

Virginia529 College Savings Plan
Responses to vendor questions
Enterprise Document Management
RFP VA529-16-01

User what operating systems are the database and application servers running on?

Linux 6, Windows 2012

Under what operating system(s) do user clients access the application?

Windows 7, Windows 10

Does the customer intend to perform the file and data extraction or will Vendor be responsible for this activity? If the customer intends to perform the extraction this would include generation of character-separated-value (CSV) files containing document metadata and a path to the associated file to import.

Customer can extract data and provide index of internal ID and metadata.

Please describe any known API(s) available to extract files and metadata from the Vendor system. Provide corresponding reference material if possible.

There is an Oracle database view that describes exact location of all existing documents.

Do the document files reside on the file system or are they embedded as binary data (BLOBS) within the database?

File system

Do the document files reside on traditional magnetic storage such as a hard drive/NAS/SAN? If other, see additional questions below.

NAS

If traditional magnetic storage, please provide the amount of document storage space currently in use.

1.2TB

If non-traditional magnetic storage is information stored on an optical or tape storage device such as an optical jukebox, content-addressed storage such as a Centera device, or other?

N/A

If optical or tape storage, please provide the name and version of the hierarchal storage management (HSM) software that manages the environment as well as the make, model, and quantity of drives or tapes.

N/A

If other, please explain in detail.

N/A

What database and version contains the index values to be converted? (e.g. SQL Server, Oracle, MS Access, Sybase, DB2, proprietary, text file).

Oracle 11.2.0.4

How much space on the file system is taken up by the current database (GB, TB, etc)?

Image take 1.2TB database index records 200MB

Is the path to the file referenced in the database along with all related metadata? If so, please ensure an example of this is included with the sample indexing data which is most commonly provided as a DB backup.

Yes

Approximately how many DCIP files are present in your current file store?

N/A

What is the approximate number of pages per document?

N/A

What is the expected monthly growth of images leading up to the conversion? If the conversion will be phased, please provide the monthly growth of images per process or department.

7500 Documents per month.

Will documents continue to be captured into the current system during or after conversion extraction begins?

TBD

What are the file formats of the documents to be converted (e.g. TIFF, JPG, DOC, XLS, JPG)?

TIFF

How many different departments will be included in this conversion? Please list the departments. If multiphase conversion, please provide the departments that will be contained within each phase.

FINANCE OPS, FINANCE ACCT, EXECUTIVE/LEGAL, ITO, ADMINISTRATION, COMPLIANCE, and HUMAN RESOURCES

Approximately how many different document classes would need to be converted for each department?

Currently we have 20 document type across all divisions.

If more than one department/indexing structure needs to be considered, what is the volume of documents per department/indexing structure?

Other departments are not currently indexing documents, but would be in scope during implementation. Some examples of what other departments may index to are:

- HR indexing employee documents to HRIS system once it is in place. This would be indexed to unique employee ID and searchable by employee demographic information like name, phone, id.
- Accounts payable may index to both a unique vendor ID.
- Legal/Executive may index based on contract information.
- Compliance may index based on incident ID, Banner ID, or another identifier.

What is the average number of properties you would expect to be applied to documents? If multiple indexing structures will be included please indicate this by indexing structure.

For Banner we would index by a single internal ID and reference the other properties by what is in the current database. Other functions are yet to be determined.

Do any annotations or redactions need to be considered with this conversion?

There may be current annotations. The annotations are part of the tiff images.

If annotations or redactions need to be considered, please describe the current types of annotations being used and what departments they are being used in.

Stamps, Highlights, text, lines, arrows, sticky notes.

Are the majority of annotations text-based or are location-specific image-based annotations such as highlights or arrows also relevant?

Most are location based.

Is version control being leveraged in the current system? If so, does version history need to be maintained in the destination system?

No

Are there COLD / ERM documents to be converted? If so, please additionally provide samples of stored reports. Also, please provide information about number of report templates, number of overlays, template / overlay versions, etc.

No

If COLD documents are to be converted please provide total COLD volume (total GB).

N/A

Have proprietary eForms been created for any document, departments or classes within any existing proprietary system? If so, for which departments or document classes do these apply?

N/A

If applicable, approximately how many eForm templates have been created for any existing proprietary system documents?

N/A

How are documents stored today in Banner? Are they stored in an Oracle Database? Or on a File Server?

1,668,480
File Server

If the solution does not have “Common Criteria Certification” or “Sarbanes-Oxley” compliance but can demonstrate equivalent compliance controls, can it still be selected through this RFP process?

Yes it could still be selected.

Are VA 529’s MFC printers TWAIN-compliant?

We have a mix of MFC printers and other scanning devices. Some are TWAIN compliant and some are not. Most direct connect scanning devices are twain compliant. The MFC scanners are networked and configured to scan to network shares on our storage array.

Please define what it means for the system to “work with our NetApp storage system”

We would like the system to use NetApp as the primary storage device. If the system can integrate or be aware of the NetApp Snap Manager technology for redundancy that would be considered working with our NetApp storage system as well. If the proposed system requires a proprietary storage device that is not NetApp it may not be considered to work with our NetApp storage system.

