

Questions are grouped into categories, as most questions received were identical or similar. This Q&A is not a list of all questions received but it does reflect all subjects of concern to potential bidders. Answers are in bold. *The clarifications resulting from the pre-bid conference appear in italics. For changes to the bid specifications, please see Amendment #1.*

## THE BID PROCESS

Bid opening:

**The bid opening is public. All bidders who wish may attend.**

Bid package:

**The material is not available in MS Word.**

**This RFB is for the five county clerks alone, as stated in the bid, not the Surrogates Courts.**

The document enclosure checklist omits pages 5-7 of Attachment I:

**Please submit pages 3 and 4 only, as indicated in the document enclosure checklist.**

Term of Award:

Is it only one single vendor for the five locations? **Yes, one single contract with one single vendor for the five locations.**

The contract's anticipated start date is June 1, 2011. Does the Court anticipate a significant backlog will have accumulated? If so, will the normal 60-day turnaround (p.13) apply to the first materials picked up from each court?

**The 60-day turnaround applies as soon as the contract is in place.**

Method of Award:

**The award will be made to the lowest dollar cost, responsible bidder.**

*The Judiciary is exempt from the NYS state requirements regarding MWBE or NYSID and the award will to the lowest priced qualified vendor.*

*How does the UCS determine if a bidder is responsible? As described in the bid, we evaluate a company, its references, past performance and financial stability. See paragraph Responsible Bidder in the general specifications.*

Insurance forms:

Does the UCS need to be named on the forms submitted with the bid response?

**Only the awarded vendor will be required to indicate the UCS on its certificate of general liability (ACORD) form. Bidders can submit a copy of their current certificate. For all other forms please refer to the paragraph Insurance Requirements.**

Do the same insurance proofs need to be submitted for sub-contractors? **Yes, all insurance requirement and certificates of proof, as explained in the paragraph Insurance**

**Requirements and listed on the documents enclosure checklist, must be submitted for sub-contractors.**

Documents to be submitted with bidders' responses:

Company overview? Summary of solutions to be provided? **Bidders may submit these descriptions if they wish, but according to the Method of Award, the award will be made to the lowest dollar cost bidder (see paragraph Method of Award.)**

Original bid response and five copies: **The original bid response, with blue ink signature, includes all forms required in the bid specifications, and all information bidders decide to submit in their proposal. Five (5) copies of the original bid response, i.e, of all forms and documents included in it, have to be submitted.**

Sample court documents/records:

**Samples of court documents/records in different conditions, from the five locations, will be available for viewing at the pre-bid conference**

*The sample files that were being circulated at the pre-bid were not representative of the range of sizes of files because some case files are a few pages and some contain shelves of pages. (See also Types of Files below)*

Estimated Quantities:

**All numbers, figures, are estimates, many cannot be determined accurately, like emergencies, documents in poor conditions. Please refer to paragraph Estimated Quantities.**

Site Visits - Pre-bid Conference: **Site visits are not available. Sample documents/records, in different conditions, will be available for viewing at the pre-bid conference. The pre-bid conference is the last opportunity for bidders to raise questions and seek clarification.**

## **TYPES OF FILES**

**All documents are paper.**

Documents size: **The majority of records are 8.5 x 11 and 8.5 x 14. There is a variety of other sizes, some smaller and some larger, although that percentage is expected to be very small.**

One or two-sided, or mixed: **Generally documents are single-sided but there may be a small percentage of two-sided documents. We have no way to calculate this percentage.**

If documents are both single- and double-sided, is two-sided scanning acceptable for all

documents? This would result in blank pages for single-sided documents. **If this method is used, there must be an agreement as to what data size constitutes a blank page and those blank pages will be eliminated.**

*Case files: Generally, each folder is a case file, however, a single case can have more than one folder. Most of the case files will be in exact, consecutive order by file number and year, but there may be some exceptions.*

*Can files become one document? Yes*

*Can file folders be copied? Yes*

*Will it be one PDF per case file? No, bidders can't calculate that, they must go by the number of images.*

