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4/16/2015
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AN ORDINANCE 2015-04-16-0301

AUTHORIZING THE CITY TO UTILIZE A COOPERATIVE CONTRACT WITH OPEN TEXT, INC. TO PROVIDE SCANNING AND INDEXING OF 3,105 EXISTING FLOODPLAIN MANAGEMENT FILES (621,035 PAGES) AND OTHER RELATED DOCUMENTS AND CONVERT THESE FILES INTO AN ELECTRONIC FORMAT FOR A TOTAL COST OF $100,000.00, FUNDED WITH THE STORM WATER REGIONAL FACILITIES FUND.

* * * * *

WHEREAS, approximately 21,858 Floodplain Management related files are located at the City's El Paso, S. Alamo Street and Cherry Street locations, creating a need for additional storage space; and

WHEREAS, due to the large volume of plans that currently need to be scanned, it is more efficient to outsource the scanning of plans; and

WHEREAS, this procurement is available through cooperative purchasing agreement No. 920C-1 through the Texas Council on Competitive Government, which is managed by the Texas Comptroller of Public Accounts, **NOW THEREFORE,**

BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF SAN ANTONIO:

SECTION 1. A contract with Open Text, Inc. to provide scanning and indexing of 3,105 existing Floodplain Management files (621,035 pages) and other related documents and convert these files into an electronic format for a total cost of $100,000.00, utilizing cooperative purchasing agreement No. 920C-1 through the Texas Council on Competitive Government, is hereby approved. A copy of the contract is attached hereto and is incorporated by reference as **Attachment I**. The Director or their designee is authorized to execute the amendment and any related documents.

SECTION 2. Funding in the amount of $100,000.00 for this ordinance is available for Fund 29071000, Cost Center 2304110001 and General Ledger 5201040, as part of the Fiscal Year 2015 Budget.

SECTION 3. Payment not to exceed the budgeted amount is authorized to Open Text, Inc. and should be encumbered with a purchase order.

SECTION 4. The financial allocations in this Ordinance are subject to approval by the Director of Finance, City of San Antonio. The Director of Finance, may, subject to concurrence by the

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City Manager or the City Manager's designee, correct allocations to specific SAP Fund Numbers, SAP Project Definitions, SAP WBS Elements, SAP Internal Orders, SAP Fund Centers, SAP Cost Centers, SAP Functional Areas, SAP Funds Reservation Document Numbers and SAP GL Accounts as necessary to carry out the purpose of this Ordinance.

SECTION 5. This ordinance shall be effective immediately upon passage by eight affirmative votes; otherwise it shall be effective on the tenth day after passage hereof.

PASSED and APPROVED this 16th day of April, 2015.

M A Y O R
Ivy R. Taylor

ATTEST:

Leticia M. Vacek, City Clerk

APPROVED AS TO FORM:

By:

Martha G. Sepeda, Acting City Attorney

Agenda Item:	**6 (in consent vote: 5, 6, 7, 8, 9, 10, 11, 13, 15, 16, 17, 18, 19, 21, 22)**
Date:	04/16/2015
Time:	10:54:33 AM
Vote Type:	Motion to Approve
Description:	An Ordinance authorizing the City to utilize a cooperative contract with Open Text, Inc. to provide scanning and indexing services of documents for a total cost of $100,000.00, funded with the Storm Water Regional Facilities Fund. [Ben Gorzell, Chief Financial Officer; Troy Elliott, Director, Finance]
Result:	Passed

Voter	Group	Not Present	Yea	Nay	Abstain	Motion	Second
Ivy R. Taylor	Mayor		x				
Roberto C. Trevino	District 1	x					
Alan Warrick	District 2		x				
Rebecca Viagran	District 3		x				
Rey Saldaña	District 4		x				x
Shirley Gonzales	District 5		x				
Ray Lopez	District 6		x			x	
Cris Medina	District 7	x					
Ron Nirenberg	District 8		x				
Joe Krier	District 9		x				
Michael Gallagher	District 10		x				

OPENTEXT

INFORMATION OUTSOURCING SERVICES

City of San Antonio Floodplain Management Review Team Scope of Work

February 4, 2015

Submitted by:

Catherine Drolet
Business Development
OpenText Information Outsourcing Services

Phone: 210.826.5501
Email: cdrolet@opentext.com

Submitted to:

David Keown
Information Technology

Phone: 210.207.4213
Email: david.keown@sanantonio.gov

OPENTEXT
INFORMATION OUTSOURCING SERVICES

Attachment I

Contacts:

Executive Sponsor – TCI
First Last Name
Title
210.207.

Information Technology – TCI
David Keown
Systems Integrator
210.207.4213
david.keown@sanantonio.gov

Project Manager – TCI
Daniel Aguilar
Sr. Engineer
210.207.0335
daniel.aguilar@sanantonio.gov

Project Manager – TCI
Sabrina Santiago
Sr. Engineering Associate
210.207.0182
sabrina.santiago@sanantonio.gov

Sales Contact - OpenText
Catherine Drolet
Business Development
210.826.5501 - Office
210.860.6906 - Cell
cdrolet@opentext.com

Lead Operations Contact - OpenText
Bo Bowman
VP, Operations
210.826.5501 - Office
210.382.8121 - Cell
bbowman@opentext.com

Project Manager - OpenText
Ricardo De La Rosa
Project Manager
210.826.5501 - Office
rdelaros@opentext.com

Production Manager - OpenText
Rob Allen
Production Manager
210.826.5501 - Office
rallen@opentext.com

Schedule of Rates

Rates used herein are from the CCG Contract with the Council on Competitive Government Contract No: 920-C1

Item description	Contract Price per Unit
Document Preparation at IOS Facility	$27.75 per hour
Document Capture Bitonal (Letter/Legal/Small Maps @ 300 dpi)	$0.033 per image
Document Capture Color (Letter/Legal/Small Maps @ 300 dpi)	$0.041 per image
Large Format Scanning Maps & Plats at IOS Facility	$1.10 per map/plat
Manual Keyed Index Fields	$0.047 per index field
Programming & Technical Support	$75.00 per hour
Trip Charge	$65.00 per trip
USB Delivery of Services	$24.738 per unit
One Time Project Set up Fee	$2,000.00 per project

Payment terms

Project billed on actual numbers	Project billed monthly	Payment terms are net 30

Overview of Floodplain Management Review Team Project

The Transportation & Community Initiatives (TCI) desires budgetary pricing for capture/conversion of approximately 17,810 files which contain 171,100, legal, maps and plats within each file. As of this date, Digitizing SWRT Archive Files, Quote # 20140930-04 represents the initial year of the project.

These files will be imported and made available in the City of San Antonio's FileNet platform.

Project Summary

OpenText Inc. Information Outsourcing Services (IOS) will provide document conversion services (the "Services") on the above detailed conversion projects at our facility in San Antonio. Services include: Document Preparation, Document Capture, Data Entry and Quality Assurance Controls, Project Set Up and Document Transportation.

Document Tracking

IOS shall provide document conversion services that include onsite pulling files, boxing files and inventorying files for pickup. Offsite services include document preparation, document capturing, document indexing, and quality control. The Work Plan process identified in the upcoming section shall consist of an excel report that includes, but is not limited to, box number, File ID, number of pages scanned and invoice number (see sample report (Attachment A).

The following information shall be required in a report at the following steps:

Pick up: Box number, File IDs in each box

Drop off: Box number, File ID's, in each box

Scanning: Number of pages scanned per File ID and number of File IDs electronically delivered (IOS to provide)

Acceptance: TCI will conduct quality control review of files scanned and delivered and either report any issues or approve the work for invoicing. (TCI to provide)

Invoice: Should match the number of pages scanned by File ID as reported and accompanied by above acceptance confirmation (IOS to provide).

