



Exhibit D – Backfile Conversion Requirements

BACK-FILE CONVERSION – DISABILITY AND MEMBER/RETIREE FOLDERS

The Vendor must propose to perform the conversion of COPERS disability physical folders and member / retiree physical folders to an image format. This section contains as much specific information as possible so that Vendors can respond to these requirements as accurately as possible. COPERS is aware that there are numerous decisions, concessions, tradeoffs, etc. that may need to be resolved during the actual execution of the back-file conversion effort. However, for proposal purposes, all Vendors should respond based on the information provided herein and note any assumptions they have made in preparing their proposals.

The Vendor will be responsible for the back-file conversion of the existing disability physical folders and the member / retiree folders from their current paper format to that of the new Electronic Content Management solution.

This work and effort will be performed only for the General City folders / files and not the Public Safety folders / files.

Pricing for the back-file conversion must be a firm fixed price for deliverables, including all expenses. The table contained within this section contains various volume and metric information. COPERS will not accept any open-ended, time and materials bids. Vendor must provide pricing on a per folder basis for the disability folders and on a per document basis for the member / retiree folders and an overall computed total. It should be noted that a single discrete document type indexing is envisioned for the disability folders whereas a multiple document type indexing is envisioned for the member/retiree folders.

This back-file conversion phase due to the source being paper folders / documents, will have specific “handling” and/or processing needed.

COPERS requires that the back-file conversion effort observe a defined set of controls and procedures; applicable to all processes including:

- Handling of physical folders as sensitive COPERS data
- Packaging and preparation of appropriate tracking material for movement of information (i.e., files, folders, documents, etc.) within COPERS or Vendor facilities
- Document preparation / batching
- Document scanning
- Verification and committal
- Blank page removal
- Image quality enhancement
- Image quality assurance (Vendor)



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- Re-scanning
- Indexing
- Final quality assurance (Vendor)
- Re-indexing if necessary
- Preparation for delivery back to original COPERS
- Delivery of scanned images and indexes to COPERS
- Load to QA environment
- COPERS quality assurance in QA environment (COPERS)
- Load to production environment
- COPERS quality assurance in production environment (COPERS)
- Return and re-filing of folders at COPERS
- Training and assisting COPERS

All information is stored onsite at COPERS. The table within this section contains information about the various categories, the estimate of the count for those various categories and whether the documents are envisioned to be back-file converted as a single multipage image labelled as (i.e., Disability Back-file Conversion) regardless of the number of documents / pages contained (or) to be back-file converted as multiple images with discrete document types requiring document type index assignment.

All Vendor back-file conversion activities will conform to the requirements and procedures set forth below.

Confidentiality

The documents to be converted to images contain confidential member and retiree data. The Vendor must agree to indemnify and hold harmless COPERS for any claims or any other action or damage that may result from theft, loss, destruction, or dissemination of documents or data provided to the Vendor in connection with the back-file conversion effort.

Location of Conversion Activities

COPERS is aware that many Vendors and/or their subcontractors have both dedicated facilities and trained staff available for back-file conversion efforts. Based on this, COPERS is aware that not all of the back-file conversion services will necessarily be performed at COPERS.

Therefore, COPERS has the following requirements related to where the various back-file conversion activities are to be performed:



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- Document Scanning – COPERS will provide sufficient office space to support the Vendor with the back-file conversion scanning effort. All document scanning shall be conducted in the COPERS-provided space. However, the Vendor is responsible for all hardware, software, staffing, etc. The Vendor assumes responsibility for all document un-shelving, movement of documents within / between the COPERS office and scanning location and any re-shelving or boxing of documents upon completion.
- Document Image Enhancement / Indexing / Vendor Quality Assurance / etc. – This work must be performed within the continental United States.
- COPERS Quality Assurance / Production Upload / etc. – This work must be performed at COPERS; however the actual upload and/or loading of successfully QA'd images into the Hosted Production Imaging environment will be the responsibility of the Vendor.

Insurance Requirements

The Vendor must include provisions for insurance covering loss, damage, theft, or destruction and actual replacement costs (including COPERS, successful Vendor, or other staff or contractor time to reconstruct folders) of documents that may occur during transport of documents or while documents are in the successful Vendor's possession. Details specifying the type of insurance coverage, the insurance carrier, and any limitations on the coverage should be included in the Vendor's response to the RFP. A copy of the insurance policy or binder for such coverage, identifying COPERS as the beneficiary, should be included in the Vendor's proposal. COPERS requires the Vendor to provide first dollar coverage, i.e., no deductible. COPERS has determined that the cost to replace a lost file is \$2,000.

Document Preparation Procedures

The successful Vendor is responsible for document preparation prior to scanning and indexing.

