



Questions and Answers

FERC Document Management System RFP Specification No. PI24-0143F

All interested parties had the opportunity to submit questions in writing by email to Brittany Riolo, Senior Buyer by date questions were due. The answers to the questions received are provided below and posted to the City's website at www.TacomaPurchasing.org. Navigate to [Current Contracting Opportunities / Services Solicitations](#), and then click *Questions and Answers* for this Specification. This information IS NOT considered an addendum. Respondents should consider this information when submitting their proposals.

- 1. Question:** With next week having a national holiday, it is a heavy vacation week. Can we ask for an extension ? another week ? this is a tight turnaround.

Answer: Please see Addendum No. 1 for a revised schedule.

- 2. Question:** For accessing Document Management Software, how many users will need full rights (upload, edit cases) and how many will need read-only rights (only view the cases or participate in workflow process)?

Answer: The estimated number of users is 15 The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

- 3. Question:** Is the City's preference more towards Cloud based Document Management System or On-Premises Document Management System?

Answer: Tacoma is interested in a secure solution and is open to either option. The long-term goal of the City is to move to cloud, however we are not that far along in the process. FERC does not have an on-prem versus cloud requirement.

- 4. Question:** Do you have a budget already available for this project? If yes, what is the maximum budget you are planning to spend on this project?

Answer: Please see the Estimate on Page 2 (Request For Proposals Page) in the RFP.

- 5. Question:** Has the City seen demonstrations of any Document Management System? If yes, what is the name of the solution and vendor which provided the demonstration?

Answer: The City is aware of multiple solutions in the market and has explored our options. The intent of this RFP is to evaluate document management solutions that fulfill all the requirements identified. Any information from previously reviewed solutions will not be scored as part of this selection.

- 6. Question:** Is there any expected timeframe within which you would like this system to go-live?

Answer: Please see section 11.5 in the RFP. A tentative milestone schedule is displayed.



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7. **Question:** Can you please provide us a pricing format to enable us to give you pricing as per your requirement? or shall we prepare it ourselves?

Answer: Please see sections 11.6 and Appendix A in the RFP.

8. **Question:** Will physical records be scanned and stored in the system as part of the project scope?

Answer: Tacoma will scan the physical documents that are identified within the scope of this project in advance. The project scope includes 1 year of physical documents scanned and uploaded into the DMS for one of the City's hydro projects. The remaining physical documents will be scanned and uploaded outside the scope of this project. If there are scanning tools available in the respondent's solution, please use section FR13 to describe.

9. **Question:** How many of physical records exist? Avg. page count of those records?

Answer: This answer is related to the scope of this project – which is a subset of the physical documents Tacoma has, which goes back 100 years. The solution needs to be robust enough to store multiples of tens of thousands of physical documents in the solution. Tacoma has many physical records that are in the process of being scanned. The scope is to have 1 full year of records scanned and tagged with metadata before migration to the new DMS. There could be approximately 10,000 pages included in 500 documents. A specific document could contain up to 1,600 pages.

The number of physical documents within that year has yet to be determined.

10. **Question:** Section 2--What does "Vendor Configuration" mean?

Answer: Vendor Configuration refers to the process by which the selected vendor customizes and sets up the document management system (DMS) to meet the specific needs and requirements of Tacoma Power. This would include establishing separate libraries/workflows for the two groups utilizing the system.

11. **Question:** FR10--Please define the "analytics" expected on documents versus reports stated in the same requirement?

Answer: Analytics and reporting capabilities in the selected DMS tool will empower Tacoma to monitor document status, track percent complete, analyze usage trends, ensure compliance, and make informed decisions based on real-time data. Below are some desired use cases associated with analytics and reporting.

Document status tracking:

- Real-time visibility into the status of documents



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- Tracks lifecycle stages of documents such as creation, review, approval, and archiving
- Displays access history of documents
- Versioning
- Document ownership

Analytics Dashboard:

- Graphical representations (charts, graphs) of document-related metrics such as document count, document categories, document status, items assigned to me, etc.

Reporting:

- Predefined report templates for common document management metrics
- Enables customization of reports to tailor them to specific organizational needs
- Supports scheduled and ad-hoc reporting options
- Audit trail and compliance reporting
 - Document ownership
 - Versioning
- Reporting on user access levels and permissions granted for sensitive documents

12. Question: For existing documents in the source system participating in document chaining, how many attributes will have to be mapped when those documents are brought over to the new system?

Answer: Tacoma is working to define standards for metadata/document attributes. The average is approximately 15. Unsure what the reference is to document chaining, as the preference is to chain based on relationships versus metadata.

13. Question: How many end users of the DMS system will there be?

Answer: The estimated number of users is 15 The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

14. Question: How many users will actively participate in the workflows for managing and publishing documents in the DMS?

