

ATTACHMENT 1

Below are the Questions and Answers from the previous ECM RFP RFP-2014-0219. WSDOT has included these questions and answers to elevate duplication of questions.

Vendor Questions and Official Answers

1. Can proposals be hand-delivered to the address specified for the RFP Coordinator?

ANSWER: Yes

2. Can the CDROM version of the proposal be submitted on a USB drive instead of a CDROM?

ANSWER: Yes

3. In section 5.2.3 under Input, can you please elaborate on CM.43. in terms of what you're looking for in Authentication and Authorization?

ANSWER: The requirements of CM 43 are expanded in CM 44 and 45. Provided client should support single sign on so that the user's credentials are picked up from the user's logon to the PC.

4. Regarding previous State Contracts, if Vendor has contracted with WSDOT in the last 24 months, would you like us to include that?

ANSWER: Yes, that's fine but not required.

5. Regarding previous State Contracts, Does WSDOT want Vendors to include orders with Washington State Agencies that may not have a Contract associated with them or there is no contract referenced?

ANSWER: No.

What about Maintenance Agreements?

ANSWER: No.

Does this include Washington State Cities and Counties as well?

ANSWER: No.

6. How many environments does WSDOT want Vendors to cost out in the Cost Model?

ANSWER: We anticipate three (3) environments:

- **Development**
- **Quality Assurance**
- **Production**

7. Is double-sided printing permissible?

ANSWER: Yes

8. How many users will be capturing?

ANSWER: Potentially everyone in WSDOT could do capture with 6,000 to 7,000 users. Concurrent maximum should not exceed 100 users.

How many will be searching/retrieving?

ANSWER: Enterprise wide, potentially 6,000 to 7,000.

9. What are the input and output formats for the COLD reports?

ANSWER: Input as ascii text files and printed as text.

10. Regarding references, are the references supposed to submit their information directly to the RFP Coordinator? Or should those responses be included as part of the total response?

ANSWER: References should be submitted as part of the response. The form provided must be completed in order to receive points for the reference.

11. Is there a budget specified for this RFP?

ANSWER: Yes. We are expecting vendors to return the RFP with their best price.

12. In Section 3.3, it states that there should be no mention of the cost response in Volume 1 of the response. Then in Section 5.9, it says to identify training costs. Should the training costs only be specified in Volume 2 in the Price Quotation?

ANSWER: Yes, all cost associated with your response must be in Volume Two. If there is no cost associated with Training, you can state that there is no Training Cost or that it is included.

13. In the Contract, Section 24. Software Warranty, the language states, "...for a period of time as specified by Vendor's Response, the Warranty Period." In the RFP document, section 5.6 (M) Software Warranty, it just states that the Vendor warrants that all software is free of defects and faults and doesn't ask the Vendor to provide the Warranty Period. Are Vendors required to state their Warranty Period in this section? Or is WSDOT expecting a certain period of time for the warranty period (ex. 90 days)?

ANSWER: WSDOT would like the vendor to state its warranty period and coverage so that it can be evaluated.

14. In the Contract, Section 55.2. a), the language says, "...identify the first panel member." Can this be an employee of the Vendor or WSDOT? Or does it have to be a third-party?

ANSWER: The first panel member would be identified by the requestor and would likely be an employee of the requestor.

15. In Appendix E – Cost Model – is WSDOT asking that Vendors provide Installation or Training costs, even if a certified installation is not necessary?

ANSWER: If there is no cost associated with Training or Installation, you can state there is no charge.

Should the Vendor provide Training and Installation costs regardless?

ANSWER: No. If there is no Training or Installation cost, no need to provide a price. However, make sure you state that there is no cost so that WSDOT is clear that there is no charge.

Is WSDOT looking for software and base installation and training services only in this RFP?

ANSWER: Yes, we are not looking for Professional Services as part of this RFP response.

16. In VPC.2. is WSDOT looking for specific support metrics?

ANSWER: Examples of support metrics would be:

- Volume of calls
- Average time for initial response
- Average time for resolution
- Number of incidents resolved on initial contact

17. What is WSDOT looking for in VPC.3? Documentation for each of those groups?

ANSWER: If the provided documentation includes separate documentation for each of these groups please indicate this and explain how it is delivered to each group.

18. Solution supports a set of events that are **fired** during the indexing process that allow for custom logic to be inserted when they occur. Can you elaborate on this requirement?

ANSWER: A typical event model includes opening and closing a batch of documents, opening and closing a document, and entering and leaving the index fields for each document. The requirement is that the proposed system support an event model similar to this where custom code can be introduced to respond to the events so that custom processing can be conducted and interaction with the meta data of the batch and documents can be manipulated.

What types of events would you like to be 'fired' during indexing? Such as IndexFieldA contains Y then IndexFieldB will the contain values determined by IndexFieldA?

ANSWER: At a minimum Batch Open, Batch Close, Document Open, Document Close, Field Enter and Field Exit.

19. It does not appear that you are requesting an application be created, only that you acquire an application suite that meets your needs. Is this the case or are you expecting application(s) to be created as part of this acquisition?

ANSWER: Yes, this RFP is for an ECM Platform upon which WSDOT can build its ECM Solutions.

20. In section 5.9 can you provide more detail about what training level you would require? Basic training, developer training, train the trainer, advanced knowledge transfer?

