

Delaware Department of Transportation  
**QUESTIONS AND ANSWERS**  
**Enterprise Document Management System**  
**1615 Request for Proposal**  
**Monday, May 21, 2012**

| Q # | Question   | Answer   |
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| 96  | This questions was proposed at the Preproposal Meeting held on 05/10/2012. What is the database structure for Falcon?  | Oracle.  |
| 95  | This questions was proposed at the Preproposal Meeting held on 05/10/2012. What vendor supports Falcon?  | TSA Advet - <a href="http://www.tsa.advet.com/product/products.shtml">http://www.tsa.advet.com/product/products.shtml</a>  |
| 94  | Have you seen a solution that you wrote this RFP for specifically?   | No.  |
| 93  | Will we have to buy that product and rewrite code in order to qualify? We have a state-of-the-art solution and it is proprietary.  | See response to question 14.   |
| 92  | Do you have a fax server installed in-house.   | Not at this time.  |
| 91  | In order to properly design security measures, what are the DMS Content service application activities involved for external users.  | Security will be role based for internal and external users.   |
| 90  | I have ample references and experience in the commercial sector (satisfy 6.6.8), but am just entering the public sector and hence have no experience there (non-satisfy 6.6.2). Will my proposal be considered by you? | We are asking that you supply information regarding your experience with state and local government, but it is not a requirement to participate, thus your firm would not be excluded. |
| 89  | While the Q&A covers volume of documents relating to DocStar and Falcon, we would also need the Volume and nature of documents in other files and folder hierarchies stored in hard drives.                            | See response to question 15.   |
| 88  | While the Q&A covers volume of documents relating to DocStar and Falcon, we would also need the Volume and nature of documents in Paperflow.   | Document format is TIFF, have documents for over 6,280 projects. Estimate average number of documents per project at 10, giving a high level estimate of 60,280 documents.             |
| 87  | Are you anticipating any additions to the current interfacing systems or changes in the systems (Primavera, Trns*port, ESRI GIS, PeopleSoft Financials) in the foreseeable future?                                     | Applications are kept current with releases and patches. Changes in the systems may be required.   |
| 86  | Refence section 3.5, is there a procedure to address contractual terms prior to bidding? If so, what is it?  | Issues with regard to contractual terms will be addressed following selection of vendor for this solution.   |

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| 85  | During the bidder's conference it was mentioned that there is was a policy on off-shore / on-shore requirements. He said it was on the DTI website, but I have not been able to find it. Could you please send it or a link?   | <a href="http://dti.delaware.gov/pdfs/pp/OffshoreITStaffingPolicy.pdf">http://dti.delaware.gov/pdfs/pp/OffshoreITStaffingPolicy.pdf</a>   |
| 84  | What is the support expected from vendors during User Acceptance Testing (UAT) Phase? What are the Roles and Responsibilities of business users during this phase?   | Details as to roles and responsibilities for all phases of the project will be defined upon vendor selection.   |
| 83  | Please provide a list of testing tools (Test Management, Defect Management, Automation, etc ) used by DOT. Does DOT have any tool preferences?   | No specific tools in use at this time. The Department does not have a preference.   |
| 82  | What is the Disaster Recovery <u>RPO</u> (Recovery Point Objective) for the proposed solution?   | Our standard is one day (24 hours).   |
| 81  | What is the Disaster Recovery <u>RTO</u> (Recovery Time Objective) for the proposed solution?  | System should be restored within 24 hours.  |
| 80  | Please clarify the role of Technology Support Services and the service provider with regards to the provisioning of the hardware break fix maintenance support services for the proposed solution.   | Hardware is responsibility of the Department as stated in the RFP, section 5.11.  |
| 79  | Please clarify the role of Technology Support Services and the service provider with regards to the provisioning of the RDBMS maintenance support services for the proposed solution.  | The Department maintains and supports RDBMS as long as it is not proprietary.   |
| 78  | Please clarify the role of Technology Support Services and the service provider with regards to the provisioning of the OS maintenance support services for the proposed solution.   | As stated in section 5.11.1, the Department will provide the operating system as well as support of the system.   |
| 77  | Please clarify the role of Technology Support Services and the service provider with regards to the provisioning of the monitoring solution to ensure critical thresholds are monitored for the proposed solution. Also, please clarify what tools are currently being used.                     | The vendor shall identify what resources and thresholds to monitor and the solution shall be easily integrated with readily available monitoring tools.   |
| 76  | Please clarify the role of Technology Support Services and the service provider with regards to the provisioning of the backup / restoration solution to ensure appropriate backup policies are implemented for the proposed solution. Also, please clarify what tools are currently being used. | The Department will work with the vendor. The vendor shall identify directories, sources of data, etc. The Department utilizes Backup EXEC as the tool. The solution shall either be able to use Backup Exec or provide for integration with Backup Exec. |