Work Plan

- IOS will capture and validate a pilot for this project to ensure proof of concept and TCI approval before starting at full production.
- TCI will provide access to all documents under this project, as well as, direct which project to capture first and the order of files, maps, plats, documents during the project.
- File pull requests will be fulfilled within four hours during normal business hours using OpenText Managed File Transfer (MFT).
- IOS shall not, under any circumstances, attempt to intentionally or unintentionally, destroy files and IOS is responsible to return the number of files to TCI in the same condition that they were picked up in. For files that are spiral bound, books, or other bound material IOS will place in a rubber band or large clip.

Document Preparation

Document preparation includes the following tasks:

- Removal of fasteners (staples, accos, clips, etc.)
- Best effort to repair torn or damaged maps
- Unfolding of overlapped corners
- Overlapped papers are removed from their backing sheet. IOS tapes them onto a sheet or uses a carrier jacket so information is correctly and legibly captured

Document Capture

Tasks performed at capture include:

- All paper and maps scanned at 300dpi bitonal or color single page tiff.
- Image controls used for image cleanup. Border removal, Streak removal, De-speckling, and De-skewing.

Document Indexing

Tasks performed at indexing include:

- IOS will manually key File ID # for each file. An estimated 198 images per file is being used for this SOW.
- TCI to provide a database which provides all other indexing criteria for files; which are File ID and File Name.

Quality Control

IOS operators compare image to paper files and to image for quality variance for the following:

- All images that are below the acceptable quality are re rescanned for the best image possible.
- Misidentification and indexing corrected in the QC phase.

- Final quality assurance count delivered compared against document count received
- Scientific statistical sampling is performed on each day's production, metrics are compiled for operator performance and quality

Transportation

IOS shall be responsible to pick up and deliver documents from the TCI designated facility which is located at 1901. S. Alamo Street, San Antonio, Texas 78204.

Schedule

IOS shall prepare a 6 month schedule with dates/frequency of file pick-up and delivery; the first schedule shall be delivered to TCI within 10 business days of contract award and prior to picking up any files to scan. The schedule is subject to approval by TCI and is subject to change; however, any changes will be mutually agreed upon in advance and in writing. Services will not be scheduled or performed during the following dates:

IOS Holidays

IOS holidays are: New Years Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Thanksgiving Friday, Christmas Eve, and Christmas Day.

City of San Antonio Holidays

City of San Antonio holidays are: New Years Day, Martin Luther King's Birthday, Fiesta San Jacinto Day, Memorial Day, Independence Day, Labor Day, Veteran's Day, Thanksgiving Day, Thanksgiving Friday, Christmas Eve, and Christmas Day. Additionally, City offices close from December 24-January 2 for Winter Holiday.

Acceptance Process and Criteria

IOS shall be responsible to complete Attachment A which will be used to confirm acceptance of work by TCI. IOS shall allow TCI at least 7 business days to accept delivery of electronic files. In the event that an issue is found, TCI will report the finding to IOS and IOS is responsible to correct the issue within 7 business days. IOS shall include acceptance with all invoices, unless TCI has not responded with an acceptance of delivery or issues found within 7 business days after delivery.

Scanning Accuracy

IOS shall be responsible to ensure scanning accuracy that meets or exceeds the following criteria:

- IOS shall ensure that 100 percent of the images are as readable as the original document. IOS will use Image controls for image cleanup to insure the best possible image is delivered. This includes border removal, de-speckling, and de-skewing.
- IOS shall ensure that maps/plats are scanned in their entirety; an image capture is not complete if it is missing seals, notes, stamps, etc.
- Images must be indexed at 100 percent with 98 percent accuracy.

Invoicing

IOS shall not invoice TCI for work performed until all acceptance criteria for these particular deliverables have been met and the deliverables have been formally accepted by TCI unless TCI has not responded with an acceptance of delivery or issues found within 7 business days after delivery.

- TCI shall review each invoice for contract compliance and completeness. If TCI determines that an invoice is not acceptable under the provisions of the contract resulting from this SOW or is otherwise incomplete, IOS shall correct any deficiencies before the City will process the invoice for payment.
- IOS shall provide additional information and/or documentation as the City may reasonably require. IOS shall respond to a City's request for additional information and/or documentation to support payment within 3 business days of receipt to ensure timely payment.
- **Billing at Contract Conclusion,** Upon conclusion of the contract and in the event final acceptance measures are not complete, IOS shall allow TCI sufficient time (not to exceed 30 days) to perform final review of all pending files. After the final review is complete, TCI shall notify IOS to invoice TCI for the final balance due and perform closure of the contract.

Staffing

IOS shall retain a specifically identified Project Manager for the term of the contract resulting from this SOW. IOS Project Manager shall coordinate all activities with the designated City Project Manager.

Document Retrieval

In rare cases, TCI may have a need to retrieve files that have been picked up by IOS for scanning. In such instances where TCI needs to retrieve a map/plat from IOS, IOS should ensure that the City can retrieve the associated electronic version of the file(s) within 2 business days.

OpenText Responsibilities

1. IOS is responsible for managing and completing the Services as described above in this Statement of Work. Any changes to this Statement of Work may increase the length of time it will take to complete this project and/or increase the cost of this project.
2. IOS is responsible for providing personnel as required to complete the Services.
3. IOS is responsible for providing all software and procedures not specifically referenced that are required to complete the Services; which includes the following:
    a. Capture equipment and software for document/plan conversion.
    b. Secure storage for images and metadata project term.
    c. Turnaround all work on a predetermined basis as agreed upon with TCI.
4. IOS will manage the throughput of Services so as to not run over the Purchase Order amount provided by TCI.
5. Provide USB drive for each monthly delivery for TCI to QC images for approval by month end or 7 business days.

6. With each delivery IOS will return the TCI provided Attachment A (the detailed electronic inventory listing) notating any missing files. TCI may use this same inventory list to provide feedback to IOS on exceptions or rejected images.

TCI Responsibilities

1. TCI to provide continued representation during the term of this project.

2. Provide feedback to each delivery on the Attachment A (noted above under OpenText Responsibilities, item 6) any rejected images or exceptions to each delivery.
3. Accept images for approval on each USB Drive delivery within 7 days of having access to images.

Change Management Process

On a go-forward basis, changes to this Statement of Work will be provided in writing to Bo Bowman or Catherine Drolet from IOS. Statement of Work changes will only be allowed from the following TCI personnel:

Daniel Aguilar | David Keown

IOS will implement mutually agreed upon changes within 72 hours of receipt of written change request. In the event the change requires retroactive changes to completed files, the time required to make the changes to the completed files will be billed at a rate of $27.75 per hour.

Additional Provisions

1. The City may request that IOS perform tasks not directly specified in this Statement of Work but that are within its general scope in order to implement regulatory or legislative changes, or to address missed requirements. The authorization to acquire these additional services will be at the sole discretion of the City. In the event the City elects to exercise this option, the City shall provide IOS the requirements and IOS shall provide proposed pricing for the additional services. The City has the option to accept or reject these additional services from IOS and refine the requirements. Any changes to the Statement of Work can be made only in writing (hard copy or through email requests) and signed by authorized representatives of TCI and IOS, and will thereupon become part of this Statement of Work. Any such changes may increase the price or lengthen the schedule for this project. Any additional services must be quoted in accordance with the pricing and services authorized in CCG contract # 921-C1.
2. Unless otherwise stated herein, the work described in this Statement of Work is to be performed during IOS's scheduled production shifts, excluding City of San Antonio and IOS holidays. Scheduled production shifts are Monday through Friday, 8:00 a.m. to 5:00 p.m. Any services required outside of IOS's scheduled production shifts must be agreed to by IOS and TCI in advance.