ANSWER: 5.9 is requesting that the Vendor specify what training they will provide within the scope of the contract that results from this RFP as well as provide any additional training options that are available from the Vendor.

21. Can you provide volumes for the number of pages you expect to scan or import in a calendar year? Total volumes. An electronic document that is imported counts the same as a page scanned.

ANSWER: Our current annual volume:

- PDF Image+Text page count – 6,300,000
- Scan/Import page count – 6,000,000

22. Are you currently scanning within your organization?

ANSWER: Yes

If so, what applications or legacy system are you currently using?

ANSWER: Kofax Ascent Capture 9

23. Are you using Fujitsu Scanners?

ANSWER: Yes, there are some Fujitsu scanners in use. Also, Canon and Kodak scanners.

24. What is the scanning application?

ANSWER: Kofax Ascent Capture 9

25. What department are we looking to start in?

- * HR
- * Accounting (AR/AP)
- * Customer Service
- * Records Department
- * Mail Room

ANSWER: This decision has not been made yet.

26. What types of documents will you be scanning?

1. Invoices
2. Insurance Cards (Hard Card Scanning - With or without embossed lettering)

ANSWER: The range of documents scanned at WSDOT runs the full gamut from simple 8 ½ X 11 up to large format engineering documents. Includes some color photos and occasional hard card scanning.

What generation are these documents? (Are they off the printer or have they been faxed, copied, etc)

ANSWER: We have some of each category. Solution should support both scanning the paper and importing existing documents in electronic format such as incoming faxes pulled from the fax server rather than being printed.

27. What size are documents are you looking to scan?

1. Size - 8 1/2x11, index card, business card, 11x17

ANSWER: Everything from a business card up to large format engineering documents. WSDOT is not requesting a quote for scanning hardware in this RFP, only the capture software.

28. Are the documents single or double sided?

ANSWER: Both

29. Are any of the documents in color or have colored back ground?

1. This is important to determine file size and if color dropout is needed (VRS)

ANSWER: Yes

30. Will there be a need to extract data from the image (OCR)?

1. This is important to determine dpi (Dot Per Inch) to scan at.

ANSWER: Yes

31. What are your daily volumes?

ANSWER: Typically not more than 10,000 pages per day but during backfile conversion projects this could reasonably reach 100,000 pages per day for brief periods of time.

32. What is your current storage volume that needs to be migrated from FileNet and Network shares?

ANSWER: We have no requirements for migrating from FileNet and Network shares. The scope of this RFP does not include the actual work of migrating from the existing system.

33. Are there peak times throughout the day that your volumes spike for any reason?

ANSWER: No, typical input is spread throughout the day. There are peaks during the month for events such as payroll processing.

34. What are you looking to do with your back file documents?

1. This is important to determine because day forward requirements will differ from back file conversion.

The options are:

1. Day Forward - Keep all historical data in paper format and destroy as retention period comes due
2. Scan on Demand - Keep all historical data in paper until file is pulled for any reason and scanned while user has in hand
3. Total Conversion - Place hardware for day forward needs and then rent 5900s for back file conversion and then pull out heavy hardware.

ANSWER: Back file projects are incremental throughout the agency as the departments can take them on. Each of these events are handled separately and the actual implementation of these is not in the scope of this RFP.

35. Are you looking for a departmental solution or desktop?

ANSWER: The solution will be enterprise wide.

36. Are you looking to scan at a central location or push to distributed offices?

ANSWER: Both methods are used in the agency with a central scanning facility in place but much of the capture is pushed to distributed offices.

37. Who will be doing the scanning? Dedicated operators or business professionals?

ANSWER: Both, dedicated operators have been identified in most business areas.

38. Do you already have SharePoint? If not, do you have a Microsoft License Agreement to be able to acquire SharePoint for install?

ANSWER: Yes, we are currently running MOSS 2007 and are currently working on migrating to SP 2013. WSDOT has a Microsoft Licensing Agreement.

39. Would you be able to get a license of SharePoint or would that need to be provided in the quote as well? Which version of SharePoint?

ANSWER: Yes, we are currently running MOSS 2007 and are currently working on migrating to SP 2013. WSDOT has a Microsoft Licensing Agreement.

40. Number of SharePoint Web Front End (WFE) Servers?

ANSWER: We currently have 2 WFE servers for our Team Sites. Typically, we want to have two (2) WFE servers and two (2) application servers for each environment.

41. SharePoint Server OS Version?

ANSWER: New SP instances would be provisioned on Windows Server 2012 R2 Standard.

42. MS SQL Server Version?

ANSWER: We currently have instances of SQL 2005, 2008 and 2012. New applications back-ends would be provisioned running SQL 2012.

43. Are there any retention policies in place? How are they enforced?

ANSWER: WSDOT has retention policies in place on both hardcopy and electronic content. For the electronic content the Records Management software enforces them. For the hardcopy retention management is done by the Records Services department with information stored in a custom Retention Management application.

44. How many users will be accessing the system?

ANSWER: Enterprise wide solution, so potentially 6,000 to 7,000 users.

45. How many users will be scanning?

ANSWER: Support for approximately 100 concurrent scanning stations should be included.

46. Are you using the Records Management capabilities of their current platform?

ANSWER: For the Oracle Imaging and Process Management platform we are using the Records Management capabilities.