Answer: The estimated number of users is 15 The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

15. Question: FR05--Is there a specific format you want search results exported into?

Answer: There is not a specific format required. Tacoma would like the ability to export all search results and share them with other platform users with links to the documents. This will be helpful for public disclosure requests and internal search requests.



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16. Question: What are the main pain points with your existing system you expect the new application to resolve?

Answer: Tacoma does not have a formal existing solution.

17. Question: Is there any customized functionality in your existing system which must be part of the new system implementation.

Answer: No

18. Question: What external applications will need access to system?

Answer: See Technical Requirements section 3, subsection D1 titled system integration.

19. Question: Please describe the roles in your existing content management system.

Answer: Tacoma does not currently have a document management system – all documents are dispersed between network drives, SharePoint folders, and hard copies in multiple locations. See Technical Requirements section 3, subsection FR25 for the required role-based access descriptions.

20. Question: Please describe the folder structure in your existing content management system.

Answer: Tacoma does not have a formal DMS. We are currently using file explorer that is organized based on location/feature and date.

21. Question: How many business units / departments will be using the new system?

Answer: Initially, two distinct workgroups will use the system, with potential interest from other areas within the organization. These workgroups have unique document types requiring multiple libraries with separate workflows and access controls. Scalability of the solution is being assessed to accommodate future adoption by additional workgroups and departments.

22. Question: Do you have a Records Management Policy and approved Records Retention Schedule? Are there any additional regulatory requirements specific to your industry that the DMS must comply with? How often do regulatory changes occur that might impact document management practices?

Answer: The Tacoma Power Dam Safety and Natural Resources team follow part 125 of the Code of Federal Regulations (eCFRs). The compliance regulations are subject to change, however are governed by FERC. Linked below:

[eCFR :: 18 CFR Part 125 -- Preservation of Records of Public Utilities and Licensees](#)



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23. Question: Do you use legal holds today?

Answer: Yes

24. Question: Do you use workflows in the current system? If yes, please describe them. What are the typical approval workflows for documents within your organization? Are there any specific approval or review processes that need to be automated?

Answer: No – Tacoma does not have a DMS or workflows defined. A process will be created and defined once the solution is selected.

25. Question: What types of reporting requirements do you have for the new system implementation?

Answer: Analytics and reporting capabilities in the selected DMS tool will empower Tacoma to monitor document status, track percent complete, analyze usage trends, ensure compliance, and make informed decisions based on real-time data. Below are some desired use cases associated with analytics and reporting.

Document status tracking:

- Real-time visibility into the status of documents
- Tracks lifecycle stages of documents such as creation, review, approval, and archiving
- Displays access history of documents

Analytics Dashboard:

- Graphical representations (charts, graphs) of document-related metrics such as document count, document categories, document status, items assigned to me, etc.

Reporting:

- Predefined report templates for common document management metrics
- Enables customization of reports to tailor them to specific organizational needs
- Supports scheduled and ad-hoc reporting options
- Audit trail and compliance reporting
- Reporting on user access levels and permissions granted for sensitive documents

26. Question: What is the total number of documents stored in the current content systems to be migrated to the new system implementation?

Answer: This answer is related to the scope of this project – which is a subset of the physical documents Tacoma has, which goes back 100 years. The solution needs to be robust enough to store multiples of tens of thousands of physical documents in the solution.



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Tacoma has many physical records that are in the process of being scanned. The scope is to have 1 full year of records scanned and tagged with metadata before migration to the new DMS. There could be approximately 10,000 pages included in 500 documents. A specific document could contain up to 1,600 pages.

The number of physical documents within that year has yet to be determined.

27. Question: Do the documents to be migrated have Versions – Y/N?

Answer: No

28. Question: What is the average document size or the overall size of all the documents?

Answer: This answer is related to the scope of this project – which is a subset of the physical documents Tacoma has, which goes back 100 years. The solution needs to be robust enough to store multiples of tens of thousands of physical documents in the solution. Tacoma has many physical records that are in the process of being scanned. The scope is to have 1 full year of records scanned and tagged with metadata before migration to the new DMS. There could be approximately 10,000 pages included in 500 documents. A specific document could contain up to 1,600 pages.

The number of physical documents within that year has yet to be determined.

29. Question: What is the total number of document types (e.g., manuals, diagrams, hotel plans, etc.). Please list out all the document types.

Answer: Tacoma estimates between 10-20 document types.

30. Question: What is the average number of properties (metadata) per document type?

Answer: Tacoma is working to define standards for metadata/document attributes. The average is approximately 15. Unsure what the reference is to document chaining, as the preference is to chain from relationships versus metadata.

31. Question: Do you have any special documentation requirements vendor needs to adhere to?

Answer: Tacoma is unsure what this question means.

32. Question: Do you have any special approval processes that need to be adhered to?

Answer: There are workflow approval processes that vary per department.

33. Question: What tools do you use for testing and test planning?

Answer: See section 4.2 in the RFP. Tacoma is requiring that the firm/vendor performs functional testing, user interface testing, security testing, performance testing,



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browser/mobile compatibility testing and will also provide test scripts and scenarios to Tacoma for user acceptance testing.

