



920 C1 Digital Imaging Services

Council on Competitive Government

Please direct inquiries to:

Jay Stewart
Sr. Business Development Manager
Image API, LLC
Austin, Texas

Jay.stewart@imageapi.com

[p] (512) 994-2611

[m] (850) 443-9876

imageapi.com

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Executive Summary

The Texas Council on Competitive Government (CCG) encourages respondents to provide the best solution for document imaging services. Image API is a familiar and trusted vendor for the State of Texas. Our goal is to add value, efficiency and effectiveness as CCG digital imaging services provider. With over 20 years of extensive experience in digital imaging services, we are ready to meet and exceed the needs of CCG and PAs in both the imaging work and technical aspects of document management. The PAs should be confident that the vendor will abide by industry standards for quality and will provide the security and confidentiality required to protect the information assets entrusted to them. Additionally, we believe a vendor with experience in Texas government is a positive for PAs because familiarity with State requirements and processes creates greater efficiency in getting work started and completed to everyone's satisfaction.

Image API has an expert team, an innovative digital imaging solution, and a low-risk project approach to benefit the needs of CCG and the specific needs of the PAs. Image API specializes in document management for state and local government. We have helped dozens of state agencies transition to digital media, particularly in standards-driven document imaging, indexing, and quality assurance. We have a deep proficiency in both the production aspects and technology driving our services and software solutions.

While our experience and expertise in document management is nationwide, Image API's team brings a proven commitment to the State of Texas. For the past five years, Image API has operated the largest single, on-going document processing projects (mailroom operations, document preparation, imaging, etc.) for a Texas state agency. Our contract with the Texas Health and Human Services Commission involves preparing and scanning more than 600,000 documents (eight million images) each month. Under this contract, HHSC has consistently exceeded every key performance requirement, including achieving greater than 98% performance on quality, accuracy and processing timeliness. Our work for HHSC exemplifies our commitment to delivering high quality imaging and document processing services for state agencies.

Approximately 97% of our business is with state, federal, and local government customers. Our team provides in-depth knowledge in project management, technology, integration, and production services. We are accustomed to providing accurate, measurable, and auditable productivity reports. Image API has a long history of meeting or exceeding all quality levels and key performance requirements. We consistently meet the legal compliance requirements attached to processing government documents that have both state and federal requirements. Historically, we have delivered on these requirements and will continue to do so with PAs using the CCG Digital Imaging Services Contract.



DID YOU KNOW?

- Trusted and reliable partner
- Strong understanding of CCG goals and objectives
- Demonstrated commitment to self-service solutions
- Proven and consistent performance
- Core competency in document imaging
- Low-risk, cost effective solution provider
- 98% accuracy rate

Most government entities focus on serving the public interest and therefore are not experts in document conversion work and document management technology; nor should they be. Image API's "value-added" benefit to PAs is our ability to help them accurately assess their document populations and solution needs, gain the greatest return on their budgets, and meet their statutory operational requirements.

Image API's supporting services include logistics, transportation, box tracking, and mailroom services. Our innovative Electronic Content Manager (ECM) software -- Axiom Pro™ - provides either a hosted and non-hosted document management solution along with configuration, installation and support services. We also integrate document imaging and document management software into business processing services, legacy systems, payment processing, and online self-service solutions to improve business process performance.

As with all of our project-based services, Image API will apply proven Project Management Institute Project Management Body of Knowledge (PMBOK®) principles covering the five basic processes and nine knowledge areas. We maintain a strong group of project management professionals and a project management office in Austin, Texas. Our experience in large projects and our management team will ensure accurate planning and resource deployment to achieve success. Additionally, we offer PAs a deep level of technical expertise and solutions including our Axiom Pro™ ECM software, ability to interface with disparate systems and databases, hosted solutions, and specific experience in working almost exclusively with State government customers.

Image API has performed many large scale document conversion projects for customers, meeting all deliverables and schedules.

- Stand-up and operation of the Texas Health and Human Services Document Processing Center where we image approximately 8 million pages of eligibility determination documents (applications, renewals, changes, etc.) per month.
- Image API provided iCenter as a hosted system accessible by 10,000 staff members as part of a large, complex HHSC SAVERR document conversion project. iCenter enabled staff to work in a digital environment while awaiting the final transfer of operations to the TIERS system (Texas Integrated Eligibility Redesign System).
- Conversion of 3.5 million pages of documents and drawings; and the integration of an electronic document management system into the Pennsylvania Turnpike Commission ERP.
- Imaging and indexing of more than 24 million microfilmed fingerprint cards for the Florida Department of Law Enforcement.
- Start up and processing of annual healthcare professional license applications and renewals with annual imaging of over one million print files and pages.
- Standup and processing of UCC document filings for the State of Florida.



HIGHLIGHTS

Qualifications:

- 20 years of government document processing experience
- Incumbent vendor on current DPC contract
- Excellent references
- GSA Schedule 36 contractor
- Texas CCG Imaging contractor
- Paper, microfilm/fiche
- Hundreds of projects
- No project failures
- Highly secure
- HIPAA Compliant
- Facilities in multiple states
- On-site & off-site services
- Business process expertise
- Paperless self-service solution provider

Image API has the capacity, proven track record, and know-how to perform project-based imaging services for the State of Texas. We can stand up large, centralized document processing centers or smaller, regionalized facilities. We can scale operations up or down to meet any volume requirements; we can utilize our existing production facilities or perform work on-site at the PAs location; and we have the resources to meet all the requirements for both short- and long-term commitments.

Established Document Processing Centers

Image API also can perform project-based imaging services at our established production centers in Tallahassee, FL, Austin, TX, Midland, TX and Huntingdon Valley, PA. These centers provide the equipment, staff, management, and technology to seamlessly provide services statewide or regionally. A good example of our transportation and imaging capabilities is a recent project we completed for the New York City Housing Authority. We transported more than 8 million pages of documents to our Pennsylvania production center and converted and indexed them to digital files in about six months.

Standup Document Processing Centers

Image API has the ability to quickly stand up a dedicated document processing operation with mailroom, document prep, scanning, data entry and warehouse capabilities to support large, on-going projects or contracts which require a production facility in another area of the state or close to an agency's own offices. These types of facilities provide a centralized solution for document intake, imaging, indexing, and output. Our operations and management of the Document Processing Center (DPC) for the Texas Health & Human Services Commission in Midland, Texas is a good example of an operation that was set-up specifically to support the HHSC project requirements. We set-up the document processing operation in 2004 and in late 2008 won the contract to resume operations beginning in January 2010 for three years with two (2) one-year options. We applied extensive project management expertise to designing the facility and all of its operations using PMBOK principles and have consistently met all of the Key Performance Requirements proving our capabilities.

On-Site Document Processing

Image API also provides imaging services on-site at customer locations. We will acquire work space either very close to the agency or within the agency itself. Recent examples of this include imaging projects performed on highly confidential HIV/AIDS records for Health Departments in Washington D.C., Indiana, and several other states. The current Statement of Work from the Texas Office of Attorney General is a good example of on-site services we can perform and is similar to another project we performed in Florida.

Flat-Rate Imaging Services

Image API provides exceptional service in performing flat-rate imaging projects. Generally, flat-rate services are ideal for document populations with consistent sizes and conditions, minimal indexing requirements, and high standardization. Regardless of the relative simplicity of the work, Image API will continue to adhere to ANSI/AIIM processes for quality and security. We will continue to follow our hiring standards/practices to ensure the confidential handling of Participating Agency documents both while in transit and while in production. We also will continue to apply our proven processes to ensure timely delivery and customer satisfaction. This consistency is what distinguishes our services.

Image API has an established presence in Texas and is committed to expanding our facilities and on-site capabilities when and where needed to meet the needs for flat-rate imaging services.

Preservation Imaging Services

Image API will provide the special equipment, special handling, and appropriate storage solutions required for preservation imaging projects. We have solid experience working with a variety of fragile, historical, and one-of-a-kind documents as well as with unique document sizes and paper types.

Examples of our experience include:

- Image API performed all of the imaging work on original Spanish Land Grants (dating back to the 1700s), Florida Early Constitutions, Florida Confederate Pension Applications, and World War I Enlistment Service Cards for the Florida State Archives. They are displayed at the State's site: www.floridamemory.com/Collections.
- Image API imaged old, oversized, and fragile engineering drawings for the South Carolina Department of Transportation. We transported the documents suspended vertically on special hangers to Tallahassee for the project.
- Image API used delicate document handling techniques to image a wide range of old newsprint and magazine documents for the Southern Poverty Law Center in Alabama.
- Image API imaged Civil War documents that dated back to the 1890s for the Mary Brogan Museum of Art and Science. These fragile documents were placed inside special Mylar® sleeves to keep them intact.

The Vatican Library – Document Imaging Archival Scanning: Image API remained a crucial expert for IBM's archival scanning for historical documents for The Vatican Library in Rome. This library was founded in 1451 by Pope Nicholas V, housing 1.5 million historical books along with 150,000 manuscripts. The documents contained in the library are some of the world's rarest books and manuscripts. One of these documents included the oldest known manuscripts of the Bible. At the time of this contract the Vatican restricted visitation to the archives to only 2,000 scholars per year. The Vatican, realizing the permanence of many of these documents was jeopardized by the advent of time and deterioration, contracted with IBM to transform these documents to digital images to preserve their existence indefinitely.

IBM contracted Image API to provide the unique and cutting edge expertise in technology for image enhancement to include line thickening, contrast and brightness adjustments, and de-speckling. Image API applied this technology to digitally reproduce fragile documents, manuscripts, books, and other material. Books, for example, could not be compromised by removing the binding due to the historical value of these irreplaceable books. Unique procedures had to be devised and implemented to scan the books while still in the bindings. While processing the documents, Image API developed exemplar manuals which could be referenced for similarly reproduced documents to reduce time and maintain the highest quality in the images.

From the processes utilized to image these documents, "tiling" was developed. This process greatly reduces the digital size of the images by utilizing images composed of tiles of color; a process which is still utilized today.

The result of IBM's and Image API's efforts has led to large repository of electronic versions of these rare and historical documents which would not previously have been available to the public. Many of these document images are used today by people throughout the world for research and reference.

As stated by Rev. Leonard Boyle, prefect of the Vatican Library, "All these wonderful books are only of use if they're read. Today this is a reality thanks to cooperative efforts of IBM and Image API."

Reference: New York Times Article dated March 28, 1995, IBM to Help Vatican Open its Archives to the Computing Masses.



Image API contracts with qualified archivists when necessary to evaluate historical documents and determine the safest procedures to follow in converting the files to digital images. We may use a variety of techniques and equipment including flat scanners, book and map scanners, customized Mylar® sleeve transport containers, high resolution capture settings up to 1200 PPI, environmentally controlled (and monitored) storage facilities, and others. Modern archivists are also concerned with preserving documents after imaging, i.e. making faithful digital reproductions, saving the output in an appropriate digital file format (to limit loss of information), and ensuring long-term accessibility to the digital versions. These factors are why Image API favors the TIFF file format for preservation documents.

Technology Services & Solutions

Image API is a technology company providing a range of software and related services to state government for over 20 years. Our core competencies are Electronic Content Manager (ECM) software technology and document conversion services, including comprehensive lifecycle document management and business process outsourcing. A highly skilled staff of professional project managers and technology experts drive all of our process improvement solutions.

Technical knowledge and expertise will be crucial components of the CCG Digital Imaging Services Contract. Image API provides an extremely experienced staff of project management, software development and implementation, networking, database, technical support, and business analysis personnel to support our implementations. Our technical expertise includes web technology, database design and migration (Microsoft SQL Server, Oracle, DB2, Microsoft Access), network services, mobile device (tablet) technology, Enterprise Content Management (ECM) and more. Expert application development staff are well-versed in a wide range of programming languages including Microsoft .NET Framework, ADO.NET, Win Forms, ASP.NET, ASP.NET MVC framework, Visual Basic, C++, Java, C#, ASP.Net, Windows Communication Foundation (WCF), Web services, XML, Ext JS, HTML/CSS, HTML 5, Unix, and more.

Summary

Image API's complete solutions will help the State of Texas achieve its goals for greater efficiency and cost savings in acquiring professional document imaging services and related document management solutions. We follow ANSI/AIIM quality standards, have extensive experience in document imaging for state government customers, and maintain the in-house technical, project management, and production capabilities to support any needs the State may have. All of Image API's work will be performed in the United States.

A.12.9 Proposed Solutions for CCG

A.12.9.1 Insurance and Security

A.6.1 Insurance Requirements

All provisions below apply to all work for a PA engaged in by virtue of the Contract.

A.6.11 Commercial Insurance: All insurance policies shall be issued by companies authorized to do business in the state of Texas. Each insurance contract or certificate of insurance shall:

- a. Be written on a primary and non-contributory basis.
- b. Include a waiver of subrogation clause.
- c. Provide 30 days advance written notice to CCG in the event any policy is canceled, non-renewed or materially changed.
- d. Name (CCG, its Board, Officers, Volunteers, Directors and Employees) as Additional Insureds to all applicable insurance coverage.
- e. Be issued from a company or companies having both a Financial Strength Rating of "A" or better, and a Financial Size Category Class of "VII" or higher from A. M. Best Company, Inc.
- f. All policies should be on an occurrence basis, with the exception of Professional Liability (Errors and Omissions) coverage which Contractor warrants that any retroactive date under the policy shall precede the effective date of the Contract and that either continuous coverage will be maintained or an extended discovery period will be exercised for a period of two (2) years beginning at the time work under this Contract is completed.
- g. Ensure all Certificates of insurance identify the described location site and the service or product being provided to the agency.
- h. Renewal policies shall be furnished to CCG 10 days prior to the expiration of the current policies with the appropriate specific endorsements included.

A.6.1.2 Minimum Required Amounts of Insurance Coverage:

- a. Commercial Automobile Liability:
Coverage provided should include: Any automobile, including hired and non-owned automobile liability at:
 - \$1,000,000 combined single limit for each accident
- b. General Liability, Occurrence Based, Bodily Injury and Property Damage:
 - Each occurrence limit: \$1,000,000
 - Aggregate limit: \$2,000,000
 - Medical Expense each person: \$5,000
 - Personal Injury and Advertising Liability: \$1,000,000
 - Products /Completed Operations Aggregate Limit: \$2,000,000
 - Damage to Premises Rented to You: \$50,000
- c. Umbrella/ Excess Liability-Minimum of \$10,000,000
- d. Workers Compensation & Employers Liability
 - Contractor must maintain Workers' Compensation insurance coverage in accordance with statutory limits covering all personnel who will provide services under the Contract.
 - Employers Liability: Each Accident \$1,000,000
 - Disease- Each Employee \$1,000,000

- *Disease-Policy Limit \$1,000,000*
- e. *Professional Liability (Errors and Omissions) Minimum of \$1,000,000*
Professional Liability covers professional errors and omissions or lack of ordinary skill for the work or professional services required by the Contract.
- f. *Cyber Risk Insurance covering acts, errors and omissions arising out of Contractor's operations or Services in an amount not less than \$5,000,000 per occurrence with a privacy endorsement.*
- g. *Comprehensive Crime Insurance or Blanket Fidelity Bond, including Employee Dishonesty and Computer Fraud Insurance covering losses arising out of or in connection with any fraudulent or dishonest acts committed by Contractor's employees, acting alone or with others, in an amount not less than \$5,000,000 per occurrence.*
- h. *All-risk property insurance covering loss or damage to Contractor owned or leased equipment and other assets in an amount not less than the full replacement cost of such Equipment and assets.*

Image API response:

Image API will provide CCG with a certificate of insurance within five business days upon award meeting the requirements listed above.

A.6.2 Security

A.6.2.1 The Contractor must provide for the security of all Documents picked up from PAs and the Documents must be transported in a closed and locked vehicle with appropriate climate control. Documents must be Secured in such a manner as to prevent them from being damaged or disarranged during transport.

Image API response:

Security of all document picked up from PAs will follow Image API uses standard procedures for pick-up and transport of customer documents; however, there may be slight variations within each procedure to meet the PAs special requirement. The standard procedures cover the following actions:

1. **Containers:** Image API requires that all documents be packed in appropriate and properly sealed containers for transportation. Each container must be identified by a unique number, name, or barcode, or other information attached to the outside and clearly visible.
2. **Loading:** The loading procedure is similar whether using Image API vehicles or a qualified commercial carrier. The procedures includes the documentation of the number of containers loaded into the vehicle with both the customer and Image API acknowledging by signature the accuracy of the count. A shipping manifest may be generated manually or though the Image API Case File Inventory & Tracking System (CFITS), if used in the project.
3. **Transport:** The transportation procedure includes the use of the most appropriate route available, taking into account distance, road conditions, weather conditions, time of day, and any other factors that may affect the time, safety, and security of transportation. These considerations are examined prior to each trip. Drivers are required to secure the vehicles at any and all stops for fuel, food, facilities, etc.
4. **Delivery:** The receipt of shipments at Image API includes the unloading, counting, and inspection of all document containers. Receipt of shipments is acknowledged by signature on the accompanying shipping manifest. Document containers are moved from the vehicle to an appropriate storage area within the facility.
5. **Drivers:** Image API drivers must undergo background checks and a review of their driving record. Drivers are required to complete security awareness training on all aspects of secure and confidential handling and transport of customer documents, including HIPAA

confidentiality requirements and Image API standard procedures for document containers, loading (or check-out), transport, and receipt (check-in).

A.6.2.2 The Contractor must take all necessary precautions to ensure against loss or theft while in possession of the Documents, or at any time while they are the Contractor's responsibility (as in the case where an authorized subcontractor is used). Additionally the Contractor must have appropriate staff criminal history checks and bonding per the PA's SOW.

Image API response:

Image API performs pre-employment security screening, criminal record checks, credit history, and employment verification on all personnel with no exceptions. Staff criminal history checks and bonding requirements per PAs specific SOW will be met.

Document conversion services often include the need to transport customer documents to our facilities. Secure, reliable document transport is best achieved with proven chain-of-custody procedures/inventory tracking, security/confidentiality measures, driver qualifications, appropriate vehicle capacity, and care of handling best-practices.