47. Retention schedule/file plans?

ANSWER: Yes, there are Retention schedules and file plans that are defined by the agency and some of these have been used to configure the Records Management solution.

Will you need to migrate these schedules?

ANSWER: Migrate them or otherwise redefine them on a new system.

48. Will you need the current digitized documents migrated to the new system?

ANSWER: Yes but the actual migration is not within the scope of this RFP. The system needs to support this migration but the vendor will not be conducting this migration.

How many different form types?

ANSWER: Several hundred. The vendor will not be involved in defining the structures in the new system for actually storing these documents, the system simply needs to support the storage of different document types with different metadata structures that can be configured and implemented by the support and administrative personnel at WSDOT.

49. How many metadata fields per form type?

ANSWER: On average 15.

50. What file type do you want these documents stored as? (PDF, PDF/A, Searchable PDF, TIFF, native format, etc....)

ANSWER: The system needs to support storage in the native format of the documents as well as conversion from one format to another during capture as well as options for converting during the retrieval and export processes.

51. How many users will need to be trained on the system?

ANSWER: The vendor is expected to be responsible for training the administrative staff at WSDOT (10 people at most). End User Training is not within the scope of this RFP. Available training that is offered by the vendor should be outlined in the appropriate section.

52. Can you give some examples of the types of searches for process instances you need to perform?

ANSWER: Searches for process instances, provided you are referring to workflow items, should support both predefined searches on the meta data properties of the items. For example for a Timesheet search the workflow user should be able to run a search for workflow items with a pay period matching a date or date range and also specify the department. Another search for Timesheets workflow items would be to search by the last name of the employee. The use of Adhoc workflow searches is also desired so that some users, with the rights to do so, could search on any of the available fields for a given workflow process.

53. What are the number of users that will start a process, action a task in a process, or manage a process?

ANSWER: Starting a process is typically restricted but is totally dependent on the nature of the solution. Currently there are approximately 1,000 users that can start workflow instances. Actioning a task is conducted by all of the users in the current system so it could be as many as 7,000 but is currently used by approximately 3,000 users. Managing a process is restricted based on the solution. Currently that is limited to an administrator in each of the major business units, approximately 30 users are considered process managers.

54. Do you use a standard modelling tool today and, if so, which tool(s)?

ANSWER: No, we use different tools depending on the type of model.

55. How important is process simulation for the first phase and is it something that can be included in a later phase?

ANSWER: Process simulation, while a nice tool to have, is not critical at this time.

56. I was wondering if there was an incumbent contract or is this a new opportunity?

ANSWER: There is an incumbent; however, we are not necessarily looking for the same solution. This is a new opportunity for any vendor interested.

57. Is the funding set aside in the budget for the system? If so, how much?

ANSWER: Yes. We are expecting vendors to return the RFP with their best price.

58. Were there any consultants involved in the planning of the project?

ANSWER: No

59. How many users will the new system support?

ANSWER: Enterprise wide solution, so potentially 6,000 to 7,000 users.

60. Would a solution that incorporates the existing Kofax Capture software be acceptable?

ANSWER: Yes, we are currently using Kofax Ascent Capture 9

61. What specific functionality do you require in regards to COLD processing?

ANSWER: Actual COLD requirements have not been developed at this point. Vendors are expected to provide relevant information on their solutions abilities to process COLD if they have one. Time will be provided in the product demonstrations for vendors to expound upon the abilities of their solution for this requirement.

62. Will management of CAD files be important in the selected solution?

ANSWER: Yes all file formats should be able to be stored in the document management system. It is not a requirement for the solution to provide integration with a CAD package.

63. Do you intend to contract for professional services in a separate procurement?

ANSWER: If necessary yes.

64. What specific workflow applications are required to be included in the scope of services, if any?

ANSWER: The scope of the RFP does not include the build of any specific workflows, this may be offered as part of a solution proposal, perhaps part of the training that the vendor proposes to include within the scope of this project, but it is not a requirement.

65. Would WSDOT like pricing for modules that address the COLD requirements?

ANSWER: Yes, your response should include all cost associate with your solution.

66. Can Vendors note features that are on the product roadmap as long as we specifically identify that?

ANSWER: Yes

67. Will other government agencies have the ability to purchase off of this contract?

ANSWER: No, this contract is for WSDOT only.

68. In the Contract section 2.2.a) it states, "This Contract's initial Software maintenance and support term shall be one (1) year, commencing the day following expiration of Vendor's warranty for the Software." Then in the Contract section 26.1. it states, "Maintenance period coincides with the first business day of the Warranty Period and shall be for a overall term of 15 months." We are looking for clarification if the expectation is that the Vendor's warranty period runs in parallel with the software maintenance (starting on the same day) or if software maintenance begins when the warranty period is over.

ANSWER: Maintenance and warranty should run parallel

69. You prefer On-premise hosted solution or externally hosted Cloud solution?

ANSWER: Preference is On-premise hosted but Cloud solutions are open to consideration as well.

70. What is the approximate size of existing metadata to compute size of DB Server(s)? And growth rate?

ANSWER: Currently the metadata database for the existing documents are at 180 GBs. Another database, used for providing FullText search is 450GBs.

71. What is the approximate volume and size of existing images file storage to compute storage server size? And growth rate?

