

**STATE OF NEW YORK  
OFFICE OF THE ATTORNEY GENERAL (OAG)**



**Request for Information (RFI)  
for  
Filenet Document Scanning and Records Disposition (FDS/RD)**

**Issue Date: August 22, 2014  
Response Due Date: September 10, 2014**

THIS IS A REQUEST FOR INFORMATION (RFI) ONLY. This RFI is issued solely for information and planning purposes, it does not constitute a Request for Proposal (RFP) or a promise to issue an RFP in the future. This request for information does not commit the OAG to contract for any service whatsoever. Further, the OAG is not at this time seeking proposals and will not accept unsolicited proposals. Vendors are advised that OAG will not pay for any information or administrative costs incurred in response to this RFI; all costs associated with responding to this RFI will be solely at the interested party's expense. Not responding to this RFI does not preclude participation in any future RFP, if any is issued. If a solicitation is released, it will be synopsised on the New York State Contract Reporter website and the OAG website. It is the responsibility of the potential bidders to monitor these sites for additional information pertaining to this requirement.

**Issued By:**

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## **1.0 Background**

As head of the Office of the Attorney General, the Attorney General (OAG) is both the “People’s Lawyer” and the State’s chief legal officer. The New York State Attorney General serves as one of the four statewide officials elected by popular vote.

As the “People’s Lawyer”, the Attorney General serves as the chief guardian of the legal rights of the citizens of New York, its businesses and its natural resources. In his/her role as the State’s chief legal counsel, the Attorney General is responsible for supervising the State government’s legal affairs. The Attorney General not only advises the Executive branch of State government, but also prosecutes and defends all actions and proceedings on behalf of, and against, the State.

The Attorney General services all New Yorkers in the numerous matters affecting their daily lives. The Attorney General’s Office is charged with myriad statutory and common law duties and has concomitant enforcement powers. The Attorney General protects consumers and investors against fraud, protects the public health and the environment against polluters, enforces State civil rights laws, and works to ensure the rights of wage earners and businesses across the State are not unlawfully abridged.

The Attorney General also commences certain statewide criminal prosecutions, and directs the activities and investigations of the Organized Crime Task Force and Medicaid Fraud Control Unit. The Medicaid Fraud Control Unit investigates and prosecutes criminal actions emanating from nursing homes, hospitals and the Medicaid system in New York State. While the Attorney General acts independently of the Governor, there are cases in which the Governor may direct the Attorney General to undertake specific criminal investigations and prosecutions. The New York State Office of the Attorney General has locations in every major population area in the State, with approximately thirty-three (33) offices from Buffalo to Stony Brook.

## **2.0 Purpose of the Request for Information**

The Office of the Attorney General seeks a document scanning and records disposition solution for the Charities Bureau. The Charities Bureau oversees the largest non-profit sector in the United States, with more than 80,000 organizations employing over 1.2 million people. Charitable organizations holding assets or soliciting in New York and professional fundraisers must register and file financial reports and contract related information annually. The Bureau receives over 150,000 filing related documents and \$6.5 million in fees each year.

## **3.0 Scope**

The Charities Bureau receives by mail over 150,000 filings annually and 45 different document types. The majority of the filing volume is the CHAR500 Annual Filing for Charitable Organizations, which may include the NY Charities Bureau Form CHAR500, IRS Form 990/EZ/PF, IRS Form Schedule B (Schedule of Contributors), Certified Public Accountant Audit or Review, and related fees.

Upon receipt of filings in the mail, the Charities Bureau initiates a workflow to process fees, sort the documents by type, generate barcoded coversheets, and bundle the documents for imaging. The documents are picked up by the contracted vendor at the Charities Bureau location of 120 Broadway New York, New York. The vendor proceeds with scanning and exception handling processes. The resulting images and data tables are transmitted to the Office of the Attorney General via FTP and uploaded into the document management system based on IBM FileNet 5.1.