34. Question: Please describe your project implementation methodology.

Answer: Please see section 11.5 in the RFP. We are asking each respondent to provide their project implementation methodology. Tacoma Power has worked in both Agile and Waterfall and can adapt.

35. Question: How many full-users do you envision using the system?

Answer: The estimated number of users is 15 The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

36. Question: How many users will be participating in workflows?

Answer: The estimated number of users is 15 The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

37. Question: How many users would require read-only access?

Answer: The estimated number of users is 15 The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

38. Question: Will any of the stored content need to be accessed by the public?

Answer: No – this is an internal tool only and is considered sensitive data that needs to be protected.

39. Question: Do you currently have data stored in an older DMS? If so which one and how much data?

Answer: No

40. Question: Would a cloud solution be acceptable or is “on-premise” required?

Answer: A secure SaaS cloud solution will be considered. Please see Addendum No. 1.

41. Question: Are there any existing Microsoft 365 licenses in place? Please mention exact count of O365/M365 G1, O365/M365 G3 and O365/M365 G5 licenses where relevant?

Answer: All Tacoma employees have G5 Microsoft licenses.



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42. Question: How many users are using existing file shares?

Answer: The estimated number of users is 15. The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

43. Question: What is the Total Number of File Shares?

Answer: Files are currently stored on approximately 5 network drives and SharePoint sites.

44. Question: Please mention the approximate total size of data that needs to be migrated?

Answer: This answer is related to the scope of this project – which is a subset of the physical documents Tacoma has, which goes back 100 years. The solution needs to be robust enough to store multiples of tens of thousands of physical documents in the solution.

Tacoma has many physical records that are in the process of being scanned. The scope is to have 1 full year of records scanned and tagged with metadata before migration to the new DMS. There could be approximately 10,000 pages included in 500 documents. A specific document could contain up to 1,600 pages.

The number and size of physical documents within that year have yet to be determined.

45. Question: Does the city need assistance in user rollout? Explain any Group Policy or User-specific requirements.

Answer: Please refer to section 4.3 in the RFP.

46. Question: In the “2. Minimum Requirements” section the team lists, 9. Vendor Provided Data Migration Tool. Are you able to provide additional detail on where documents will be migrated from and the amount of data that will be transferred into the system? For example, “Convert from network files, 200gb of data”.

Answer: This answer is related to the scope of this project – which is a subset of the physical documents Tacoma has, which goes back 100 years. The solution needs to be robust enough to store multiples of tens of thousands of physical documents in the solution.

Tacoma has many physical records that are in the process of being scanned. The scope is to have 1 full year of records scanned and tagged with metadata before migration to the new DMS. There could be approximately 10,000 pages included in 500 documents. A specific document could contain up to 1,600 pages.

The number and size of physical documents within that year have yet to be determined.

47. Question: In section 11.5, there is a tentative milestone schedule that lists “Document Scanning”. The way that the schedule reads, it appears that document scanning will happen in advance of the Document Management Software implementation. Can you please confirm that



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is the intention, then the files will eventually be migrated into the document management software? Our software allows users to scan content directly into the system, so I'm just trying to understand if we'll be importing after the fact or assisting with setting up scanning profiles to scan/store right away as part of the professional service break-out.

Answer: Tacoma is trying to get ahead of schedule by scanning in advance, however there will be additional documents to be scanned and imported during the project. Tacoma's process will be determined by the selected vendor's solution capabilities.

48. Question: What is the legacy product (product, manufacturer, version) with the document data requiring migration?

Answer: Tacoma Power does not have a legacy product. Migrated documents are either physical hard copies that will be scanned and stored on network drives, electronic documents on a network drive, or on a SharePoint site.

49. Question: How much data (GB's) is to be migrated into the new solution?

Answer: The size requirements have yet to be determined, however the selected solution will need to be scalable as more groups and departments within the City adopt.

50. Question: How many documents are in the legacy system that need to be migrated to the new solution?

Answer: This answer is related to the scope of this project – which is a subset of the physical documents Tacoma has, which goes back 100 years. The solution needs to be robust enough to store multiples of tens of thousands of physical documents in the solution.

Tacoma has many physical records that are in the process of being scanned. The scope is to have 1 full year of records scanned and tagged with metadata before migration to the new DMS. There could be approximately 10,000 pages included in 500 documents. A specific document could contain up to 1,600 pages.

The number and size of physical documents within that year have yet to be determined.

51. Question: Will all the documents be migrated or only a portion? If a portion – what does that look like in terms of number of documents and GB's?

Answer: This answer is related to the scope of this project – which is a subset of the physical documents Tacoma has, which goes back 100 years. The solution needs to be robust enough to store multiples of tens of thousands of physical documents in the solution.