ANSWER: Actual file storage hardware does not need to be included in the proposal, WSDOT will continue to use SAN storage.

72. Do you want us to assume solution design end-to-end inclusive of hardware, software and services or you expect to re-use some or all of existing configurations?

ANSWER: Provided the solution runs on standard windows servers, the hardware does not need to be included in proposed solutions. The hardware specification requirements should be included.

73. If you intend to re-use part of OR all of existing configurations. Could you please specify existing configuration to re-use in the new proposed system?

ANSWER: The intent of this question is not clear. Where applicable WSDOT will reuse hardware and software that fits into a new solution. There are currently no hard and fast plans on what would be reused and what would be replaced. It is totally dependent on the solution.

74. What is the tentative timeline for execution of the project?

ANSWER: The timeline is already included in the schedule of the RFP. The length of time it takes to get the solution installed, certified if required, trained and implemented will be decided during the contracting process once a solution is selected.

75. What is approximate budget for project? How much for H/W servers, software licenses and Services?

ANSWER: WSDOT has money allocated for this project; however we are asking the vendors to give WSDOT their best price for their solution.

76. Do you have any specific recommendations on references to mention in the RFP response?

ANSWER: Vendors should be including references that they have previously worked with that are familiar with both the proposed solution and the resources the vendor will use to work with WSDOT.

77. Do you accept if we propose a solution using one of our partner's COTS product suite that we are specialized with and successful?

ANSWER: As long as you can provide WSDOT with a Letter from the Manufacture. (See Section 4.2 Reseller Vendor Certifications) of the solicitation and you can adhere to the rest of the requirements of the RFP regarding the type of support and partnership that WSDOT is seeking.

78. Do you require Source Code Escrow? How many years of maintenance would you require and at what level of support?

ANSWER: Source Code Escrow is not a requirement of this RFP. If it is a mitigation strategy by the vendor they should include that in the detailed responses in the support section of the RFP. Maintenance cost and plan details are spelled out in the RFP as well. Vendor is expected to provide this level of detail in response to those requirements.

79. "Solution's search interface accommodates multiple search methods from a single interface. This includes advanced search operators, full text searching, index value searches, searches against defined document types, all file formats, date ranges, etc." Do you need the search based on File Formats too? Kindly confirm.

ANSWER: Not required

80. Do you need all the full text search capabilities that include AND, OR, NOT, NEAR, *, and FormsOf or is it fine if the proposed solution proposes only few of them?

ANSWER: The vendor should specify which Full Text capabilities that there solution will support. The most capable Full Text product will be given the highest rating in this area of the requirements.

81. "Solution supports annotations to be added via SDK or API". Kindly provide additional details.

ANSWER: Many solutions use a proprietary viewer that where a user can view and annotate documents. There are times when solutions build on the platform need to automate or otherwise customize annotating documents. The requirements are that the ability to do Annotation be available through a programming interface to accommodate this sort of solution.

82. "Solution provides the ability to send process instances from one defined process to another". Kindly let us know what is "process instances"?

ANSWER: In WSDOT terms a Process is a workflow map that defines the routing that a piece of work will take when it enters the workflow. It also includes the meta data that will be associated with the piece of work. A Process Instance is a single piece of work and its associate meta data that has entered a give workflow or process.

83. How many Admin licenses are required?

ANSWER: The need is for an enterprise license to accommodate 6,000 to 7,000 employees. If an Admin license is specifically required by the solution the vendor should state that in their response and indicate what the limitations are on that type of license as well as the cost for additional ones if needed.

84. How many workflows need to be developed?

ANSWER: The scope of this RFP does not include the development of any actual workflows.

85. How many reports need to be created in the new proposed solution?

ANSWER: The scope of this RFP does not include the development of any reports.

86. Do you need the new proposed solution must be on premise or cloud based?

ANSWER: Open for discussion.

87. What are the various file formats being used in the exiting ECMS?

ANSWER: No limitations on file formats. We are currently processing the following formats: tif, pdf, txt, rtf, xml, html, doc, docx, xls,xlsx, dgn among others.

88. Will vendor have remote access via VPN to EDMS system for installation and maintenance activities?

ANSWER: To be determined.

89. Will there be any ceiling limit regarding the size of document to be uploaded?

ANSWER: Yes, this can be evaluated based on the solution

90. Is train the trainer model acceptable to Customer?

ANSWER: Yes

91. Is our understanding correct that training manual which is the mandatory deliverable is to be given once the contract is signed and training is commenced?

ANSWER: Yes

92. What are the preferences for helpdesk support? Onsite, Offsite, Remote (outside USA).

ANSWER: Onsite is not necessary, Remote is acceptable as long as the hours of operation for WSDOT are supported fully by support

93. We assume that the Post Go-Live Support is 100% onsite. Please confirm.

ANSWER: Not necessarily required to be OnSite for Post Go-Live support.

94. Kindly specify timings for helpdesk support during the year?

ANSWER: Core business hours for WSDOT are from 7am to 5pm Pacific Time. Support is expected during these hours as part of the software maintenance and support cost of the vendor's solution.

95. Will vendor have remote access via VPN to ECMS system for installation and maintenance activities?

ANSWER: To be determined.

96. Is the Department of Transportation planning to do its own document and metadata migration from the current Oracle solution to the new system or do you require a quote for the migration services?

