

**Proposal 21693  
Enterprise Content Management Solution  
Questions and Responses Set 2**

	<b>Questions</b>		<b>Responses</b>
1	Can the Iowa DOT provide a Word RFP Document?	1	We only supply a PDF version.
2	Can the software manufacturer provide the software and hosting infrastructure response, and a preferred Iowa-based partner provide implementation and training response?	2	Using sub-contractors is encouraged per the RFP, but there must only be one response from the company whom will be the contract holder.
3	Who is the CME Group referenced in Section 3.4 of the RFP?	3	Northrop Grumman e.Power CME.
4	What technology is currently in use for the web portal?	4	Portals are currently a part of the CME architecture: IIS, .Net Framework, HTML5 viewer.
5	Is the replacement of your capture (scanning) environment in scope?	5	Yes.
6	Please describe responsibilities of the chosen vendor relating to ongoing largescale document conversion and scanning.	6	See question set 1 response 36.
7	Please define 'interfaces' – those that exist between ERMS and other business applications? What do these interfaces do?	7	See question set 1 response 26.
8	FORTS replacement – what technology is currently in use in this custom application?	8	Windows form application, .Net Framework, VB.Net, SQL backend.
9	Is there a due date for each project phase(s)? Is there a compelling event and/or date for project completion?	9	No. No event, cost would be a factor.
10	What file formats (with extensions), number of content items and document size are stored within the current ERMS?	10	See question set 1 response 47.
11	What is the purpose of Exhibit 3.6 within the RFP (Training by Business Unit)? Is this to let responders know how many potential users there are for the new system?	11	Responders must be responsible for developing training materials tailored to Iowa DOT business processes and the exhibit provides the number of users by business unit.
12	Iowa DOT describes using EAI for integrations - what technology set is used today for integrations, if any?	12	Responder must design and implement all Enterprise Application Integration (EAI) requirements using Web Services to the extent possible.
13	GEN-031, GEN-032 - Would an executive summary of 3rd party penetration test suffice?	13	Yes. Successful responder and DOT will determine the validity of the tester, testing methodology, report format and mitigation efforts related to findings.
14	GEN-033, GEN-034 - Would FOIA request form be available to individuals external to the DOT?	14	Yes.
15	NS-034 - What forms of transportation would be used to send encrypted packages? (email, disk, external drives)	15	Depends on the solution offered. Online transport preferred.
16	WBPM-024 - What instant-message solution is in place at IDOT?	16	Skype for Business.
17	MM-026 - Can you provide more information around the need for multiple distributed metadata repositories?	17	The business case is to transform, transact and share metadata across systems without the need to align or re-enter any data manually.
18	LS-033 - How often is the ECM solution interacted with? How long would you need to maintain these logs?	18	24/7/365 as an example, viewer transactions only, may exceed 20,000 daily. For the retention lifecycle of the record(s) impacted.
19	GENERAL - Would a database backups need to be maintained? Would there need to be a full backup and how many backups would need to be maintained?	19	Yes. Oracle Data Guard is in place for real time redundancy for 1 instance. Two instances have: Incremental database backups occur daily, full database backups weekly, full database backup monthly with 12 month retention.
20	Are expectations to update/refactor the current CME Group API (Application Program Interface) or build new solution?	20	Depends on the solution.
21	What is the current Fax management software or are faxes received via the MFP devices?	21	Escher Fax 5.0.
22	Do all users need the ability to Annotate, Watermark, Redact, Stamp, Overlay documents or just specific internal Users	22	Yes, all users.