3. This Statement of Work is governed by the CCG Contract No 920-01 awarded to Open Text Inc. ("Open Text") by the Texas Council of Competitive Government ("CCG Contract"). Notwithstanding anything to the contrary in the CCG Contract, the City of San Antonio Floodplain Management Review Team and Open Text agree to the following:

   A. Limitation of Liability

   i. DISCLAIMER OF DAMAGES / LOSSES. IN NO EVENT SHALL EITHER PARTY BE LIABLE UNDER

OR IN CONNECTION WITH THIS AGREEMENT (INCLUDING IN NEGLIGENCE) FOR ANY CONSEQUENTIAL, INDIRECT, INCIDENTAL, SPECIAL, EXEMPLARY OR PUNITIVE DAMAGES, NOR FOR LOSS OF PROFITS, LOSS OF REVENUE, INTERRUPTION OF BUSINESS, LOST OR DAMAGED DATA, OR COSTS OF REPROCUREMENT OF SUBSTITUTE SERVICES, EVEN IF EITHER PARTY HAS BEEN ADVISED OF THE POSSIBILITY OF THE FOREGOING.

ii. LIMITATION OF LIABILITY. IN NO EVENT SHALL EITHER PARTY'S LIABILITY UNDER OR IN CONNECTION WITH THE CCG CONTRACT OR THIS SOW EXCEED THE AMOUNT OF FEES PAID BY THE CITY OF SAN ANTONIO (DSD) UNDER THIS STATEMENT OF WORK, WHETHER SUCH LIABILITY ARISES IN CONTRACT, TORT (INCLUDING NEGLIGENCE) OR OTHERWISE.

B. Warranty

i. Limited Warranty. Open Text warrants that the services provided hereunder ("Services") will be performed using reasonable skill and care consistent with generally accepted computer software industry practices ("Services Warranty").

ii. DISCLAIMER. OTHER THAN THE EXPRESS SERVICES WARRANTY SET OUT ABOVE, OPEN TEXT DISCLAIMS ALL OTHER EXPRESS, IMPLIED OR STATUTORY WARRANTIES, INCLUDING BUT NOT LIMITED TO WARRANTIES RELATED TO TITLE, COMPATIBILITY WITH SOFTWARE OR HARDWARE, NON-EXISTENCE OF ERRORS, NON-EXISTENCE OF VIRUSES, MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

iii. Warranty Claims. In order to receive warranty remedies under the Services Warranty, warranty claims must be reported by DSD to Open Text in writing within thirty (30) days of the delivery of the related Services. Any modification of the Services not authorized by OT will cause immediate termination of the Services Warranty with respect to the modified Services.

iv. Warranty Remedy. DSD's sole and exclusive remedy with respect to the Services Warranty will be that Open Text shall correct the breach of the Services Warranty within a commercially reasonable period of time. At Open Text's discretion, Open Text may elect to instead issue a refund of the fees allocable to the portion of the Services which do not satisfy the Services Warranty.

Acceptance and Authorization

The signatures below constitute acceptance of this Statement of Work and the following attachments:

Quote 20140930-04 which details the total estimated project costs; as well as the pricing milestones for this project. (Council on Competitive Government pricing schedule is used for the foundation of this pricing quotation).

Specifically the sections below are reiterated from the Council on Competitive Government schedule and made a part of this SOW:

B.7.9 Independent Vendor

The Contract must not render the Vendor an employee, officer, or agent of the CoSA for any purpose. The Vendor is and must remain an independent vendor in relationship to the CoSA. The CoSA must not be responsible for withholding taxes from payments made under the Contract. The Vendor must have no claim against the CoSA for vacation pay, sick leave, retirement benefits, social security, worker's compensation, health or disability benefits, unemployment insurance benefits, or employee benefits of any kind.

B.7.10 No Assignment by Vendor

The Vendor must not assign its rights under the Contract or delegate the performance of its duties under the Contract without prior written approval from the CoSA.

B.7.11 Indemnification and Liability

The Vendor must defend, indemnify, and hold harmless the State of Texas, its officers, and employees, and the CoSA, its officers, and employees and vendors, from and against all claims, actions, suits, demands, proceedings, costs, damages, and liabilities, including without limitation attorneys' fees and court costs, arising out of, connected with, or resulting from any acts or omissions of the Vendor or any agent, employee, subcontractor, or supplier of the Vendor in the execution or performance of the Contract. The Vendor must coordinate its defense of any claims with the Texas Attorney General as requested by the CoSA. This section is not intended to and must not be construed to require the Vendor to indemnify or hold harmless the State of Texas or the CoSA for any claims or liabilities resulting from the negligent acts or omissions of the CoSA or its employees.

B.7.12 Vendor Liability for Damage to Government Property

The Vendor must be liable for all damages to government-owned, leased, or occupied property and equipment caused by the Vendor and its employees, agents, subcontractor, and suppliers, including any delivery or cartage company, in connection with any performance pursuant to the Contract. The Vendor must notify the CoSA Contract Manager in writing of any such damage within one (1) calendar day.

The City of San Antonio (TCI)	OpenText
Name:	Name: Chuck Barnett
Title:	Title: VP, Information Outsourcing Services
Signature:_____	Signature: _____
Date: _____	Date: _____

OpenText
10537 Gulfdale Drive, San Antonio, TX 78216
Phone (210) 826-5501 Fax (210) 826-5819
http://www.opentextbpm.com

OPENTEXT

Name	City of San Antonio - Transportation and Community Initiatives (TCI)	Salesperson	Cathy Drolet
Address		Date	9/30/2014
Address		Quote Ref.	20140930-04
City	State/Zip Texas	Phone	(210) 826-5501
Phone	Fax	Fax	(210) 826-5819
Contact	Email	Email	cdrolet@opentext.com

Year One - Digitizing SWRT Archive Files

Units	Description	Catalog #	Unit Price	TOTAL
	Estimate 3,105 files/621,035 images			
52	**File Puller, Boxing, and Inventory** Electronic Inventory as a deliverable with each box and entire project.	PREP	$27.75	$ 1,443.00
1,567	**Document Preparation** * Estimate an average of 400 papers per hour	PREP	$27.75	$ 43,484.25
534,000	**Document Scanning Legal/Letter Size Papers** * Scan at 300 DPI bitonal	SCAN	$0.033	$ 17,622.00
58,000	**Document Scanning Legal/Letter Size Papers** * Estimate 10% color pages * Scan at 300 DPI Color	SCAN	$0.041	$ 2,378.00
29,035	**Document Scanning Large Size Papers** * Scan at 300 DPI bitonal or color as needed	SCAN	$1.100	$ 31,938.50
621,035	**First Quality Assurance Step of Each Image after Scanning** * Included in scan price	1-QA	$0.000	$ -
3,105	**Keyed Index Field** * Manually key File ID * Autofill Name from database provided by City	Field	$0.0470	$ 145.94
621,035	**Final Quality Assurance Step of Images and Index Data** * Included in scan charge	2-QA	$0.000	$ -
11	**Delivery of final images and metadata on USB Drive** * Estimate 60 deliveries over 5 years * Deliver single page tiff files	USB	$24.75	$ 272.25
1	**Project Analysis, Application Design, Testing, and Pilot** * This is a one time fee	Project	$2,000.00	$ 2,000.00
11	**Pickup and Return** * Pickup and delivery monthly for 5 years	R/T	$65.00	$ 715.00
	Council on Competitive Government (CCG) Pricing Contract Number No: 920-C1			
	TOTAL			**$ 99,998.94**
	Special Notes: ****These are estimate only. Billing will be on actual numbers.**			

Signature: _____

Payment Terms: Net 30 Signature: _____

Council on Competitive Government

June 27, 2014

Council Members:

Hon. Rick Perry
Governor

Hon. David Dewhurst
Lieutenant Governor

Hon. Susan Combs
Comptroller

Hon. Jerry Patterson
Land Commissioner

Hon. Joe Straus
Speaker of the House

Ronald Congleton
Texas Workforce Commissioner

Terry Keel
Texas Facilities Commission

NOTICE OF AWARD

OpenText, Inc
10537 Gulfdale Drive
San Antonio, TX 78216

Re: Contract No.920-C1
Description: Digital Imaging Services
Term of Contract: Upon receipt of this letter thru August 31, 2017 with options for renewal for three (3) additional one-year periods

Dear Contractor:

Your company submitted a proposal to the Council on Competitive Government (CCG) in response to the Request for Proposal (RFP) No. 920-C1. This letter is to inform you that CCG accepts the proposal as to the commodities and/or services listed on the attached pages. The commodities and/or services listed on the attached pages and submitted by your company must be provided as specified in the RFP. All terms and conditions set forth in the RFP are made part of this contract.