ANSWER: WSDOT plans to actually conduct this migration with utilities provided as part of the vendors proposed solution. WSDOT will be doing the migration, leveraging any tools/utilities that will be provided as part of the vendors proposed solution.

97. If the answer is that you will need a quote for the migration, does your current solution have a metadata export function to create a file with all the metadata including the location of the files in the current system?

ANSWER: Although the actual migration work is not expected to be done by the vendor WSDOT does have the ability to dump the metadata and files out of the existing system for consumption by an import utility. Vendors that are providing proposed solutions for this requirement are encouraged to recognize the system that is currently used at WSDOT, which is Oracle 10g IPM and their solution and experience at dealing with these systems should be included when responding to the migration requirements. Special attention should be given to the existing Annotations and how those will be migrated by the proposed solutions.

98. What is the current volume of documents stored in the system that would need to be migrated (documents not pages)? If it is too complicated to get the document count, can you provide the amount of disk storage that will be sufficient?

ANSWER: Actual migration of this content is not in scope of this RFP. WSDOT will be conducting the migration post implementation and will manage the hardware necessary to move the content.

99. Solution supports the ability for a user to lock a process instance when working it in a work (human) queue so other users cannot modify or work the instance.
* Can you consider dedicated queues for specific workers?

ANSWER: How the proposed solution meets this requirement will vary by solution. In theory WSDOT does not define queues for individuals but rather roles so a group of users will see the process instances in a queue and a locking mechanism is necessary to avoid two people from attempting to work on the same process instance. If this is not the mechanism supported by a proposed solution the vendor should elaborate how this requirement would be met when responding to it.

100. Solution provides for evaluation of rules to identify conflicts or gaps.
* Is this requirement manual or automated?

ANSWER: Rule evaluations in the current workflow system are all automatically done by the workflow engine. If a proposed solution has a different method of doing Rules Evaluation the vendor should elaborate when responding to this requirement.

101. Describe any facilities, interfaces or methodologies for interfacing with a Microsoft SQL Server data warehouse

* Can you please describe the use case for interfacing with the data warehouse?

ANSWER: Many of the existing workflow and document management applications in place at WSDOT rely on data that is not contained in the current solutions databases. The first example is documents that contain a limited set of meta data to be used as keys for relating the document to data

in our data warehouse. An example here would be an HR document where the meta data field in the document management system is the Employee ID. The requirement is that we be able to search for documents by employee last name and that data is in the data warehouse. The current solution allows for Saved Searches to be built that incorporate a view of data from any ODBC compliant source with data from the document management tables. A second use would be in a workflow where partial data is entered when a process instance is created and then additional data is pulled from a data mart to support the business processing of the instance. In this scenario updates to the data warehouse may also be necessary so the workflow needs to provide the abilities to pull and push data to the external data sources. How this is all facilitated should be elaborated upon in general in response to this requirement and then elaborated further in the more specific sections of the RFP for Document Management and BPM.

102. Solution has ability to properly eliminate or dispose of records that exceed their retention periods as established under RCWs (40.14). All public records must follow a retention schedule.

* Will DoD5015.2 cover RCWs (40.14)?

ANSWER: Not aware if DoD5015.2 completed covers the same topics as RCW (40.14). The requirement here is for the ability to properly eliminate or dispose of records in accordance with a records schedule. Vendors should respond with the capabilities of their proposed solution to meet each of the requirements in the RM section. An opportunity to elaborate further on RM capabilities will be provided to qualified vendors during solution demonstrations.

103. Solution provides for evaluation of rules to identify conflicts or gaps.

* Is a manual process for this acceptable?

ANSWER: Duplicate Question (100).

104. Solution supports storing files in the database as BLOBs for increased system performance.

* Is this considered a requirement or are other ways of storing files acceptable?

ANSWER: It is not a requirement that database BLOB storage be provided, other options are acceptable and will be evaluated. Solutions that provide, and recommend this storage mechanism are encouraged to elaborate on the advantages and performance gains that will be realized by doing so. The current solution at WSDOT does not use database BLOB storage.

105. Can the BPM requirements be met with a document-centric workflow with strong integration options to build a consistent tightly integrated solution?

ANSWER: BPM applications currently in use at WSDOT are not necessarily tied to a document so this approach would possibly limit this sort of solution. If the vendors solution is capable of meeting all of the BPM requirements using this approach they are encouraged to respond to the BPM requirements and elaborate on their solutions abilities in this area.

DATA CAP

106. How many document types / indexing fields can the vendor expect?

ANSWER: WSDOT is currently processing several hundred document types into roughly 70 document management applications. Each application has an average of 10 metadata fields. This should really not be of concern to the vendor as the requirement is to provide a solution that is capable of having distinct applications built for each of the types of documents and meta data relationships required. The vendor will be not expected to do the actual implementation of each of these applications so the effort to do so is not part of their response.

107. What is the configuration of the scanning solution servers? Single box (or) distributed environment?

ANSWER: WSDOT's current scanning solution is server based with distributed clients.

108. Is scanner integration required?

ANSWER: Yes, to the extent necessary to drive the scanners with the capture solution and support intelligent document capture and processing. It is not required that the vendors software be embedded in the operating system of the scanners. Vendors should keep in mind that this RFP does not necessarily include the replacement of the current scanners at WSDOT.