Back-file Conversion Processes

The equipment (including lights, automated feeders, etc.) used for all image capture shall not damage original materials nor shall the manner of its use cause damage. All scanning equipment is subject to the approval of COPERS.

In the delivered digital image, the top of the original document or page shall appear at the top of the display screen. COPERS requires presentation of the entire original sheet or page. In no event shall the actual document be cropped. In addition, images shall not be skewed.

A scanning log shall be kept that includes, at a minimum, the date and general description of the material scanned, as well as noting exceptions, problems, irregularities, and anomalies. The log shall also include the identification of the scanning operator and shall identify the particular scanning equipment used. The scanning log may be in machine-readable (preferred) or paper form. If a machine-readable log is proposed, it shall be produced using a commonly available



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software product (e.g., Word, Excel, Access, etc.) and/or delivered as a comma delimited ASCII file. COPERS will actively consult this log during the quality review of the materials delivered by the successful Vendor and during “emergency” retrievals of documents.

Batch file sizes should be limited to a size mutually agreed upon by COPERS and the successful Vendor after contract award. Vendors should describe in their proposals their suggested strategy and sizing of batches. Media for delivery of batches of images and indexes to COPERS by the successful Vendor will be compatible with COPERS hardware (e.g., CD, DVD, tape, etc.), and will be retained by COPERS after contract award. Costs for such media must be included in Vendors’ proposals.

When delivered by the successful Vendor, the sets of images and indexes must also be coherently and logically named and/or numbered, placed in delivery directories and files, and accompanied by a carefully maintained scanning log and printed directory list. Each shipment of digital images delivered to COPERS shall include an itemized packing list or manifest.

The Vendor must be willing to guarantee an accuracy rate of 99.5% for all documents scanned, imaged, and indexed, except for those specifications or image attributes requiring 100% accuracy. For example, a batch of images will be rejected if, in a random sample lot size of two-hundred (200) documents, more than one document is found to be missing, duplicated, illegible, or otherwise defective.

Examples of items required to be 99.5% accurate include:

- File and image characteristics: level of compression and image size
- Image quality: blurred or indistinct image, loss of distinct features or lines, incomplete capture of page content, skewing, failure to apply treatment to printed halftones
- Other: failure to capture images completely, missing images, duplicate images, images out of order
- Accuracy of indexed data.

Examples of items required to be 100% accurate include:

- Content of file headers and tags
- File format
- Compression algorithm
- Resolution
- Pixel depth.

COPERS reserves the right to inspect the successful Vendor’s facilities prior to and during the actual back-file conversion production of images and indexing data, including work and storage areas.



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The successful Vendor is responsible for performing all inspections or evaluations of all digital files, file names, and directory names during production and prior to delivery to COPERS. All unacceptable (as determined by COPERS at its sole discretion) images, filenames, or directory names or entire batches shall be corrected at no additional cost to COPERS.

All delivery media will be inspected to ensure that the requirements stated in the RFP are met. Any delivery media or files which are non-functional in COPERS system shall be rejected. If there is a consistent failure in loading of samples or if their quality is not acceptable, the entire batch will be rejected. If isolated images fail, COPERS will prepare a list and, at COPERS sole discretion, return those images or the whole batch for correction at no additional cost to COPERS.

The Vendor is required to develop and submit in its proposal drafts of the written processes and procedures and acceptance criteria to be utilized for sample testing during the life of the project. These processes, procedures and criteria must include allowances for COPERS rejection of any batch of scanned, imaged, and indexed documents that do not meet the specified accuracy criteria. As requested by COPERS, on a case-by-case basis, the Vendor must agree to re-image and re-index all of, or individual records contained in, any batch that is rejected by COPERS due to error at no additional cost to COPERS. After award of the contract, the successful Vendor will update the processes, procedures and acceptance criteria and submit them to COPERS for final review, revision, and acceptance.

COPERS considers the quality and accuracy of the delivered scanned images and indexes as vital to COPERS acceptance of work performed by the successful Vendor. COPERS reserves the right to delay final acceptance of the deliverables (scanned images and indexes) for a period up to six (6) months following the completion of the back-file effort. During that time COPERS shall review and examine the images and indexes with due diligence to verify that images and indexes are correct and meet the established accuracy criteria. In the event that it is determined that document images or indexes are incorrect or that images are of poor quality resulting in failure to meet the established 99.5% accuracy level, the successful Vendor must provide corrective action to reproduce accurate images and indexes for the records in error at no additional cost to COPERS.

The Vendor should include in the proposal its expectations for document turnaround by identifying the amount of time required to prepare the folder / pages, scan, index, deliver the imaged and indexed document and load it onto COPERS imaging system for viewing by COPERS QA staff.