Our transportation services are assured by the following characteristics and practices:

- **Chain of Custody procedures/inventory tracking:** The ability to provide a documented record of document handling substantiates the integrity of documents from the customer's location to our facility and back (if returned). Chain of custody helps protect documents from legal challenge and provides assurance that documents were not mishandled or unaccounted for throughout the transport and production phases of document conversion services.
- **Security/confidentiality measures/ driver qualifications, vehicle capacity:** Image API uses enclosed vehicles that limit views into the vehicles from the outside. Employees follow well-defined security procedures that require the vehicles to be locked at all times. At no time will customer files be left unattended in an unlocked vehicle or on a loading dock during the loading or transportation process. Drivers carry mobile communication devices to maintain communications with our facilities. We track our vehicles for time, speed, and location. In the event of an accident, a backup vehicle is sent to the accident site to transfer the documents to our facility. Drivers must pass rigid background checks.

A.6.2.3 The Contractor must maintain proper control and handling of the Documents in order to prevent unauthorized access and/or access to the Documents by unauthorized individuals.

Image API response:

Knowledge and training are the most valuable security tools a corporation or agency can employ. Image API employees undergo training in document handling security. They are briefed and reminded about the need for awareness of their personal surroundings and security and are encouraged to provide input about any and all concerns they have about work site security.

- All Image API personnel receive training in HIPAA rules and procedures.
- Image API employees are briefed on all building safety and security measures employed for their protection.
- Image API installs proper external and internal security lighting. Employees are encouraged to report any lighting issues to company officials.
- Image API employees are encouraged to practice personal security measures, such as: securing personal property out of plain sight; reporting when any access doors are not

securely closed or are propped open to supervisors; and reporting the presence of unknown or unrecognized visitors to supervisors.

All personnel hired to work at Image API facilities are required to undergo and pass a Level 1 criminal background and financial stability check. This includes all temporary and permanent staff hired.

Other existing security measures are codified in existing Image API rules and regulations, most notably in the company Employee Handbook. Those policies contain security related guidelines and prohibitions on a variety of safety and security related topics such as:

- Cell phone and hand held devices policy
- Visitors in the workplace
- Restricted areas
- Computer and email usage
- Communication and computer system security and usage
- Office security
- Employee conduct and work rules
- Drug and alcohol use
- Workplace violence
- Domestic and sexual violence
- Guns in the workplace
- Security inspections
- Life-threatening illnesses in the workplace

Key Safeguards to Protect Documents and Data

Facilities & Transportation

- Fully secured facilities and internal walk-in vaults for confidential storage of records
- Monitored biometric access control systems restrict and track entry into our production facilities. The systems further control access to zoned locations within our facilities by specially authorized individuals
- Strict policies dictating role based security and separation of duties are in place to further secure the facilities. Monitored intrusion detection systems ensure immediate alarm notification
- Monitored fire detection systems provide immediate notification of alarm situations
- Chain of custody handling and secure driver procedures

Personnel

- Rigorous background and criminal history investigations of personnel
- HIPAA compliance training for all personnel to ensure confidential handling of records
- Chain-of-custody handling procedure training
- Drug-free work environment
- Internal auditing practices to reduce risk of theft or inappropriate handling
- Adherence to the in-house confidentiality and security protocols of our customers
- Upon request, Image API will commit to customer specific confidentiality agreements tailored to meet any special security measures a customer may require
- Secure on-site document conversion in cases where a customer does not want original documents removed from their facility

Systems

- Data storage in a manner consistent with best practices for protecting and preserving the data in a usable condition and preventing misuse and unauthorized access to the data
- Firewalls, authentication technology, and role based security options
- If required, stored data secured via cryptographic mechanisms
- Comprehensive data backup and disaster recovery plans to preserve data in the event of equipment or software failures and natural disasters (fire, storms, flood, etc.)
- Facilities in Austin, TX; Tallahassee, FL; and Huntingdon Valley, PA provide a safe geographical spread in the event of emergency management and disaster recovery
- Data disposal only by appropriately authorized Image API employees
- Records Management and document retention tools
- Web-based file tracking system records whereabouts and movement of documents throughout the conversion process

A.6.2.4 The Contractor must provide for Secure storage of Source Media while in its custody. It is reasonable for the Contractor to store Source Media for 30 Business Days before the start of a project and 30 Business Days after the completion date at no cost to PA. If there is a charge for additional days then it must be included on the Price Sheet. Completion date should be defined as the payment date for the records imaged.

Image API response:

Source Media may remain in our storage facility for a period of 30 business days prior to the start of a project for staging and preparation purposes. Image API also agrees to store source media for 30 business days after completion date or as agreed to under the requirements of PAs SOW to allow for quality assurance auditing, document destruction and recovery purposes. Following the retention period, if required, the paper documents will be shred onsite by our trusted contractor according to approved and HIPAA-compliant procedures. Logs will be maintained by warehouse staff to include an inventory of boxes that were shred as well as the date of destruction.

Processed hardcopy documents are boxed and prepared for retention storage. Boxes are inventoried, barcoded and sealed with a strip of sealant tape to ensure integrity of the contents and provide a visual alert to any tampering. Our box tracking and inventory system is used to track processed boxes from production, to warehouse, to return or destruction – completing the chain-of-custody requirements.

The primary objective of the security plan is to protect the confidential information of the citizens of Texas. Our security controls and practices will ensure access to only authorized users and will mitigate risk to the State and taxpayers through a combination of improved security administration processes, best practices, and advanced technology.

A.6.2.5 The Contractor must utilize a location that is properly Secured in order to ensure adequate protection against theft of or damage to PA Documents. Documents should not be exposed to food, drink, or other contaminants at any time. Documents must be unloaded and scanned in a Secure location and may not be left in an unsecure location or in a Secure location accessible to unauthorized persons.

Image API response:

As part of our management practices, we implement comprehensive security measures, as defined by Federal requirements, to safeguard the confidentiality of all documents and data from the point of receipt through destruction or change in custody. With over three decades of experience, we have gained our customers trust by handling millions of their most confidential documents.

Enhanced security controls include physical security at our Document Processing Center (DPC) as well as very specific processes governing secure document handling to maintain the highest levels of confidentiality.

Each employee is trained on HIPAA compliance prior to ever touching a customer's documents. Security awareness training extends to other types of security and sensitive documents, including:

- Building security
- Information security and confidentiality
- HIPAA compliance and privacy
- Fraud waste and abuse
- Incident reporting
- Non-disclosure policies and agreements

Upon completion of security training, employees will be issued photo ID badges, security cards and biometric system authorization. Employees are required to wear and display badges at all times when entering the processing facility.

Upon resignation or termination of specific projects, access will be revoked and any applicable security cards and/or photo badges collected.

Image API Axiom Pro™ implements a security management plan for the documents, data, policies, and procedures for document imaging services. The plan has five core components, including:

- A high-level Security Policy Manual which delineates key Security Policies. These policies derive from a thorough compilation of State and Federal requirements and acknowledged security best practices
- A streamlined process for rapidly reporting and investigating actual and perceived Security Incidents
- An aggressive security audit and testing process which utilizes a range of compliance measuring methods and tools
- A facility security plan to manage and monitor access to the Document Processing Center as well as the security of its assets and employees
- A systems security plan to manage and monitor access to document processing applications or hardware as well as the security of any data or documents stored permanently or temporarily in those systems

Security of the job site and customer's source media processed are of greatest concern of Image API. We recognize that security is more than door locks and alarm systems; the best security preparations include security awareness, knowledge and training.

Physical Security Measures

Image API work sites are evaluated for overall physical security. The rudimentary security concerns – strong door locks, sealed or secured windows, proper lighting – are all in place prior to any work beginning at any site.



Beyond that, Image API facilities are protected by a multi-level security screen which will include the following:

- Alarms are installed at all Image API work sites and monitored by a licensed security provider to protect against break in, fire or other illegal or improper entry. If available and applicable, glass-break technology which detects the sound of breaking glass is installed. The alarm system is engaged during non-working hours, and the names and phone numbers of selected company contacts given to security providers to ensure a member of the management team is always on call to answer alarm calls.
- During working hours, access to any Image API work site is limited to one central entry way for pedestrian visitors and one central loading dock area for deliveries. Access through those doors is controlled and monitored by assigned company personnel.
- Image API employs the latest in biometric access control and/or key-card entry control at its work sites. Biometric or fingerprint control may be utilized to control access to general work or production areas. A second level of key-card entry controls access to sensitive areas such as server rooms and vault areas.
- All Image API facilities are in close proximity to fire stations and hydrants.
- No facility is placed in a flood plain or any area subject to flooding.
- Image API prohibits and strictly enforces rules against bringing food or drinks into our document conversion work area.



The little things...Image API keeps trash cans and bins completely under tables to prevent accidental loss of OAG case file pages.

Personnel Security Measures

Regardless of any measures undertaken to eliminate potential external security threats, Image API recognizes the potential of internal threats to work site security. To guard against such threats, the following steps will be taken at each work site:

- All personnel hired to work at Image API facilities in Texas are required to undergo and pass a Level 1 criminal background and financial stability check. This includes all temporary and permanent staff to be hired.
- Image API personnel policies prohibit the carrying or displaying of any weapons on the grounds of its facilities, within guidelines already established by the U.S. Court or Texas Courts systems. This includes any objects identified by law enforcement agencies as potential weapons.
- The wearing of controlled, company-produced security badges may be required for all Image API personnel. Badges may be used for employee identification purposes only, or may be incorporated into the internal access control system.

A.6.2.6 Contractor's facilities must meet or exceed the following minimum security and environmental requirements:

- a. physical security and access control systems;*
- b. basic environmental controls, such as air conditioning and heating;*
- c. an automatic fire detection system;*
- d. emergency opening and alarm activation capabilities that are in compliance with all applicable government fire and safety codes; and*
- e. 24 hours per day / 365 days per year police and fire monitoring.*

Image API response:

Image API practices a robust security program to protect customer documents and data from damage, loss, and unauthorized disclosure. We secure our buildings, provide internal vaults, screen and train our employees, practice chain-of-custody handling, and adhere to all standards applicable to the handling of confidential records.

Our security program includes:

- Monitored biometric access control system with facility zoning to limit employee access to only those areas they are authorized to enter
- Recorded video surveillance of production operations, including areas where mail is received, opened and sorted, as well as key production areas such as imaging and document preparation.
- Monitored intrusion detection and fire alarm systems
- A drug-free work environment
- Rigorous background and criminal history investigations of personnel
- A secure walk-in vault capable of holding over 10,000 cubic feet of records
- Internal auditing practices to reduce risk of theft or inappropriate handling
- Adherence to the in-house confidentiality and security protocols of our customers
- Upon request, Image API will commit to customer-specific confidentiality agreements tailored to meet any special security measures a customer may require
- Secure on-site document conversion in cases where a customer does not want original documents removed from their facility
- Compliance with HIPAA regulations for the handling of medical records
- Experience in the secure handling of highly sensitive non-public documents

Knowledge and Training

Knowledge and training are the most valuable security tools a corporation or agency can employ. Image API employees at all company locations undergo training in document handling security; are briefed and reminded about the need for awareness of their personal surroundings and security, and are encouraged to provide input about any and all concerns they have about work site security.

- Beyond any purposeful action which may pose a threat to customer materials, the careless handling or mistreatment of customer material will not be tolerated at any Image API work site. Personnel are trained in the proper way to handle, track, store and move customer materials within facilities and in transit
- All Image API personnel receive training in HIPAA rules and procedures for the handling of sensitive medical records. Image API also trains its employees in the proper way to handle sensitive and non-sensitive material. In addition, Image API will see to it that any additional document security or information privacy training the state requires is provided and understood by its Texas employees
- Image API employees are briefed on all building safety and security measures employed for their protection. This includes being told the location of emergency exits, taking part in emergency evacuation exercises, training in how to properly secure all customer material in an emergency and being shown the location and use of fire extinguishers, first aid kits and phones to use in case of emergencies
- As much for building security as employee security, Image API will install proper external and internal security lighting where necessary at its Texas facilities. Employees are encouraged to

report any lighting issues to company officials who will see to it those concerns are addressed quickly

- Image API employees are encouraged to practice personal security measures, such as securing personal property out of plain sight; reporting when any access doors are not securely closed or are propped open to supervisors; and, reporting the presence of unknown or unrecognized visitors to supervisors

Computer and Data Security Measures

Image API pledges to employ sophisticated security measures to protect its computer systems and technology and customer data from accidental or purposeful destruction or loss. Such measures will include the following:

- Data storage in a manner consistent with best practices for protecting and preserving the data in a usable condition and preventing misuse and unauthorized access to the data
- If required, stored data must be secured via cryptographic mechanisms
- Data backup and disaster recovery plans to preserve data in the event of equipment or software failures and natural disasters (fire, storms, flood, etc.)
- Backups using remote offsite replication
- Data disposal only by appropriately authorized Image API employees
- Use of generally accepted disposal technology
- Web-based DTS system tracks records moving throughout our process (this provides ability to retrieve customer records if needed while in process)

A.6.2.7 Immediately upon becoming aware of any loss, damage to or theft of PA Documents, data, Images, etc., the Contractor must notify the PA and the Contract Administrator.

Image API response:

Image API will establish and maintain a process for documenting, monitoring and reporting security issues consistent with the PA's requirements. Specifically, the Image API Production Manager will maintain a log of all security violations, including systems, facilities or data. Each security incident or issue will be documented with a Security Issues Report which will be submitted to the PA immediately upon violation discovery. Upon discovering a possible improper inspection or disclosure of FTI, including breeches and security incidents, by a Federal employee, a State employee, or any other person, the individual making the observation or receiving information should contact the HHSC IRS Coordinator.

The following report template will be used to document and report security issues:

- Security Violation (please describe)
- Date Violation Occurred
- Person(s) involved with incident/issue
- Describe how the violation occurred
- What impact did the violation have on operations?
- Did the violation involve a breach of IRS TSI or HIPAA information? If yes, please describe
- What action was taken in response to the violation?
- Who was notified of the violation and when?
- What corrective action will be taken to prevent future violations?

We minimize the possibility of loss of data and/or images with the following:

- Using our standard backup procedures (options include CD/DVD backup, server backup, offsite storage, others)
- Storing original documents in a vaulted facility while transporting conversion files to the customer (return shipping original documents only after verifying safe receipt of images and/or microfilm)
- Providing environmentally controlled facilities to reduce the risk of microfilm/microfiche degradation
- Creating a disaster recovery plan identifying all actions to be taken in the event of catastrophic events

A.6.2.8 The Contractor must perform all functions of the Contract and keep all related data within the United States. All work and data must remain in the United States.

Image API response:

Image API will perform all functions of the contract within the United States. We believe that sending documents offshore exposes government entities to security risks. Our facilities are fully secured with locations in Austin, TX; Tallahassee, FL; and Huntingdon Valley, PA for service solutions and data storage/backup.

A.6.2.9 The Contractor must handle, distribute, and store confidential Documents in accordance with all applicable security regulations and laws, including but not limited to Texas Business and Commerce Code Chapters 521, 501, 502, and 503; 15 USC §§6801 et seq. (Gramm-Leach-Bliley Act), 26 USC §§6103, 6108, 7609 (Tax Reform Act), 5 USC §552a (federal Privacy Act); 29 USC §1181 et seq. (HIPAA).

Image API response:

We will comply with all applicable security regulations and laws including those cited in section A.6.2.9.

As a government contractor, Image API handles highly confidential documents on a daily basis. Image API employees must pass rigorous background checks. HIPAA training is provided to all Image API employees through a HIPAA qualified trainer.

Image API further protects the confidentiality of documents by securing our facilities with monitored intrusion alarm detection and a zoned biometric access control system. The zoned access control system protects against unauthorized access to areas within the facility including our vault area. The vault area is used to store confidential documents and preservation-type documents.

The highest level of data security using firewalls, encryption techniques (on both devices and data), logons and passwords, Secure Socket Layer (SSL), and other protocols are utilized at our facilities.

A.6.3 Source Document Destruction or Return

Upon termination or completion of all work and/or at specified intervals as required by PA, the Contractor must comply with the PA requirements for Document disposal or return. All source Documents and materials produced or delivered, if not already the property of the PA, will become and remain the property of the PA.

When required by the SOW, the Contractor must destroy (rather than return) the Source Media and send written confirmation to the PA that the information has been destroyed. State agencies are required to use the set-aside [Document Destruction Services](#) Contracts as per [Human Resources Code](#)

[§122.008](#) and Contractor(s) are encouraged to accommodate the PA requirements. It is not expected that Documents are to undergo Re-preparation if the Documents are to be destroyed; however, it is always dependent on PA requirements as spelled out in the SOW as to what will be required with Documents following imaging.

A.6.3.1 All data must be destroyed in accordance with PA records series retention periods and records management practices via written consent. If there are no applicable State or PA retention requirements for the data, the data must be destroyed twelve (12) months after the imaging project has been completed. This requirement includes any data that may have been captured by scanning devices used in a Digital Imaging project for any PA. The Contractor must comply with the requirements of [1 TAC §202.28](#) or [§202.78](#), as applicable, regarding destruction of information stored on hard drives or other media.

Image API response:

Image API will comply with the requirements cited in section A.6.3.1.

A.6.3.2 The Contractor must describe in Section A.12.9.1 how all data Captured will be destroyed once data backup and retention requirements no longer apply and certify in writing to the PA that the information has been destroyed.

Image API response:

Document retention and destruction are part of the Image API solution. This feature pertains to both physical and electronic documents and data. Our conversion services store customer data until the customer has reviewed converted images and metadata, verified the quality and completeness, and signs the final acceptance. Image API destroys the data using both automated and manual methods and will document the date, time, and data destroyed for the customer.

For retention of electronic records, Axiom Pro™ includes records management and retention tools. Based on the legal retention schedule of the PA, the system can provide an automated or manual destruction of the records. This feature includes reporting tools and activity logs.

A.6.6.6 Disaster Recovery

The plan must include a detailed listing of alternate service facilities, redundant computer/network systems, order processing systems/customer service personnel and equipment, redundant communications systems, etc. Indicate your companies “double” redundancies that will add assurance if both the primary and backup were compromised, data could be restored. In addition, the plan must describe in detail the methodology, technology and infrastructure necessary for the Contractor to backup and restore the PA Documents. Use your response in Section A.12.9.1 to describe your Disaster Recovery Plan and Procedures.

Image API response:

Image API offers comprehensive Disaster Recovery (DR) planning and Continuity of Operations (CoOP) for the PA. The model for DR planning includes Preparedness → Mitigation → Response → Recovery. Emergencies and “disasters” can come in a variety of forms:

- Natural Hazards including weather related emergencies, natural disasters, and fire
- Human intervention such as arson, theft, vandalism, or human error
- Technological emergencies such as communications, computer, or component failure

The Image API Emergency Management Team takes into consideration the duration of such events. As such the DR and CoOP planning is defined in both long-term and short-term response plans. DR plans include a communication plan with the PA including emergency contacts. This communication

plan includes daily exercises, reporting, and emergency notifications. These plans are reviewed and tested annually with participation from the PA.