Tacoma has many physical records that are in the process of being scanned. The scope is to have 1 full year of records scanned and tagged with metadata before migration to the new DMS. There could be approximately 10,000 pages included in 500 documents. A specific document could contain up to 1,600 pages.



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The number and size of physical documents within that year have yet to be determined.

52. Question: Does this legacy system have compressed COLD data?

Answer: Tacoma does not have a legacy system.

53. Question: Does the legacy system utilize annotations – do you want them migrated to the new solution?

Answer: Tacoma does not have a legacy system, however, Tacoma is working to define standards for metadata/document attributes. The average is approximately 15.

54. Question: What database (and version) is running with the legacy system?

Answer: Tacoma does not have a legacy system.

55. Question: Are the documents in the legacy system encrypted at rest? If so – do you have the key used for the encryption? Can documents be decrypted in bulk or only one-at-a-time?

Answer: The legacy documents are not encrypted.

56. Question: Our software employs a named user licensing model tied to two main types of users: Full Users and Participant Users. Full User can be granted ability to do anything within the repository including administering the system, importing document, and editing metadata. Participant Users are read-only users who can also participate (submit/approve) in forms processes. Do you know the number of users between these two licenses? Or would you like us to submit general pricing tiers only?

Answer: The estimated number of users is 15 The City would like the ability to add users as more departments adopt the solution. Approximately 5 users will need full access, and the other 10 will have read-only rights.

Please also include the cost per license type in the event that Tacoma would like to scale the solution to other groups within the City.

57. Question: Are there any addendums that require initials at the bottom of the signature page? Below is an image of the bottom of the signature page where there are spaces for initials.

Answer: There will be one addendum added with the posting of this Q&A.

58. Question: On the signature page, is “State Contractor’s License Number” required?

Answer: State Contractor’s License is not required for this scope of work.



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59. Question: RE: FR1 (Secure on-premises document library)

- a. Does SharePoint Online meet Tacoma Power/TPU's requirements for a secure SaaS cloud solution?

Answer: As a SaaS solution, it does. However, Tacoma has done a thorough evaluation of SharePoint and its features and has ruled it out as a viable solution due to the needed customization necessary to meet our minimum requirements.

60. Question: RE: FR12 (Bulk Uploads)

- a. Security—Is it acceptable to recreate document permissions if it is not possible to preserve existing document permissions due to platform or system differences?
- b. Security—Are document permissions currently managed in groups or at the user level?
- c. Is Tacoma Power/TPU using Microsoft Active Directory, Azure Active Directory, or some other permissions management system for security?

Answer:

A: Yes. Tacoma does not currently have a DMS with permissions, so will expect to set permissions on the selected platform as documents are migrated.

B: Tacoma does not have a DMS, so there are no permissions to migrate or manage.

C: Tacoma utilizes Microsoft AD.

61. Question: RE: FR13 (Migration Tool)

- a. From which type(s) of original locations will the files be uploaded? E.g., a hard drive, shared network drive, pre-existing online cloud document storage solution, etc.
- b. To what degree will tagging and meta information need to be extracted from the following files referenced in the RFP:
 - i. Claris FileMaker Pro
 - ii. Auto Desk products
 - iii. ArcGIS Pro
- c. Are all of the files Tacoma Power/TPU would like to migrate available on the network and to Windows operating systems?

Answer:

A: Physical hard copies that will need to be scanned, network drives, and SharePoint.

B: Tacoma is working to define standards for metadata/document attributes.

C: No, not all of the files will be scanned. Tacoma is scanning a subset of documents in advance of project kickoff to have some available and ready to migrate.

62. Question: RE: FR14 (Document Chaining) The world of AI and document chaining are evolving rapidly. Will Tacoma Power/TPU consider document chaining technologies that demonstrate superior functionality and promise even if those technologies do not satisfy all of the specified document chaining requirements enumerated in the RFP?



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Answer: The City would anticipate the respondent would provide explanations where functional requirements are not met.

63. Question: RE: FR19 (Large Document/File Size Storage Capacity) Is a file size capacity of 250 GB/file sufficient?

Answer: Document size for Tacoma is variable. Please provide the maximum size limit in the proposed solution.

64. Question: How does the City plan to manage needed work practices and behavior changes during this DMS transformation to enhance efficiency and compliance?

Answer: Tacoma intends on developing business processes alongside the implementation of the DMS. Since Tacoma Dam Safety and Natural Resources does not have a DMS, adoption and creation of a process will be a natural transformation.

65. Question: What key metrics will the City use to assess successful adoption of the new system by various users, and the achievement of people-focused goals like buy-in and improved collaboration?