*Can we cut tabs on files? Yes, but they must be represented on the image.*

Number of pages per document on average: **Each case file is different in terms of the number of pages. Each case is individual in and of itself. We cannot give even an estimated number of pages per document.**

Condition of original documents: **Generally in good shape but there will be a small percentage in poor condition, that is fragile or torn. We estimate images in poor condition to represent 5% of total images but we cannot provide an exact nor fixed number. All quantities in the bid specifications are estimates only.**

Binding: **Documents are usually stapled. It does not preclude other types of binding, however.**

**Original documents will be destroyed by the awarded vendor; there is no need to re-staple/rebind originals.**

Open or closed files: **Files are considered closed. There is a small possibility of duplicate files.**

Age of files: **Average age is between 15 and 25 years**

“Document Types: **Counties do not require the assignment of any “Document Types” within each case folder.**

Order of files: **Files are usually filed by case file numbers, in records series, per year.**

Scanning: **Folders will be scanned in the order received. No color scanning requirement. All records can be in black and white, including color originals, unless a County Clerk makes special arrangements which would be outside the scope of this bid. Records sent by the County Clerks are to be scanned by the awarded vendor.**

**Scanning to be done at a minimum of 240 native dpi. See paragraph Language in bid specifications. A scan setting of 300dpi is acceptable.**

*Per the bid specifications, all five counties want digital images. All images have to be scanned. In addition some counties may want their folders scanned front and back. Please see Amendment.*

Will there be records that will not need captured? **We do not anticipate this.**

Sticky notes: **Sticky notes are to be discarded.**

## **INDEXING**

Fields to be indexed: **Index numbers, years, box numbers, series, case file beginning and end dates, index range, contact persons information, case caption, etc. (see also Manifests below) In terms of indexing requirements, counties have agreed as to fields. These will need to be uploaded into the awarded vendor's various software. Index values are applied at the file level. The index number is the specific naming convention.**

Average number of characters for each filed: **20 characters**

Number of fields: **All documents to be three fields; they are, case file numbers, records series, and years, subject to modifications by the County Clerks.**

Location of fields on file: **Information is found on the first page of the document or the "blueback." Or it will be provided by the County Clerks.**

Index number with no papers on file: **File will list an index number and be identified as no papers on file. There are a variety of instances where this could occur. For example: An attorney could purchase an index number in advance of a case and never file a case. This will insure continuity and avoid questions of whether or not an index number should or should not contain any images.s**

Missing indexes: **The awarded vendor will contact the County Clerk for clarification.**

**Docket/index numbers are all alpha except for slashes and/or dashes.**

Total number of documents that will need to be indexed? **One in four images approximately.**

**Indexing is to be included in Price per image.**

## MANIFESTS

Contractor's manifest:

Describe what you mean by and what you would like seen in a "standard manifest form" that we would return to you. **Contents of boxes, index ranges, box numbers, starting and ending case file numbers and dates, missing case numbers, records series, years, etc.**

Can the contractor's manifest be a web based application which would be securely accessed by Record location staff: **Yes**

County Clerks manifest: What form (paper vs. electronic) will the manifest provided by the County Clerks be in? **The manifest will be both in electronic and/or paper form. Generally, manifests will include, but not be limited to, lists of case files with the information on contents of boxes by index range, box numbers, case files starting and ending dates and numbers, records series, years, and contact person information.**

Will this manifest be available at the time of pick-up of county's boxes? **Yes**

*Years are identified on folders and boxes.*

## CARTONS

Correction: **One cubic foot cartons contain each between 2,000 and 2,500 images, not 5,500. Based on an average of 2,250 images per carton, the specifications are changed as follows:**

*Are vendors providing cartons? Yes, except for the NYC County Clerk whose boxes are at CitiStorage. Please see Amendment #1.*

*The paragraph Cartons is amended to reflect the revised quantities of cartons. Please refer the the Amendment.*