This contract consists of:

(1) this Notice of Award;
(2) the Mandatory Price Sheet, setting forth your contracted prices and services;
(3) the Proposal submitted May 27, 2014 by your Company; and
(4) the RFP dated April 23, 2014 (as modified by Addendum No. 1 attached to incorporated as a part of the RFP, and made a part of the Contract).

The order of precedence for the contract documents is established in Section B.3.2 of the RFP. Any payment due under this contract will be applied towards any debt, including but not limited to delinquent taxes and child support, which is owed to the State of Texas.

LBJ State Office Building
111 E. 17th Street
Austin, Texas 78711-1440

Phone: 512-463-3855
Fax: 512-475-4405
Toll Free: 1 800 531-5441

ccginfo@ccg.state.tx.us
www.ccg.state.tx.us

Any assumptions or exceptions made by Open Text, Inc. are specifically denied and not part of this contract. Any oral accommodations or representations to the contrary are specifically disclaimed.

Please review the attached listing of Awarded Items and your total evaluated price/UOM and notify this office within five (5) business days of the date of this Notice of Award of any errors requiring correction.

If you have any questions, please contact David Bennett at 512-463-7817 or by e-mail david.bennett@cpa.state,tx.us.

Respectfully,

Mike Morrissey, Deputy Chief of Staff and Senior Advisor
Office of the Governor
Chair Designee,
Council on Competitive Government

Attachment: Mandatory Price Sheet

1.0 Fees and Charges

Company Name	OpenText Inc.

Imaging Services	Item	Item Description	Pricing Unit	Price
Black and White Image Capture	1	Low (200 DPI)	Per Image	$0.033
	2	Medium (300 DPI)	Per Image	$0.033
	3	High (400 DPI)	Per Image	$0.040
	4	Very High (600 DPI +)	Per Image	$0.070
	5	Preservation < 600 PPI	Per Image	$1.450
	6	Preservation >= 600 PPI	Per Image	$2.610
Color Image Capture	7	Medium (300 DPI)	Per Image	$0.041
	8	High (400 DPI)	Per Image	$0.096
	9	Very High (600 DPI +)	Per Image	$0.101
	10	Preservation < 600 PPI	Per Image	$1.450
	11	Preservation >= 600 PPI	Per Image	$2.610
Large Format Image Capture	12	Medium (300 DPI)	Per Image	$1.270
	13	High (400 DPI)	Per Image	$1.310
	14	Very High (600 DPI +)	Per Image	$2.500
Transparent Media Image Capture	15	Medium (1200 PPI)	Per Image	$1.310
	16	High (2400 PPI)	Per Image	$1.580
	17	Very High (4000 PPI +)	Per Image	$1.840
Image Processing	18	Low (200 DPI)	Per Image	$0.022
	19	Medium (300 DPI)	Per Image	$0.022
	20	High (400 DPI)	Per Image	$0.022
	21	Very High (600 DPI +)	Per Image	$0.074
	22	Preservation < 600 PPI	Per Image	$0.174
	23	Preservation >= 600 PPI	Per Image	$1.357
Microfilm Conversion	24	Conversion of microfilm to digital	Per Image	$0.018
Microfiche Conversion	25	Conversion of microfiche to digital	Per Image	$0.035
Index Field - Type 1	26	Up to 15 Characters	Per Document	$0.020
	27	16-30 Characters	Per Document	$0.020
	28	31-45 Characters	Per Document	$0.020
Index Field - Type 2	29	Up to 15 Characters	Per Document	$0.047
	30	16-30 Characters	Per Document	$0.058
	31	31-45 Characters	Per Document	$0.089
Searchable PDF Documents	32	Scanned images with text portions	Per Image	$0.022

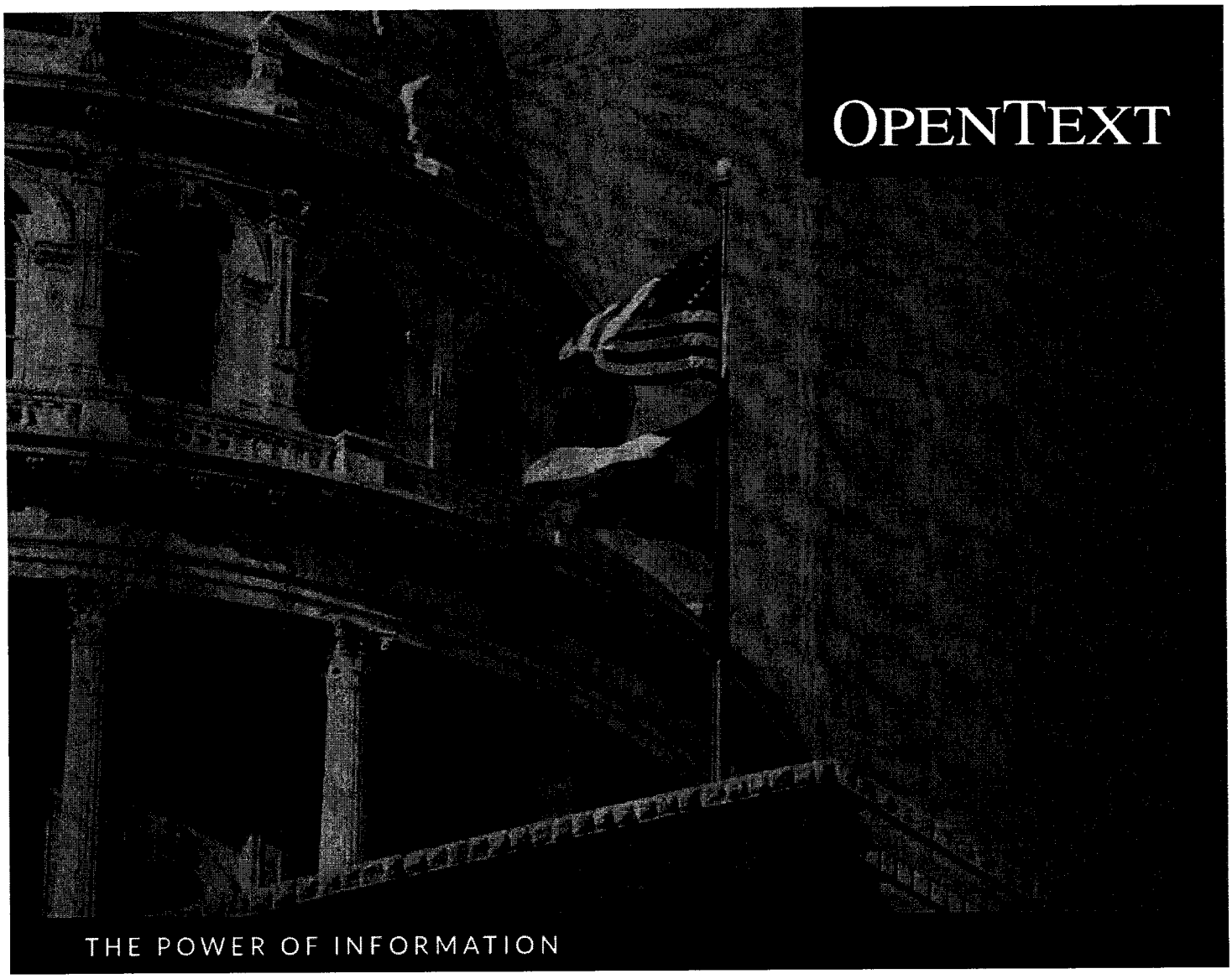
Special Document Handling	33	Handling includes overnight vault storage services	Per Day	$0.348
	34	Special handling for fragile materials	Per Image	$0.580
	35	Handling includes stringent environmental requirements	Per Day	$1.450
Capture from Special Formats	36	Photographic prints	Per Image	$0.750
	37	Photographic negatives	Per Image	N/A
	38	Newspapers	Per Image	$0.650
	39	X-Rays	Per Image	N/A
	40	Manuscripts	Per Image	$0.031
	41	Drawings	Per Image	$1.270
	42	Bound Books	Per Image	$0.550
Enhancing Images	43	Bit depth	Per Image	$0.015
	44	Resolution	Per Image	$0.015
	45	Tonal dynamic range	Per Image	$0.015
	46	Contrast	Per Image	$0.015
	47	Color space	Per Image	$0.015
Delivery Media	48	CD	Per Disc	$2.000
	49	DVD	Per Disc	$5.250
	50	USB	Per Device	$25.000
	51	External hard drive	Per Drive	$25.000
	52	Flash memory device	Per Device	$25.000
	53	Microfilm (Digital Archive Writer)	Per Image	$0.019
	54	Microfilm (Digital Archive Writer)	Per Roll	N/A
Data Exchange	55	Compatible & Secure electronic data Exchange	Per gigabyte	$5.000
Image Repository Hosting	56	Central hosting of digital Images including routine backups	Per Image/ Per month	$0.0006
	57	Redundant Hosting at alternate location	Per Image/ Per month	$0.0009
Image Repository Maintenance	58	Image repository additions and maintenance	Per Hour	$65.000
Adding Electronic Images to Image Library	59	Processing images already in electronic format	Per Image	$0.020
Personnel	60	Project Manager	Per Hour	$175.000
	61	Certified Digital Imaging Architect	Per Hour	$85.000
	62	Programming Support	Per Hour	$95.000
	63	Technical Support	Per Hour	$75.000
	64	Data Entry	Per Hour	$29.000
	65	Document Preparation	Per Hour	$28.750
	66	Advanced Document Preparation	Per Hour	$28.750
	67	Re-preparation Services	Per Hour	$28.750
	68	Training Specialist	Per Hour	$65.000
Needs Assessment and Analysis	69	Project Planning Report	Per Hour	$85.000
Transportation of Source Material	70	Vehicle charge per round trip (1st 20 miles included)	Per Trip	$65.000
	71	Vehicle charge per mile over 20 miles round trip	Per mile	$2.750
	72	Secure carrier charge for each box in shipment	Per Box	$0.650