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| 75  | Please clarify the role of Technology Support Services and the service provider with regards to the provisioning of the LAN/WAN configuration to ensure appropriate security measures are implemented for the proposed solution.  | The Department will be responsible for LAN/WAN configuration with the vendor to provide detailed requirements in the system architecture.  |
| 74  | Please clarify the role of Technology Support Services and the service provider with regards to the installing of the COTS software (for Document Management System) required for the proposed solution in the DC / DR locations. | The Department will install the COTS software with support from the vendor as needed.  |
| 73  | Please clarify the role of Technology Support Services and the service provider with regards to the installing of OS, RDBMS software required for the proposed solution in the DC / DR locations.                                 | As stated in section 5.11.1, the Department will provide the operating system. Installation of the OS and RDBMS is done by the Department.   |
| 72  | Please clarify the role of Technology Support Services and the service provider with regards to the provisioning of hardware devices into the allocated space in the DC / DR location.  | As stated in section 5.11.1, the Department will provide all hardware.   |
| 71  | Please clarify the role of Technology Support Services and the service provider with regards to the procurement of <u>software</u> required for the solution.   | Yes software is to be part of the solution and maintenance and support of the software is to be part of the proposal from the service provider.  |
| 70  | Please clarify the role of Technology Support Services and the service provider with regards to the procurement of <u>hardware</u> required for the solution.   | As stated in section 5.11.1, the Department will provide all hardware. As stated in the RFP, the vendor is provide the requirements for the hardware to support the solution.  |
| 69  | If the response to the previous question is yes, is the service provider expected to provide the hardware-related sizing and pricing along with AMC for 3/ 5/ 7 years as suggested by the Pricing form?                           | Not applicable.  |
| 68  | Referencing paragraph 5.11.1, is the service provider expected to provide all the hardware required for the proposed solution?  | The Department will purchase required hardware.  |
| 67  | Regarding your document retention policy, can you describe how documents are classified and the policy / length of retention that applies to each classification?   | There are various retention periods depending upon the document category. The retention periods range from one year to permanent. The physical documents for permanent retention are sent to the State Archives. The proposed solution should define how the system handles various retention periods. |

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| 66  | In the RFP, it is mentioned that existing documents have to be converted to a specific format. Can you describe the format to which these documents must be converted? We understand following documents are to be converted: TIF, JPG, DGN, DOC, XLS, TXT, and PDF. | What was stated is that the various types of documents exist in folders on the Department network and we want to have the documents searchable / retrievable by the system. If this functionality requirement means that the documents must be converted in order to extract meta data, then vendor should provide that information. The preference is that during a client session the solution will automatically launch the appropriate viewing application. If documents require conversion the desire is for the documents to be converted only once and not every time the document is viewed. |
| 65  | How many workflows are in each division? Can you describe the complexity of these workflows?   | The workflows are standard workflows found at any Department of Transportation. Vendor should anticipate that the workflows will run the gamut from simple to highly complex.  |
| 64  | Except for the application mentioned in the RFP, are there any other applications that will interact with the Document Management System application?  | Other applications may interface in the future. As stated in the RFP, the plan is to implement the solution in a phased approach, both by division as well as by functionality.  |
| 63  | Please confirm whether thin client means web browser in the following context: "The information shall be retrieved, updated, or interfaced using web services as well as a thin client."   | Yes.   |
| 62  | Is user personalization in the scope of the current solution?  | No , however if proposed solution provides this please describe in proposal.   |
| 61  | Is user registration in the scope of the current solution?   | Yes.   |
| 60  | Web publishing is mentioned in the RFP however, Web Content Management-specific requirements are not provided. Could you please provide these requirements?  | The requirements include content creation functions, such as templating, workflow, and change management, and content deployment functions that deliver prepackaged or on-demand content to Web servers.   |
| 59  | Can we confirm that all content is stored onsite at DOT?   | All content resides at the Department.   |
| 58  | How much storage in GB is being used by the documents in Falcon and DocuStar?  | Falcon - 53 GB; DocStar - 131 GB   |
| 57  | If so – please identify which formats need to be converted and what they need to be converted to?  | Not applicable.  |