Austin, TX Facility: Image API's document processing facility in Austin, Texas serves as a production facility for local operations in Texas.

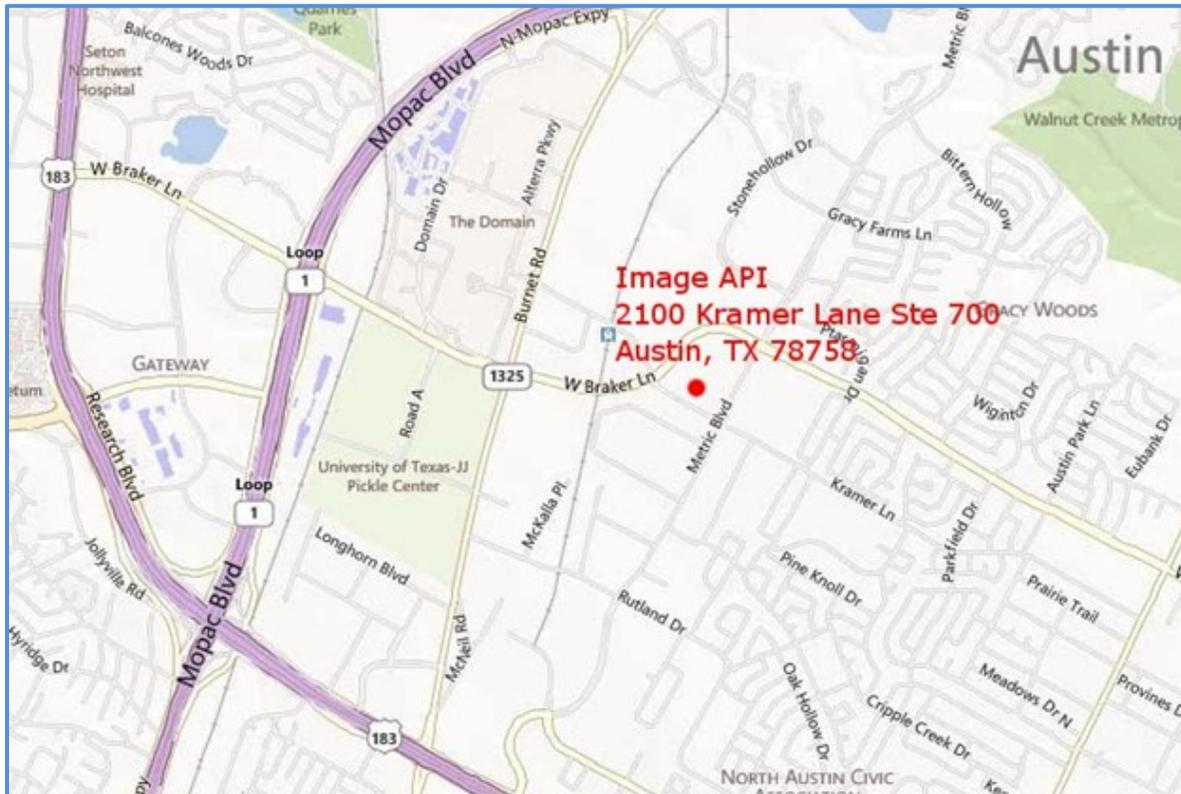
2100 Kramer Lane, Ste 700
Austin, TX 78758
512-372-0200

Image API's 14,000 square foot facility has a large open floor plan designed for mail receipt and sorting, document prep, indexing, scanning and storage. If necessary, Image API has the ability to expand our overall equipment and staffing capacity by indexing documents in our Tallahassee, FL production facility through secure connectivity to the Axiom Pro™ disaster recovery system in Austin. The Austin facility is equipped with five high-performance OPEX 7200t scanners with the capacity to scan 280,000 images per day over two shifts.



Image API staffs the Austin site with Project Managers and document processing staff to meet the needs of current projects.

Austin, TX Location



Tallahassee, FL Facility:

Image API headquarters and main processing facility:

2002 Old St. Augustine Road, Ste D
Tallahassee, FL 32301
850-222-1400

The processing center is a single-story building approximately 31,000 square feet in size. Image API occupies the entire facility. Public access is available through the front door reception area.

Activities in the processing center include healthcare license processing, content management processing, and ECM hosting services. Services include mail pickup and processing, sorting, paper-to-digital-file conversion, indexing, payment processing, printing and mailing, file output, electronic transfer of data to and from the building, and other auxiliary functions.

The processing center houses the computer systems, storage devices, communications devices, and other equipment necessary to provide these services to the PA. The processing center building also serves as Image API's corporate headquarters and houses executive management, administration, project management, programming, and sales and marketing.

Facility Security

The processing center is protected by a variety of systems operating 24-hours-a-day. These systems are designed to protect the facility, assets, and personnel.

Systems include:

- Monitored intrusion detection system
- Recorded video surveillance CCTV system
- Biometric access control restricting employee access to various locations within the building
- Monitored fire alarm system

The access control system is separated into different security “zones” within the facility.

- Zone 1 = Management and Administration offices
- Zone 2 = Production Floor
- Zone 3 = Server Room/Data Center
- Zone 4 = Vault

Security policies within Image API dictate these areas are managed with the least privilege and least common mechanism principles for access security. (*i.e. Users are given the least access necessary to perform their duties.*)

Facility Power

Our server room and data center have multiple backup sources. Each device in the data center is powered by a battery Uninterruptible Power Supply (UPS) keeping the units operational during power interruptions. Additionally, the entire data center is backed up by an onsite diesel generator capable of running for approximately 4-5 days. Power redundancy keeps the mission critical systems up and running during routine or extended power outages. Emergency lighting and exit signs are also available on backup power. Backup power sources are serviced on a quarterly basis and tested annually.

Facility Climate Controls

The data center serves as the central hub for all electronic data, computing, and networking activities for the company. This is a centrally located, closed room within the facility containing many electronic devices. Rooms such as these are susceptible to heat static electricity. Image API has a two phase climate control system within this data center to keep a constant temperature and humidity which is serviced on a quarterly basis.



Monitored intrusion detection; biometric access control; storage vault; role based security zones exist in each Image API facility.

A.6.6.7 Systems Security

A.6.6.7.1 *The Contractor must not connect imaging equipment to the internet without PA's prior written approval.*

Image API response:

Image API will comply.

A.6.6.7.2 *The Contractor may offer Secure tiered storage (e.g., online, nearline, offline) if applicable. An agency may require Secure tiered storage for the hosted Images in the SOW.*

Image API response:

Image API conversion services utilize RAID storage to offer redundancy and data protection. Additionally, the Axiom Pro™ technology provides comprehensive data replication features. These features include the ability to assign multiple SMB data repositories, priority data tiers, onsite and offsite storage, and encryption.

A.6.6.7.3 *Use your response in Section A.12.9.1 to describe the security of your system (e.g., network, servers, hard drives) and protection of confidential information.*

Image API response:

Customized hosted environments and administration are based on individual project specifications. A system can be comprised of hardware (server and customers) and software (server and customers). When specified an application may reside on a separate network when directed by project specifications. Other in-house hosted applications will reside on the "imageapi.com" domain network.

System Roles (Separation of Duties)

The purpose of system roles and the separation of duties serve to restrict the use of administrative privileges, and provide the Administrators, Development Teams, and Users only with the access needed to complete their job responsibilities. These restrictions are managed by domain user groups.

- Security Administrators
- System Administrators (Domain Administrators)
- Application Developers (Programmers)
- End Users
- Public Users

Security

- **Authentication.** Image API Inc. uses Active Directory to authenticate to the "imageapi.com" network domain. User authentication for customer/server applications within this domain are regulated using a single sign-on for consistent security practices. Project specific applications and web interfaces may have custom authentication methods and practices based on project specifications. Users of these systems only have access to the data presented within the application's user interface.

- **Password Security.** Image API enforces strong passwords. Each active directory password must be at least eight characters in length, include at least one special character, capital letter, and numeric digit. Each user will be prompted to change their password every 90 days.
- **Authorization Process.** Approved data owners may request changes to a user's access privileges or system roles. These requests are made to the Security Administrators for new users, changes to existing users, and termination of a separated user. A network user ID will be assigned and appropriated system privileges given based on the approved user level.
- **Password Changes and Resets.** Password changes and resets are managed by the Image API help desk.
- **Root accounts.** The root accounts for Image API servers are only known by three individuals within the System Administrators group. The root and administrator passwords are changed twice per year or if status changes for any of the system administrators.

Physical Security

Systems within Image API are held behind multiple layers of physical security. All systems are behind a monitored security system with both biometric fingerprint access control and intrusion detection. These security systems are present in both Image API facilities (Austin, TX, Tallahassee, FL and Huntingdon Valley, PA). The main data center resides at our headquarters in Tallahassee, FL. The data center is centrally located within the building and is behind another layer of security. A card-swipe mechanism is in place with access granted only to personnel with an approved business reason for access. Environment safeguards and redundancy are also in place to ensure safety to the equipment.

Backup and Recovery

Image API has developed and implemented a comprehensive data backup and recovery solution. This solution includes both on-site and optional off-site data storage. Critical data has been segregated into Tier1 and Tier2 categories. Tape backups have been replaced by RAID disk storage.

Specific projects may require different backup strategies. Image API has implemented warm-failover solutions when the project specifications require. Other backup strategies currently implemented include Daily Full, Daily Incremental, Weekly, Onsite, Offsite, and database transaction logs up to 30 minute intervals.

A.6.7 Process Requirements

A. 6.7.1 Source Media Inspection - PA shall present documents and/or media in uniform cases/boxes that are suitable for shipping. Submitted shipments shall be accompanied by inventories sufficient for Contractor to identify Documents/media shipped. Details of required packaging and inventory will vary, depending on the job. In general, paper Documents shall be presented in uniform, standard Document boxes.

Image API response:

Image API will comply with the requirements of source media inspection. We will dispatch qualified staff members to inspect the PA's source media prior to project start. In order to provide reliable project estimates and avoid change orders, we prefer inspecting the source media as early as possible.

A.6.7.1.1 *The Contractor must inspect all Source Media and notify the PA of any condition which may affect successful performance of the work required. Such notification must be received by the PA within a maximum of ten (10) Business Days, or as stipulated by the PA, following receipt of the Source Media.*

Image API response:

Image API will inspect all source media and notify the PA of any condition which may affect successful performance of the work required. We will notify the PA within 10 business day following receipt of the Source Media or as otherwise stipulated.

A.6.7.1.2 *The Contractor must disclose any damage to Source Media during the Digital Imaging process immediately upon becoming aware of such damage or within one hour during normal business hours or at the start of the next Business Day if afterhours. Disclosure should be by phone, followed by same day written notification.*

Image API response:

Image API will disclose any noticed damage to source media during the digital imaging process immediately upon awareness of such damage within one hour during normal business hours or at the start of the next business day, if damage occurred afterhours. Such notification will initially be disclosed by phone followed up with written notification.

A.6.7.2 Indexing

The Contractor must provide an index or multiple indexes as specified by the PA.

Image API response:

Image API offers a range of indexing capabilities to support the PA's data capture requirements, including manual data entry, bar code recognition, use of primary key and existing databases to auto-populate index fields, and advanced capture such as ICR, OCR, OMR, etc.. We follow ANSI/AIIM standards for statistically valid sampling techniques to ensure the accuracy of index capture and to meet the quality requirements requested by the PA.

Image API's analysis of indexing requirements may include a review of existing metadata associated with each document type or document category and an assessment of the indexing data available from data files provided by CCG or PA. The primary goal of establishing indexing criteria should be to identify indexing that will assist a user in the search and retrieval of a document in the EDMS system.

Image API team will work together CCG and PA's on specific opportunities to identify, document and validate the required document classes and indexing criteria/metadata for day-forward and backfile documents. It is critical to validate and receive approval on the document types and indexing criteria early in the project schedule to allow time to finalize the imaging processes and procedures and prepare and configure the imaging software. Image API will create an exemplar manual to include each of the defined document types within a case file. Image API has the ability to perform automated document classification to classify documents. The success of automated classification is based on the ability to "train" the software to recognize documents based on defined criteria and images.

A.6.7.3 Index Quality

The Contractor must ensure Indexing accuracy of 98% or higher using methods such as Independent Double Key Entry or its equivalent as required by the PA. This is measured by the elements in the Document not just the number of Documents scanned. Include in your response to Section A.12.9.5 your company's historical Indexing accuracy and any guarantee you provide to ensure greater than 98% accuracy.

Image API response:

Image API provides indexing accuracy up to 99.9% using a variety of Quality Assurance (QA) techniques including double key entry in keeping with State of Texas Records Management guidelines. Additionally, our indexing capture software – CapsureIT™ - provides a statistical sample of documents to verify accuracy based on the accuracy percentage level established by the PA. Axiom Pro™ can select a statistically valid random sample of indexed documents to meet any accuracy level required.

A.6.7.4 Image Quality

The Contractor must ensure Image consistency (e.g., Image contrast, brightness, tone, hue, exact color matching) as required by the PA. During the SOW process, Contractor shall submit samples of Documents at different DPI settings to determine which provides the best Image for the cost. A pre- production sample of sufficient record count size that is agreed upon by the parties shall be furnished prior to full production in order to determine compliance with all job formatting and final product output. See Section A.6.5 for standards.

Image API response:

Image API visually inspects and corrects captured images for consistency as well as skew, edge lines, and overall readability in keeping with the Texas Records Management requirements for document imaging.

Our document capture software, CapsureIT™, includes our ScanFix™ module, an image clean-up wizard which automatically examines documents for image quality deficiencies and corrects the problem. By automating image enhancement, we reduce the manual effort to correct images and improve overall quality. ScanFix™ image enhancement includes:

- Auto-rotates and de-skews images
- Detects color and deletes blank pages
- Detects and removes black borders
- Removes lines on typewritten forms
- Removes random pixels in an image (De-speckling)
- Removes shaded backgrounds
- Sharpens the edges of type characters

Image API's quality control processes are designed to ensure that the quality of the digitized images and associated indexes meet the minimum standards required by law and by the quality and performance standards set by the agency. Procedures include, but are not limited to image inspection, scanner testing, and verification of image and index data recording.

Image Inspection- Images may be displayed for inspection either immediately after scanning or just prior to index entry. Documents may be scanned in batches for inspection at some later time. The combination of image inspection and index data entry can be very effective. If the displayed document serves as a source for indexes, the operator must examine the images closely. The quality

control operator must look for whether the document was scanned right-reading, the document passed through the scanner without skewing or folding edges, the document is obscured in any way. The operator must confirm that the small print, light pencil marks, and faded areas are legible. State standards require that every scanned image is visually inspected.

Scanner Testing - Scanner testing provides a means of quality control from document input to output. The use of ANSI/AIIM MS44-1988 is required for paper scanners and ANSI/AIIM MS49-1993 is required for film scanners. The purpose of these procedures is to allow the operator to determine that the scanner is properly setup before scanning documents. Secondly, the procedures give the operator knowledge of what the scanner is capable of and finally to provide the user with information needed to set up criteria for quality control procedures. Verification of Image Recording- In order to confirm that optical disk drives and other system components are recording information properly, a sample of recorded images should be retrieved from optical disks and displayed or printed for operator inspection and comparison with the source documents. This should be performed daily during the first several weeks of system implementation and periodically thereafter. Original documents should not be discarded until reliable, consistent optical disk recording is confirmed and all state standards are met.

Verification of Image Recording - In order to confirm that optical disk drives and other system components are recording information properly, a sample of recorded images should be retrieved from optical disks and displayed or printed for operator inspection and comparison with the source documents. This should be performed daily during the first several weeks of system implementation and periodically thereafter. Original documents should not be discarded until reliable, consistent optical disk recording is confirmed and all state standards are met.

Index Data Verification - Since many retrieval operations involve an exact match of a specified character string, or numeric value, a data entry error involving a single character in an index record can render its associated image non-retrievable. Two methods of index verification can be used. Visual proofreading is one method in which the operator visually verifies each index. This method is less costly than the second method, but can result in errors. The second method is known as double keying the index. This method assures index accuracy because two different operators are required to input the same index information. The computer then checks for discrepancies between the two entries and alerts the operator if the indexes do not match. While this method assures an accurate index, it also doubles the time and cost of data entry of index material.

A.6.7.5 Quality Assurance

The Contractor must perform quality assurance review/testing during the project(s) in accordance with the PA's requirements. The PA reserves the right to perform reviews/testing on any deliverables resulting from this Contract at any time during the project(s).

Image API response:

Image API understands the importance of accuracy and quality in its processes, procedures and project deliverables. Accuracy and quality extend throughout every phase and step of the process associated with performance of the services required. Image API uses statistically valid sampling techniques along with electronic and procedural checks and balances to ensure accuracy. All quality assurance steps will have specific records and metrics associated with the step. All quality assurance activities and accuracy rates will be provided to the PA as required.

Procedurally, Image API incorporates a series of tasks in every stage of document processing to ensure a quality job from the start. In addition, a formal quality assurance audit is performed monthly based on criteria and performance measures designed and set by the PA.

The objective for Quality Management is to establish the processes and procedures needed to ensure that the project deliverables meet or exceed specifications and that the work being performed fulfills key performance factors and complies with contractual requirements.

It is clear that the CCG and PAs has a strong interest in and concrete requirements for Quality throughout imaging and conversion projects. Our goal is to not only prevent deviations from the product specifications but also to implement an active monitoring system that provides an early warning of any trends away from the desired standards. This monitoring system also provides a framework within which critical or unforeseen issues can be detected and resolved in a timely manner.

At Image API, we understand that Quality Assurance is doing the right things the right way. Our quality assurance process follows ANSI/AIIM quality assurance sampling standards to ensure appropriate image quality and index capture. The guidelines exist to ensure that the quality of the digitized images and associated indexes meet the minimum standards required by law and by the standards set by the Customer. Our operators visually inspect and correct captured images for consistency as well as skew, edge lines, and overall readability.

If the displayed document serves as a source for indexes, the operator must examine the images closely. The quality control operator looks for whether the document was scanned right-reading, whether the document passed through the scanner without skewing or folding edges, and if the document is obscured in any way. The operator must confirm that small print, light pencil marks, and faded areas are legible.