Secure Document Destruction	73	Paper Destruction	Per pound	$0.140
	74	Non-paper Destruction	Per pound	$0.140
Output File Formating	75	Image output in non-proprietary file formats	Per Image	$0.020
	76	Indexes, audit trails, etc. (Non-Proprietary file formats)	Per gigabyte	$150.000
Location of Scanning	77	Performed at Contractor's facility, by contractor's staff	Per Image	N/A
	78	Performed at PA facility by Contractor's staff	Per Image	$0.024
	79	Performed at Secure Mobile Scanning Unit by Contractor Staff	Per Image	N/A
Desk Top Scanning	80	Performed at PA location by PA staff using Contractor's equipment	Per Image	$0.022
Extended Storage of Source Documents	82	Storage and security levels as per PA SOW.	Per day, per box	$0.030

Other Services Fees

Imaging Services		**Detailed Description**	**Pricing Unit**	**Price**
Preservation - Personnel (Additional Hours of Conservation Preparation)		Possible surface cleaning, adhesive reduction, or mending, or the combination thereof as per the PA	Per Hour	$174.00
Preservation - Personnel		Conservator	Per Hour	$174.00
Preservation - Personnel		Conservation Technician	Per Hour	$104.40
Preservation - Personnel - Preparation		Rehousing in Coroplast box	Per Box	$29.00
Preservation - Personnel - Preparation		Rehousing in Acid Free Archival Folder	Per Folder	$0.45
Preservation -Large Format Image Capture		Very High (600 DPI +)	Per Image	$2.90
Personnel - Certified Records Management		Certified Records Management consulting	Per Hour	$175.00

OPENTEXT



Digital Imaging Services

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Executive Summary

The Council on Competitive Government (CCG), The Texas State Library (TSL) and OpenText Information Outsourcing Services (IOS) has enjoyed a successful relationship under the existing CCG Contract over the past four years. During this four-year partnership, IOS has been successful to the extent that, of all the Historical Customer Data listed within Attachment D – Pricing Sheet, IOS has performed approximately $4.7 million of the total $9.5 million of this contract over the past 12 months! Additionally, IOS has performed services exclusively for two of the top three agencies: The Department of Motor Vehicles and Bexar County.

The State of Texas needs the assurance that the services being received are the best value for the public. In this document, you will see why OpenText represents the primary vendor offering the most value when it comes to your digital imaging conversion service needs.

"OpenText has provided our agency confidential, high volume levels of service and product quality. Often, OpenText has recommended procedure improvements on the titling and vehicle registration forms to allow higher levels of data integrity and improve the Texas Vehicle title Registration Process."

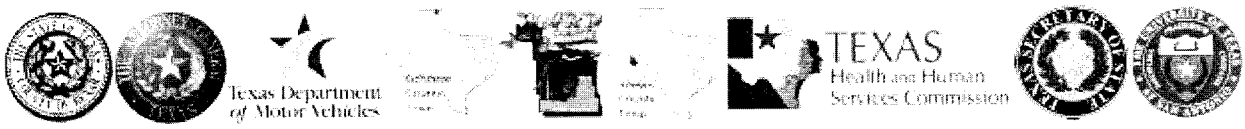
-Bobby J. Johnson, (Retired) Director – Regional Services Section, Vehicle Titles and Registration Division, Texas Department of Motor Vehicles (2007)

Why OpenText

Focus – The CCG contract has been, and will be, our focus for digital imaging conversion work; this is proven to be true in the amount of projects that have been produced under the current agreement. In just the first 18 months of the last four-year agreement, CCG's investment produced an effective sales and marketing team at IOS that has led to multiple agencies taking advantage of the centralized contract mechanism. We are also backed by a financially strong and profitable global enterprise information management that promises a vendor that is here for the long-term.

Competitive Offering - IOS investment in people, facilities, hardware, and software have allowed us to remain the most competitive in the State of Texas. In nearly every head-to-head situation with our competitors at PAs, IOS have won the business – often without a BAFO being issued.

A Partnership of Benefiting the State and Its Constituents



As a provider of services to the Department of Motor Vehicles, Bexar County, Secretary of State, Health and Human Services Commission, Office of the Attorney General – CSD and other local and higher educational entities, IOS have demonstrated that we understand, consult, implement, and manage successful outcomes for our clients. Examples of this statement are:

- **Department of Motor Vehicles (DMV)** – IOS has been performing mailroom services for the DMV's Registration, Titles and Salvage (RTS) Division. Work performed under this RTS project includes the processing of on average of 1 million documents per week. IOS preps, scans, QC's, updates / verifies records and places all these images and metadata daily on secured FTP site for the DMV to upload into their present content management and document storage platform.