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| 56  | Can the documents in Falcon be passed through as is or do they need converted to another format?                                      | Documents are <b>not</b> in Falcon, the links to documents are. Document types, as stated in the RFP, are in .pdf, .dgn, .cal, and other standard formats. The vendor should identify if any of these types of documents require conversion in order to be viewed / accessed by the proposed solution. The preference is that during a client session the solution will automatically launch the appropriate viewing application. If documents require conversion the desire is for the documents to be converted only once and not every time the document is viewed. |
| 55  | Is it a single sign on solution?  | Yes, the solution provides identity and access management, which includes a single sign on component.  |
| 54  | Does it use LDAP or AD for authentication directory?  | The state's IAM solution, delivered via a suite of Oracle ID management products, uses an LDAP directory named OID which is stored in an Oracle database. This is the supported and preferred method of integration. The Oracle product suite can support connecting to other directory structures such as AD, but that has not been done or thoroughly explored to this point because the goal is to have the enterprise solution be a single sign-on solution with the majority of identities located in its own central repository when possible.                   |
| 53  | There are no details on the IAM in the referenced security policy standard – is it a commercially-procured product? If so, which one? | The referenced segment regarding IAM on page 18 of the State of Delaware Information Security Policy is actually the software suite from Oracle providing identity and access management (IAM) technologies.<br><a href="http://dti.delaware.gov/pdfs/pp/DelawareInformationSecurityPolicy.pdf">http://dti.delaware.gov/pdfs/pp/DelawareInformationSecurityPolicy.pdf</a>  |
| 52  | Which of these are expected to be integrated with the Document Management System?   | Trns*port PES and LAS modules should be considered in the proposal.  |
| 51  | Which modules of Trans*port is the State of Delaware DOT using?   | Trns•port Expedite – Electronic Bidding System - Used by the department and vendors to enter and load electronic bids.<br>Trns•port DSS – Decision Support System – Used for bid based estimation and collusion detection.<br>Trns•port CES – Cost Estimation Software – Used for developing estimates.<br>Trns•port PES – Proposal and Estimates System – Used for developing projects and proposals.<br>Trns•port LAS – Letting and Awards System – Used for managing lettings, vendors, and DBEs.   |

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| 50  | Which modules are expected to be integrated within PeopleSoft Financials?   | The accounts payable module.   |
| 49  | Are you using the Quality Control module?   | We will need more information on what is this in reference to.   |
| 48  | Are there database lookups or validations?  | We will need more information on what is this in reference to.   |
| 47  | Bar code integration?   | The RFP requests Bar Code capability.  |
| 46  | Are you using OCR? Zonal indexing?  | The RFP requests OCR capability. We would need clarification on what is meant by zonal indexing.   |
| 45  | Which features of Paperflow is the DOT using?   | The only feature being used at this time is to retrieve documents. No new documents are being scanned into Paperflow.  |
| 44  | What versions of Falcon, DocStar, and Paperflow are you using?  | See response to Q39.   |
| 43  | What is the total number of users expected to have access to the system (named users with accounts / roles created in the directory)?   | See response to Q21.   |
| 42  | The Q&A response states approximately 100 concurrent users. What are the total numbers of potential users as identified by Active Directory (AD) / named users that may access the system?.   | Total number of potential users is not available at this time.   |
| 41  | Will Delaware Department of Transportation consider a Cloud Solution or is it the intent to have a DOT on premise Enterprise Document Management System?  | Solution is to be on premise.  |
| 40  | Have they been maintained and have updated/current maintenance?   | The systems are maintained. Will be updated to current versions in the next month or so.   |
| 39  | What are the version/release numbers of the systems?  | Falcon: The current version is 6.5.9.1 with an update to take place in the next month or so to version 7.1.<br>DocStar: The current version is 3.8. We anticipate updating in the near future. |
| 38  | In the latest Q&A response, an answer would be forthcoming..... We wish to ask a similar question in that are only these vendors or their value added resellers allowed to participate in this solicitation or will the DOT entertain other software vendors and their suppliers who provide leading edge technologies and are industry recognized organizations? | See response to Question 14.   |