Approach

- Obtaining a thorough understanding of the requirements, specifications, and deliverables.
- Applying proven project management principles and methods to all aspects of the operation.
- Applying best practices and lessons learned at Image API through many years of experience with a variety of large scale conversion projects.
- Applying ANSI standards relative to Document Processing such as: ANSI/AIIM TR/15-1997 Prepping Standards, ANSI/AIIM MS44-R1993 Scanning Standards, ANSI/AIIM MS55-1994 Data Entry Standards, and ANSI/AIIM TR39-1996 Quality Assurance Standards as reflected in the Image API Quality Adherence Manual.
- Providing personnel, equipment, software and IT infrastructure that are appropriate for the task.
- Providing the workforce with effective quality control tools and methods and also providing them with detailed training on the criteria to be met, processing procedures, and steps to take if deviations or unexpected situations are encountered.
- Designing reports, audits, and deliverable acceptance criteria customized to the specific needs of the customer.
- Providing a project manager that is readily available throughout the life of the project to provide continuity, status reporting, and escalation of critical issues as needed.

- Providing on-going communications between the workforce, project management, support staff and customer representatives to insure that all lessons learned can be translated to improved operating procedures as quickly as possible.

Reporting

Image API will implement a quality assurance measurement tool to track, monitor and report on errors and quality issues. Weekly and monthly quality assurance reporting will provide DCF with the data necessary to monitor and measure our quality performance. Quality assurance reports are available in summary or detail form including information on the number of errors by type, corrective actions and overall performance on the established criteria. Reports are used to evaluate if quality requirements for the project are being met, to validate that contract Service Level Agreements are met, and appraise each area's quality related job performance. Feedback on quality is provided on a real-time basis.

Standards

Our quality assurance objectives and performance measures are driven by the standards set by the PA, as well as our own high standards of quality and excellence. Image API adheres to industry standards governing quality established by the Association for Information & Image Management and approved by the American National Standards Institute governing the handling, conversion and indexing of customer material. These standards were developed to preserve the integrity of hardcopy documents that are converted to digital formats.

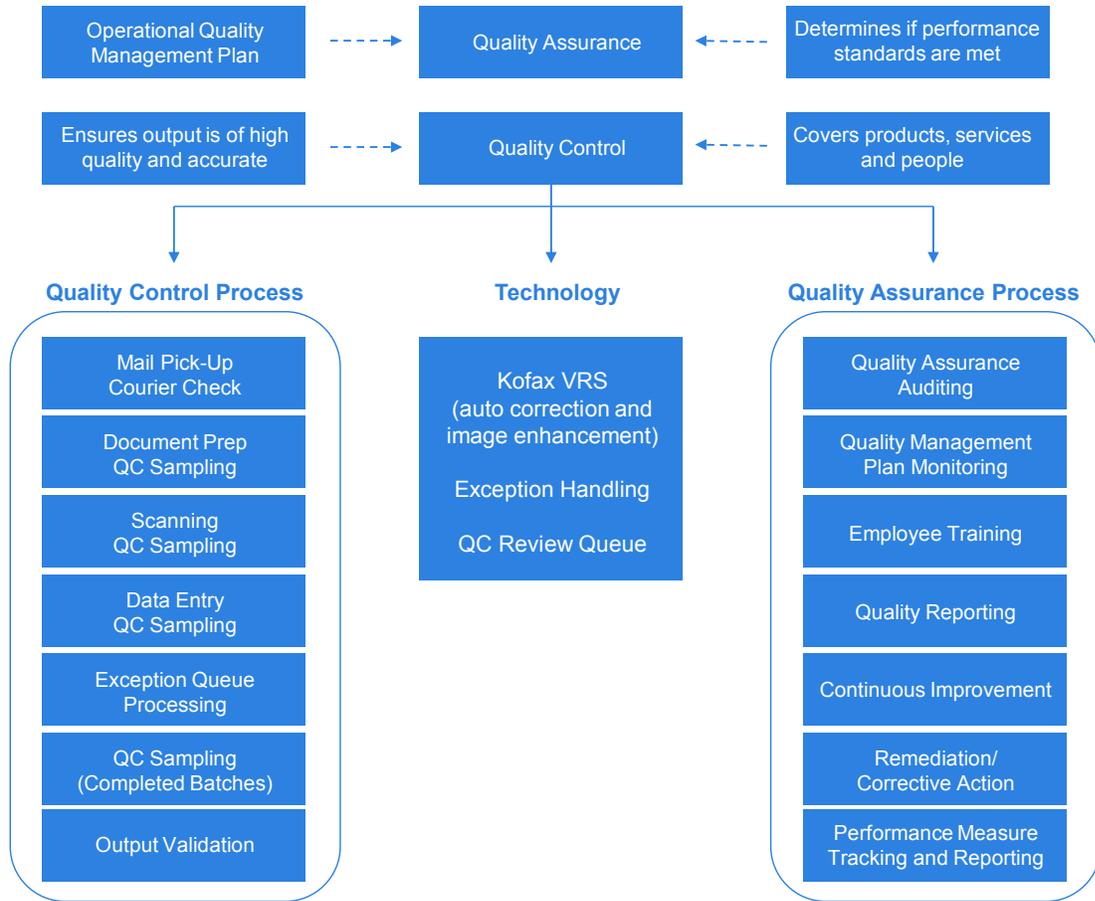
Adherence to the ANSI/AIIM standards ensures the highest quality of reproduction, which is critical to the success of capturing accurate and legible documents. Each step of our process references a different set of standards, including:

- Document Prep. ANSI/AIIM Planning Considerations Addressing Preparation of Document for Image Capture, specifically ANSI/AIIM Standard TR15.
- Document Scanning. ANSI/AIIM Recommended Practices for Quality Control of Image Scanners, specifically ANSI/AIIM Standard MS44.
- Indexing/Data Entry. ANSI/AIIM Standard Recommended Practice for the Identification and Indexing of Page Components for Automated Processing in an Electronic Image Management Environment, specifically ANSI/AIIM Standard MS55.
- Quality Assurance. ANSI/AIIM Sampling Procedures for Inspection by Attributes of Images in Electronic Image Management (EIM) and Micrographic Systems, specifically ANSI/AIIM Standard TR34.
- In addition, we apply special guidelines to our scanning equipment, including:
 - Equipment purchased solely from vendors meeting ANSI quality standards.
 - Equipment maintenance routines according to ANSI standards for reliability and quality imaging.
 - Compliance with ANSI/AIIM standards for calibration of equipment every 4 hours using AIIM targets.
 - A specially trained computer and scanner technician dedicated to each project to calibrate and adjust equipment, troubleshoot problems and perform repairs if necessary.
 - Equipment repairs times guaranteed under manufacturer service contracts.
 - An in-house inventory of key equipment parts and components.

Image API Quality Management Plan (QM Plan) provides a broad and comprehensive framework for implementing quality management processes and practices our imaging and conversion services. Our goal is to deliver a quality assurance program that is both measurable and auditable and reflects a commitment to continuous improvement. The Quality Management Plan establishes the processes and procedures necessary to ensure compliance with contractual requirements, key performance requirements, and Federal and State requirements. Image API will update the QM Plan as processes or requirements change, improvements are introduced and as required or directed by PA.

The QM Plan includes the overall approach, methodology, processes, and procedures used to manage and maintain quality service. Further, the scope includes the following quality management components:

- Roles and Responsibilities
- Approach and Methodology
- Document Management
- Quality Assessment
- Preventive Action
- Corrective Action and Continuous Improvement
- Reporting



A.6.7.6 Corrections

A.6.7.6.1 *Digital Imaging errors, including deficiencies in Image quality, consistency, or enhancement, caused by the Contractor must be corrected and not charged to the PA. The Contractor must be liable for corrections for twelve (12) months from Output Media delivery, unless otherwise*

Image API response:

Image API agrees and will comply. It is a standard practice of Image API to rescan any images that fail to meet image quality requirements. We rescan images based on our own QA reviews as well as those by the customer. We agree to be liable for such corrections for 12 months from output media delivery or as specified by the PA.

As part of our quality control process, Image API identifies and corrects any poor images. Our operators use our image enhancement module to improve image quality or re-scan the page. The image enhancement module provides a variety of capabilities including de-skew, de-speckle, line removal, noise removal, smoothing, border removal, and automatic page removal (based on a minimum image size threshold).

A.6.7.6.2 *The Contractor must rescan assignments that have an error rate exceeding the PA SOW tolerance for errors at no charge to PA.*

Image API response:

Image API agrees to rescan assignments that have an error rate exceeding per the PA SOW tolerance for errors at no charge to PA.

A.6.7.7 Returned Source Media

All Source Media provided by the PA must be returned with the delivered product in the same condition and sequence as the original submission unless otherwise specified by the PA.

Image API response:

Image API will define “re-preparation” requirements and implement appropriate processes based on the PA’s requirements to return all source media to the PA in the same condition and sequence as the original submission unless otherwise specified by the PA.

A.6.7.8 Use your response in Section A.12.9.5 to describe your quality controls (Indexing, Image, Quality Assurance, and Correction).

Image API response:

Wrapped into the processes are American National Standards Institute (ANSI) Association for Information and Image Management (AIIM) quality standards for document management services that render the quality and accuracy the CCG expects of captured document and data.

Scanner Testing

Scanner testing provides a means of quality control from document input to output. We abide by ANSI/AIIM MS44 for paper scanners. The purpose of these procedures is to allow the operator to confirm that the scanner is set up properly before scanning documents. Secondly, the procedures give the operator knowledge of its capabilities and provide the user with information needed to set up criteria for quality control procedures.

Image API scan operators calibrate their scanners using an ANSI target at the start of each shift and every four hours thereafter. The scan target becomes part of a file that tracks the quality of the images, the date and time scanned, and logs the scan operator. The target is a scientific method to measure brightness, contrast, background, image enhancement, resolution, density, and a number of other image criteria. Scanning cannot take place without the approval of a quality control technician after the review of scanned targets at the beginning and end of every shift. Additional Image API scanner equipment procedures include the following:

- Purchasing equipment solely from reliable vendors who meet ANSI quality standards
- Maintaining equipment routines according to ANSI standards to ensure reliability and quality imaging
- Resolving defects by re-scanning images and/or applying post scanning image enhancement
- Monitoring image quality and verifying indexing accuracy using a formal QC process

Image Inspection

Image inspection is performed after scanning and prior to index entry. The quality control operator must look for whether the document was scanned reading right, the document passed through the scanner without skewing or folding edges, and the document is obscured in any way. The operator must confirm that the small print, light pencil marks, and faded areas are legible. Images are saved on a production server; therefore, image inspection also verifies that disk drives and other system components are recording information properly.

Any images that fail inspection are re-scanned and re-inspected. After image inspection and/or enhancement are completed, the operator releases the batch for indexing.

Index Data Verification

Since many retrieval operations involve an exact match of a specified character string, or numeric value, a data entry error involving a single character in an index record can render its associated image non-retrievable. Two methods of index verification can be used. Visual proofreading is one method in which the operator visually verifies each index. This method is less costly than the second method. The second method is double keying the index. This method assures index accuracy because two different operators are required to input the same index information. The computer then checks for discrepancies between the two entries and alerts the operator. While this method assures an accurate index, it also doubles the time and cost of data entry of index material.

Verification of Image and Index data

Image API uses an integrated statistical testing and acceptance standards module within our Quality Control (QC) software application. The statistical component of our QC application builds a random sample set per batch of documents to be reviewed based on a statistical model meeting the designated QC requirements (expressed as a percent). Image API then has a staff member retrieve the designated digital images and index data and performs the appropriate QC action.

A.12.9.2 Customer Service – Key Staff Resumes

A.6.4 Customer Service

The Contractor must deliver “best in class” Customer Service. Your Proposal must address your Customer Service including, but not limited to, your general service call center, sales department, relationship management for escalation of issues, and technical representative available to PA. Your proposal should provide descriptions of all aspects of Customer Service related to services to be performed by Respondent under any Contract issued as a result of this RFP. Include in your Proposal your standard procedures and corrective actions if issues are discovered by PA. Use your response in Section A.12.9.2 to describe your Customer Services.

Image API response:

Image API has a strong track record with delivering “best-in-class” customer service as demonstrated by more than 20 years of serving a long list of loyal and satisfied customers – more than 97% of whom are state and local government customers. Many of these customers – including the Florida Department of Health and the Florida Department of State – have shown their loyalty to Image API for well over a decade. In Texas, customers such as the Health and Human Services Commission have placed their trust in Image API to deliver high-quality imaging services for the past five years. These customers have among the highest standards for performance, including demanding

requirements on quality, accuracy and timeliness. Our success is tied tightly to our excellent customer service.

Since the customer is at the heart of everything we do, it is important we deliver excellent customer service at every level of service or product we deliver. Our customer service begins early in the sales cycle with our Business Development Manager who works closely with the customer on the statement of work and ensures a smooth hand-off to our project management team. The Business Development Manager will maintain regular contact with the customer to identify any needs, concerns or issues and measure overall satisfaction with the project and the quality of the work.

Our project management team, depending on the size and scope of the project, may include a Project Manager and a Business Analyst. The Project Manager will serve as a single point-of-contact for the customer throughout the project and will have overall responsibility and accountability for delivering the project services and / or product according to the requirements in the Statement of Work. Customer issues or concerns may be escalated directly to the Project Manager for immediate attention.

The Project Manager will provide regular updates through weekly reports and status meetings, and manage issues and risks. It is the responsibility of the Project Manager to ensure that performance and service levels meet or exceed the customer's expectations. Through regular monitoring and reporting of key performance measures and service levels, there are no surprises. Our ability to deliver "best-in-class" customer service relies on strong communication throughout the project or contract. Our project management team places a strong emphasis on communication, attention to detail and a firm understanding of the customer's requirements.

Our production team plays an important role in customer service; specifically, on imaging or conversion services projects. Each imaging project is assigned a Production Manager who will oversee the day-to-day imaging or conversion services, including supervising the staff and processes which support the document prep, scanning, indexing, quality control, output and other conversion services. The Production Manager works closely with the Project Manager and the customer to understand the requirements and address questions and issues that may come up throughout the project. The Production Manager may interact with the customer on such requirements and logistics as scheduling pick-ups of records, discussing quality issues and getting clarification from the customer on proper handling of a document. Our customer service in our production process is illustrated by our knowledge and expertise in processing your documents and the careful attention our team gives to each and every document. Our ability to deliver "best-in-class" customer service relies on our production team's focus on quality throughout the process.

Customer service extends to our Technical Support team who is responsible for supporting our ECM solutions, such as our Hosted Axiom Pro™ customers. Our Technical Support team, along with our Project Manager, will work with the customer to define the requirements to store and manage the images, including configuration and user provisioning to allow users access to search and retrieve documents. Image API Technical Support includes "Level II" support during normal business hours. Level II support is available to a customer's systems administrator or IT staff to assist in resolving technical issues users may have encountered in Axiom Pro™.

Escalation and Corrective Action:

As noted above, Image API’s Project Manager serves as the single point-of-contact. The Customer may escalate issues or concerns directly to the Project Manager. The Project Manager will document the customer issues or concern and follow-up with the Production Team and / or Technical Support team to resolve the issue promptly. Depending on the nature of the issue or concern, the Project Manager and the customer will mutually agree to some form of corrective action. For example, a quality, accuracy or timeliness issue may require immediate corrective action and monitoring to avoid recurring problems which may impact all documents, images, etc. A correction action plan will include the specific steps that Image API will take to address the problem, measures to monitor progress, and follow-up activity.

A.6.4.3 Key Personnel

The Respondent must provide resumes in Section A.12.9.2 of key professional staff and other key staff the Respondent proposes to use to fulfill all work listed in this RFP. The Contractor also: (1) shall commit to utilizing key personnel identified for all work performed under any SOW awarded pursuant to the Contract; and (2) agrees to notify CCG within 5 Business Days if key personnel listed in the Proposal are no longer available to the Contractor.

Image API response:

Image API will comply with utilizing identified key personnel for all work performed under any SOW pursuant to the Contract. Image API will notify CCG within five business days if listed key personnel are not available to CCG.

Image API Key Personnel	
Role	Lead Project Manager – Imaging Services
Name	Brian Walsh
Current Employer:	Image API
Project Responsibilities	Lead Project Manager large-scale imaging services and primary POC for prime vendor on all implementation activities and on-going production. Accountable for all project tasks, timeline and budget. Coordinates all Image API resources.
Number of Years at Image API	7 years, 11 months
Number of Years of Experience in role	19 years
Key Skill Sets	Project management, Service delivery management, Customer relationship management, Document imaging solution design, business process improvement; communications, risk management
Description of Relevant Experience	Responsible for leading and managing document processing contract with Texas HHSC (100+ million images per year) eligibility services. Project management responsibility for large backfile conversion project (100,000+ folders) for New York City Housing Authority. Led complex ECM and SAP integration and conversion project for Pennsylvania Turnpike Commission.

Image API Key Personnel	
Role	Director, Operations & Production
Name	Pete Evarts
Current Employer	Image API
Project Responsibilities	Overall responsibility for the company's imaging operations, including document preparation, indexing, microfilm conversion, scanning, quality assurance and document destruction. Oversee Production Managers in Midland and Austin locations. Lead site build-out and readiness, including equipment, infrastructure, staffing and training.
Number of Years at Image API	16 years, 11 months
Number of Years of Experience in role	16 years
Key Skill Sets	Knowledge and expertise with: Document imaging – production process design and implementation; document scanning and microfilm conversion hardware and technology; production and operation management
Description of Experience	Responsible for overseeing every aspect of imaging operations for Image API's four production facilities in Austin, TX, Midland, TX, Tallahassee, FL, and Huntingdon Valley, PA. In-depth knowledge and experience with document imaging processes, software and equipment. Has led numerous implementations of large-scale imaging projects both on-site and off-site

Image API Key Personnel	
Role	Project Manager
Name	Zoltan Martonffy
Current Employer:	Image API
Project Responsibilities	Provide subject matter expertise on imaging services, including implementation activities and on-going production.
Number of Years at Image API	1 year
Number of Years of Experience in role	17 years
Key Skill Sets	Project management Certified Scrum Product Owner, 2009 JD Edwards ERP 8 Setup and Administration, 2003 AIX and Linux System Administration, 2002 - 2003 Relational Database Design and Administration, Sybase and MS SQL, Cisco Router Configuration, 1996 Novell and Microsoft Networking, 1993 - 1996
Description of Experience	Led and managed implementation of software and quality assurance processes for dozens of projects in positions as Project Manager, Quality Assurance Manager, VP of Information Technology and Director of Information Systems.