109. Please specify the number of internal and external users who will be accessing the system.

ANSWER: 6,000 to 7,000 internal users.

110. Please clarify this requirement

Solution supports the automated importing of documents using an index file with pointers to documents.

ANSWER: Many of the ECM solutions on the market support a method of importing documents using a control file that contains a list of the fields and meta data for documents and a pointer to the file. Typically this is used for bulk importing of documents but can also be used by any other input device that is capable of outputting the files in this format. Vendor is expected to provide information on their proposed solutions ability to meet this requirement.

111. Please clarify this requirement

Solution supports Single Sign-On (SSO) functionality. Both Datacap and BPM should work on Single-Sign-On?

ANSWER: Single Sign On (Windows Integrated Security/Pass-thru Authentication) means that the user logs onto their PC and then their logged on credentials are used to access the Capture, Document Management, and Workflow applications without requiring an additional login.

BPM

Please clarify the following requirements.

112. Client provides ability to display the document being indexed in a preview pane during the indexing process.

ANSWER: Simply means that the user is able to view the document during the capture process so that any manually extracted meta data fields can be read and entered into the indexing client.

113. Solution provides Administrators with the ability to create static and dynamic searches using hidden fields, control lists, prompts, and joins with external data.

ANSWER: WSDOT requires the ability to create a predefined search that can be saved and made available to users of the system based on their security access. The solution should provide and interface for creating and managing these searches. The Saved Search interface should support a variety of features to enhance the available options for the searches being defined such as the following:

Hidden field (this is a field that the user does not see and can be a static value that acts as a filter for documents returned in the search results

Control Lists – A list of values that a user can select from that will then act as a filter for the search results.

Prompts – A field that the user can enter a value into that will then filter the search results.

Join with External Data – Allows the search to be used to search data from another table, in another database, and join that with meta data elements in the document management application.

Vendor is expected to provide information about their solutions Saved Search capabilities if it exists.

114. Solution provides ability to link disparate applications via equal values.

ANSWER: Typical ECM solutions allow a search across the meta data of a single application. We want the ability to create searches that span multiple applications.

115. Solution supports modification of applications to add or remove metadata fields after creation.

ANSWER: Once an application has been created with a meta data structure and content has been added WSDOT requires the ability to change the meta data structure of the application without dumping all the content.

116. Solution supports update of metadata values for multiple documents at the same time.

ANSWER: Just as it sounds, we want a method for selecting multiple documents in an application and update a meta data field for all of the selected documents. Vendor is expected to indicate if this is supported in the proposed solution as is, or via enhancement/customization, or some other means.

117. Solution provides ability to associate documents to other documents.

ANSWER: Vendor is expected to indicate if their proposed solution has a method for indicating that one document is somehow associated with another. Should indicate in the response how this is done and if it is possible how the associations of a document are viewed and modified.

118. System provides a single interface for the configuration and administration of all major system components (for example: application configuration, index value configuration, user groups and rights assignments, storage structure).

ANSWER: Vendor is expected to indicate the type of interface provided for system administrative tasks to do the items listed. These are typical tasks for an ECM solution so further explanation should not be required.

119. Solution allows for external events as triggers.

ANSWER: External events such as the arrival of an email in a specific mail box, or the creation of a document in a folder on a network drive. Vendor should indicate if their workflow can be setup to monitor these types of system events and if they can cause new or existing work items to move into the workflow.

120. Solution supports customizable user interfaces written in Microsoft .NET language(s) for the work (human) queues.

ANSWER: When a workflow item/process instance, is ready to be worked by a human some sort of interface needs to be provided to show the user the meta data of the item and possibly documents from the document management system and data from other sources. A workflow system typically allows for the association of a form with these work queues. In some cases these interfaces can be built in scripting languages such as HTML or ASP. WSDOT wants to know if the proposed solution will allow for these user interface forms to be built in a .Net language such as C#, ASP.Net, or Microsoft MVC.

121. BPM Integration - is it .Net/Java SDK API?

ANSWER: Vendor is encourage to provide details on how applications can be integrated into the proposed BPM solution. Examples of this would be when events in a workflow are fired options could be available to make calls to interfaces that are extensible using either a provided language or a have the option of using multiple languages. Also, most, if not all, BPM functions should be available via an external application programming interface. For example if I want a process to create an instance of a workflow (process instance) and start it in a specific workflow/process I should be able to do this without using a vendor user interface. So, programmatically log in to the system, create the workflow instance, populate the meta data fields, and start it in the workflow would be a typical scenario. Another common scenario would be to get a list of all the work items that a user has access to that meet a set of criteria.

GENERAL

122. What is your current hardware structure?

ANSWER: The current platform at WSDOT uses Microsoft Windows based servers and Microsoft SQL databases. The ECM server foot print, including a Development, Quality Assurance, and two Production environments, as well as 11 remote scanning environments, is hosted on approximately 40 servers. The servers range from low end older servers for Dev to Blade Servers and VM Servers for QA and Production environments.

123. How many software licenses is the DOT looking to purchase?

ANSWER: Enough to allow the 6,000 to 7,000 user access to document management and workflow systems with a peak concurrent usage of no more than 2,000 users. For the capture software a maximum concurrent usage of 100 should suffice for current needs with modest growth in this area.