Standard, one cubic foot carton size: **15" x 12" x 10" is preferred.**

**PICK-UP OF FILES/DOCUMENTS**

Transportation - Are FedEx and UPS acceptable for pickups, or other commercial carrier (ground) with traceable means? **Please refer to paragraph “Pick-up of original files, records, documents” which allows transportation by “duly licensed and insured common carriers...”**

Average pick-up schedule and number of boxes per location: **From 100 to 500 boxes per county per shipment, monthly or bi-weekly. This will depend on the readiness of the County Clerks. Awarded vendor could be working on documents from multiple offices at one time. There is no pre-determined schedule that would need to be adhered to; we expect an agreed upon schedule will accommodate both the County Clerks and the awarded vendor to offer the most efficient turnaround without overburdening each party. There may be interruptions due to staffing or other difficulties.**

Responsibility for boxing, cataloging of files, manifests and labeling, at each location prior to pick-up: **The County Clerks. They will mark the boxes to show the enclosed case number range; they will provide the manifest.**

Docket numbers, index numbers with no papers on file, name of file/records, carton designation: **Please note that the awarded vendor will need to take data elements to index from the paper/files themselves. Samples provided at the pre-bid conference.**

Boxes supplied by vendor to the Locations: **The awarded vendor can deliver the boxes to the Locations/County Clerks on an as-needed basis, unless prior arrangements are agreed upon with the County Clerks.**

Pick-up site addresses: **They are all listed in the RFB specifications.**

**TURNAROUND TIME**

Records are to be picked-up 2 weeks from request by the County Clerks and processed and delivered within 60 days: **the maximum number of cartons required to be turned around in that 60-day period is 500 per location. Boxes are to be processed as they are received by the contractor.**

*The paragraph Turnaround Time is amended to include additional language. Please refer to the Amendment.*

**STORAGE OF UP TO 25,000 CARTONS and DESTRUCTION**

The awarded vendor must process boxes as they are received from the County Clerks so that there is a constant turnaround and to minimize storage time. Orders of destruction will be issued 15 days at the most after receipt and acceptance of the products by the County Clerks. The Office of Records Management will ensure that the 15-day deadline is met so that there is no additional storage time. 25,000 cartons is a safe number in case all of the locations send their boxes at the same time.

15 days following completion of the work is the maximum amount of time the awarded vendor is expected to store

- 25,000 boxes of records before being authorized to destroy them, if the carton count ever gets to 25,000

- hard copy original documents prior to destruction

So, the actual storage of paper documents will be minimal and limited to boxes that are worked on as part of the contract.

Billing for additional time? **There is no line item in the Bid Response form to store boxes that are processed as part of the contract. The Office of Records Management will ensure that the 15-day deadline is met so that there is no additional storage time.**

Destruction method: **Cross-shredding is the required method.**

Order of Destruction Request Form: **It will be signed by the Office of Records Management certifying that Quality Control has been complete and the images comply with RM Policies and Guidelines. It will be issued within 15 days after receipt and acceptance of digitized products by the County Clerks.**

***PLEASE NOTE THAT THE PARAGRAPH DESTRUCTION OF DOCUMENTS CONTAINED IN THE ORIGINAL SPECS HAS BEEN DELETED AND IS REPLACED BY A NEW PROVISION WHICH IS CONTAINED IN AMENDMENT #1.***

**QUALITY CONTROL AND RECORDS MANAGEMENT POLICIES**

UCS Records Management Policies #3 and #9 are available at [www.nycourts.gov/admin/recordsmanagment](http://www.nycourts.gov/admin/recordsmanagment) under the respective policy numbers.