Image API Key Personnel	
Role	Production Manager
Name	Carlene Lee
Current Employer:	Image API
Project Responsibilities	Provide day-to-day oversight of production services, including mailroom operations, document preparation, scanning, data entry/indexing, quality control, document storage and destruction and microfilm conversion..
Number of Years at Image API	2 years
Number of Years of Experience in role	15 years
Key Skill Sets	Operations and production management Document imaging and conversion knowledge and expertise Strong interpersonal skills Human resource management
Description of Experience	Led and managed large-scale document processing services, including document preparation, mailroom, imaging and quality control for major state agency.

In addition to top quality, skilled key personnel, our executive oversight team offers guidance and support to CCG digital imaging services project team. This team holds detailed regular status reviews of project's progress with key personnel. The team ensures that the project continues to have access to resources necessary to successfully deliver digital imaging services.

Executive Management Oversight	Qualifications
Richard S. Griffith, Jr. CEO	<p>More than 35 years of executive experience in document management services, operations, and technology</p> <p>Broad managerial and technical understanding of all areas of electronic image production including scanning, optical character recognition (OCTR), indexing, coding, and quality assurance</p> <p>Founded Image API in Tallahassee in 1993 to provide document management solutions to the State of Florida agencies and achieved consistent, profitable growth rates</p> <p>Created the Integrated Systems Division for Alpha Systems, a large national micrographics service bureau in Pennsylvania, 1986 to intensify the company's focus on electronic records management and document imaging products and services</p>
Kristine A. Davis, Chief Financial Officer	<p>Extensive knowledge and experience in finance, accounting, auditing, and professional regulations. Ms. Davis brings extensive knowledge and experience that will ensure the best possible budgetary oversight and financial accountability during this project's entirety</p>

Executive Management Oversight	Qualifications
	<p>Responsible for all aspects of finance and accounting, including design and implementation of a cost accounting system. Liaison with bankers, external accountants and auditors, insurance providers and other financial consultants. Audit partner with the 21st largest Florida certified public accounting firm</p>
<p>Patrick J. Menjor, Vice President of Information Technology</p>	<p>Extensive application software development and engineering of computer system services.</p> <p>Responsible for managing of custom application development. Applications for WEB and non-WEB based, distributed customer/server and mainframe environments, using JAVA, ColdFusion, Visual Basic and Visual Studio .Net with third party OCXs and Active X controls, SQL Server, Oracle, MS Access, running on Unix, DEC and Intel platforms. Responsible for implementing design methodology, systems documentation, creating Help systems and computer-based training. Planning and implementing disaster recovery</p>
<p>Becky Green, Director of Human Resources</p>	<p>Responsible for planning, organizing, directing and managing the entire Human Resource function for all offices and jobs. Accountable for the principles and practices of human resource management including but not limited to recruitment and selection, classification of all positions, compensation review and recommendations, EEO, AA, and supervision of performance appraisals. Maintain subject matter expertise and compliance with Federal, State and Local employment laws and any changes that may affect the company. Draft/Update the company handbook and any other policies, procedures, necessary for company operations</p> <p>HR Dept. Start Up</p> <p>Supervision Management/Evaluation of Employees</p> <p>Conflict Resolution</p> <p>Internal Investigations</p> <p>Federal Reporting & Compliance</p> <p>Emergency Planning</p> <p>Due Diligence</p> <p>Staff Recruitment & Retention</p> <p>Employment Law FMLA/WC/EEO</p> <p>Benefit Administration & Mgmt</p> <p>Staff Reduction & Reorganization Plant Closures</p> <p>Creating and Implementing Policy & Procedures / Employee Manual</p>
<p>Loree Evans, Vice President of Project Management</p>	<p>Over 25 years of oversight of large projects</p> <p>Extensive knowledge of management systems design and implementation services – project management from beginning to end</p> <p>Responsible for executive level consulting / negotiations</p> <p>Successful management of entire project teams for implementation of entire systems involving programmers, project managers, technical support managers, production managers for enterprise-wide engagements</p> <p>Provides technical support to customers, including custom application design and development, requirements analysis, project SOWs and researching technologies</p>
<p>Jay Stewart, Business Development Manager</p>	<p>Extensive application software development and engineering of computer system services. Implementation of many successful systems for disaster recovery and computer based training. Extensive knowledge in WEB based and non-WEB based applications, distributed customer/server and mainframe environments.</p>

A.12.9.3 Training

A.6.4.1 Training

If training is requested by PA, Contractor shall provide all training at no cost unless training costs are listed on the Price Sheet. Use your response in Section A.12.9.3 to describe your Training Services and what separates your company from others.

Image API response:

Image API provides customer training, train-the-trainer sessions, knowledge transfer, user manuals and related materials. We use our experienced technical personnel to deliver hands-on training for our Axiom Pro™ system. We continue to support training through our help desk services, refresher trainings, training sessions for upgrades, and other needs of the customer.

Subjects covered in customer training will vary based on the nature of the project. This is especially necessary when we implement day-forward scanning solutions to be performed by State employees and when we implement our document management software systems, box tracking system, and others. Sample training topics include:

- Document imaging
- Boxing and shipping documents
- Using our box/file tracking application
- Inventory requirements
- Axiom Pro™ training
- Login
- Search
- Retrieval
- Image tools
- Re-indexing
- QA
- Printing, emailing documents
- Accounts (groups and individuals)
- Activity log
- Lookup exceptions

Image API provides the training required to ensure that our employees are adequately prepared and informed to work productively and successfully on Texas engagements. Training of our own employees covers two primary areas of need: the first is classroom provided legal compliance and the training mandated by federal and state laws, human resources, HIPAA, and other subject areas. The second type is hands-on training is skills-based incorporating the tasks required to perform on the job as well as the health and safety training needed to ensure a safe workplace.

A.12.9.4 Project Management Services

Describe your company's solutions for project management services and how you will meet or exceed the requirements in Section A.6.4.2.

A.6.4.2 Project Management Services

If Project Management Services are requested by PA, Contractor shall provide the services at no cost unless the costs are listed on the Price Sheet Attachment D. A Project Manager, as defined in Section A.2 is a high level creative person that can develop procedures and establish goals which should not be confused with the day to day operation manager that supervises daily activities of the project. Use your response in Section A.12.9.4 to describe your Project Management Services available.

Image API response:

Image API maintains a project management office in Austin, TX. We also employ a Certified Document Imaging Architect on staff who has more than 15 years of experience in document management services and solutions at Image API.

In addition to our presence in Texas, our project managers will have support from our project management services team located in Tallahassee, FL. Our Project Management team utilizes Project Management Body of Knowledge (PMBOK® Guide) practices issued by the Project Management Institute. The Project Management Body of Knowledge (PMBOK) is made up of processes and knowledge areas generally accepted as best practice within the project management discipline.

The five project management process groups are used throughout projects to ensure standards adherence, quality, and continuity at every step in the project. The process groups are defined as follows:

- **Initiate.** Includes the activities conducted at the beginning of each phase to determine or reaffirm the management team and to document and approve the business criteria and strategy for the phase.
- **Plan.** Includes the development and maintenance of a workable method for accomplishing the business needs and objectives that the phase is to address. This includes the activities conducted throughout every phase that identifies and reaffirms the processes, practices, procedures, resources, work plans, and deliverables that are needed or expected for successful completion of the business goals and objectives.
- **Execute.** Includes the activities conducted by the staff to prepare and accept the deliverables needed to meet business objectives of the phase. These deliverables are set forth in the project schedule, which captures and reports on the progress of the project.
- **Monitor and Control.** Includes the activities conducted by the management team to continually monitor the progress, quality, and other metrics of planned and unplanned work for the phase. It also includes the corrective actions taken to avoid or resolve performance problems that may endanger the business objectives of the phase.
- **Close.** Includes the activities conducted at the end of a phase to transition resources from the phase back to their normal duties, in addition to the activities required to formally end the phase in an orderly manner.

By acknowledging the five process groups, each PMM process is fully addressed across the project's lifecycle, ensuring each practice is fully and continually documented, performed, and monitored.

Processes overlap and interact throughout projects or phases. Processes are described in terms of:

- Inputs (documents, plans, designs, etc.)
- Tools and Techniques (mechanisms applied to inputs)
- Outputs (documents, products, etc.)

A.12.9.5 Delivery, Technical, Quality and Imaging Services

Describe your company's abilities to meet and exceed the PA's needs across the state of Texas as per Section A.7.1.

A.7 Delivery

A.7.1 Statewide Services:

PAs for the Contract will be located throughout the State. Respondent shall describe its geographic coverage area in response Section A.12.9.5. This discussion should include office and processing locations, personnel availability, and any other location or delivery information that will assist PAs.

Image API response:

Image API's primary document processing facility located in Austin is capable of providing the full range of imaging, indexing and conversion services. This facility is located within 60 miles of at least 94% of the PA's requesting services in 2013. To respond to processing requirements outside the Austin/San Antonio geographic area, Image API is prepared to arrange secure transportation of Source Media to our Austin facility or, if the contract requires, perform the work onsite at the PA location or in a temporary location near the PA. As described earlier in our response, Image API has experience with rapidly establishing imaging and conversion operations in a new location – either temporarily or permanently to support a long-term contract. Our document processing facility in Midland, Texas – which is dedicated to providing imaging services for the Texas Health and Human Services Commission – is an excellent example of our ability to stand-up a facility in another area of the State to support a customer's requirements.

Austin, Texas Facility

2100 Kramer Lane, Ste. 700, Austin, Texas 78758

- Document processing services, including mailroom operations, document preparation, scanning, indexing, quality assurance and record storage.
- Cloud hosting data center for our Axion Pro ECM / Image Repository
- Back-up & disaster recovery site for, Huntingdon Valley, PA and Tallahassee, FL centers



The Image API Austin processing facility offers document processing services and Software as a Service (SaaS) software to Texas state, local, and educational entities. The facility is a fully secured, single-story building approximately 15,000 square feet in size. Public and employee access is available only through designated secured and monitored entry.



The Austin facility performed the document conversion of 27,000,000 pages of HHSC SAVERR documents as a crucial part of the transition to the new Texas Integrated Eligibility System (TIERS). Image API also provided an Enterprise Content Management (ECM) system for storing the converted



documents and data. The ECM system provided immediate and secured access to the documents by more than 27,000,000 HHSC employees.

Austin facility floor plan is on the following page:



-  Prep Desk
-  Scan Desk
-  Bio-Metric Door Reader
-  Security Camera

A.7.2 Freight Charges:

All freight charges for pick-up or return delivery of Documents using Contractor's vehicles must be listed on the Price Sheet Attachment D. The first 20 miles is included in the base charge. On the Price Sheet, this should be expressed as a base charge for the round trip and cost per mile over 20 miles on the round trip for either a pick-up or return of Documents.

Example: PA is 25 miles from Contractor's scanning location. For a pickup PA would be charged the base charge plus a mileage fee for 30 miles. (50 miles round trip minus 20 miles equals 30 miles.) Then if Documents are returned after scanning, the PA would be additionally charged the base charge plus a mileage fee for 30 miles.

All carrier freight charges to receive or return Documents must be listed on the Price Sheet as a per box charge.

Image API response:

Image API will provide pricing requirements as noted above.

A.7.3 Special Delivery Requirements:

PA's may have specific, internal delivery rules and policies. An example would be Texas Department of Criminal Justice. These will be provided on each purchase order issued by the PA. The Contractor(s) will be required to adhere to those requirements at no additional cost.

Image API response:

Image API will comply with the specific, internal delivery rules and policies of each purchase ordered issued by PA's.

A.7.4 Hours of Pick-up or Delivery:

Pick-up or delivery services shall be made during the hours of 8:00 am to 4:00 pm (CST) of the PA unless prior approval for after-hours services has been obtained from the PA. In the event of any approval by the PA for after-hours service, Contractor may not invoice any additional charges for that service. Contractor is encouraged to obtain PA's hours of operation at time of order.

Image API response:

Image API will comply with hours of pick-up and delivery as stated in A.7.4,

A.7.5 Pick-up and Delivery Delays:

If delay is foreseen, Contractor shall give written notice to the PA and must keep PA advised of status of service order. Default in promised delivery (without accepted reasons) or failure to meet specifications authorizes the PA to purchase services of this RFP elsewhere and charge any increased costs for the goods and services, including the cost of re-soliciting, to the Contractor. Failure to pay a damage assessment is cause for Contract cancellation and/or debarment or removal of the Contractor from the State's Centralized Master Bidders List (CMBL).

Image API response:

Image API will provide written notice to the PA of any foreseen delays along with advised status updates of service order.

A.7.6 Compliant Services and Products:

Providing products or services which do not meet all specification requirements does not constitute delivery. Delivery does not occur until Contractor delivers products or services in full compliance with the specifications to PA's F.O.B. destination, unless delivery is specifically accepted, in whole or in part, by the PA. PA reserves the right to require new delivery or a refund in the event that materials or services not meeting specifications are discovered after payment has been made.

If Contractor does not meet deadline for project completion, a credit will be applied to PA account for a sum of not less than 2% of the total project cost for missing major project deadline as defined in the SOW by the PA unless this delay is subject to Force Majeure, see Section B.7.13 or PA agreed to amend the SOW.

Image API response:

Image API agrees and will comply with the compliant services and products requirements.

Include in your Proposal how you meet and exceed each of the technical requirements for the points in Section A.6.6.

Image API response:

Please see Section A.6.6.

Description of your processes with details for quality and quality control as listed in Section A.6.7 and how you meet and exceed each of the Imaging Servicing requirements in Section A.6.8.

Image API response:

Please see Sections A.6.7 and A.6.8.

A.6.8 Imaging Services

Imaging requirements for individual projects will be described in PA's SOW. The PA's SOW may specify any combination and complexity of the following activities:

- *Needs Assessment and Analysis;*
- *Inventory tracking/Chain of Custody;*
- *Document Preparation;*
- *Document Handling;*
- *Indexing;*
- *Image Enhancement;*
- *ICR/OCR/OMR;*
- *Document Re-preparation;*
- *Interfaces with PA's systems;*
- *Records management;*
- *Image Repository hosting; and*
- *Image Repository maintenance.*

Image API response:

Image API will comply with the imaging requirements for individual projects detailed in PA's SOW. Image API has extensive experience in following as you will see in our responses in Section 6.8:

- Needs Assessment and Analysis
- Inventory tracking/Chain of Custody
- Document Preparation

- Document Handling
- Indexing
- Image Enhancement
- ICR/OCR/OMR
- Document Re-preparation
- Interfaces with PA's systems
- Records management
- Image Repository hosting
- Image Repository maintenance

A.6.8.1 Preparation, Handling and Re-preparation

A.6.8.1.1 *The Contractor must be responsible, at a minimum, for basic Document Preparation, Document Handling and Re-preparation during the Digital Imaging process as defined in SOW.*

Image API response:

Document Prep

Image API vendor practices feature document preparation services. The document prep stage of document processing services assures the proper identification of documents by program area and condition. At the Document Processing Center (DPC), document preparation includes identifying and organizing envelope contents, extracting content, and the preparing of document pages for high throughput in the scanning equipment. Documents are classified and batched by program area using separator sheets that are bar-coded and color-coded.

A key quality component of the DPC is in the verification of envelope contents. The process uses specific USPS box numbers to sort envelopes by program area. Image API performs a quality inspection of envelope contents to confirm that all contents within the envelope match the specific PO Box/program area.

Our document prep practices are consistently applied to ensure quality. Document prep personnel are trained to perform the procedures in a set order for greater efficiency and accuracy. The procedures include the processing and logging of payments as well as exception procedures for handling unidentifiable document sets and/or inappropriate documents found in envelopes. Procedures for handling Internal Revenue Service Federal Tax Information (IRS FTI) also are in place.

A scan operator conducts in-line audits of images between the document prep and scanning stages. The QC process reviews documents for the following:

- Document set accurately sorted by program type
- Document set accurately sorted by document type
- Document set expedited processing
- Proper page order
- Removal of erroneously scanned IRS FTI Documents prior to image assembly

The key processes and procedures for ensuring document prep quality include the following:

1. ANSI/AIIM Standard TR15
2. Training
3. Envelope content prep procedures

4. Color coded separator sheets ID document, organizes, links, routes, task creation
5. Payment log processes (if appropriate)
6. Unidentifiable document handling
7. IRS FTI handling
8. Supervisor review

Document Scanning

Image API offers a wide range of document scanning services for backfile, day-forward, and on-site/off-site requirements.

Scanner testing provides a means of quality control from document input to output. We abide by ANSI/AIIM MS44 for paper scanners. The purpose of these procedures is to allow the operator to confirm that the scanner is set up properly before scanning documents. Secondly, the procedures give the operator knowledge of its capabilities and provide the user with information needed to set up criteria for quality control procedures.



Image API scan operators calibrate their scanners using an ANSI target at the start of each shift and every four hours thereafter. The scan target becomes part of a file that tracks the quality of the images, the date and time scanned, and logs the scan operator. The target is a scientific method to measure brightness, contrast, background, image enhancement, resolution, density, and a number of other image criteria. Scanning cannot take place without the approval of a quality control technician after the review of scanned targets at the beginning and end of every shift. Additional Image API scanner equipment procedures include the following:

Image inspection is performed during and after scanning and prior to index entry. The quality control operator must look for whether the document was scanned reading right, the document passed through the scanner without skewing or folding edges, and the document is obscured in any way. The operator must confirm that the small print, light pencil marks, and faded areas are legible. Images are saved on a production server; therefore, image inspection also verifies that disk drives and other system components are recording information properly.

Any images that fail inspection are re-scanned and re-inspected. After image inspection and/or enhancement are completed, the operator releases the batch for indexing.

The key processes and procedures for ensuring document scan quality include the following:

1. ANSI/AIIM Standard MS44
2. Scanner calibration for quality
3. Automated or manual batch information capture
4. Visual image quality review during and after scanning
5. Re-scan procedure
6. Total transactions, images, errors reporting
7. Supervisor batch data recording

Document Indexing

Image API vendor practices include the provision of document indexing services. Indexing is the creation or collection of information that uniquely identifies a document. Accuracy is of primary importance because it enables the ability to locate the document after scanning. Image API provides indexing services using automated methods (bar codes, database matching, OCR technology, etc.) and manual methods (data entry services).