| Q #                           | Question  | Answer   |
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| 37                            | Is it possible to send us a Microsoft Word version of the subject RFP?  | This document is only available for distribution only in PDF format.   |
| 36                            | Does this Image Management standard prohibit our ability to offer a complete solution to those Department in the State?   | See response to question 14.   |
| 35                            | Wouldn't you want the State of Delaware to have the advantage of understanding their capabilities to provide a solution?  | See response to question 14.   |
| 34                            | How can you limit prospective bidders to bid only specific products without a true stated standard?   | The State of Delaware Document Imaging Standard is the State's standard for the full range of requirements from basic document imaging (Basic Tier) to complex enterprise document management (Advanced Tier). |
| <b>Thursday, May 10, 2012</b> |   |  |
| 33                            | Would you consider a solution that doesn't do everything outlined, if it was more cost effective?   | No.  |
| 32                            | Do you use any EMC Storage products?  | No.  |
| 31                            | Can you estimate the budget for this solution?  | That information not available.  |
| 30                            | Are you looking for an enterprise nature solution?  | Yes. Please see the RFP for additional details.  |
| 29                            | If so, were they involved in the bid design?  | N/A  |
| 28                            | Is there an incumbent product already running?  | No.  |
| 27                            | Will DDOT only be selecting a document management solution that is currently has a current component rating of "standard" as deemed by the Delaware State-Wide Information Technology and Architecture Standards?   | See response to Question 14.   |
| 26                            | Will DDOT only consider a system than can meet all the requirements in the functional and technical worksheet or would you still consider a system that could meet the majority of the rest of the requirements in that worksheet? For instance, will you consider a document management solution for the document management portion and a content management solution to handle the content management portion? | See response to Question 14.   |

| Q #                           | Question  | Answer  |
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| 25                            | Is a Performance Bond required with submission of the proposal or it is possible to obtain this after contract award?   | The performance bond is due after selection and is required prior to or with the signing of the contract.   |
| 24                            | The DTI required standard technologies that will be considered for a document management system are: EMC Documentum; IBM Filenet; Hyland OnBase; and Oracle Content Management...”. Does that exclude others from bidding?  | See response to Question 14.  |
| <b>Friday, April 27, 2012</b> |   |   |
| 23                            | Is the State planning to organize a pre bid or a pre proposal conference? I did not find anything in the RFP, so wanted to make sure.   | No, there is no bidder's conference anticipated. (See response to Question 1). <b>**UPDATE: A preproposal conference has been scheduled for Thursday, May 10, 2012 at the DelDOT Admin Bldg.</b>  |
| 22                            | On another note, can we set up a meeting to come down and speak with you and some of the users to understand what their vision is for the system and ask some other questions?  | No individual meeting with firms may be scheduled during an active solicitation phase.  |
| 21A                           | Also if you could let me know how many users would be doing anything with drawings and those type of documents that would be good as well.  | For drawings, the file types are mostly .cal, with some .tif and some .dgn files. The engineers typically create the drawings with modifications (comments as part of the review process) occurring in the support sections (survey, utilities, right of way review, etc.). Number of users that create plans (drawings) approx. 80 staff in addition to plans / drawings received from external sources. |
| 21                            | I do not see the number of users for either the scanning and capture solution as well as the document management system. Do you have a count on the users for both of these and what level user would they be? Casual or view only, heavy or someone who puts content in and makes modifications or admins? | We currently estimate 100 concurrent users for the system. A specific count of type of user has not been determined. At this time would use 20% would be heavy users with the remaining being casual users. (Please see responses to questions 10 and 16).  |
| 20                            | The Systems Architecture Standard Link did not work on the site dti.delaware.gov/information/standards-policies.shtml. Could we please be sent this page?   | Please send an email to: <a href="mailto:sysarch@lists.state.de.us">sysarch@lists.state.de.us</a> and you will receive an email with the standard attached.   |