Answer: Tacoma will be evaluating the selected solution for the following:

- User metrics: Number of active users & volume of documents uploaded and assessed.
- Adoption Rates: Evaluating the rate of adoption across the two departments, and interest from other workgroups.
- System Performance: Response time associated with upload, download, and responsiveness. Additionally, system availability will also be measured.
- Efficiency: Since Tacoma does not have a DMS and documented business process in place, time savings will be evaluated and calculated compared to previous methods.
- User Satisfaction/Experience Feedback: Gather feedback from users on their satisfaction with the DMS usability and features and overall satisfaction with the interface.
- Training: Ensuring that all users are appropriately trained and can efficiently utilize the DMS, and training assets are handed over to Tacoma.
- Business Process Workflow: Documentation of a business process workflow specific to Tacoma that enhances the system functionality of the chosen DMS. Feedback on process improvements and insights gathered into how the system has influenced improved workflows.
- Achievement of Project Objectives and Regulatory Compliance: Evaluate whether the project implementation successfully met the compliance objectives related to responsiveness to FERC requests.



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66. Question: What support or resources does the City expect from the vendor to help users adapt to the changes involved in this DMS transformation?

Answer: Tacoma expects the vendor to provide comprehensive support and resources to facilitate user adoption. This includes:

- Training Program: Robust training sessions tailed to different user roles and skill levels – e.g. administrator, editor, view only as described in FR25.
- User Documentation: Clear and concise user manuals, guides, and FAQs that outline the functionalities of the DMS and provide step-by-step instructions for common tasks.
- Technical Support: Responsive and knowledgeable technical support to address issues or questions that users may encounter during and after the implementation phase (response and resolution times would be documented within the documented SLAs.)
- Change Management Assistance: Guidance and resources to assist in managing organizational change, including common strategies and user engagement initiatives. The adoption of the DMS will go rather smoothly as the user group involved is limited to two small workgroups. Assistance in configuring/customizing the DMS to align with specific City workflows/regulatory requirements.
- Feedback Mechanisms: Mechanisms for gathering user feedback to continuously improve the DMS and address evolving user needs and challenges.

By providing these resources and support, the vendor can help ensure a smooth transition and adoption to Tacoma.

67. Question: For migration, do you have documents in another DMS or Windows folders? If so, please describe it in detail.

Answer: Tacoma does not have a formal DMS. We are currently using file explorer that is organized based on location/feature and date.

69. Question: Section 15.2 of the RFP reads, in part, “Exceptions to the Contract terms and conditions will not be accepted. If the supplier has already signed a Master Business and Services Agreement with the City, the Supplier will be expected to execute a statement of work against the Master Contract. All contracts will incorporate the terms and conditions contained herein.” Will the City consider any supplemental terms and conditions for services not directly addressed in the sample contract, such as financial leasing or software end user licensing terms?

Answer: Legal will delete any financial leasing terms. Software License Agreements can be supplemented.

70. Question: How important is access to the DMS from remote locations or mobile devices? Are there specific mobile platforms or devices that need to be supported?

Answer: Having the abilities to access the DMS from a remote location using a mobile device is becoming increasingly important in today’s digital age. A number of Tacoma’s



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Dams do not have network connectivity, so access via a mobile device is the only thing available and will enable business continuity. Tacoma utilizes both android and iOS operating systems.

71. Question: Are there specific security measures for remote access?

Answer: Secure access using standard authentication measures is sufficient.

72. Question: How should documents be indexed and categorized for optimal retrieval?

Answer: Tacoma is currently in the process of determining indexing categories.

73. Question: Are there specific SLAs for response and resolution times for different types of support issues?

Answer: Tacoma will expect the selected vendor to be held accountable to the identified SLAs associated with system performance, responsiveness, and downtime.

74. Question: How many security levels are needed to classify and protect documents?

Answer: There are some sensitive documents that need additional access levels, but Tacoma believes having an admin, a super user, and read only user access will suffice.

75. Question: Are there specific encryption requirements for different security levels?

Answer: None that have been identified at this time.

76. Question: What are the top priorities when selecting a vendor for this project?

Answer: When choosing a vendor for this project, the primary focus is on selecting a DMS solution that aligns with all of Tacoma's requirements. Additionally, vendor experience, references, the total cost of the solution, and the availability of post-go-live support are key priorities.

77. Question: Are there any deal-breakers or must-have qualifications for vendors?

Answer: Here are some deal breakers that Tacoma has identified:

- Lack of functionality
- Poor user experience from reference checks
- Security and compliance concerns
- Unreliable vendor support or unacceptable support SLAs
- Limited scalability
- High cost



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- Poor reputation or customer feedback

78. Question: What are the typical user cases for bulk data operations (e.g.. uploads, updates, deletions)?

Answer: The answer to this question will depend on the solution and how metadata gets attached to documents.