Document Output

Image API vendor practices includes document output in the image file format, resolution, size, color, and other requirements determined by the customers. Image API output services includes packaging document images with indexing data and delivering the final product via direct load to system, on hard drives, on CD/DVD, or via secured FTP.

The DPC Quality Control (QC) process includes review for image quality and readability, corrections, re-scans, bar coding functionality, and scalability. Image enhancement is applied to improve clarity (contrast and brightness), noise (de-speckle, remove lines and background noise), and skew (straighten images, crop, edge clean-up). The QC Technician initiates a daily and weekly report.

The key processes and procedures for ensuring document output quality include the following:

1. ANSI/AIIM Standard TR34
2. Document image review
3. Data entry or document repair
4. Error validation
5. QC sample set audit

A.6.8.1.2 The Contractor must be able to scan mixed-sized Documents (e.g., sticky notes, certified mail cards) and Large Format Documents, if applicable.

Image API response:

Image API's process provides a standard scanning practice for mixed size documents (regular, maps, engineering drawings, etc.) followed by three optional methods for ordering the resulting digital files. The choice of options is up to our customer. The process is as follows:

- Remove the large format pages from the document and insert placeholders in their place. Scan the regular document (which contains the placeholders) first; and scan the large format documents separately (using a large format scanner). After scanning all documents, do one of the following options:
 - Electronically swap out the place holders for each specific large format page. This is the most expensive and time consuming method
 - Electronically place all of the large format pages as the last pages in the document. Leave the placeholders where they are
 - Allow the customer's staff to electronically reinsert the large format pages either in place of the placeholders or at the end of the document

A.6.8.1.3 The Contractor must remove any staples, paper clips, unfold and flatten the Documents as necessary for proper imaging, following PA SOW handling procedures.

Image API response:

Image API's team prepares files and documents by removing staples, paper clips and other bending material, arranging documents in proper order to be scanned, repair torn document, review and categorize documents with speed and accuracy and operating office tools and equipment as needed.

A.6.8.1.4 The Contractor must be able to scan Documents of various weights (e.g., carbon paper to card stock).

Image API response:

Image API performs all of the document conversion services. We have successfully performed these services on a wide variety of projects, media, weights, etc., for example:

- Oil well logs
- Oversized maps and engineering drawings
- Old and fragile historical documents
- Extremely precise fingerprint cards
- Books of many sizes
- Onion skin paper, blueprints, carbon copies
- Microfilm and microfiche
- Highly confidential financial, legal, and health documents
- Documents bound by a variety of different means including clips, rings, GBC, and more

Document preparation is a critical first step in our document conversion process and requires well practiced processes and employees who are detail oriented.

A.6.8.2 The Contractor must be able to track at box and Document level. Additionally the ability to create a unique identifier for each scanned Document (e.g., Document ID) and to deliver Output Media that is labeled in such a manner as to identify the contents of the deliverable.

Image API response:

I-API provides document pickup and return using either our own vehicles or, when approved by the customer, commercial carriers (FedEx, UPS, USPS, etc.). We require that the customer create an inventory of documents to be shipped, and we will verify and document those documents loaded and unloaded. By doing this, I-API is able to create a chain-of-custody to substantiate security and completeness of documents.

Image API uses bar coded separator sheets to identify documents. We typically identify the document population at the folder level (using a header sheet) and document type level. Bar codes are programmed for each document ID.

Image API maintains a technical services group comprised of programmers, database experts, and technical support personnel to support our systems and our document conversion services. As part of its responsibilities, the technical services group handles file output and the labeling of the output media. We will label the output media to match the PA's requirements.

Image API provides a box/file tracking system that records each job from start to finish in the conversion project. The tracking system helps provide chain-of-custody evidence and allows us to locate files in the event a customer requests the file during conversion.

A.6.8.3 *The Contractor must be able to perform Image Enhancement immediately after Digital Imaging if required by PA.*

Image API response:

Image API utilizes a scanfix application for this purpose. The tool allows operators to de-skew, remove noise, lines, and borders, adjust brightness and contrast, and other functions to improve document readability.

A.6.8.4 *Contractors must also support PA’s processes for managing records’ lifecycle. (For more information contact TSLAC for additional information on State Records and records laws or Local Government Records and records laws.) Additionally Contractor must comply with, at a minimum, the statutes and regulations regarding all record management and electronic records listed below:*

- State – [Gov’t Code 441.180-205](#) and rules [13 TAC 6](#)
- Local – Local Government Records Act – [Local Gov’t Code 201-205](#) and rules [13 TAC 7](#)

Image API response:

Image API understands and will comply with the Administrative Code and the Local Government Code providing rules pertaining to records management and agrees to comply with the statutes and regulations contained within the rules.

A.6.8.5 Image Repository Hosting

A.6.8.5.1 *The Contractor must meet or exceed the State’s requirements for PAs as listed in [34 TAC § 202](#) which include but not limited to providing the ability for user administration and user management, including Secure login, user IDs, password controls, auditing, and monitoring for data mining.*

Image API response:

Image API provides hosting services to state and government entities. In doing so, we meet the customer requirements for security, guaranteed service levels, system features (search and retrieve, etc.), image viewing, system security and user access security.

Image API maintains security which includes: firewall, secure login (single sign-on, Active Directory, LDAP), user authorization via group and role management, and Secure Socket Layer (SSL). We also will provide VPN or GPG integration as an option.

A.6.8.5.2 *The Contractor must provide the ability for the PA to perform Document search and retrieval based on specifications in PA’s SOW.*

Image API response:

Image API’s Axiom Pro™ ECM software addresses PA’s requirements for a document repository to store scanned images and associated metadata. Axiom Pro™ offers customers with a well-rounded set of features and functionality to support search and retrieval, content capture, data capture and indexing, records retention, workflow, versioning, annotation and redaction, integration, and much more. The table below provides a summary of the search and retrieval features available in Axiom Pro™.

Feature	Description	Included in Axiom Pro™
Comprehensive search	Ability to search document index field values, notes,	✓

Feature	Description	Included in Axiom Pro™
	OCR text and annotations.	
Wild-card search	Ability to perform wild-card or “fuzzy” search on index values	✓
Search templates	Ability to create, use and save search templates	✓
Saved searches	Ability to create and save search criteria to easily run common searches	✓
Cross-catalog search	Ability to search for documents across selected portions or the entire ECM repository based on permissions.	✓
Export search results	Ability to export search results as text or CSV file	✓
Auto-search	Ability to create URLs to perform auto-search	✓
Full-text search	Ability to perform advanced full-text search on OCR text within a document	✓
Sort search results	Ability to sort search results list by any column	✓
Search / Retrieve all document types	Ability to search and retrieve multiple document types (image, Word, PDF) within single search	✓
Combine search criteria	Ability to combine search criteria to narrow search results	✓
External database look-up	Ability to perform search against external database	✓

A.6.8.5.3 *The Contractor must provide the ability for viewing Images based on specifications in PA’s SOW.*

Image API response:

Our Axiom Pro™ ECM software provides customers with the ability to view and manage documents and images that are stored in the Axiom Pro™ repository, regardless of the format – PDF, TIFF, Word, Excel, etc. The document viewer provides the user with a full range of user controls to view and display a document or image, including zooming, panning and more. A list of the document management features available in Axiom Pro™, including features to view and display a document are provided below:

Feature	Description	Included in Axiom Pro™
Supports all document types	Ability to support all document and media types, including TIFF, PDF, Word, Excel, etc.	✓
Logical content grouping	Ability to create and maintain logical content grouping	✓
Annotations	Ability to create and save annotations on documents; ability to search on text in annotations	✓
Notes / Comments	Ability to create and maintain notes in a separate tab associated with the document; ability to search on text in notes	✓
Redactions	Ability to create temporary or permanent redactions with ability to toggle redaction based on permissions	✓
Content output	Ability to output content to other systems	✓
Cloning	Ability to “clone” a document	✓
URLs	Ability to create URLs to auto-view content	✓
Attach supporting files	Ability to attach and associate supporting files to content	✓
Delete/Undelete	Ability to delete and “undelete” content	✓
Document viewing	Ability to view most content with a Java applet	✓
HTML5 Viewer	Ability to view content on tablets with a HTML5 viewer	✓
Email	Ability to email content by sending a link or attachment	✓
Copy / Paste	Ability to copy, paste and re-order pages	✓
Viewer controls	Ability to control and manipulate content viewing with controls to zoom, scroll, rotate, etc.	✓
Edit display	Ability to alter search results list by column; ability to alter viewing pane display	✓
Add pages	Ability to add pages to an existing document within ECM	✓
Drag and Drop Files	Ability to drag and drop documents or files from an external folder into ECM	✓

Feature	Description	Included in Axiom Pro™
Virtual Folders	Ability to create virtual folders to group, view and manage documents based on folder structure. Ability to create folder level security. Ability to create sub-folders.	✓
Versioning	Ability to check-in / check-out documents, change tracking, revert to earlier version, view all versions and force check-in	✓
View B/W, Color, Grayscale	Ability to display black and white, color or grayscale images	✓
Manipulate viewing panel	Ability to manipulate viewing pane, view thumbnails and perform full panning.	✓
Side-by-side viewing	Ability to display documents side-by-side	✓

A.6.8.5.4 *The Contractor must provide PA a method of transferring nonproprietary formats of Images, indexes, audit trails, and other related Customer data that they have hosted to the PA upon termination or expiration of Contract at no additional cost.*

Image API response:

Image API's services include working with the customer to identify and define the output specifications and format of the output file containing all of the customer's images and associated metadata. The output file can be transferred to a portable hard drive, FTP site or another method depending on the customer's preferences. The output process does not include importing the files into the customer's own image repository or ECM system. However, Image API is capable of supporting a customer's electronic file conversion requirements.

A.6.8.5.5 *Redundant Hosting at a location different from the physical location of the Image Repository may be needed by PA. This service covers hardware/software/images, etc. for Disaster Recovery/failover of Image repository and its functionality. If there is any cost or fees for this optional service of redundant hosting, they must be listed on Price Sheet Attachment D.*

Image API response: Jason

As outlined in section A.6.6.6, Image API provides multiple options for offsite locations in different geographical regions within the United States. These multi-site options are available without compromising data security. Axiom Pro™ technology provides comprehensive data replication features. These features include the ability to assign multiple SMB data repositories, priority data tiers, onsite and offsite storage, and encryption.

A.6.8.6 Image Repository Maintenance

A.6.8.6.1 *The Contractor must deposit the Images into the Image Repository in PA selected Output Format and to update the Image Repository with new index information. An agency may require the system automatically, with no human intervention, update existing index information to existing stored Images without creating a new version of the original Images in the SOW.*

Image API response:

Image API will comply with these requirements.

Image API maintains a technical services group with extensive experience and expertise in file output and load into a variety of systems (e.g. FileNet, Documentum, etc.). We will enable and assure successful upload of data and files, the transmission of files and data to the system, and any additional support necessary to support system capacity, file retrieval, optimal response performance, and security. Image API also maintains the image repository in our own .NET-based system.

The Axiom Pro™ ECM system provides role based security in which users are granted certain permissions by the system administrator. Authorized users of our system are empowered to add, delete, and update images in the repository, update indexing information, and perform a wide array of additional functions. Axiom Pro™ also serves as the backend system for the use of electronic documents online. For example, it supports the Florida Department of Health Children's Medical Services physician system (redaction capability in the system allows state employees to redact legally sensitive information from documents for public viewing).

A.6.8.6.2 The Contractor must insert Images into customer-specified positions within an existing electronic Document online.

Image API response:

The Axiom Pro™ ECM system provides the ability to manipulate documents in a variety of ways. Including but not limited to add, delete, copy, paste, clone, add/delete pages, add modify document metadata, edit pages, and modify page order. The PA could leverage Image API's many years of experience in document processing and content management to perform document capture and manipulation.

A.6.8.6.3 The Contractor must add and update content of an electronic file by authorized users.

Image API response:

Image API can provide authorized users of the image repository with the ability to add and update content to an electronic file. Axiom Pro™ content repository provides multiple options for users to add electronic content to the repository, including an "Add Document" feature which allows the users to select an electronic document or file from the local drive or other location and add the document or content to the repository. Axiom Pro™ also includes a user-friendly "drag-and-drop" feature which allows a user to quickly and easily drag a document from a folder or their desktop right into the repository. A user may add a document to an existing catalog - a collection of similar document types - and add indexing metadata to the document. Image API will work with the customer to define the catalog or file structure within the repository, as well as user permissions.

A.6.8.6.4 The Contractor must transmit Images, indexes and database updates to Image Repository.

Image API response:

Image API will work with the customer to define the output requirements, specifically the output file format, for documents that have been scanned and indexed. As part of this effort, our team will prepare the specifications to output the images and index data to our Axiom Pro™ document repository or the customer's repository. Image API has extensive experience in outputting

documents in a variety of formats based on the customer's requirements. Many of our customers have their own ECM solutions or document repositories and specify the format by which files must be output to be accepted by the customer's own system. In addition to the output and file format requirements, we will work with the customer to define the method and frequency of transmission, a process for the customer to validate and accept the transmitted images and metadata and an exception process to identify any exceptions.

A.6.8.6.5 The Contractor must allow PA to have authorized users who may add, delete, and update Images in the Image Repository.

Image API response:

Axiom Pro™ ECM software is designed to allow authorized users the ability to add, delete and update documents or images in the image repository. Users may add single documents from a local drive or other location through a simple “Add Documents” or “Drag-and-Drop” features or perform a batch load process to add a set of documents or images. An automated folder load can also be configured to load documents or images to the repository. Users may also add individual pages to an existing document in the repository. Authorized users may delete a document or image in the repository, although this feature is typically assigned to systems administrators. An “undelete” feature is available to reverse the action if necessary.

A.6.8.6.6 Adding electronic Documents to Image Repository may be required in a PA's SOW. All costs or fees for adding electronic Documents to the Image Repository must be listed on Price Sheet Attachment D.

Image API response:

Image API offers flexible options to load existing electronic documents or scanned images to an image repository – either Image API's Axiom Pro™ system or the customer's repository. Axiom Pro™ ECM software is designed to serve as an image or document repository for customers who may not have a repository or ECM solution in their existing environment. Our services include identifying the requirements for storing images, including defining customer requirements for searching, retrieving and managing documents in the repository. As indicated above, Image API is capable of importing and loading scanned images and index data into Axiom Pro™ repository or outputting the records to a customer's own image repository. The cost to add or load scanned images or existing electronic images to an image repository is included in Attachment D.

A.6.8.7 The Contractor must produce a Needs Assessment and Analysis and/or a Project Plan report for PA that includes projected costs, a milestone schedule, and recommendations with clearly defined requirements linked to the project goals to ensure high quality, cost-efficient solutions based on SOW.

Image API response:

Image API commits to producing a Needs Assessment and Analysis and/or Project Plan for the PA which includes projected costs, a milestone schedule, and clearly defined requirements. This type of analysis and project planning is a part of every project we undertake and is critical to project success.

Image API employs a multiphase approach to project solution design, development, testing and deployment. The project approach for CCG will follow the basic tenets of accepted project management methodologies and rigorously applies Image API's balanced iterative development methodology. Each iteration builds upon its predecessor, providing opportunities to respond to changing business conditions and scenarios while further refining the system design.

Our foundation of experience is strengthened by our skilled and knowledgeable team of imaging and operations experts, a sound project management methodology, thoughtful planning and proven processes and best practices.

Our roadmap for CCG sponsored projects relies on core elements to mitigate project risk and deliver high-quality imaging services and performance.

- A highly experienced team
- A sound approach supported by detailed planning
- Proven processes and best practices
- Resulting in successful project delivery

Image API's detailed project plan for the imaging workstream reflects the careful attention to detail and thorough planning that is essential on a project of this size and complexity. Our project management methodology is based on the highly-regarded Project Management Body of Knowledge (PMBOK) developed by the Project Management Institute (PMI). We apply the concepts of this methodology and blend it with vast industry knowledge to bring together our team, processes and solution into one comprehensive project plan tailored to CCG sponsored requirements and project objectives.

A.6.8.8 Preservation Imaging services for a variety of Permanent Records and other historical materials may be needed. The services will be tailored to PA requirements because materials in this category will have a different range of characteristics (e.g., age, size, condition). Sample goals of Preservation Imaging would be to provide a digital surrogate for researchers in order to reduce handling of the original and to provide a means for researchers, students, and interested parties to find and view digital Images in various ways. SOW specifications may include requirements to follow specific laws, rules, guidelines, etc. For example, these may be from TSLAC, federal agencies (regarding funds, grants, etc.) or others. The requirements for on-site work, work done at a facility or in a mobile unit will be determined by the PA that issues the SOW. All costs or fees for Preservation Imaging Services must be listed on Price Sheet Attachment D.

Image API response:

Image API will meet the requirements for preservation imaging services by providing all of the service options described in Section A.6.8.8.

Image API will provide the special equipment, special handling, and appropriate storage solutions required for preservation imaging projects. We have solid experience working with a variety of fragile, historical, and one-of-a-kind documents as well as with unique document sizes and paper types.

Examples of our experience include:

- Image API performed all of the imaging work on original Spanish Land Grants (dating back to the 1700s), Florida Early Constitutions, Florida Confederate Pension Applications, and World War I Enlistment Service Cards for the Florida State Archives. They are displayed at the State's site: www.floridamemory.com/Collections.
- Image API imaged old, oversized, and fragile engineering drawings for the South Carolina Department of Transportation. We transported the documents suspended vertically on special hangers to Tallahassee for the project.
- Image API used delicate document handling techniques to image a wide range of old newsprint and magazine documents for the Southern Poverty Law Center in Alabama.

- Image API imaged Civil war documents that dated back to the 1890s for the Mary Brogan Museum of Art and Science in Florida. These fragile documents were placed inside special Mylar® sleeves to keep them intact.

Image API contracts with qualified archivists when necessary to evaluate historical documents and determine the safest procedures to follow in converting the files to digital images. We may use a variety of techniques and equipment including flat scanners, book and map scanners, customized Mylar® sleeve transport containers, high resolution capture settings up to 1200 PPI, environmentally controlled (and monitored) storage facilities, and others. Modern archivists are also concerned with preserving documents after imaging, (i.e. making faithful digital reproductions, saving the output in an appropriate digital file format to limit loss of information), and ensuring long-term accessibility to the digital versions. These factors are why Image API utilizes various accepted industry standard lossless image formats and compression algorithms for preservation documents.

