents using varying enhancement algorithm settings. Use the best scanned images as the operational criteria for acceptable image quality.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-310, filed 2/1/94, effective 3/7/94.]

WAC 434-663-320
Compressing image data for storage.
Imaging systems containing archival, permanent, or long-term information must use a compression technique that meets either a published or de facto standard. If such a technique cannot be used, the software vendor must provide a bridge to a standard.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-320, filed 2/1/94, effective 3/7/94.]

USABILITY OF IMAGE AND INDEX DATA OVER TIME

WAC 434-663-400
Usability of image and index data over time.
Maintaining access to and usability of electronic records requires ensuring continuous readability and intelligibility. Readability means the ability to process images both on the computer system on which they were created and on different computer systems without loss of information. Intelligibility means that humans can comprehend the information the computer reads. Ensuring readability and intelligibility of electronic records over time entails maintenance of environmental conditions, periodic recopying, and strategies to preserve data by migration from one generation of technology to another through a commitment to open architecture.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-400, filed 2/1/94, effective 3/7/94.]

WAC 434-663-410
Defining indexing requirements.
The selection of indexing parameters is based on an analysis of retrieval requirements associated with a particular application, and must insure rapid and accurate retrieval of information. For systems containing archival, permanent, or long-term records, index design must take into account the retrieval requirements of both current and future users of the records, including government agency personnel as well as researchers and the general public.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-410, filed 2/1/94, effective 3/7/94.]

WAC 434-663-420
Preservation strategy.
A preservation strategy must be developed and implemented for each image system containing long-term, permanent, or archival information. Four preservation strategy options are acceptable:
(1) Retain the original paper documents; or

(2) Microfilm the original documents; or
(3) Recopy optical media when necessary to insure the integrity of the information, and recopy magnetic media every ten years; or
(4) Print images on microfilm.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-420, filed 2/1/94, effective 3/7/94.]

WAC 434-663-430
Header on image files.
A de facto or industry standard header label on image files or a gateway to a nonproprietary header label shall be used for imaging systems that contain long-term, permanent, or archival information. This will allow access to the information by dissimilar systems now and in the future.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-430, filed 2/1/94, effective 3/7/94.]

WAC 434-663-440
Backup for recovery.
In order to facilitate a recovery of lost information and the restoration of system operations in the event of a malfunction or other disaster, properly implemented backup procedures must be in place. Backup security copies of document images and indexes through either simultaneous recording or periodic batch mode backup.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-440, filed 2/1/94, effective 3/7/94.]
WAC 434-663-450
Ensuring usability.
At a minimum, the system must include an electronic error checking utility that will check the integrity of the data when written to the media.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-450, filed 2/1/94, effective 3/7/94.]

WAC 434-663-460
Stability of media.
Records and their indexes having a permanent or archival retention or a retention of over ten years require long-term stability of the media used. Three interrelated issues impact long-term stability:
(1) Media selection, including storage and recording technology;
(2) Quality of data stored;
(3) Media protection.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-460, filed 2/1/94, effective 3/7/94.]

WAC 434-663-470
Storage media.
Write-once-read-many (WORM) media should be used for records having a permanent or archival retention or a retention of over ten years. If WORM technology is not practical for an

application, and rewritable media is used, ensure that read/write privileges are carefully controlled and that an audit trail of rewrites is maintained.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-470, filed 2/1/94, effective 3/7/94.]

WAC 434-663-480
Optical media durability.
Durability for optical media is defined as post-write shelf life. For records having a permanent or archival retention or a retention of over ten years, use media with a minimum twenty-year post-write life. Vendors must document that aging tests have been conducted.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-480, filed 2/1/94, effective 3/7/94.]

WAC 434-663-490
Archival, permanent, and long-term off-line storage environment.
Media should be stored in a dust-free area with a stable temperature between sixty and seventy degrees Fahrenheit with a fluctuation of plus or minus two degrees, and relative humidity between twenty and forty-five percent with a fluctuation of plus or minus five percent. Media should be stored in a suitable container to protect against particulate and fingerprints. Optical disks and magnetic tapes should be stored vertically. The reliability of the data should be tested every ten years. Magnetic tape should be precision rewound every five years and before each use. Every ten years, data stored on magnetic tape shall be transferred to pretested fresh stock.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-490, filed 2/1/94, effective 3/7/94.]

FUNCTIONALITY OF SYSTEM COMPONENTS

WAC 434-663-500
Open systems architecture.
Ensuring the usability of digital images to serve the functions for which they were designed involves long-term commitment to an open systems architecture and an approach to component upgrading, data transfer, and migration path that guarantees the portability of current data to be used with future technologies.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-500, filed 2/1/94, effective 3/7/94.]

WAC 434-663-510
Backward compatibility.
System upgrades or new systems acquired after the effective date of this regulation containing archival, long-term, or permanent records must provide backward compatibility to any existing systems containing the same records series, or be able to provide for the conversion of existing stored data to the new system.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-510, filed 2/1/94, effective 3/7/94.]

WAC 434-663-520
Availability of index data base for off-line media.
The index data must be available for media containing archival permanent or long-term documents.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-520, filed 2/1/94, effective 3/7/94.]

WAC 434-663-530
Technical documentation.
Technical documentation on system components, application software and operating systems is essential, and shall be maintained to facilitate long-term access to archival, permanent, and long-term records.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-530, filed 2/1/94, effective 3/7/94.]

RETENTION AND DISPOSITION OF RECORDS

WAC 434-663-600
Retention and disposition of public records.
Conversion to an imaging system does not automatically authorize the destruction of the original records. Destruction of, or changes to the retention of any public records due to conversion to or the use of a new media requires legal approval of the state or local records committee of the state of Washington through the retention and disposition scheduling process in accordance with Chapter 40.14 RCW and chapter 434-635 wac[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-600, filed 2/1/94, effective 3/7/94.]

WAC 434-663-610
Records retention scheduling for records on imaging system.
The retention scheduling of information to be placed on an imaging system must be done prior to the creation or copying of the records, and may require a cost benefit analysis. Decisions about the retention value of information stored on an imaging system are related to the value of the original information included in the system.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-610, filed 2/1/94, effective 3/7/94.]

WAC 434-663-620
Security copies.
Records with permanent legal value, stored on electronic media should have a security backup copy on another type of media. If this is impractical, the user must obtain permission to retain electronic copies as the sole media from the state records committee or the local records committee on a case-by-case basis as part of the records scheduling process. Such permission will be granted if there are strong backup systems in place, and systems and procedures in place for periodic recopying.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-620, filed 2/1/94, effective 3/7/94.]

WAC 434-663-630
Agency acquisition--Department of information services approval.
State agencies intending to utilize an imaging system for the storage or conversion of public records must include such plans in their biennial information technology plan submitted to the department of information services and comply with other requirements of DIS as may apply.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-630, filed 2/1/94, effective 3/7/94.]