Quality Control / Quality Assurance

A quality assurance / control program, in accordance with the requirements for accuracy and delivery stated in the RFP, shall be initiated and documented by the successful Vendor within the first thirty (30) days from the contract execution date. The QA Plan will be provided to COPERS for its review, feedback and approval. It will enumerate all activities and responsibilities of both COPERS and the successful Vendor. This plan will be maintained



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throughout the life of this contract by the successful Vendor. COPERS expects that the successful Vendor shall perform quality control for 100% of deliverables. A specific quality control plan shall be implemented for each phase of contract performance beginning with capture of document images through conversion and ultimate acceptance by COPERS of all deliverables.

In its proposal, the Vendor should identify and include a description of its standard quality assurance and quality control approach and how it will be customized and applied to the COPERS project.

At a minimum, the successful Vendor shall be responsible for inspecting the accuracy of filenames and directories for all digital images, texts, and associated files produced under this effort. Inspection hardware, software, and procedures shall be of appropriate quality, accuracy, and quantity to ensure that all requirements are met. The successful Vendor shall document all quality control procedures, including actions taken to correct any problems, and submit a quality control report along with (or as a part of) the scanning log with each delivery to COPERS. The successful Vendor shall perform sufficient image inspection to ensure that deliveries of images to COPERS meet the acceptance criteria discussed below.

The successful Vendor shall ensure that image quality meets the following acceptance criteria:

- Complete page content has been captured
- Images are not skewed, blurred or indistinct
- Image size, position, level of compression, page orientation, and image resolution are correct

In addition to ensuring that the complete page content has been captured, the successful Vendor shall ensure that the complete source document has been scanned according to instructions provided, and that special instructions relating to specific materials have been followed. This includes ensuring that:

- Images and indexes are produced correctly for every required page and that no pages are missing
- Page images have not been duplicated during the scanning process
- Page images are numbered and delivered in the order they appear in the source document unless otherwise instructed

The successful Vendor will provide assistance (as well as written procedures) to COPERS such that COPERS staff can review and assure quality (QA) of the delivered images and indexes, ideally using the imaging solution and workstations included as part of the mandatory integrated retirement solution. The successful Vendor will also train COPERS staff in all aspects of the QA process. Quality assurance procedures to be provided by the Vendor must be designed to ensure 99.5% accuracy rate for all images and indexes.



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In addition, a “statistical sampling engine” will be provided by the successful Vendor such that COPERS staff will be able to sample a user specified percentage (%) of images, i.e., 10%, 20%, 33%, etc.

The Vendor should include in its discussion of the quality control / quality assurance plan (in its proposal) whether it has received ISO 9000 certification for any of its activities.

COPERS Resources Provided

In addition to the COPERS Project Manager, COPERS will provide the following resources to support the back-file conversion effort:

- Kyle Corbin – Records Manager / Imaging Project Manager - Someone to assist with the overall management, logistics and coordination of the use of the records room, the status of files being converted and how to handle timing issues if COPERS staff are using certain folders while the vendor is in the process of converting / imaging that grouping. Also able to answer questions about schedule, issues, resources, etc. The Vendor is to specify in its proposal the level of effort recommended / needed for this activity.
- Four (4) Quality Assurance Specialists – These individuals (i.e., Bobbie Gonzales, Josie Romero, Misty Escamilla and Marissa Hernandez) will be responsible for the quality assurance and verification of the imaged back-file documents. Each individual operationally at COPERS is currently responsible for a set of members / retirees based on the starting letter of the participant’s last name as listed below:
 - Bobbie – last names (A, B, C, D, X and Y)
 - Josie – last names (E, F, G,H, J, K and Q)
 - Misty – last names (L, M, N, O, P and V)
 - Marissa – last names (I, R, S, T, U, W and Z)

COPERS would like to divide the Image QA responsibilities among these four individuals and make it their responsibility for their respective alphabet grouping. The Vendor is to specify in its proposal the level of effort recommended / needed for this activity.

Project Control Methodology

Vendor’s proposal must include a detailed description of document security and control measures to be observed as a part of document preparation and scanning. This should include a description of quality assurance checks and balances and the control methodology proposed to insure that documents are accurately processed and accounted for.

In its description of the approach to ensuring the quality of the material imaged and indexed, the Vendor must include in its proposal the procedures that will be observed in the following areas:

- File / folder / document tracking (check in and check out). This procedure must include reconciliation of the number of files / folders / documents checked out to the successful Vendor vs. the number of files / folders / documents returned to COPERS. The reconciliation



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procedure must indicate when files / folders / documents were checked out and when they were returned.