23	What Document types need to be enabled for overlays, annotations, watermarks, signatures, and redaction? Do all documents need to be able to support these features or just a specific subset of document types from specific sources and if so what are those?	23	All documents need to be able to support these features.
24	Can the umbrella limit cover / assist with the Worker's Compensation / Employers' Liability Limit of \$500,000?	24	An umbrella policy is not allowed to achieve minimum coverage amounts required by Iowa DOT. Iowa DOT must be insured by a primary policy for the specified insurance minimums.
25	Total # of ERMS instances is 3?	25	Yes
26	Total number of documents to be migrated 124.4 Million?	26	The current system contains over 124 million records.
27	Do we have document versions in current ERMS system if yes does 124.4 million represent total number of electronic files to be migrated or this number can go higher. If versions persist what will be the average number of versions per document?	27	See 3.2 The current system contains over 124 million records. The legacy system will remain on line during conversion.
28	Total number of associated metadata is 2.7 billion records in Oracle database?	28	Yes.
29	What is the version of Oracle database?	29	Oracle v11.2.0.4 or v12.2.0.1
30	What does current storage estimate represent storage for documents or storage for metadata or both?	30	See 3.4.1 See 3.4.1.1
31	How many different document types per business division (by document type we mean documents with the set of the same metadata)?	31	See AI-016
32	What is the average number of properties per document type?	32	See question set 1 response 48.
33	Documents are stored on the regular Windows server and documents are encrypted?	33	Windows file server system on VMware hosts. Isilon NAS is used for near line storage.
34	What type of encryption is applied and if OT doesn't have a decryption mechanism will customer provide decryption utility?	34	A decryption key will be provided.
35	What is the data quality for both documents and metadata low high?	35	Reassessment of metadata and record classification is in scope.
36	If data cleansing is required any examples will be appreciated.	36	Reassessment of metadata and record classification is in scope.
37	Any specific requirement around project documentation. Should we follow any specific to DOT standards if yes would be nice to know what is it?	37	The selected vendor will utilize the DOT established project management templates when feasible, which follows a typical project methodology.
38	Will customer prefer OT to run end to end migration or OT will implement a smallest business division where customer will shadow and then implement the rest using internal resources?	38	OT End to end solution is the scope.
39	If customer is leaning towards execution migration using internal resources what type of support will be required from OT?	39	The successful Responder must provide a comprehensive Statement of Work (SOW) describing a fully hosted ECM solution, including all phases, stages, and deliverables from design to implementation to operational support.
40	What is the percentage of the total document migration should be executed in Testing environment before sign off to production (5, 10, 50, 100)?	40	Evaluation would be based on the merits of the proposal.
41	How close is Testing environment to Production from hardware perspective?	41	In the current environment, Test hardware emulates production hardware although test hardware is less robust having fewer CPU's, less RAM, etc.
42	Can work be performed remotely or it has to be on site?	42	Evaluation would be based on the merits of the proposal.
43	What type of security clearance will be required for consultants?	43	see 3.9.7.2 <a href="https://ocio.iowa.gov/policies">https://ocio.iowa.gov/policies</a>
44	Section 3.6.1.4 Data Conversion / Appendix 1, GEN-011 - Regarding data migration, please answer the following: 1. What is the estimated number of documents stored in the existing ERMS systems (MV, EP, & HR)? 2. Does the e.Power system store documents on the file system external to the database or as binary data internal to the database? 3. Does the e.Power database contain document file path information that can be used to locate the documents on the file system? 4. Does the e.Power system provide an API that can be used to programmatically export documents and index data? 5. Does the e.Power system store COLD documents?	44	1. The current system contains over 124 million records. 2. Yes 3. Yes 4. No 5. No COLD documents in the system.