- **Bexar County** – IOS's high volume conversion capabilities have enabled the Bexar County District Clerk's office to minimize its reliance on paper copies of case files. IOS is actively converting the backlog of 25 years of paper-based case files into usable digital images. Other departments, such as: District Attorney's Office, Sheriff's Department, Medical Examiner, and Auditor's Offices also enjoy our on-time and dependable service delivery. IOS has managed each project independently and without incident since the start of the relationship with Bexar County which has spanned over 19 years.
- **The Texas Secretary of State (SOS)** – This multi-year engagement addresses the business process of small business yearly filings and is coordinated with the Comptroller of Public Accounts (CPA). Documents provided by the CPA office to the SOS are made available via secured FTP site for IOS to extract over 30 key data fields from each filing. Annually, SOS sends over 700,000 images a year to IOS that are processed and returned to SOS within 48 hours.

Choosing IOS means the following qualities:

- **Quicker Time to Value:** IOS already has in place two conversion facilities in central Texas – Austin and San Antonio. The personnel, HUB partnerships, software, and equipment required to convert paper and film based media into useable digital media has been vetted and implemented.
- **Dependable Partnership:** OpenText revenues totaled over $1.36 Billion in Fiscal Year End 2013 with over $148.5 Million in Profit. OpenText employs over 8,000 individuals with over 100 million users in 114 countries.
- **Customer Dedication Extensive Experience**: IOS's longevity in the imaging business (from the Wang Imaging days and Eastman Software) represents over 29 years of industry knowledge in our key personnel. Much of this experience comes directly from agencies within the State of Texas.
- **Specialized Services**: IOS specializes in volume scanning for large projects, while adhering to the compliance and regulations of the public sector.
- **Competitive Pricing**: As proven by our recent competitive wins on state agency request for SOWs at the OAG – CSD, HHSC, as well as local governmental agencies, OpenText continues to win business due to our maximized value and competitive pricing.

In Summary

In summary, OpenText IOS represents a nimble organization that has a history of taking on large projects as well as projects that require an expedited turnaround for litigation and auditing requirements.

IOS is Texas-based, understands the compliance regulations of the public sector, is competitively priced, and maintains an excellent reputation for delivering a high quality product. A choice to use OpenText IOS is a safe choice and a wise investment.

Security

Security of Documents and Images

Secure Transportation

Source Media eligible for conversion of all types are placed in containers specific to protecting them from harm and inspection during transport. Letters and flats will be placed in specialized cases and locked if required by the PA. Microforms (aperture cards, fiche and film, others) are packed in smaller than average 1.2 cubic foot boxes, as they are heavy and exceed weight limits for most cartons. Plans, maps, and large drawings are handled in flats of specialized boxes. In certain cases, the containing drawers or cabinets may be entirely moved to maintain consistency of the inventory "as-is."

Transport particulars will be discussed in scoping sessions with the PA. Vehicles are enclosed and vans or trucks are assigned two drivers to allow driver rotation and for one driver to remain with the vehicle during rest / fuel stops.

OpenText requires that PAs prepare an inventory control sheet and place authorized personnel on alert to acknowledge and signoff the pickup tickets. This begins our Chain of Custody Process

All Source Media that is transported is placed on pallets at pickup from the PA site. After confirming the inventory control sheet reflects the contents intended for transport, OpenText drivers will shrink wrap boxes and containers to the pallets to maintain a control within the vehicle. Upon delivery to the site intended for conversion, the entire group of documents will be inventoried and assigned control numbers, which are unique and sequential for the term of the engagement. Thereafter, the boxes or containers are staged with our Inventory Control and Assignment system – PTS. PTS is the Production Tracking System which will allow any of our customer service personnel to find ANY specific file or requested document needed in a "hotshot" manner to be returned.

Each point of access by our personnel is monitored by remotely controlled video cameras coupled to a full-time storage system maintained elsewhere and two-layer physically controlled access. Every employee, subcontractor and technician is cleared for access before they can access our conversion facilities. OpenText also maintains a third layer controlled personnel access system for certain sensitive record conversions such as correspondence on court cases of an extremely sensitive nature, such as adoptions, criminal court cases, and medical records. We have passed FBI clearances for certain conversions performed in the past for Bureau of Alcohol, Tobacco and Firearms.

All personnel are issued key unique key fobs, cell phones are prohibited in the production areas, and visitors are required to be escorted and accompanied at all times. Background checks and appropriate clearances have been met on every hire before they access the PA Source Media. These checks include Local, State and Federal Criminal checks, E-verify, and Credit Report Checks (for certain tasks) before personnel can work in our facilities.

Control and Handling

As noted in the section on loss and theft above, we maintain security controls with physical access and monitoring of ingress, egress, and individual qualifications. Further, our PTS assigns the work to be performed according to certain queue availability. Team members assigned to specific document conversions (for instance Vital Statistics – birth records) are well known and all the batches are tracked to the individuals touching the records.

Secure Storage

IOS will provide secure storage during the conversion process. Typically, the PA will ask the Vendor to perform multiple pickups for records which are still in use during the digital imaging conversion process. There will be no charge for maintaining those records in our controlled facility during the conversion and for 30 days after the Output Media Delivery Date. IOS will require the customer to accept or notify the Project Manager for potential rework during this period. Upon acceptance, the delivery will be considered as Completion Date. After the Output Media Delivery Date has passed, there will be a grace period of 60 Days for boxes which are stored for the PA. After that time, unless the records are under notification of rework, IOS will apply box storage fees at the beginning of the subsequent month. This is at least 60 days past the potential invoicing for completed work.

Secure Location

The IOS facilities currently maintain door controls, which are both locking and magnetically shut. Should the power be disabled externally, the doors will not open unless keys are used which trip the magnetic locks that are separately charged. Further access by breaking and entering the facilities will trip the alarms. The doors and windows of the facilities are maintained with shock film to discourage access with vandalism intrusion. Further, each maintains motion-sensitive alarms and full camera coverage transmitted to servers in distant locations.

Within the production conversion facilities, each employee is required to lock their cell phone in cabinets. Earphones and listening devices are allowed, but not camera phones. Food and drink at workstations is prohibited; break rooms are provided for that purpose.

Each person is required to enter a live scanning application to digitize their handprint and access code on a digital time clock when they first join our company. This forms the basis of the secondary access to the systems. They are then required to log in to the production systems. There is hierarchical access to only certain computerized environments within the company, which is driven by permissions of specific job types and project separation.

All paper and Source Media are maintained on pallets of elevated shelving while under conversion and placed back into the controlled warehouse environment at shift change.

Facility Security and Environmental Requirements

We maintain two levels of access; entry is by access controls engaged from the inside of the building by IOS Personnel. The PA source media is still behind another level of access, which is key fob based. Persons cannot access the production service facility unless accompanied by our personnel. Servers and data management information is behind yet another physical barrier in locked facilities. We exceed this requirement.

We maintain multiple units to allow coverage of basic environmental controls in each zone should any unit fail. Zones are employed in each room (not just to one room) and overlap areas to allow further coverage. Server units are maintained in separated quarters. This equipment has separate controls and redundant systems.

Fire, flood, and smoke detection systems are in place, which are connected to first responder stations. Inspections of fire equipment are performed on a quarterly basis. IOS publishes all exits, practices fire drills, has specific assembly areas, and maintains a close relationship with the fire department, which has been invited to our facilities multiple times.

All entrances maintain battery backups for exit lights and for egress from the building. These are tested quarterly and so is the alarm system. Door exit controls are self-managed from the interior. They are separate from the doorway to reduce the risk of intrusion and opening by penetrating the door directly. Locks are magnetic.

24 hours per day / 365 days per year police and fire monitoring.