A.6.8.8.1 *Preparation, Handling and Re-preparation*

- a. The Contractor must provide special Document Handling, which may include Secure overnight storage (e.g., vault), expert care and handling, stringent standards for temperature, humidity, light, air quality, gas fire suppression, UV light exposure limits, etc., as required by the PA.*

Image API response:

Image API can and will meet the special document handling requirement, which may include secure overnight storage, expert care and handling, stringent standards for temperature, humidity, light, air quality, gas fire suppression, UV light exposure limits, etc. as required by the PA.

Document Prep

Image API ensures that document sets are prepared to the specifications of the project. Clips, staples, and other forms of binding mechanisms - along with sticky notes - are removed, documents are properly oriented, small documents are taped to a letter size paper carrier, wrinkles are smoothed, etc.

Routinely, document preparation rules additionally include; information screening, document assembly, special processing rules and more. Image API applies specially trained personnel to perform this level of document preparation in accordance with ANSI/AIIM quality standards. Image API prep staffs visually verify that document batches are assembled and ordered appropriately in addition to ensuring correct and proper barcode and document separator sheet placement.

Document preparation is an important first step in maintaining production efficiency and meeting quality assurance standards, as well as ensuring and maintaining document accuracy and historical integrity. Therefore, we design our document preparation process to ensure that documents are accurately and uniformly prepared for digital conversion and indexing.

Business Rules

Our experience with handling a multitude of documents for states like Texas has provided us with useful knowledge on the business rules that should be applied during document prep. A well-designed document preparation process based on business rules, has a positive impact on downstream processes.

Workflow

As part of the preparation process, the Image API document prep technicians perform general preparation on every incoming paper document, including:

- Extracting documents from folders/sections, unfolding and flattening for scanning
 - Removing any binding mechanisms:
 - Paper/bull-dog clips
 - Staples
 - Fasteners
 - Rubber bands
 - Moving and securing Post-it notes to an open area on the page or a blank sheet of paper to avoid covering information and/or jamming equipment
 - Repairing torn or damaged pages and straightening all folds
 - Taping documents smaller than 5 ½” by 8 ½” to standard-sized sheets of paper; taping leading edges
- b. *The Contractor may perform work on the PA's site in a Secure area designated by the PA and with oversight by PA staff following handling procedures specified by the PA.*

Image API response:

Image API will comply with performing work on the PA's site in a secure are designated by the PA and with oversight by PA staff following handling procedures specified by the PA.

- c. *The Contractor must be able to scan mixed-sized Documents (e.g., sticky notes, Certified Mail cards) and Large Format Documents, if applicable, without the use of automated Document feeders or other mechanical handling methods unless those methods allow a straight paper path and a non-mechanical method of clearing jams. Documents shall be placed into archival enclosures as needed to ensure that mechanical handling does not cause damage.*

Image API response:

Equipment

Image API uses OPEX and Kodak high-performance scanners to handle the majority of the document scanning for this project. We have tested scanning technology and determined that these scanners consistently deliver the required throughput with the assortment and condition of documents received. These scanners represent the latest in scanning technology, including a single-step capture system to reduce document prep and post processing. The scanners multi-function feeder is particularly desirable for the types of paper and mixed documents expected with this project. Documents can be fed intermixed through a unique feeder which is capable of handling the widest range of sizes, shapes and thickness.

We are prepared to handle a variety of document sizes and formats (i.e. sticky notes, certified mail cards, large formats such as maps, books, microfiche, microfilm etc.) with the different types of scanners used such as: high speed standard, planetary, flat scanners, book and map scanners, customized Mylar® sleeve transport containers with high resolution capture settings up to 1200 PPI.

Flexibility and Image Resolution

The OPEX imaging system includes state-of-the-art imaging cameras which meet CCG requirements for a variety of image resolutions. The ability to perform drop-feeding, packet-feeding and auto-feeding provides flexibility to handle various types of paper, including envelopes and pages that have been folded.

Automatic Double-Feed Detection

Sensors on the OPEX scanner detect and guard against multi-feeds which, if undetected during the scan process, create the potential for two unique document sets to be scanned as one.

Multi-Functionality

Equipped with an exclusive multi-function feeder and a variety of other innovative, cutting-edge features, the OPEX enables one operator to go from mixed documents to actionable data faster than ever – using state-of-the-art touch screens. Documents can be fed intermixed through a unique feeder which is capable of handling the widest range of sizes, shapes, and thicknesses. Integrated software is used to sort the documents based on a wide-range of custom parameters and output the optimized images and data captured in the process.

- d. *Prior to beginning any Imaging project, the Contractor and PA must evaluate the condition of Source Media and steps needed for preservation of the Source Media, particularly for materials created prior to 1900 or which have a history of improper storage.*

Image API response:

Image API provides the specialized equipment, skillful handling, experience, and appropriate storage solutions required for preservation imaging projects. We work with a variety of fragile, historical, and one-of-a-kind documents as well as with unique document sizes, paper types, and bindings.

Examples of our experience include:

- Performing all of the imaging work on original Spanish Land Grants (dating back to the 1700s), Florida Early Constitutions, Florida Confederate Pension Applications, and World War I Enlistment Service Cards for the Florida State Archives. They are displayed on the State's site.
- Imaging old, oversized, and fragile Department of Transportation engineering drawings for the South Carolina Department of Transportation. We transported the documents suspended vertically on special hangers to our facility for this project.
- Using delicate document handling techniques to image a wide range of old newsprint and magazine documents for the Southern Poverty Law Center in Alabama.
- Imaging Civil war documents that dated back to the 1890s for the Mary Brogan Museum of Art and Science. These fragile documents were placed inside special Mylar® sleeves to keep them intact.

Image API contracts with qualified archivists when necessary to evaluate historical documents and determine the safest procedures to follow in converting the files to digital images. We may use a variety of techniques and equipment including flat scanners, book and map scanners, customized Mylar® sleeve transport containers, high resolution capture settings up to 1200 PPI, environmentally controlled (and monitored) storage facilities, and others.

Modern archivists also are concerned with preserving documents after imaging, i.e. making faithful digital reproductions, saving the output in an appropriate digital file format (to limit loss of information), and ensuring long-term accessibility to the digital versions. These factors are why Image API favors the TIFF file format for preservation documents.

Image API's White Glove Conversion Process has enabled the archivists to fill both those responsibilities easily and without possible further damage to the documents in question. Our highly-trained, professional staff converted many of these aging, often fragile documents to digital images for viewing over the internet. A sample of the work includes:

- Confederate Pension Applications. Civil War buffs can now review the record made of payments to families and widows of that 148-year-old conflict on line.
- Legal and constitutional law experts can review copies of early Florida Constitutions from their desktops.
- Geography scholars can peruse Spanish Land Grants and early Florida maps dating to the 1600's without ever leaving their offices or classrooms.



A map from Spanish Land Grant Collection from the Florida State Archives Collection

Go to www.floridamemory.com/collections to review our work first hand.

The specific steps followed in each White Glove Conversion Project are:

- **Initial Receipt of Documents:** Image API arranges for pick-up of documents at client location, if required. They will be received and logged in upon arrival at our location.
- **Document Handling:** Image API employees handle documents only while wearing museum-grade white cotton gloves to prevent any additional unprotected contact of documents.
- **Preparation of Documents:** Image API prepares documents for scanning and microfilming, if required, according to explicit instructions previously agreed to by the client. Issues such as disbanding, de-spining, etc. are addressed. Documents can also be individually placed in Mylar sleeves prior to scanning.
- **Scanning of Documents:** Image performs color scanning of documents utilizing dedicated equipment selected specifically to eliminate any damage to archival documents. Image API has two scanning systems for flat or rolled documents depending on document size as well as a scanner specifically for documents in a book format:
 - **Flat/Rolled Documents up to 11" x 17":** A Flatbed Scanner is utilized that requires no physical movement of documents during the scanning process.
 - **Flat/Rolled Documents larger than 11" x 17":** A highly specialized Map Scanner is utilized that moves individual documents directly through the entire scanning process while remaining flat. This scanner has four cameras, numerous rollers to minimize and distribute any tension applied to each document, and sensitive adjustment capabilities to compensate for document variation. The largest documents scanned in this process to date, engineering highway road maps drawn to scale, were 18 inches wide by 60 feet long. Documents up to 50 inches in width can be accommodated.
 - **Documents in a Book Format:** A specialized Book Scanner is utilized that enables documents to be scanned without de-spining the book. This equipment also compensates for both the weight and thickness of the book as well as the curvature of the book. This enables the resulting images to appear without distortion.
- **Storage of Documents in Image API Custody:** Documents will be stored in our secure vault while not in use at our facility. Image API's vault has steel extruded walls and is bolted from the concrete flooring above through to the foundation below. The vault is also monitored on

a 24x7 basis by security cameras and requires biometric, authorized fingerprint identification for access.

- **Re-assembly of Documents:** Image API reassembles documents according to specific client instructions.
- **Return of Documents:** Image API will deliver documents back to a client at the end of the process exercising the same care it did upon document retrieval.
- **Delivery of Scanned Images and Research/Viewing Application:** Image API will deliver scanned images to the client on CDs as well as on Microfilm media, if required. Images are provided in the file format desired by the client taking into account storage requirements, limitations and capabilities. Typical formats include PDF, TIFF, and JPG. Any required indexing of images can also be provided by Image API.

- e. *Documents that have been stored in a rolled or tri-folded state are more particularly fragile. Contractor should use a humidification chamber when appropriate and necessary to relax the Documents properly before unfolding, flattening and scanning so as to keep them from cracking or tearing when flattened.*

Image API response:

Image API contracts with qualified archivists when necessary to evaluate historical documents and determine the safest procedures to follow in converting the files to digital images. We use a variety of techniques and equipment including flat scanners, book and map scanners, customized Mylar® sleeve transport containers, high resolution capture settings up to 1200 PPI, environmentally controlled (and monitored) storage facilities, and others.

- f. *Contractor must use appropriate imaging methods, such as use of a face-up or planetary scanner, that will not damage any wax seals, paper seals, raised embossed seals, or other intended permanent items affixed to Documents.*

Image API response:

Image API will provide the special equipment, special handling, and appropriate storage solutions required for preservation imaging projects. We have solid experience working with a variety of fragile, historical, and one-of-a-kind documents as well as with unique document sizes and paper types.

Examples of our experience include:

- Image API performed all of the imaging work on original Spanish Land Grants (dating back to the 1700s), Florida Early Constitutions, Florida Confederate Pension Applications, and World War I Enlistment Service Cards for the Florida State Archives. They are displayed at the State's site: www.floridamemory.com/Collections.
- Image API imaged old, oversized, and fragile engineering drawings for the South Carolina Department of Transportation. We transported the documents suspended vertically on special hangers to Tallahassee for the project.
- Image API used delicate document handling techniques to image a wide range of old newsprint and magazine documents for the Southern Poverty Law Center in Alabama.
- Image API imaged Civil war documents that dated back to the 1890s for the Mary Brogan Museum of Art and Science in Florida. These fragile documents were placed inside special Mylar® sleeves to keep them intact.

- g. *The Contractor, if approved by PA to do so, may remove any staples, paper clips, straight pins, grommets, and all other paper fasteners as well as unfold and flatten Documents as necessary for proper Imaging, provided that such removal does not damage or weaken the Documents.*

Image API response:

Image API fully understands the importance of careful and thorough document preparation. Our processes include the removal of all staples, paper clips, pins and other fasteners, as well as the need to flatten or unfold each document. Careless document preparation has the potential to harm the integrity of the document, cause paper jams in the scanner and cause problems for the equipment.

- h. Contractor must have processes in place to remove any materials that may be damaged by imaging from the imaging workflow and to notify and advise the PA regarding appropriate measures for handling and treatment of these items. PA must be given written notice of this process before the work begins.*

Image API response:

Image API understands and has processes in place for out-sorting documents and/or materials that cannot be digitized using traditional or standard imaging techniques and equipment. Our processes include procedures for notifying the PA when these exceptional situations arise as well as recommended solution(s).

- i. The Contractor must be able to scan Documents of non-standard weights (e.g., carbon paper, onionskin paper, card stock), including non-wood-based stocks (skins, vellums and parchments), and other materials for which the use of automated Document feeders or other mechanical handling methods is not acceptable or appropriate.*

Image API response:

Image API has the capability of scanning non-wood based stocks (i.e. skins, vellums and parchments, etc.) without the use of automated document feeders or when other mechanical handling methods are not acceptable. Image API has successfully performed the services mentioned above on a wide variety of projects, media, weights, etc., for example:

- Oil well logs
- Oversized maps and engineering drawings
- Old and fragile historical documents
- Extremely precise fingerprint cards
- Books of many sizes
- Onion skin paper, blueprints, carbon copies
- Microfilm and microfiche
- Highly confidential financial, legal, and health documents
- Documents bound by a variety of different means including clips, rings, GBC, and more

Document preparation is a critical first step in our document conversion process and requires well practiced processes and employees who are detail oriented.

- j. Contractor must provide specific File Formats and multiple File Formats per PA's SOW which may include, for example, a master Image file and derivatives such as access file(s) and a thumbnail file in specific compression schema and as needed to support required Output File Formats.*

Contractor must comply with Image Capture requirements of up to 1200 PPI and 24-bit color for Documents and photographic Images per SOW.

Image API response:

Historically, we have yet to come across an output spec we could not handle. Image API is proficient in providing specific file formats and multiple file formats per PA's SOW.

ANSI/AIIM MS 53-1993 provides technical standards for capturing digital images from paper or microfilm; however, the standards leave open many different formats to use. Image API recommends that PA's use non-proprietary formats whenever possible to ensure their ability to use the files in a variety of systems and protect their investment in conversion services.

Image API's technical services group will set up the final file output to meet the technical requirements specified by the Participating Agency. We will output the files in any file format required, which in most cases is an industry-recommended format such as TIFF group 4, JPEG, PDF, and others. A few document management systems continue to use proprietary file formats. Image API has the expertise to adapt the file output to match the system's requirements; for example, we have converted FileNet proprietary TIFF images, Visiflow proprietary DMS image files, and Laserfiche files to non-proprietary formats.

Image API's resume of successes also includes litigation support conversion and processing, for both public and private law firms, where output details and file formats were quite specific and unique to proprietary Case File Management Systems like Summation and Concordance.

Image API will comply with imaging requirements of up to 1200 PPI and 24-bit color.

- k. *The Contractor must provide Special Format Capture services for Source Media including bound books, photographic prints, transparent media (both negatives and slides), newspapers, manuscripts, maps, architectural drawings, three-dimensional objects such as daguerreotypes and magic lantern slides, and a variety of other fragile or friable materials. Such services will use appropriate equipment, such as planetary cameras, camera-based reprographic systems, book cradles and/or dedicated book scanners, etc.*

Image API response:

Image API commits to providing Special Format Capture services for Source Media. We have extensive experience providing a wide range of preservation documents. We have worked with microfilm/microfiche, books, historical and fragile documents, old maps, old and oversized engineering drawings, blueprints, onion skin paper types, and other materials requiring specialized equipment and special handling. All such projects are planned carefully to ensure proper handling throughout the process of transport, scanning, storage, and document return.

A.6.8.8.2 Bonding and Insurance

- a. *Contractor must have bonded staff handling historic and Permanent Records per SOW.*

Image API response:

Image API will comply with the bonding requirements for handling historic and permanent records per SOW.

- b. *Contractor must provide proof of insurance to cover historic and Permanent Records per SOW.*

Image API response:

Image API frequently provides bonding and is agreeable to this requirement. Additionally, we will provide proof of insurance to cover historic and permanent records per SOW.

A.6.8.8.3 Image Enhancement

- a. *The Contractor must be able to perform Image Enhancement immediately after Digital Imaging if required by PA.*

Image API response:

As part of our quality control process, Image API identifies and corrects any poor images. Our operators use our image enhancement module to improve image quality or re-scan the page. The image enhancement module provides a variety of capabilities including de-skew, de-speckle, line removal, noise removal, smoothing, border removal, and automatic page removal (based on a minimum image size threshold).

Image API visually inspects and corrects captured images for consistency as well as skew, edge lines, and overall readability in keeping with the Texas Records Management requirements for document imaging.

Our document capture software, CapsureIT™, includes our ScanFix™ module, an image clean-up wizard which automatically examines documents for image quality deficiencies and corrects the problem. By automating image enhancement, we reduce the manual effort to correct images and improve overall quality. ScanFix™ image enhancement includes:

- Auto-rotates and de-skews images
- Detects color and deletes blank pages
- Detects and removes black borders
- Removes lines on typewritten forms
- Removes random pixels in an image (De-speckling)
- Removes shaded backgrounds
- Sharpens the edges of type characters

Image API's quality control processes are designed to ensure that the quality of the digitized images and associated indexes meet the minimum standards required by law and by the quality and performance standards set by the agency. Procedures include, but are not limited to image inspection, scanner testing, and verification of image and index data recording.

- b. *The Contractor must be able to select appropriate bit depth, resolution, tonal dynamic range, color space, color mode, contrast and other settings to provide best Capture from Source Media to electronic Image per SOW.*

Image API response:

Image API utilizes a scanfix application for best capture. The tool allows operators to:

- de-skew
- remove noise, lines, and borders
- adjust brightness and contrast
- adjust resolution, tonal dynamic range, color space, color mode

- and other functions to improve document readability

A.6.8.8.4 High-Level Indexing & Metadata

The Contractor must provide Indexing, which may include high-level Indexing to Capture all or part of PA's need for Metadata regarding the Image. Indexing can be Document, file, folder or some other level depending on agency needs. This requirement will be spelled out in PA SOW.

Image API response:

Image API offers a variety of indexing services based on the PA's requirements. We provide manual data entry, capture via bar code technology, use of primary key and existing databases to auto-populate index fields, and IDR capture (e.g. OCR, OMR, etc.). We follow ANSI/AIIM standards for statistically valid sampling techniques to ensure the accuracy of index capture and to meet any quality levels requested by the PA.

Image API provides indexing accuracy up to 99.6% using a variety of QA techniques including double key entry in keeping with State of Texas Records Management guidelines. Additionally, our indexing capture software provides a statistical sample of documents to verify accuracy based on the accuracy percentage level established by the Participating Agency. The software can select a statistically valid random sample of indexed documents to meet any accuracy level required.