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| 19  | In the Purpose paragraph section 1.1, it says "The system shall be implemented across the Department in a phased approach by Division and a phased approach as it relates to functionality of the system."a. Assuming each division has different needs and documents, more information is needed about each of their needs to accurately create a project plan that would include the separate rollout of each division. Can we get more detail on the requirements of each division, and possibly the order in which they would be rolled out? | Divisional requirement details are not available at this time. The types of documents (formats) are the same throughout the Department (.pdf, .xls, .doc, etc). There are variances in workflows and in additional indices required for the documents across the divisions.The order of the divisions should not have an impact on the project schedule. We may decide to implement the scanning / indexing functionality with a division (or two) first, and then incorporate the workflow functionality in the pilot division(s). Then begin adding subsequent divisions. The actual order that we implement will be decided once we have made a selection and have a clear understanding of what is required to implement the solution. |
| 18A | Are you looking to just put documents accessible by the public on a public web site or are you looking to actually manage all the pages of a DOT website?  | Please see the response to Question 18.  |
| 18  | The RFP itself does not really mention Web Content Management, yet the Appendix B: Functional Requirements part 1 all revolves around web content creation and management.a. Is the DOT looking for a Web Content Management and an Enterprise Content Management solution?  | While document management is a key part of the solution we are looking for, Content management (Web and Enterprise) functionality is ultimately what we want to utilize.   |
| 17  | Design files are mentioned as a type of file required to manage. What format are the design files?   | Formats are .cal, .dgn, .tif - see more details under question 15 - Falcon.  |
| 16A | Mandatory in Appendix B: Functional Requirements: Are you really requesting no additional charge for workflow licenses?  | Our preference is not have separate license costs for workflow. If that is how your system licensing is set up, that will not remove your proposal from consideration.   |
| 16  | How many total user licenses are required?Do you want named licenses or concurrent licenses?   | The expectation is for 100 concurrent licenses at this time. For more detailed answer see response to question #3.   |
| 15C | Is there a line-of-business application that can be accessed for the indexes?  | No.  |
| 15B | This would include the number of documents just on departmental share drives as well and not in a document management system?What type of indexing is required for these documents?  | Document indices can vary by division and by document type.  |
| 15A | Can the repositories be exported to a share drive (or can we get access to the drive where the documents are) and database be exported to a CSV file with pointers to docs?  | The information can be exported however this is not an option as part of the proposal process. The expectation is that any conversion of information would occur on-site at Department's office.   |