Methylene test: **See policy # 3 for guidance on methylene blue test requirements. No substitutions.**

Is NYCC or the Bidder responsible for the cost of the methylene blue test: **The methylene cost must be included in bidder's pricing. See paragraph Pricing, "All pricing submitted**

**pursuant to the solicitation shall be net and include all costs for the performance of the services described in this solicitation.”**

Description of anticipated Quality Control process for digital and microfilm images: **Quality Control for film is found in UCS Records Management Policy #3 (see Bid Specifications). Quality Control for scanned images will involve a review of the images for accuracy and content. County Clerks will establish QC policies.**

Proven capabilities to produce 26M images per year: **All microfilm specs are found the UCS Records Management Policy #3.**

SAS70 Type II Compliant Facility: **All digital specs are found in UCS Records Management Policy #9.**

What are the specifications for maintenance and preservation of records for each County? **All preservation and maintenance must be via UCS Records Policies. All records requirements must be in compliance with these policies and guidelines.**

Accuracy rate required by UCS for document capture/quality: **100%**

Accuracy rate required for document indexing: **100%**

What does compiling and verification mean? **It means that the courts have uploaded, stored and verified the image; it means compiling and verifying each delivery.**

**Ambient controls, humidity, temperature requirements apply to both boxes awaiting processing and being processed, as well as boxes waiting for the order of destruction.**

## **ACCESS TO COURT FACILITIES**

**No site visits are available. Parking arrangements, loading docks, and other questions will be discussed at the pre-bid conference and the information will be provided in the revised Q&A.**

## **MICROFILM FOR THE BRONX COUNTY CLERK**

*Is a roll a box? Yes*

Will a bar code be acceptable for microfilm lead sheet: **No**

Can images be output onto 215 foot film? **Yes, 215 foot.**

Reduction **ratio: 32X** Orientation: **Comic orientation, headings to the right.**

Index and labeling requirements for each roll of microfilm: **Record series - year - range of index numbers**

There is a line item on the Bid Response Form for delivery to Iron Mountain: **This is the Boyers, PA, location. All film to be delivered to Boyers location.**

**An index file of case numbers cross-referenced to film roll number and frame will be required.**

**Blipping requirements for the film is bi-level.**

Format for COM film (2 common and 1 non-common): **Must comply with UCS Records Management Policy #3**

Shipping via a nationally recognized overnight courier such as FEDEX and UPS: **Yes but only as emergency retrieval and overnight shipping.**

Paper originals will not be returned to County locations or Boyers, PA. Destruction will occur at vendor's facility once approval is received from the county: **That is correct. A county may wish to make other arrangements for document return but this will be outside the scope of this bid.**

What microfilm retrieving system will be used in the Bronx? **Bronx retrieval copies are digital documents; we microfilm only to preserve the permanent records.**

Silver halide duplicate: **There will only be a silver halide master and no duplicates. The master is to be sent to the Iron Mountain facility. Please refer to paragraph Original Silver Master Microfilm in the bid specifications.**

Shipping of documents and microfilm for the Bronx to Iron Mountain: **All silver original microfilm to be shipped to Iron Mountain.**

Is Computer Output Microfilm acceptable? **If, by this question, you are asking if the original image is scanned can the scanned image be used to create the microfilm image then the answer is yes.**

*The Bronx County Clerk location has microfilm readers, but the microfilm, per the bid, will be*

*sent to Iron Mountain.*

### **DIGITAL LANGUAGE - INVENTORY REPORTS - EXTERNAL DRIVES - DVDs+CDs**

Definition of “searchable (with 2 or 3 indexes): **All documents 3 fields. Full searchable records required/full text searchable/full text OCR**

*Using OCR, does the UCS want portrait of landscape and is bidder expected to rotate the images? No rotation required.*

*What about OCR quality repair when there is a poor image? Only one pass OCR required. Awarded vendor shall scan the image to its best quality.*

*PDFs must be fully text searchable.*

Anticipated means of delivery: **Both external drives and DVDs. External drives will be returned, therefore Locations will need DVDs. A rotation can be established, where a drive is dropped off one trip and picked up on the next trip.**

**FTP will not be accepted. Counties do require DVDs or CDs.**

**Vendor must have the ability to deliver both DVDs and external hard drive. Each County Clerk and the awarded vendor may decide on one of the two methods.**

*When delivering files in PDF do you have to show image tab? Yes*

Caption of DVD or CD: Will spreadsheet containing disc number, box number and case index number be delivered in hard copy with the discs, or electronically? If electronically is Microsoft Excel an acceptable format? **Both methods. Excel is acceptable**