A.6.8.9 Desktop Scanning Services

Desktop Scanning Services are Digital Imaging Services that are performed at PA location by PA personnel using Contractor's scanner equipment. The PA is responsible for location security, network security, preparations, Documents being scanned and disposal after scanning. The Contractor is responsible for scanning equipment, maintenance/repairs and scanning equipment's Image quality. Desktop scanning may be to PA's or Contractor's repository. All cost or fees for Desktop Scanning Services must be listed on Price Sheet Attachment D.

Image API response:

Our project team will provide the desktop scanning, including scanners, PC workstations, servers and other equipment. Image API will install, configure and test the system for the customer and provide the PA staff with the necessary training and support and maintenance.

A.6.8.10 End of Projects

The Contractor shall meet with the PA and review the SOW for completion and identify and resolve any outstanding issues. In addition to specific requirements in SOW at a minimum:

- *The Contractor must provide a Final Files and Materials in a format as agreed upon with the PA upon project completion. See definition of Final Files and Materials.*
- *Also, Contractor shall provide PA with audit trails, documentation, data dictionary, schema, and information necessary to use the images and related data.*

Image API response:

Image API acknowledges the requirement to prepare and conduct project end and turnover operations as part of the CCG contract. Image API is committed to the long term in its relationship with CCG and its Participating Agencies, and fully understands and recognizes the critical need for operational continuity.

As a CCG partner with responsibility for a mission-critical operation, Image API recognizes its responsibility to conduct and support a smooth and seamless knowledge transfer at the end of the contract period. A well-planned turnover is vital to ensuring continuity of service.

Image API's approach to project end places PAs in a strong position well before the project reaches completion since much of the data, documentation, materials and information required as part of the turnover process will already reside with the PA. All key plans, process documentation and training materials are presented to, approved and retained by the PA throughout business operations. Much of the turnover requirements will already have been in place as the project end-phase begins.

At project turnover, our focus will be on validating that the PA has the most current version of all documentation. Our Turnover Plan will include a detailed inventory of all agreed upon documents and supporting information.

Our PMO/Contract Manager will serve as the single point of contact for all project turnover activity and will coordinate all knowledge transfer with designated PA and/or CCG staff.

The table below describes our approach to the transfer of key types of information and documentation:

TURNOVER/TRANSFER REQUIREMENTS	Image API APPROACH
Documentation & Business Processes	A comprehensive Processes and Procedures Manual is maintained regularly by Image API and can be shared/stored in a PA repository.
Training Materials	All Training material, including presentations, curriculum, training assessments, job aids and other material is maintained on Image API servers and updated regularly. Turnover can be minimized because the data is shared with the PA.
Knowledge Transfer	Our Turnover Plan will address a systematic review of all Image API processes and procedures with designated PA staff. Image API will make available PMO and subject matter experts to share the necessary information and training to ensure a smooth project end or turnover.
Project End/Turnover Reports	Image API will prepare and submit weekly status reports during the transition to project end that will detail the results of our activities.

Use your response in Section A.12.9.5 to document how your company meets or exceeds the above Imaging Servicing Projects requirements in Section A.6.8 and how they will add additional benefits to the PAs.

Image API response:

Please see Section A.12.9.5.

A.12.9.6 Reports and Performance

Image API response:

Reporting

Effective project reporting is timely, accurate, and meaningful, promotes program integrity and serves as an important communication tool between CCG and Image API. With on-demand, periodic and scheduled reports, we offer a flexible and robust reporting solution. Although, we have a suite of standard reports, we tailor our reports for each project to meet the needs of individual customers.

As part of the contracted services, Image API will generate and distribute operational reports for the customer to monitor our progress and contractual compliance, as well as to develop trend analysis and performance. Among the metrics that may be included in such reports are the following:

Production

- Files prepped, packaged, and picked up Image API
- Files received and processed by Image API
- Files loaded to the EDMS system and available to users
- Percentage of case files processed in relation to a local office, or total estimated volume as a whole

Indexing Accuracy

- Quality Control comparisons of indexed SID or TDCJ number to imaged data, using statistical sampling

Image Quality

- Quality Control comparisons of imaged data to hardcopy, using statistical sampling

System Usage and Availability

- System UP time
- Scheduled/Unscheduled Outages

The following three tables outline some recommended daily, weekly and monthly report options that Image API offers.

Table 1 – Daily Reports

Report Name	Description	Format	Category
Indexing Exception Report	Total number of documents for which the required indexing data attributes could not be validated against TDCJ database.	Report to be auto-generated from production systems and distributed for prior day activity	Operational
CFITS Report	Total folders/boxes received for processing.	Excel report prepared and distributed by production staff	Operational
Image Output Report	Total batches and documents processed, output and loaded to TDCJ EDMS repository.	Report to be auto-generated from production systems and distributed for prior day activity	Operational
Data Output Report	Summary of data output for processed documents.	Report to be auto-generated from production systems and distributed for prior day activity	Operational

Report Name	Description	Format	Category
Auto-Linking Report	Summary of number of documents successfully linked to a case, as well as exceptions where auto-linking failed.	Report to be auto-generated from production systems and distributed for prior day activity	Operational
Security and Confidentiality Incident Report	Detailed description of any security breach that may compromise confidentiality or privacy.	Report prepared by Operations Manager	Operational
Systems Outage Report	Summary of outages, including scanner or equipment outages and system outages.	Report prepared by Operations Manager	Operational/ Performance

Table 2 – Weekly Reports

Report Name	Description	Format	Category
Weekly Implementation Status Report	Summary of implementation status and progress, including milestones, issues, risks and deliverables.	Formal report prepared by Project Manager	Operational/ Performance
Weekly Operational Status Report	Summary of operations, including key metrics, issues, risks and deliverables.	Formal report prepared by Project Manager	Operational/ Performance
Weekly Production Volume Report	Total documents and images processed.	Report to be auto-generated and distributed from production system	Operational
Quality Control Results	Summary of quality control reviews, including errors and corrective action.	Formal report prepared by Operations Manager	Operational/ Performance
Indexing Exceptions	Summary of indexing exceptions for the operational week.	Report to be auto-generated and distributed from production system	Operational
Security and Confidentiality Incident Report	Detailed description of any security breach that may compromise confidentiality or privacy.	Formal report prepared by Operations Manager.	Operational
Systems Outage Report	Summary of outages, including scanner or equipment outages and system outages.	Report prepared by Operations Manager	Operational/ Performance
Level II Support Call Summary	Summary of the number and type of calls to Level II Technical Support, including closed and open items.	Report prepared by Technical Support Manager	Operational/ Performance
Deliverables Status Report	Summary of status on submission and acceptance of project deliverables.	Report prepared by Project Manager	Operational/ Performance

Table 3 – Monthly Reports

Report Name	Description	Format	Category
Operational Status Report	Summary of operations, including key metrics, issues, risks and deliverables.	Formal report prepared by Project Manager	Operational/Performance
Quality Assurance	Results of monthly Quality Assurance auditing and corrective action	Formal Report prepared by Quality Assurance Manager	Operational/Performance
Level II Support Call Summary Report	Roll-up summary of the number and type of calls to Level II Technical Support, including closed and open items.	Report prepared by Technical Support Manager	Operational/Performance
Processing Timeliness Completion Report	Roll-up summary of the number of documents processed.	Report prepared by Operations Manager	Operational/Performance
Security and Confidentiality Incident Report	Roll-up summary of security incidents	Formal report prepared by Operations Manager	Operational
Systems Outage Report	Summary of outages, including scanner or equipment outages and system outages.	Report prepared by Operations Manager	Operational/Performance

The figures that follow are some examples of several of the various types of production reports that Image API provides to satisfy project requirements:

Scan Report

Board	Committee	Meeting Date	Agenda ID	Count
BOD				
	PCP	04/11/2014	2062	12436
Total:				12436
BOM				
	CREDENTIALS	04/03/2014	2080	3571
	FULL BOARD	04/04/2014	2058	7762
	PCP NORTH	03/21/2014	2069	22805
	PCP NORTH	04/25/2014	2083	12352
	PCP SOUTH	03/07/2014	2065	7620
	PCP SOUTH	04/18/2014	2072	82556
Total:				136666
BOMT				
	FULL BOARD	05/02/2014	2075	1854
Total:				1854
BON				
	FULL BOARD	04/03/2014	2064	9169
	PCP CENTRAL	03/27/2014	2070	23487
	PCP NORTH	03/11/2014	2061	11564
	PCP NORTH	04/08/2014	2071	18905
Total:				63125
BOO				
	FULL BOARD	05/16/2014	2066	293
	PCP	04/11/2014	2052	17135
	PCP	07/08/2014	2087	168
Total:				17596
BOP				
	FULL BOARD	04/02/2014	2060	613
	FULL BOARD	06/11/2014	2082	66
	PCP	02/27/2014	2054	35
	PCP	03/13/2014	2066	2376
	PCP	03/27/2014	2079	1858
	PCP	04/10/2014	2085	2810
Total:				7758
Grand Total:				239435

Wednesday, March 19, 2014



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Figure 1: System report provided to a customer that holds recurring board meetings that indicates the total pages imaged - itemized by Board, Committee and Meeting Date.

DOHMAILAPP - Turnaround Report								
Received Date	batchid	Doc Count	scandate	qadate	output date	load date	Turnaround	
2/3/2014	119975	9	2/4/2014	2/5/2014 10:12:44 AM	2/5/2014	2/5/2014 12:38:06 PM	2	
	119974	28	2/4/2014	2/5/2014 10:23:57 AM	2/5/2014	2/5/2014 12:37:47 PM	2	
	119973	28	2/4/2014	2/5/2014 10:12:28 AM	2/5/2014	2/5/2014 12:24:23 PM	2	
	119972	28	2/4/2014	2/5/2014 10:12:10 AM	2/5/2014	2/5/2014 12:24:06 PM	2	
	119971	28	2/4/2014	2/5/2014 10:11:50 AM	2/5/2014	2/5/2014 12:23:44 PM	2	
	119970	28	2/4/2014	2/5/2014 10:23:53 AM	2/5/2014	2/5/2014 12:23:26 PM	2	
	119969	26	2/4/2014	2/5/2014 10:10:26 AM	2/5/2014	2/5/2014 12:23:07 PM	2	
	119921	8	2/4/2014	2/5/2014 9:38:42 AM	2/5/2014	2/5/2014 10:08:19 AM	2	
	119920	18	2/4/2014	2/5/2014 9:38:30 AM	2/5/2014	2/5/2014 10:07:58 AM	2	
	119919	10	2/4/2014	2/5/2014 9:38:16 AM	2/5/2014	2/5/2014 10:07:51 AM	2	
	119918	13	2/4/2014	2/5/2014 9:38:06 AM	2/5/2014	2/5/2014 10:07:39 AM	2	
	119917	19	2/4/2014	2/5/2014 10:45:10 AM	2/5/2014	2/5/2014 10:52:44 AM	2	
	119916	6	2/4/2014	2/5/2014 9:37:48 AM	2/5/2014	2/5/2014 9:52:56 AM	2	
	119915	8	2/4/2014	2/5/2014 9:34:07 AM	2/5/2014	2/5/2014 9:52:50 AM	2	
	119914	11	2/4/2014	2/5/2014 9:37:37 AM	2/5/2014	2/5/2014 9:52:43 AM	2	
	119913	21	2/4/2014	2/5/2014 9:37:20 AM	2/5/2014	2/5/2014 9:52:26 AM	2	
	119912	20	2/4/2014	2/5/2014 9:37:04 AM	2/5/2014	2/5/2014 9:52:12 AM	2	
		1048				Average	2.00	
2/4/2014	120077	7	2/5/2014	2/6/2014 9:30:07 AM	2/6/2014	2/6/2014 1:07:10 PM	2	
	120076	2	2/5/2014	2/6/2014 9:29:55 AM	2/6/2014	2/6/2014 12:53:15 PM	2	
	120075	12	2/5/2014	2/6/2014 9:27:39 AM	2/6/2014	2/6/2014 12:53:07 PM	2	
	120074	20	2/5/2014	2/6/2014 9:27:23 AM	2/6/2014	2/6/2014 12:52:50 PM	2	
	120073	15	2/5/2014	2/6/2014 9:43:17 AM	2/6/2014	2/6/2014 12:52:36 PM	2	
	120071	14	2/5/2014	2/6/2014 9:26:46 AM	2/6/2014	2/6/2014 12:52:28 PM	2	
	120003	28	2/5/2014	2/6/2014 8:32:28 AM	2/6/2014	2/6/2014 9:37:45 AM	2	
	120002	24	2/5/2014	2/6/2014 8:31:47 AM	2/6/2014	2/6/2014 9:37:14 AM	2	
	120001	15	2/5/2014	2/6/2014 8:31:30 AM	2/6/2014	2/6/2014 9:36:55 AM	2	
	120000	15	2/5/2014	2/6/2014 8:31:09 AM	2/6/2014	2/6/2014 10:26:05 AM	2	
	119999	28	2/5/2014	2/6/2014 8:30:53 AM	2/6/2014	2/6/2014 10:25:12 AM	2	
	119998	28	2/5/2014	2/6/2014 8:30:32 AM	2/6/2014	2/6/2014 9:22:21 AM	2	
	119997	28	2/5/2014	2/6/2014 8:30:03 AM	2/6/2014	2/6/2014 9:22:03 AM	2	
	119996	28	2/5/2014	2/6/2014 8:29:35 AM	2/6/2014	2/6/2014 9:21:44 AM	2	
	119995	28	2/5/2014	2/6/2014 8:29:16 AM	2/6/2014	2/6/2014 9:08:06 AM	2	
	119994	28	2/5/2014	2/6/2014 8:28:55 AM	2/6/2014	2/6/2014 9:07:47 AM	2	
	119993	28	2/5/2014	2/6/2014 8:28:34 AM	2/6/2014	2/6/2014 9:07:29 AM	2	
119992	28	2/5/2014	2/6/2014 9:43:08 AM	2/6/2014	2/6/2014 9:51:45 AM	2		
119977	28	2/4/2014	2/6/2014 8:28:16 AM	2/6/2014	2/6/2014 9:07:10 AM	2		
119976	28	2/4/2014	2/6/2014 8:27:58 AM	2/6/2014	2/6/2014 9:06:49 AM	2		
		1295				Average	2.00	
2/5/2014	120212	28	2/6/2014	2/7/2014 11:17:29 AM	2/7/2014	2/7/2014 2:39:00 PM	2	
	120211	28	2/6/2014	2/7/2014 11:17:12 AM	2/7/2014	2/7/2014 2:38:34 PM	2	
	120210	28	2/6/2014	2/7/2014 11:16:55 AM	2/7/2014	2/7/2014 2:38:05 PM	2	
	120209	28	2/6/2014	2/7/2014 11:16:51 AM	2/7/2014	2/7/2014 2:26:48 PM	2	
	120208	28	2/6/2014	2/7/2014 11:16:30 AM	2/7/2014	2/7/2014 2:25:50 PM	2	
	120207	27	2/6/2014	2/7/2014 11:20:28 AM	2/7/2014	2/7/2014 2:24:13 PM	2	

Figure 2: System report provided to a customer that verifies Image API's turnaround time processing compliance – itemized by specific Date and Batch, including the output and load dates.

Figure 3: Image API Production Report application that allows the operator to query and select specific batches processed, indicating batch ID, status, output date, etc.

Batch Summary Report													
Batch ID	Batch#	Box#	Batch	Description	Status / ScanQa / De1 / De2	Users	QA Date	Folders	Docs	Pages	Chars	Excp	Color
122289	FAMU_SRS 40-00160	2-CB 11	03/10/2014	TERRI	OUTPUT / QA / - / -	DE1 - , ashuffle QA - , jschroeder	03/14/2014	171	171	2136	5990	1	
122312	FAMU_SRS 40-00161	2-B-CB-10-13	03/10/2014	TERRI	OUTPUT / QA / - / -	DE1 - , ashuffle	03/14/2014	180	180	2736	6676	2	
122313	FAMU_SRS 40-00162	4-CB-12	03/10/2014	TERRI	OUTPUT / QA / - / -	DE1 - , ashuffle	03/14/2014	172	172	2122	6271	1	
122326	FAMU_SRS 40-00163	3A-3B	03/10/2014	TERRI	OUTPUT / QA / - / -	DE1 - , ashuffle	03/14/2014	165	165	2791	5709	1	
122370	FAMU_SRS 40-00164	1-A-B CB-13	03/11/2014	TERRI	OUTPUT / QA / - / -	DE1 - , ashuffle	03/14/2014	175	175	2475	6160	1	
122403	FAMU_SRS 40-00165	4-A-B CB 13	03/11/2014	TERRI	OUTPUT / QA / - / -	DE1 - , ashuffle	03/14/2014	181	181	2611	6631	0	
122413	FAMU_SRS 40-00166	2-A-CB-12	03/11/2014	TERRI	OUTPUT / QA / - / -	DE1 - , ashuffle	03/14/2014	178	178	2899	6541	3	
122508	FAMU_SRS 40-00167	19	03/12/2014	Susanne / TERRI	SCANFIX / QA / - / -			131	131	1905		0	
122512	FAMU_SRS 40-00168	18	03/12/2014	Susanne	SCANFIX / QA / - / -			135	135	1953		0	
122513	FAMU_SRS 40-00169	6	03/12/2014	TERRI	SCANFIX / QA / - / -			155	155	2039		0	
122570	FAMU_SRS 40-00170	10	03/13/2014	TERRI	SCANFIX / QA / - / -			153	153	1791		0	
122591	FAMU_SRS 40-00171	1	03/13/2014	TERRI	SCANFIX / QA / - / -			145	145	2192		0	
Grand Total:								1941	1941	27650	43978		
Indexed Records:								1222	0	0			
Exception Records:								9	0	0			
Skipped Records:								0	0	0			
Color files:													0
Total Batches:								12					

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Figure 4: The resulting system report produced from the Image API Production Report application above [Figure 3], and indicates total documents, pages/images, characters indexed, etc.

A.12.9.7 Additional Services Offered

Describe the additional Digital Imaging services as per Section A.9.8 that your company provides with and without a cost to PA and how these services will benefit the PA. If the services have a cost they must be listed on Price Sheet Attachment D.

Image API response:

Image API has added the following Digital Imaging services to the Price Sheet:

- Business Analyst: Three to five years of IT experience in DBA, DBMS design and support and relevant computing environments
- Production Project Manager: Five to 10 years of work experience in the production field meeting production goals and objectives
- Operations Manager: Five to eight years of experience in managing people and meeting production goals
- Training Specialist – Software: Technical environment training
- Programming – Junior: Systems administration and programming