79. Question: Can you provide examples of specific events that should trigger notifications or alerts:

Answer: Examples of Tacoma's desired notification triggers/use-cases include but are not limited to:

- Access Requests: Notify document owners or administrator when someone requests access to a document. Notify users when their request to access a document is approved or denied.
- Version Updates: Notify users when a new version of a document is uploaded or changes are made, comments are added, or edits are made to a document.
- Workflow and Approval Alerts: Notify users when they are assigned tasks related to document reviews, approvals, or other workflow activities. Alert users about pending approvals or actions required on documents they are involved with.
- Expiration and Review Reminders: Notify users and administrators when documents are nearing their expiration or due date and require review. Alert users about upcoming deadlines for document reviews or renewals.
- Compliance and Security Alerts: Alert administrators when potential policy violations related to document access or usage. Notify relevant parties about any detected security breaches or unauthorized access attempts.
- System Maintenance and Updates: Notify users in advance of scheduled maintenance or system downtime. Inform users about updates or enhancements to the DMS functionality.
- Subscription and Follow Alerts: Notify users when there are updates or changes to documents, folders or projects they have subscribed to. Allow users to create follow ups and alerts on documents.
- Audit and Compliance Reports: Provide administrators with regular reports or alerts detailing user activities, document access logs, and changes made within the DMS.

80. Question: What are the key performance indicators for search and retrieval efficiency?

Answer: Tacoma will be focusing on measuring the effectiveness and speed of accessing documents in the system including those that are document-chained. Some examples of this are:

- Search time
- Search accuracy (no false positives)
- Search filters



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- Document chaining (ability to locate and access a document from anywhere in a communication chain showing successors and predecessors)
- Searchable Metadata
- Access control (users can only access and retrieve documents they have permissions to access)
- OCR

81. Question: What are the specific data privacy and confidentiality requirements that the DMS must comply with?

Answer: See appendix B of the RFP associated with the City of Tacoma Information Classification policy.

82. Question: What is the preferred notification delivery method? (e.g.; SMS, push notifications, email)?

Answer: Tacoma would like to receive email (outlook) when a notification is triggered.

83. Question: How frequently should backup and recovery processes be tested? What are the key scenarios that need to be covered in these tests?

Answer: The frequency or scenarios have not been determined at this time.

85. Question: How important is compliance with open standards for document management?

Answer: Compliance with open standards for document management is essential for preserving document integrity and ensuring security and regulatory compliance.

86. Question: What mechanisms will be in place to collect user feedback on the DMS? How will feedback be used to improve the system post-implementation?

Answer: The initial userbase is small, feedback will be gathered in weekly team meetings, emails and surveys.

87. Question: Are there any communication tools that need to be integrated with the DMS?

Answer: Tacoma would like to receive email (outlook) when a notification is triggered.

88. Question: How will communications be handled to ensure all stakeholders are informed and engaged?

Answer: Monthly status communications will be sent out to identified stakeholders. There



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may be monthly stakeholder update meetings held dependent on project status and stakeholder availability.

89. Question: Are there any third-party vendors currently involved in the document management or IT services? How will their roles change with the implementation of the new DMS?

Answer: There are no third-party vendors involved in the DMS project or implementation.

90. Question: Are there specific file naming conventions that need to be enforced within the DMS? How important is the consistency of file naming for document retrieval and management?

Answer: Tacoma is currently evaluating naming conventions and metadata standards. Tacoma understands that ensuring specific file naming conventions and adhering to metadata standards within the Document Management System (DMS) is crucial for efficient document retrieval and management. Consistency in file naming simplifies the search and retrieval process, ensuring that documents can be located quickly and accurately when needed. This consistency not only improves user experience but also enhances productivity by reducing the time spent searching for documents.

91. Question: What metrics are used to monitor the performance and health of the current document management system? Are there specific performance monitoring tools that need to be integrated with the new DMS?

Answer: Tacoma does not have a current DMS and is open to out of the box functionality. The answer provided in question 11 explains what Tacoma is looking for.

92. Question: What are the key performance indicators for search and retrieval efficiency? Are there specific search optimization techniques that you would like to implement?

Answer: See FR4, FR5, and FR14 in the RFP for a list of specific search requirements.

KPIs to be considered:

- Search Speed (milliseconds to seconds)
- Search accuracy – limited false positives
- Search relevance
- Query Performance (how effectively the system handles complex search criteria like that listed in FR4)
- Retrieval time to open specific document
- Error rate during searching

93. Question: Is there a need for data cleanup or validation during the migration process? Are there specific criteria for archiving or deleting obsolete documents?

Answer: Since the City does not have a current DMS, the need for data cleanup is minimal. See answer to question 22 regarding archiving and deleting obsolete documents.



Questions and Answers

94. Question: How detailed does the audit trail need to be for document access and changes? Are there specific auditing tools or reports that need to be generated regularly?

Answer: Audit and Compliance Reports: Provide administrators with regular reports or alerts containing user activities, document access logs, and changes made within the DMS. Tacoma will generate regular reports to ensure compliance however there is no specific timeline determined as of now.

95. Question: What level of system redundancy is required to ensure high availability? Are there specific disaster recovery sites or strategies in place?

Answer: The City will expect the selected vendor to be held accountable to the identified SLAs associated with system performance, responsiveness, and downtime. Tacoma will require periodic automatic back-ups with file storage to a location of the City's choosing.