Clarification of “fully processed” on page 13 (turnaround time): **Fully processed means in whatever form is required, DVD/portable hard drive, or microfilm.**

Security: **Encryption is not required.**

How often does the Inventory Report need to be updated for download? **Bi-weekly updates on the status of the inventory.**

## PRICING AND PRICE INCREASES

Term of Award/Price Increases (page 9 & 10):

The RFB states that the Court can renew for two 1-year periods but it does not provide a notice date for when the extension must occur, and this is important because if a price increase is requested; the Vendor will have to request the increase 45 days prior to the new period. In addition, please verify whether a price increase will be permitted for one or both of the renewal periods, as the specs seem to allow for a price increase during the first renewal period only.

**Requests for price increases apply for each renewal. Requests must be submitted 45 days prior to the contract initial term expiration and 45 days prior to the first renewal expiration. The specific dates will depend on the actual beginning date of the contract, which is not known at this point as it will be on or about June 1, 2011. See Term of Award.**

Bid Response Form (p.18) In the first item should the cost of cartons be included in "Pick-up and transportation of materials:?" **OCA is requesting that the price bid for these services be quoted on a per carton basis. Please refer to the Pricing paragraph in the bid specifications.**

*Regarding price increases after the third year, it doesn't allow for labor increases. The bid does not provide for that, but the vendor has the option of not renewing the contract for the first of the two optional years. Obviously, if there was an extraordinary change in labor costs, the vendor could raise the issue when it is time to renew the contract. Or if he vendor presented a reasonable price increase with all factors included, we would examine such request.*

*Can pricing be submitted based on various estimates of the work to be done? No, bidders must follow the Bid Response Form.*

## EMERGENCY RETRIEVAL

Clarification sought on the correct estimate of emergency requests for hard copy and email/fax for each year: **We cannot provide correct estimates for emergencies which by definition are unpredictable and may vary from year to year. Please use the estimated numbers on the Bid Response Form.**

## SUBCONTRACTING

Can the storage of the 25,000 boxes be with a named subcontractor? **Yes as long as subcontractor complies with storage rules. Please also refer to paragraph Subcontracting in the bid specifications.**

If the primary contractor does not have the ability to produce all of the deliverables required, what functions of the contract are acceptable to outsource to subcontractors? **Please refer to paragraph Subcontracting which describes the conditions under which any services described in the solicitation may be subcontracted.**

**MISCELLANEOUS**

Out of State vendors/out of NYC vendors:

**There is no requirements in the specifications that bidders be located in the State of New York. No preference will be given to a bidder located in NYS as all bidders will be evaluated according to the Method of Award (lowest dollar cost.)**

Is there a current vendor for these services

**There is no current vendor.**

Clarification of "Record activity": **Record activity would reflect whether the County Clerk has retrieved the file before it could be scanned and thereafter reflect the return of the file to the vendor for completion, including of course, the retrieval and return dates.**

Will manual back page deletion be required? **We will need to agree on a level where a page will be deemed blank and have those deleted.**

Are bidders still expected to bid on the details of the canceled bid? **The County Clerks requirements are included in the current solicitation. Bidders are expected to bid on the current solicitation, not the one that was canceled.**

Address for Iron Mountain location: **1137 Branchton Road, Boyers, PA 16016**

Can you identify what you were referencing on page 10 when you said "Pricing must include the delivery of micrographics materials to Records Locations and delivery of microfilm/fiche as required to current vendor in Boyers, PA, where requested, such deliveries to be made by the methods and in the timeframes set forth in the Detailed Specifications". **As per paragraphs Pick-up of Original files, records, document, and Turnaround Time.**

*Can a bidder have off-shore facilities? **The bid is silent on that issue, so there is no geographic restrictions, however, the OCA bid review would consider it as a factor in terms of whether it is a responsible bidder.***

*Has funding be approved for this? **Yes***

*What document management system will the completed images be going into? **Each County Clerk has a different software which will be uploaded by the awarded vendor.***