124. How many hours of on-site work will be required?

ANSWER: The on-site work requirements will be dependent on the length of time it takes to get the solution installed, configured, and trained to the point where WSDOT is able to take over administration of the system. The details of this engagement will be worked out in the contracting process once a vendor has been selected. It is expected that the vendor will have a significant onsite presence during the initial phase of the implementation of this project.

125. Would Oracle IPN conversion be required?

ANSWER: Yes, WSDOT will be converting its existing application from Oracle IPM to the new solution. The vendor will be responsible for ensuring that the solution supports all the features necessary for WSDOT to do this. The vendor is encouraged to provide details on any utilities or experience they may have in doing a conversion from Oracle IPM.

126. Is WSDOT currently implementing any IBM FileNet products? If so, could you please specify?

ANSWER: No

127. Will WSDOT accept an electronic signature?

ANSWER: Not sure what this is referring to. However WSDOT does not accept electronic signature on official documents submitted as part of the Response.

128. Can we propose optional solutions or services?

ANSWER: Vendors are encouraged to respond to the requirements of the RFP. If an alternative solution can be used to meet the requirements they should be indicated in the appropriate section of the response. A response that does not address the requirements will not pass the administrative review and will not have further consideration.

129. We understand that the RFP required solution will include the ECM software (SW), SW installation, and ECM training. No Professional Services are in scope for design, implementation, workflow development, testing, or conversion. Please validate that our understanding is accurate.

ANSWER: This is correct, the only actual implementation work that would be in the scope of this RFP is that work necessary to validate the functionality of the solution. The vendor will not be responsible for the full implementation of workflows, only ensure that the solution supports the workflow requirements necessary for WSDOT to implement their workflows. A pilot project may be negotiated as part of the contracting process once a solution is selected.

130. How many people may be accessing the Workflow system concurrently?

ANSWER: Estimated high concurrent workflow users should not exceed 2,000 and is more likely under 1,000. Normal concurrency will typically not exceed 200.

131. How many ECM "Super Users" would you like to have trained?

ANSWER: The vendor is expected to be responsible for training the administrative staff at WSDOT (10 people at most).

132. How many direct licenses do you require?

ANSWER: If solution uses a Named User license then 6,000 to 7,000 will be required.

133. How many concurrent licenses do you require?

ANSWER: There are 6,000 to 7,000 users that will be using Document Management and Workflow and the Capture software will be installed on up to 500 stations. Concurrency on the capture should not exceed 100 users and for the Document Management and Workflow a max concurrent user estimate would be 2,000 users although that will rarely be the case and a normal max is probably under 1,000. We have no method currently for monitoring the max concurrent users on the existing system.

134. **Concurrency Level of Users**

Request you to please provide clarity about the total number of users and the concurrent users who will use the workflow management and document management system.

ANSWER: There are 6,000 to 7,000 users that will be using Document Management and Workflow and the Capture software will be installed on up to 500 stations. Concurrency on the capture should not exceed 100 users and for the Document Management and Workflow a max concurrent user estimate would be 2,000 users although that will rarely be the case and a normal max is probably under 1,000. We have no method currently for monitoring the max concurrent users on the existing system.

135. **Integration with other systems**

Is there any third party/existing application with which the proposed system needs to be integrated. If Yes please provide the details & the no of applications to be integrated as a part of current project scope.

ANSWER: Actual integration on this solution will not be conducted within the scope of this project. The Vendor is required to provide details on how integration with their solution is accommodated. Training on doing this integration would be expected as part of the installation and training scope of the project. WSDOT will do the actual integration. Vendor is expected to support the SDK/API calls necessary to make integrations possible.

136. Scanning Solution

Since scanning is one the key requirement of current project scope, so request you to please provide clarity about the number of scanning locations from where the scanning needs to be performed.

ANSWER: Support for approximately 100 concurrent scanning stations, located across the state of Washington, should be included.

137. Backlog Scanning Volume

Is backlog scanning part of the current project scope? If Yes, please provide the clarity about the backlog volume which needs to be scanned as part of the current project scope.

ANSWER: Backlog scanning is ongoing at WSDOT but this is outside the scope of this RFP. Scanning is, and will be, conducted by WSDOT.

138. Workflow Management System

Request you to please provide the clarity about the number/details of department specific workflows which need to be automated as part of current project scope.

ANSWER: WSDOT currently has approximately 25 workflows that will be migrated. However, the actual work of migrating these workflows is not within the scope of this RFP. Vendors are encouraged to expound upon the training that will be provided as part of the installation of their product and if they would include the migration of one of the existing workflows as part of the training/evaluation of their product.

139. Source Code

As Washington State is looking for a COTS solution, hence we understand that source code of the project specific customization will be required by Washington State. If in case Washington State, DoT requires the source code of the complete COTS product the it may be provided through ESCROW account. Please confirm.

ANSWER: Yes, if required, the use of an ESCROW account for the holding of the COTS source would be acceptable.

140. Disaster Recovery

Is Disaster Recovery site also part of the current project scope?. Please clarify.

ANSWER: No, it is not specified in this RFP. Vendor is encouraged to expound upon the policy for supporting a Disaster Recovery site, especially in the area of license requirements and support for the replication of data between a main site and a DR site.

141. Implementation Timeline

Is there any timeline the department has for implementation of this project?