Is storage system the primary filestore? Or Disaster Recovery?

NetApp storage arrays are used as our primary and DR storage devices. They are constantly replicated between our primary location and our DR location.

What is the use case for Function 5: Support for attaching OLE objects and URLs as annotations?

A use case may be for accounts payable to annotate a URL to a vendor web site on an invoice or to annotate an internal URL that would provide access to the actual contract document to review before processing payment.

Who will have access to COLD/Enterprise Reports?

Designated agents of the agency.

Please explain the use case for an eForm Thick Client? When is it preferable to a thin client?

One use case for eforms may be to support work flow processing by allowing structured entry of information for the downstream workflow stations to process. If this can only be done with a thick client then it would be preferable to not being able to do it at all. If a thin client can perform the same task as well then it may be more preferable.

How many documents will be loaded initially?

1,668,480 Documents Approximately 1.2TB adding 7500 per month.

How many new documents will be added each year?

90,000+

How many revisions will a document have in its lifetime on average?

Unknown

How many (peak) concurrent users will be performing check ins (adding and editing documents)?

Approximately 60.

How many total users will be in the system?

Approximately 110

Will any batch ingestion methods (Batchloader mass import utility, WebDAV (integration with desktop applications like MS Office), drag and drop in folders) be used regularly in operation?

Yes

What is the average size (kilobytes) of documents being stored?

Currently they are less than 1MB. We are hoping to expand to more than just TIFF type documents and we expect that to cause this average to grow.

What file formats will be stored? (provide file extensions)

TIFF, DOCX, XLSX, PDF, HTML, XML, EMAIL, JPG, PNG and others, if needed.

Will content need to be converted to HTML?

NO

Will content need to be converted to PDF?

NO

Will content need to be converted to XML?

NO

Of all documents managed, what percent need to be full-text indexed?

Undetermined

What is the maximum expected number of concurrent production users that would be performing searches, accessing document information (metadata), or viewing documents?

80-100

Will you be using workflow for routing and approval? If so, how many workflows do you envision?

Yes > 30

The RFP mentions integration of proposed solution with business applications “without programming”. Could you elaborate on how you see this integration working?

Can the system be integrated to look at existing databases key records using database connections that do not require programming? What types of API's can be leveraged to access documents based on information from our applications?

Could you elaborate on your business system “Banner College Savings Program application”? Is it an Oracle Packaged application (EBS, Siebel, PeopleSoft, JD Edwards) or in house developed application on Oracle Platform?

This is an Oracle Application based on the Ellucian Banner system with customizations. It uses Oracle forms, Oracle RDBMS, and Oracle Pro-C.

What is the current configuration of your directory and SSO services?

Microsoft Active Directory

What is the estimated volumes by document type group (scanned images, Computer output, office docs, etc.) including peak, average and growth rate?

The current system contains documents that are scanned or received from fax. The current Volume is 7,500 documents per month. All files are of TIFF type. The peak was 13,358 for a single month (September). Current growth rate is flat.

What are the retention requirements for each of the above document type groups?

The Retention and Disposition Schedule is currently being updated and finalized. The requirements will vary based on document type and the account closing date, for example the retention policy for the above documents may be 10 years past the account closing date.

How many existing scanning devices? What is the make/model for them?

We currently have:

- 2 – Fujitsu workgroup scanners.
- 6 – Konica-Minolta bizHub MFC stations on lease.

Could you provide information about – (All volume requests would be for Avg, peak, and growth on a monthly basis?)

a) different form types

Currently 20 form type.

b) estimated volumes for each form type

- ACH 28,910 total
- Address Change: 24,206 total
- Application: 24,206 total
- Cancellation: 11,185 total
- Change Beneficiary: 6,709 total
- Change of Contributor: 11,379 total
- Distribution Request: 202,581 total
- Intent to Enroll: 61,580 total
- High school Transcript: 49 total
- Information Designee: 50,829 total
- Letters: 28,049 total
- Purchaser Acceptance: 138,141 total
- Payroll Deduction Form: 2,952 total
- Legacy Images: 188,264 total
- Power of Attorney: 2,141 total
- Return Mail: 40,688 total
- Rollover Request: 185,420 total
- School Invoices: 632 total
- Other: 7,582 total
- Capital One Link Form: 16 total
- Student Verification: 13,013 total

c) estimated monthly volume for each

ACH 17.3/Month
Address Change: 237.0/Month
Application: 81.8/Month
Cancellation: 82.5/Month
Change Beneficiary: 41.0/Month
Change of Contributor: 96.50/Month
Distribution Request: 1485.92/Month
Intent to Enroll: 327.25/Month
High school Transcript: .42/Month
Information Designee: 534.75/Month
Letters: 211.17/Month
Purchaser Acceptance: 1491.5/Month
Payroll Deduction Form: 50.41/Month
Legacy Images: 0/Month
Power of Attorney: 24.58/Month
Return Mail: 1156.42/Month
Rollover Request: 1509.50/Month
School Invoices: 124.42/Month
Other: 13.58/Month
Capital One Link Form: 0/Month
Student Verification: 0/Month

d) number of different document types (EX. how many invoice vendors)

20 Document types