96. Question: Are there specific groups or departments that require difference access levels than read-only, edit, admin?

Answer: No, there are not any different access requirements identified at this time.

97. Question: What factors will influence the decision between a cloud-based solution and an on-premise solution?

Answer: Tacoma will be reviewing each solution based on cost, scalability, control and security, performance, compliance, maintenance and updates, and integration with existing systems.

98. Question: Are there specific regulatory or compliance considerations that favor one over the other?

Answer: No, there are no regulatory or compliance considerations. Either option may be acceptable.

99. Question: Are there specific branding or customization requirements for the user interface?

Answer: No, there is no branding requirement, however it would be a nice to have feature.

100. Question: How important is it to have customizable dashboards and user-specific views?

Answer: The City would like to see graphical representations (charts, graphs) of document-related metrics such as document count, document categories, document status, items assigned to me, etc. Having the ability to edit the view per user or user profile is an important feature.



Questions and Answers

101. Question: What are the accessibility standards that the DMS must comply with? Are there any specific accessibility features that are important for your users?

Answer: The only accessibility standard would be WCAG guidelines. These are widely recognized as the international standard for web accessibility and would be satisfactory with the implementation of the DMS. There are currently no specific accessibility features that Tacoma is interested in aside from following those guidelines.

102. Question: What is the condition and format of legacy documents that need to be migrated?

Answer: Since Tacoma does not have an active DMS, documents that require retention are stored in either paper in numerous locations, on SharePoint sites, or network drives. Tacoma is working to digitize and tag a subset of these physical documents in parallel with this project.

103. Question: Are there specific challenges or requirements for handling historical documents?

Answer: No.

104. Question: Are there any third-party applications or services that need to be integrated with the DMS?

Answer: See section D1 in the RFP. Note that an integration with SAP is being considered for future projects, but is not a requirement for this response.

105. Question: How critical is real-time data synchronization between the DMS and these third-party systems?

Answer: Since integration with other systems has been identified as out of scope for this project, this has not yet been defined. When Tacoma decides to enhance the DMS after go-live, this requirement will be defined.

106. Question: How often should disaster recovery drills be conducted to ensure readiness? What are the specific scenarios that need to be tested during these drills?

Answer: Tacoma needs the ability to retrieve a full backup copy in the event of a system failure. Tacoma does not have any plans to date regarding a schedule of disaster recovery drills.



Questions and Answers

107. Question: Is there a plan for pilot testing the DMS before full-scale deployment? How will feedback from the pilot phase be incorporated into the final implementation?

Answer: See section 4.2 in the RFP. Tacoma expects the vendor to perform full functional testing, user interface testing, security testing, performance testing, and browser/mobile compatibility testing as well as provide testing scripts with step-by-step instructions for Tacoma to follow. Tacoma will perform quality assurance testing. As a result of that testing, Tacoma will provide user feedback and defect lists (if any).

108. Question: Are there specific document formats that are commonly used and need to be supported by the DMS?

Answer: The most common document format is PDF.

109. Question: Is there a need for document conversion or OCR capabilities within the system?

Answer: There may be the need for document conversion. There is a need for OCR capabilities in the DMS.

110. Question: What are the specific data privacy and confidentiality requirements that the DMS must comply with? Are there any international data protection regulations that need to be considered?

Answer: See Appendix B in the RFP. There are no international data protection needs.

111. Question: How important is the ability to customize the DMS to meet evolving business needs?

Answer: As much as possible, Tacoma would like to limit the need for customization and use out of the box functionality while still meeting the defined minimum requirements presented in the RFP.

112. Question: Are there specific milestones or deliverables that need to be included in the project plan?

Answer: There are no specific milestones or deliverables that Tacoma is requiring in response to section 11.5. A sample list of milestones is included and can be used as a starting point.

113. Question: Are there any performance benchmarks or load testing requirements that the DMS must meet?

Answer: Tacoma has not yet defined any performance benchmarks but prioritize usability and responsiveness as critical considerations.



Questions and Answers

114. Question: What are the typical peak usage times and volumes for document access and retrieval?

Answer: The peak usage would be during normal business hours, Monday through Friday from 6:00am to 5:00pm (Pacific Time Zone)

115. Question: Are there specific sustainability goals or targets that the DMS should help achieve?

Answer: No.

116. Question: Can you provide more details in the environmental certifications or practices expected from the vendor?

Answer: See section 22 in the RFP called Environmentally preferable procurement.

117. Question: How should pricing for cloud versus on-premise solutions be presented?

Answer: Please separate out each solution offering and follow the suggested price format in Appendix A of the RFP.

118. Question: What is the expected duration and format for training sessions for administrators and end-users? Is there a need for ongoing training and support, and how should it be structured?

Answer: See section 11.5. The respondent should describe their training methodology in response to this section. There is not an expected need for ongoing training, just post go-live support (if system is down, etc.).