ANSWER: According to Section 2, Schedule, the contract is to start around May 12th. Beyond the start of the contract an implementation time line has not been defined. The length of the contract is stated to be 1 year from the signing of a contract. The actual length of interaction between WSDOT Technical Staff and the providers staff will depend solely on the time it takes to get the solution installed, trained and tested to the level that will be defined in the contract between WSDOT and the solution provider.

142. **Availability** Request you to please provide clarity on the uptime of the proposed solution.

ANSWER: System up time is expected to be 24X7 except for maintenance windows not to exceed 30 minutes daily during non operational hours. Coordinated downtimes for patching and upgrades are expected as well.

143. **Training**

Request you to please provide the clarity about the number of users to be trained as a part of the current project scope.

ANSWER: Previously answered in the first round of questions, number 51. The vendor is expected to be responsible for training the administrative staff at WSDOT (10 people at most). End User Training is not within the scope of this RFP. Available training that is offered by the vendor should be outlined in the appropriate section.

144. **About hardware & system software**

Is hardware and system software (operating system and database) needs to be supplied by the vendor or it will be provided by department, and is not to be costed in the vendor's proposal. Please confirm

ANSWER: Hardware and operating systems need not be costed in the vendor's proposal as long as there are not special requirements. WSDOT will provide standard windows based servers and the operating systems. Provided the database backend is supported on Microsoft SQL server the databases will be provided by WSDOT as well.

145. **Support & Maintenance**

Please provide the clarity about the Support & Maintenance period as a part of current project scope

ANSWER: Vendors are to provide WSDOT their policies on Support and Maintenance. This RFP is for the purchasing of a solution and the subsequent support of that solution. The period of this contract is clearly stated in Section 1.5 Contract Term.

146. **Migration**

As migration is part of the current project scope. So request you to please provide the clarity about the volume/no of document to be migrated form existing system to proposed system.

ANSWER: Migration is only in the scope as the ability of the solution to support it. Actual migration of the content is not within the scope of this RFP. As long as the solution provides the ability to import the content then this requirement is satisfied. Vendors are encouraged to expound upon the performance characteristics of their solutions abilities in this area so that comparisons between solutions can be made and the higher score given to those that best satisfy this requirement.

147. **Migration**

In which format the data will be available to be migrated from existing system to proposed system. Please clarify.

ANSWER: Actual migration of the content is outside the scope of this RFP. The solution is required to provide the ability to import the content using a text file that contains the Meta Data fields and a pointer to the documents. If a vendor has utilities and experience doing migrations they are encouraged to provide that information as part of their response to this requirement. WSDOT will be responsible for using the provided solution interfaces to actually conduct the migration.

148. **Data from external Sources**

Searching across multiple document classifications, including data from external sources. So please provide the list of repositories from where data needs to be searched and also let us know whether the legal hold on the electronic data will also be required as a functionality in this module?

ANSWER: We do not have a list of repositories that will be used for external search. It is expected that the solution for this will support connecting to ODBC compliant data sources. Vendors are encouraged to expound upon their solutions ability to conduct external search and the types of repositories that they will be supporting. Records Management functionality has very little to do with external search. RM will not be responsible for managing any external data, only the content within the Document Management solution itself.

149. For the Enterprise Content Management and Records Management, Is WSDOT looking for compliance with DOD 5015.02 and CMIS.

ANSWER: DOD 5015.02 compliance is not a requirement of this RFP or of WSDOT ECM.

150. Based on our experience, the scanning, workflows and Content Management has different usage groups. Is there a categorization in WSDOT for the no of users who will be using scanning stations, Workflows Processing and Content Management.

Any information on user concurrency.

ANSWER: There are 6,000 to 7,000 users that will be using Document Management and Workflow and the Capture software will be installed on up to 500 stations. Concurrency on the capture should not exceed 100 users and for the Document Management and Workflow a max concurrent user estimate would be 2,000 users although that will rarely be the case and a normal max is probably under 1,000. We have no method currently for monitoring the max concurrent users on the existing system.

151. With respect to the Business Process Management and Reporting requirements, we assume that WSDOT is looking for configurable (User driven - No Coding) and not customizable (Coding/Development) interfaces for workflow designing and report creation. Is this assumption right as per the above definition of Configuration vs Customization.

ANSWER: WSDOT is expecting to have both options, configurable by the user to an extent and then expanded through customization if necessary. Vendor should elaborate on their BPM solutions ability to meet both of these scenarios.

152. Can you also provide some existing systems with which the system needs to integrate in future.

For Scanning, we provide components which would allow document quality analysis to ensure that documents are scanned with a minimum quality requirements. Will this be a value add to WSDOT ?

ANSWER: Integration with other in-house built applications and other vendor based applications will be built to hook into the Document Management solution. Vendors are encouraged to provide information on how this sort of integration is accomplished with their proposed solutions. A component in the scanning process that ensures scan quality would not only be of use but is expected as part of any scan solution that is proposed.

153. We believe that Mobile is transforming the operations in various counties and states. Are you also looking for mobile based capture and support for document access and workflow access on mobile ?

ANSWER: It is not a specific requirement for this RFP but vendors are encouraged to provide details on how their solution can be used to enhance WSDOT's use of ECM solutions. The product demonstration phase will allow for demonstration of these capabilities.

154. Is the department also planning to provide public access to the solution in near future ?

ANSWER: No