- File / folder / document tracking log. This procedure must provide a mechanism for logging folders / documents in / out which will provide the capability to determine the current location of folders / documents by Folder #, SSN and/or name as requested by COPERS staff.
- Receipt of returned files / folders / documents and file images to COPERS staff. Folders / documents must be returned to COPERS in the same order they were delivered to the successful Vendor utilizing batching requirements documented by the successful Vendor and approved by COPERS.
- Quality verification of scanned images and indexes. This procedure must address the following quality issues:
 - Verification that all documents issued to the successful Vendor for processing are accounted for and have been returned to the file in exactly the same order as prior to Vendor use, except those that are discarded in accordance with procedures prepared by the successful Vendor and approved by COPERS.
 - Verification of imaged and indexed documents. Minimum verification requirements are as follows:
 - ✓ Accuracy: All documents in the batch are imaged, and none is duplicated.
 - ✓ Correctness of imaged and indexed documents: Documents are correctly indexed to proper COPERS #, SSN, name, folder, document ID, etc.
 - ✓ Image quality: The image is clear and of high quality when viewed in both normal and zoom mode.
 - ✓ Positioning of image: Image is correctly displayed top to bottom and, if two sided, both sides can be viewed.
- Location and retrieval of folder / document for work in process. This procedure must provide for location and retrieval of a folder or document per user request in the event that a specific folder or document is needed which has been checked out to the successful Vendor for processing.

The Vendor's proposed control methodology must maintain and provide an accurate accounting of:

- The number of folders and the number of documents / pages in a folder
- The number of documents / pages that were scanned / imaged
- The number of documents / pages that were indexed
- Number of batches scanned, inspected / quality checked and indexed, for a given time period (by document type and in total)
- Total number of scan batches completed for a given time period
- Total number of rescans for a given time period
- Number of batches waiting in the index queue at any given time



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Back-file Conversion Approach Manual

COPERS requires that the successful Vendor produce a formal Back-file Conversion Approach Manual. This deliverable will contain all necessary procedures related to the processing of the back-file conversion documents.

Topics such as the following must be included in this document:

- Removing information / notes / sticky-tabs, etc. from COPERS files
- Packaging and/or transportation (movement) of materials including pick-up, delivery and receipt
- Document / Page preparation and batching
- Scanning
- Verification and committal
- Image quality enhancement
- Image quality assurance (Vendor)
- Re-scanning
- Indexing
- Final quality assurance (Vendor)
- Re-indexing if necessary
- Preparation for delivery back to COPERS
- Delivery of scanned images and indexes to COPERS
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- Return and re-filing of documents and/or folders at COPERS
- Training and assisting COPERS

Transition Period Approach Manual

COPERS requires that the successful Vendor produce a formal Transition Period Approach Manual. This deliverable will contain any and all procedures related to how the COPERS business operation will conduct its business during that transition period while both the day-forward and back-file conversion efforts are occurring. Topics such as the following must be included in this document:

- New documents received for a person whose folder conversion is “In Process”
- New documents received for a person whose folder conversion is “Completed ”
- Folders that are in transition from one grouping (i.e., Member/Retired to Disability or to Refunded or to Deceased, etc.) to the next



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Back-file Conversion Scope

COPERS has performed a preliminary scoping exercise to determine the volume / counts for the back-file conversion effort. The table below shows the various file types, grouping, level of indexing envisioned, and the approximate number of folders and approximate number of pages to compute an overall approximate number of pages for the entire back-file conversion effort.

COPERS is aware that our estimates are not exact and thus for purposes of the Vendor's Cost Proposal please use these numbers when determining your proposed cost. COPERS is also aware that there are numerous factors that can affect the scope and pricing for a back-file conversion effort – and those decisions will be discussed and contemplated while working with the awarded vendor.

Therefore COPERS is interested as part of this procurement process in the Vendor's overall approach, strategy, experience, etc. for purposes of evaluation – with the understanding that the Vendor's cost information will be an accurate estimate but not an exact quote. It should be noted that during the Contract Negotiations a more precise analysis of the volume and the exact cost will be discussed and negotiated.



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Table 1 Back-file Conversion Scope includes the preliminary scoping volume for the Back-file Conversion effort:

Table 1 Back-file Conversion Scope

File Type	Grouping	Level of Indexing	Approximate # of Folders	Approximate # of Pages	Approximate Total # of Pages
Physical Folder	Active/Retired Members	Discrete Document Types (i.e., 10 to 15 types)	17,000	100	1,700,000
Physical Folder	Disability Folders	Single Folder Type	50	200	10,000
Physical Folder	Terminated / Refunded Members	Not in Scope			
Physical Folder	Deceased Members	Not in Scope			
			17,050		1,710,000