119. Question: What are the specific SLAs you expect for system uptime, response times and issue resolution? How will SLA performance be monitored and reported?

Answer: The respondent is expected to provide the SLAs offered by them to include response times, resolution times, and availability guarantees. SLA performance will be evaluated throughout the life of the contract.

120. Question: Are there any requirements for document annotation or collaborative editing between different user groups? (e.g. internal teams, external partners)?

Answer: There may be the need for collaborative editing between internal teams within the City, but not with external partners.

121. Question: What are the specific security requirements for protecting documents classified under Category 3 & 4?

Answer: In the event of public disclosure request, the below information is protected and will not be disclosed. There are no defined security requirements other than not providing the below information.



Questions and Answers

Information Classification Examples

The table below provides some examples of how information might be classified. Information Asset Owners determine Classification categories for Information Technology Assets. Proper classification does not preclude review of information requested via the public disclosure process.

Refer to Appendix A for links to laws and standards for more detailed information.

Information Classification

Category 1 - Public

Examples

- Information published on the City's publicly facing websites
- Official external communications such as press releases and social media feeds
- Other Information approved for public access

Category 2 – Sensitive/Internal

- Information intended for use within the organization
- Routine business communications and other records created as part of normal, day-to-day activities
- Internal e-mails, texts, paper documents, and other forms of messaging

Confidential

- Personal information about individuals such as bank account numbers, birth dates, driver's license numbers, health insurance identification information, or social security numbers
- Information concerning an employee's personnel record
- Information concerning a utility customer account record
- Information regarding IT infrastructure and security of computer and telecommunications systems including password data, security controls and other security access information
- Information relating to active or ongoing investigation of enforcement activity
- Information subject to attorney-client privilege
- Investigative, law enforcement, and crime victim information
- Library records that could be used to disclose the identity of a library user



Questions and Answers

Category 4 - Confidential with Special Handling

- Data and associated systems regulated under North American Reliability Corporation Critical Infrastructure Protection (NERC CIP)
- Payment Card Industry Data (PCI DSS)
- Health Insurance Portability and Accountability Act (HIPAA)
- Criminal Justice Information Services (CJIS) or other prescriptive compliance frameworks

122. Question: How frequently do documents undergo version changes, and what is the typical volume of versions that need to be managed? Is there a need for automated version control, or will it be managed manually by users?

Answer: The current user group does not foresee a large volume of managed versions. Responses with automated or manual version control will be considered.

123. Question: How important is the availability of a multilingual interface for DMS?

Answer: This is not a requirement of Tacoma.

124. Question: Can you provide more context or examples of document chaining as required in the functional requirements?

Answer: Document chaining is a high priority feature to Tacoma. Parent-child relationships will be created in a communication chain. It is required that when searching for a document anywhere in a communication chain, the predecessors and successors of that same chain be visible without identifying any non-relevant or false positive documents.

125. Question: What level of involvement is expected from the City's team members during the project implementation phase?

Answer: The City team members are committed to maintaining active involvement throughout the project implementation phase and are readily available for ongoing collaboration and support.

126. Question: Are there any critical milestones or deadlines, apart from those mentioned in the calendar of events that we should be aware of?

Answer: There are no other critical milestones other than what was mentioned in the RFP.

127. Question: Can you provide more details on what constitutes a "significant deficiency" in any one criterion that might lead to the rejection of a submittal?



Questions and Answers

Answer: A significant deficiency refers to a substantial failure to meet the criteria or requirements. Specifically, lacking or not adequately meeting the minimum functional requirements set in the RFP could result in scoring not being completed.

128. Question: How will the “Equity in Contracting” points be assessed if a firm is not currently certified by is in the process of obtaining certification?

Answer: This is a pass/fail category and if the vendor is not certified by scoring, there will be a 0 score issued. This however does not disqualify a vendor from being selected.

129. Question: Could you elaborate on the escalation process for technical support issues?

Answer: Tacoma expects to have an escalation process available in the event that a support ticket or issue is not resolved to satisfaction, SLA’s are not met, etc. This could be escalation to an account manager or account executive, or to a second-tier support group.

130. Question: Could you provide more details on the specific types of GIS file formats that need to be supported by the document management system?

Answer: The most common file format is DWG, others used are AIX, EMF, EPS, PDF, SVG, SVGZ, JPEG, PNG, TIFF, TGA, GIF, DEM, FLT, and CSV.

131. Question: How important is it that the document chaining tools are compliant with relevant FERC security and control compliance requirements (particularly those listed on page 33 of the RFP .pdf)?

Answer: Compliance ensures that our document management processes meet regulatory standards, thereby safeguarding sensitive information and ensuring operational integrity. This alignment with FERC guidelines is essential. All of the compliance requirements listed on page 33 are needed. Document chaining is not a compliance or regulatory requirement, but rather a functional requirement.