Notification of Loss, Damage, or Theft

IOS will notify the PA and the contract administrator immediately upon the event of loss, damage, or theft happening. We provide an escalation chart for contacts with our PA services to allow quick responses internally and within the agency. We also have a relationship with a large, approved insurance company provider and have an existing agreement in place for performing document repairs, such as freeze-drying should that event occur. IOS has contacted a locally-based HUB to provide immediate services on a water-based damage event.

United States Work and Data

OpenText, as an internationally operating company, is aware of the specific data sovereignty rules which prohibit work and related data to remain in the host country. We will perform this work in the United States, unless the PA specifically takes exception to this practice.

Security Regulations and Law

We understand and agree to 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).

Source Document Destruction or Return

IOS understands the role we play as custodian of the records during our custody and the eventual disposition. We have used destruction services for existing PAs and always follow a rigorous procedure for return or destruction.

Data Destruction

IOS will verify that both delivery and completion events have occurred and coordinate with the PA. IOS will seek the approval of the converted inventory of record types and document collections under our custody and work with the specified Document Destruction Services Contracts for an approved supplier of destruction services.

For returns, we will maintain a similar approach to returning the records as we did when collecting them from the PA. We note with approval the expectation that documents may not generally be re-prepared as this typically is a labor devise antithetical to the intended use of the digital images. Nevertheless, we have performed re-preparation, most often by replacing documents into folders with brads or pins to maintain the exact order of their origination prior to scanning services.

Data Destruction Methods

Upon approval, IOS agrees to destroy records using NAID-approved vendors that meet the stringent standards for our destruction. All shredding vendors must be able to come to our site, empty the boxes, and maintain personnel who are vigilant over each item to be shredded prior to its ingestion into the machinery. We expect cross-cut paper and magnetic tape destruction to be performed to exacting standards. Further, we maintain close internal control of data storage devices and will empty repositories as part of our close-out process after delivery and acceptance. We use magnetic low-level formatting for our internal systems, wipe our copier hard drives clean and we maintain encryption at rest for active data on all our internally deployed workstations.

Should a PA wish to maintain historical records longer than a few months, we offer a transfer to a hosting environment service, which effectively allows us to free up working storage, clean the converted records off these drives, and offer retention on secured platforms for private sites dedicated to that PA.

All drives utilized will be wiped using a low-level reformat tool known as Eraser v.6.0

Below is the process we follow for Destruction of Records:

1. Using the IOS Production Tracking System (PTS) control numbers, images and metadata are delivered to the customer
2. Customer is advised of the delivery and asked to verify it is complete, and imaging and metadata is acceptable
3. Once the agreed time frame has passed for customer verification, IOS requests the customer send the "Authorization to Destroy" the original documents tracked with the PTS control numbers
4. The PTS control numbers are moved from *Waiting for Box Disposition* to *Destruct Notice Sent*
5. IOS schedules vendor to come on-site with the mobile shredding trucks. Selected vendors' mobile shredding is NAID-certified
6. During the entire document purge, an IOS employee is a witness that all documents are put into the bins and shredded
7. Once the document purge is completed, vendor provides IOS with a receipt for the purge
8. IOS sends the customer the "Certificate of Destruction," which includes a copy of the purge receipt from vendor.
9. The PTS control numbers purged are now flagged as destroyed and moved out of the system
10. Magnetic records are purged and hard drives are re-formatted

Imaging, Processing, and Quality Assurance Standards

Key standards relative to Document processing include, but are not limited to:

- **ANSI/AIIM TR25-1995 – The Use of Optical Disks for Public Records**
- **ANSI/AIIM TR27-1996 – Electronic Imaging Request to Proposal (RFP) Guidelines**
- **ANSI/AIIM TR28-1991 –The Expungement of Information Recorded on Optical Write Once Read Many (WORM) Systems**
- **ANSI/AIIM TR31-2004 – Legal Acceptance of Records Produced by Information Technology Systems**
- **ANSI/AIIM TR32-1994 – Paper Forms Design Optimization for Electronic Image Management (EIM)**
- **ANSI/AIIM TR 33-1998 – Selecting an Appropriate Image Compression method to Match User Requirements**
- **ANSI/AIIM TR34-1996 – Sampling Procedures for Inspection by Attributes of Images in**
- **Electronic Image Management (EIM) and Micrographics Systems**
- **ANSI/AIIM TR35-1995 – Human and Organizational Issues for Successful EIM System**
- **Implementation**
- **ANSI/AIM TR40-1995 – Suggested Index Fields for Documents in Electronic Image (EIM) Environments**

- **ANSI/AIIM MS52-1991 – Recommended Practice for the Requirements and Characteristics of Original Documents Intended for Optical Scanning**
- **ANSI/AIIM MS53-1993 – Recommended Practice; File Format for Storage and Exchange of Image; Bi-Level Image File Format: Part 1**
- **ANSI/AIIM MS55-1994 – Recommended Practice for the Identification and Indexing of page**
- **Components (Zones) for Automated Processing in an EIM Environment**

OpenText and IOS members have been participating members of ARMA and AIIM since the mid-1980s and have taken a broad approach to discovering the best practices to handling the migration from paper and microforms to digital imaging. Many of our personnel were involved in elaborating, discussing, and creating these standards based on our history from Wang and Eastman Software, through to eiStream and OpenText today. We support both organizations and are most active in ARMA within Texas.

Disaster Recovery

IOS maintains three facilities (Austin and San Antonio in Texas; Rochester, New York) which are dedicated to providing similar services. Each are on separate power grids, separate telephone networks and different personnel. Each are approved for working on projects and have passed all basic clearances. Further, the technology employed is similar in each location. The capability to move to site 1, 2 or 3 exists and we send our tape backups on a regular basis to rotate between the facilities. Similar tape backup capabilities exist and have been tested to allow resumption of work in progress at other remote facilities should a Disaster Declaration be made.

Our Disaster Recovery plan and Business Continuity Plan that exist are current. Many components of the Plan include items such as service contacts, telephone line IDs, home phone numbers, etc. We feel this listing is highly privileged and more information can be provided on a "need to know" basis. We invite CCG to inspect our facility in Austin, Texas on South Mopac, which house our Web Hosting client sites and is our ultimate backup facility. This is in addition to our production facilities.

Please refer to the embedded document below, which provides our Disaster Recovery (DR) Overview for Customers

Disaster Recovery Overview - OpenTex

System's Security and Protection of Confidential Information

IOS is aware of the requirements to keep records confidential and exceeds many of the security standards to achieve a high level of security surrounding these documents trusted to us.

Presently, IOS follows the standards for ISO 17779 assuring the best practices and standards for confidentiality are followed within our operations. This maintains the integrity of data as it flows through our data conversion channels. We further access to viewing sensitive information while in our possession.

IOS consistently reviews the risks surrounding the personnel, facilities, and transportation of information, as well as measures to prevent dissemination of protected information. We are aware of the liabilities imposed on our organization by the unintentional release of protected information under HIPAA and under the Protected Information guidelines recommended under ISO 27002.

While we have not been made aware of any breach by hackers or other intentional intrusions, we have taken substantive safeguards to protect us from our own employees releasing information through "social engineering" exploits. We enforce and circulate sensitivity policies, which classify the sensitivity of data within our possession, no matter how temporary.

Each of our operating centers maintains a closed network which remains behind two layers of firewalls. The IP addressing scheme in use employs network address translation and follows standard well understood for access controls.

Servers, which are pressed into service for projects, are dedicated to that specific project data collection. All servers are remote from the users in a secured data environment. Servers place all records on remotely enclosed and separate storage arrays that maintain encryption. Data placed into working storage is encrypted with the NT EFS using Windows Server 2008 R2 software system. Encrypting File System (EFS) is a core file encryption technology used to store encrypted files on NTFS file system volumes. All file folders stored are encrypted. Active in-use scanned images are placed into server based temp files. These files, prior to indexing, have not been encrypted as they remain in temp folders. These temp folders are built on the protected Application storage servers. Therefore, these are not accessible to any agent except the scanning application. Permissions for browsing the server based temp folders are limited to the application and administrators. Further, we maintain the batch sizes to be small enough that the image batches can be completed within 45-55 minutes to allow completion of the batches and release it to other workflow processes. Our scanning programs do not allow redirection.