45	In regards to the integration requirements with the interfaces as outlined in section 3.4.1.3 exhibit 3-2 (155 interfaces) and section 3.6.1.3 exhibit 3-4 (15 interfaces), how many total interfaces require integrations with the new system? Is the total interface for integrations 155, 15, or 170?	45	See AI-016
46	Section 3.4.1.3 Interface Counts (By Business Area), exhibit 3-2, please clarify what types of integrations are required and supported for each interface, such as: 1. Integration Type=Exchange Data Files Only, where: a. The new system creates a data file and sends to a network share for the interface to load; how many? b. The interface creates a data file and sends to a network share for the new system to load; how many? 2. Integration Type=View Images Only from link/URL, where: a. The user is able to view the images from the new system directly from the interface; how many? 3. Integration Type=One-way Direct Integration via Web services; where: a. The new system integrates directly with the interface to pass data; how many? b. The interface integrates directly with the new system to obtain data; how many? 4. Integration Type=Two-way Direct Integration via Web Services; where: a. The new system integrates directly with the interface to send and receive data; how many?	46	Would vary based on Responder's proposal.
47	Appendix 1, LS-039, Version Control, please provide a use case example for clarification of the following requirement: "Support ability to choose delta versioning over full-copy retention; as an option, if/when configured to do so ECM solution should be able to store only the actual changes made to a given version of a content item, rather than storing a full copy of the new version"	47	Use case is to reduce duplication of base layer imagery for eaach successive version kept in the ECM.
48	Appendix 1, RS-006 - 008, Please provide a use case example for clarification of the following requirement: 1. "Support ability for an administrator or authorized user to be able to create file plans using standard features: a. without the need to create custom code or scripts, and b. without the need for knowledge of, or access to, the implementation details of the ECM and the data structures supporting it" 2. "Support ability for file plan scripting to accommodate nonstandard features and processes." 3. "Support file plan hierarchy and inheritance, definable as derivatives or extensions of existing file plans"	48	1.a. Wizard or template concept  1.b. Functions of managing plan items to not be dependent on scripting or knowledge of the ECM data structure  2. Feature set to allow scripting for advanced functionality and automation of processes  3. Establishing a hierarchical structure of elements through relational logical groupings (parent child relationship, family id) etc.
49	LS-026 - Can you explain? Are you referring to OLE Links? Are the links absolute?	49	Linking within documents must be maintained. All link types e.g. OLE, hyperlink, embedded links in PDFs, file attachments, etc. Links may be explicit or implicit.
50	LS-028 - Can you give a use case so I can understand?	50	See Database referential integrity; relationships between objects must be consistent so that the system is secure and auditable.
51	LS-036 - Are you looking for an XML/SGML publishing tool? Are you currently using one?	51	Evaluation would be based on the merits of the proposal. No specific SGML tool in use currently.
52	LS-038 - Are you looking for management of documents in multiple languages or are you asking about translation services?	52	Both
53	RS-008 - Can you define file plan? Is it a logical folder taxonomy, records classification, permissioning?	53	A generally accepted recordkeeping principle framework. A file plan is a comprehensive outline including but not limited to: documents, record series, file organization, locations, access, retention and record disposition.
54	RS-016 - Can you define the multiple uses of records? Is a record an object or container under records management, "any record (singular object or container?) must be able to contain multiple record (?) sets"	54	A record may be either a container or an object and may be cross referenced to other containers or other objects.

55	RS-033 - Can you give a use case of metadata linking?	55	Linking of metadata between systems is to align data objects and allow for exchange of information and document retrieval between systems.
56	CEC-022 - Are you using a fax tool (like RightFax?) if so what tool, if not are you looking for us to provide one?	56	Esker Fax 5.0
57	MM-020 - What is the source of the managed vocabulary to be imported? Can you further explain your definition of managed vocabulary and how you envision using it with the solution?	57	Solution provided with the ability to add vocabulary lists of accepted terms using system controls. To facilitate the standardizing of information for cross system interoperability.
58	MM-022 - When you mention vocabularies, are you looking for lookups when entertaining metadata values for synonyms when searching?	58	Standardized vocabulary and thesaurus to be used in all aspects of the ECM not limited to: document and metadata storage, to improve accuracy of information transfer, to improve information sharing between systems and to improve accuracy and performance of document retrieval.
59	NS-016 - What repositories need to be searched and do all of them support open standards?	59	All repositories containing records. Unknown.
60	AI-014 - Are you looking for integration with ESRI? If so can you state the use case?	60	Yes, see 3.4.1
61	CCC-006 - Can you define the document type formats expected to be integrated and exported?	61	Primary image formats are: PDF, TIF and JPG. Detailed counts not available. Other formats include but not limited to: TIF, JPG, JP2K, PDF, DOC, DOCX, PPT, PNG, GIF, XLS, XLSX, PSD, ZIP, DBF, VOB, MP3, MP4. Support range of native file formats (minimally Microsoft Office Suite, PDF, DOCX, PPTX, XLSX, RTF, TXT, HTM, ODT, ESRI (GIS), MicroStation CAD, etc.)
62	CCC-021 - Barcode formats. Should the format be Code 39 instead of 29?	62	Code 39.