Once documents are uploaded to the document management system, they are filed or progress through an evaluation workflow process. The resulting database of filings is relied upon not only by this office but by other State and City agencies, donor organizations, and by the charities

themselves as a demonstration of their commitment to transparency and compliance. Registrations and annual financial filings of charitable organizations are made public on our Charities Registry located at [www.CharitiesNYS.com](http://www.CharitiesNYS.com).

The Charities Bureau requires a solution to capture document images in PDF format accurately, timely, and consistently given seasonal volume fluctuations. The Charities Bureau receives confidential documents as part of the CHAR500 annual filing and exception handling for document type is a critical process component. Sample public record documents can be viewed in the Charities Registry at [www.CharitiesNYS.com](http://www.CharitiesNYS.com).

#### **4.0 Workflow Objectives:**

- Regularly scheduled pickup of documents at 120 Broadway, New York, NY 10271
- Accurate review of documents with demonstrated internal controls
- Exception identification and handling
- Timely processing of material from pickup to scan to transmission
- Data transmission to the Office of the Attorney General
- Storage of hardcopy original documentation with option of retrieval
- Certified destruction on approval

#### **5.0 Document Volume Estimate:**

- 10 to 25 boxes (10Hx12Wx15D) per week
- 50 boxes per month
- 140,000 images (excluding blank pages) per month
- Standard document size: 8 ½ x 11

#### **6.0 Questions**

Questions regarding this announcement shall be directed to the following email address: [purchase@ag.ny.gov](mailto:purchase@ag.ny.gov) with a subject line of RFI Question(s) for FDS/RD. Verbal questions will NOT be accepted. All questions should be received by the close of business on August 29, 2014. A Purchase Memorandum answering all questions will be posted by September 3, 2014 on the following website: <http://www.ag.ny.gov/budget-fiscal/procurement>.

#### **7.0 Responses**

The OAG is interested in responses from vendors who currently operate a comprehensive document scanning and records disposition organization only.

Responses should be no longer than twenty-five (25) pages and submitted to the email address as indicated in 6.0 of this RFI with a subject of RFI Response for FDS/RD. Electronic responses preferred in either Microsoft Word or Adobe Acrobat formats. Written responses will be accepted, if electronic submission is not possible. Please be advised that all submissions become OAG property and will not be returned.

Responses should address, at a minimum, the following:

##### **Company Information**

- Introduce your organization. Provide contact name(s) and contact information for questions the OAG may have regarding your company's response to this RFI.

##### **Technical Information**

- Briefly summarize the scope of products and services that your company provides as it relates to the scope of this RFI.
- Describe your company's exception and error handling.

- Describe your company's risk abatement.
- Identify the degree of manual handling vs. automation.
- Document pickup scheduling.
- Describe and or list common problems that your company has experienced in the course of data transmission.
- Describe your company's document retention.
- Briefly describe your document destruction process.

#### Pricing Information

Provide best estimated price range and methodology and estimated unit prices for typical requests for the following services:

- **Group 4 TIFF (black and white)**
  1. Undersize
  2. Letter (8 ½ x 11)
  3. Legal (8 ½ x 14)
  4. Oversize (> legal)
  5. Film (all types)
  6. Electronic files (e-mail, etc.)
- **LZW TIFF (Color)**
  1. Undersize
  2. Letter (8 ½ x 11)
  3. Legal (8 ½ x 14)
  4. Oversize (> legal)
  5. Electronic files (e-mail, etc.)
- **Scanning PDF**
  1. Undersize
  2. Letter (8 ½ x 11)
  3. Legal (8 ½ x 14)
  4. Oversize (> legal)
  5. Film (all types)
  6. Electronic files (e-mail, etc.)
- **Miscellaneous Scanning**
  1. OCR
  2. Baseline Coding
  3. CD Creation
  4. Bates Labeling
- **Pick-Up of Documents from requesting office:**
  1. Per box, inclusive of all costs related to service
- **Certified Document Destruction Services**
  1. Per box, inclusive of all costs related to service

Vendors are encouraged to submit additional information (i.e. brochures and print flyers) regarding your products, services and solutions to meet the scope of work as you understand it.