| Q # | Question  | Answer   |
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| 15  | It is very difficult to estimate the conversion services without more information about each application that requires ingestion into the new system. (i.e., Storage Architecture, Database used for indexes, Format of documents, Number of Documents , Number of Document types, Number of indexes per document). | <p>Falcon system- 80% CAL image files 15% other image files (TIF, JPG, etc.) 5% of other file formats (DGN, DOC, XLS, TXT, ect.) at this time.</p> <p>The files are on the hard drive of a server. There are no files actually stored in the database...the database stores links to the files. There are approx 180,000 document links.</p> <p>DocStar system</p> <p>In DocStar we have over 280,000 documents and over 2,200,000 pages. We have a number of different document templates in use. Indices per document can vary from as few as 3 to 8 or more.</p> <p>In electronic format (pdf, doc, xls, etc.) stored out on shared drives.</p> <p>We have several thousand documents across multiple folders. Percentages by document type are not available at this time. If document type has impact on conversion estimate then provide estimate by document type. Existing paper documents are not part of requested conversion proposal from vendors.</p> <p>These documents are not indexed other than folder / sub-folder breakdowns.</p> |
| 14  | Section 5.1, General Requirements states "The DTI required standard technologies that will be considered for a document management system are: EMC Documentum, IBM FileNet, Hyland OnBase, and Oracle Content Management...". Does that exclude my firm, an HP Company from bidding?                                | The standard that is in place does not preclude others from submitting bids to an RFP. The standard indicates which products are viewed acceptable by the State as the framework to any chosen solution.   |
| 13  | Will there be a bidders' conference?  | No, there is no bidder's conference anticipated. (See response to Question 1)<br><b>**UPDATE: A preproposal conference has been scheduled for Thursday,</b>  |
| 12B | Do we need to do anything to let you know that we are bidding on this RFP?  | You do not need to let us know you intend to bid, although we are making notification available in the RFP. You do need to check the website frequently to view any changes that are made prior to the due date.   |
| 12A | FileNet is one of the standards for the State of Delaware, what other systems do you have in place and where are they being used within the state?  | This solicitation is for the Department of Transportation, and we have no systems beyond what is identified in the RFP.  |

| Q # | Question   | Answer   |
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| 12  | Do we need to be a state registered contractor to bid on this project and do work with the State of Delaware?  | There is no required registration to bid on the contract. If selected, you will be required to obtain a Delaware business license.   |
| 11  | Has the DOT reviewed any solutions or have had any presentations from prospective bidders prior to the release of this RFP?  | No.  |
| 10  | How many named and concurrent user licenses are required for the proposed solution?  | Please provide costs for named as well as concurrent licenses. If there are discounts based on number of licenses, indicate the break points as well as what the discounts are.  |
| 9   | Does the DOT need scanning stations? If so, how many? Are these stations to be located at one location or multiple locations?  | Scanner hardware will be purchased by DelDOT. The scanning will occur in locations throughout the State in the various DelDOT offices.   |
| 8   | How many training sessions are to be conducted? Would the training be in one location or multiple locations?   | Provide estimate for train the trainer approach. Number of training sessions has not been defined at this time. Provide an estimate for training based on days of training and number of attendees. Training will be in one location.  |
| 7   | RFP states the vendor to perform data conversion. Can you provide information around "volume of the existing data in terms of number of documents, percentage of the documents in what format, how old are these documents etc"? | The RFP requests a proposal for the conversion of existing data. In DocStar we have over 280,000 documents and over 2,200,000 pages. In electronic format (pdf, doc, xls, etc.) stored out on shared drives, we have several thousand documents. Percentages by document type are not available. If document type has impact on conversion estimate then provide estimate by document type. Existing paper documents are not part of requested conversion proposal from vendors. |
| 6   | RFP states "The proposed solution must use state's IAM service". Can you provide additional details?   | Details regarding the State's security policy can be found at: <a href="http://dti.delaware.gov/pdfs/pp/DelawareInformationSecurityPolicy.pdf">http://dti.delaware.gov/pdfs/pp/DelawareInformationSecurityPolicy.pdf</a>   |
| 5   | Can the DOT remove the performance bond requirement for this RFP?  | No.  |

| Q # | Question  | Answer  |
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| 4   | RFP states "the contract can be terminated any time". Can DOT consider adding 30 day notice period for contract termination?  | No.   |
| 3   | How many users (concurrent, etc.) will there be?  | Number of concurrent users, at this time would estimate a minimum of 100 users (scanning / viewing) across all of DeIDOT.                                       |
| 2   | Primavera, Trns*port, ESRI GIS, and PeopleSoft Financials were all listed as interfaces. Do we have to show, or is it required, that we have integrated with those systems in the past? | It is not required that you have interfaced with the systems in the past.   |
| 1   | Is the State planning to organize a pre bid or a pre proposal conference? I did not find anything in the RFP, so wanted to make sure.   | No, there is no bidder's conference anticipated. <b>**UPDATE: A bidder's conference has been scheduled for Thursday, May 10, 2012 at the DeIDOT Admin Bldg.</b> |