Production workstations can only connect to the storage and application servers; email and internet access are denied as are all external connectivity. All source media is maintained in a secured warehouse and the Production Tracking System keeps track of all work assigned to each person. At shift end, all records in the possession of production personnel is checked into the Production Tracking System (PTS) and accounted for within the management controls.

Personnel are mandated to not bring in photographic-capable smartphones into the production center. Individuals cannot move from one project to another without a higher level of permission and even then can only work on one project at a time. Their access to images is highly restricted and strictly batch based. Groups of users are separated by functions, their login permissions are set at restricted levels, and access to storage servers is protected with both physical and logical access restrictions. Personnel do not have the ability to "browse" the network; each group only can connect to their respective project.

For output media delivery we will encrypt zip files via AxCrypt and host on our secured internal VPN-enabled FTP site until the customer confirms download; at which time the files are removed from the FTP site. These occurrences are logged and the data is then destroyed upon customer approval.

For direct connection of secured email delivery we employ an email tool - Voltage. This tool requires participation on both ends of the delivery to allow encryption and decryption of information. Our OpenText large file delivery tool – Managed File Transfer – is secured as well and offers very high throughput using multiple secured channels.

Cameras are maintained in the production centers and personnel are made aware of our confidential sensitivity policies, internet access restrictions, smartphone restrictions, and given training on personal identifiable

information in advance of beginning work. Each person is given a locker which is in view of the cameras and the supervisor stations and separate from the production stations. Each individual is mentored during their initial training period. We perform routine inspections of work areas on occasion.

Data Breach or Loss of Data

IOS follows a specific procedure in the event of a suspected data breach or loss of data. The plan includes components to alert the appropriate parties and the authorities. Our Data Use and Business Associate Agreements, which are in force with multiple PAs and private firms, are very specific in terms of compliance with HIPAA, HITECH, and other laws applicable to any confidential information as defined in those agreements.

At a minimum IOS would provide:

- An immediate investigation into the manner of the incident or loss
- An assessment of the causes or suspected source
- A root cause analysis of the actions
- Notification to internal senior management
- Notification to PA project management or official contact
- Mitigation of the risks associated with the release or loss of the information
- Corrective action and producing the plan in concert with PA authorization
- Joint communication under direction to the appropriate authorities
- Confirmation of written approval from PA of any communications external to the PA and IOS

These processes are high-level and not intended to be reflective of all the actions in our plan. Training and education of the personnel is the most important part of our awareness campaign internally to prevent social engineering or lax procedures which may improperly release or destroy information vital to the PA.

Customer Service

We all know there will be issues during any large scale conversion effort. How we respond and when we respond are all tracked closely internally. We are proud of our history of service the State of Texas and note the growth within the accounts to perform more.

The dedicated IOS Customer Service and Support procedures within Texas start with the transition from Sales to the Operations and Project Managers responsible for performing on the accounts. During the Pilot phase, we review how we interact to issues and problem resolution with the PA. There are two primary approaches or methods of service employed: the Human Approach and the Electronic Approach.

The Human Approach:

The Project Manager is tasked with reporting progress to management on a weekly basis after the Pilot is approved and production has started. Sales personnel also remain involved. Telephone support to the production managers is enabled directly to PA team members if the PA project manager believes that is appropriate. We strive to stay involved during the entire course of the project and find that the first few weeks into the first months are extremely important to assess any miscommunications, clarifications, or inevitable errors. As deliveries of Output Media occur, we continue to be present upon those deliveries to respond to any disconnects between the agreed deliverables in our agreed Statement of Work and the PA expectations.

Telephone connectivity is also available. We maintain a telephone response with a live operator during normal business hours. For systems support, we rely upon our personnel who staff our IOS world-wide support center in Rochester, NY. This facility operates 24 hours a day, 7 days a week. It is unlikely the PA would use this directly; however, our group does communicate any application or software issues with them on an as-needed basis. We communicate this by contacting you directly.

The Electronic Approach:

At the Pilot Stage, we provide a full listing of the membership of our team who will be primary touch points to the project. We provide an escalation chart with private cell phone contacts and emails all the way to the Senior Executive level leadership. A private website is available, which is a live real-time blog. The website is enabled with an issue log and the daily status of the account to allow any individual from the PA to raise a question. The website is monitored on our end by team members on the project escalation listing. It is frequently reviewed by personnel on both ends. This reduces the possibility of emails going into mailboxes and being missed or pending return of individuals from vacations / sick days, etc.

Please note the screen attached:

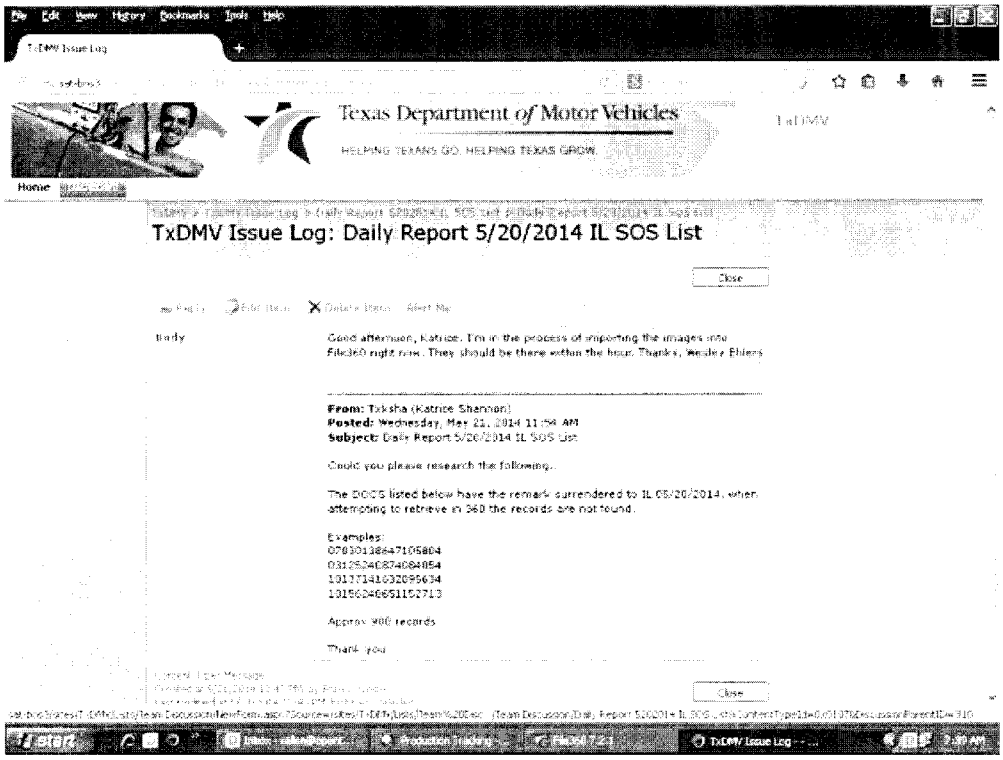


Figure 1: Issue Log Daily Report

This screen displays the IOS implementation of the website for private VPN point-to-point communication with our support team. The log is monitored. All activities and resolutions are tracked. In this particular case, the field offices of the PA called for a document set that was needed and an "on-demand" scan resulted. This may occur while documents are in our facility undergoing conversion and we understand they need to be expedited to meet public need.

As a failsafe to the above, there is also an email generated directly to support personnel with an internal tracking

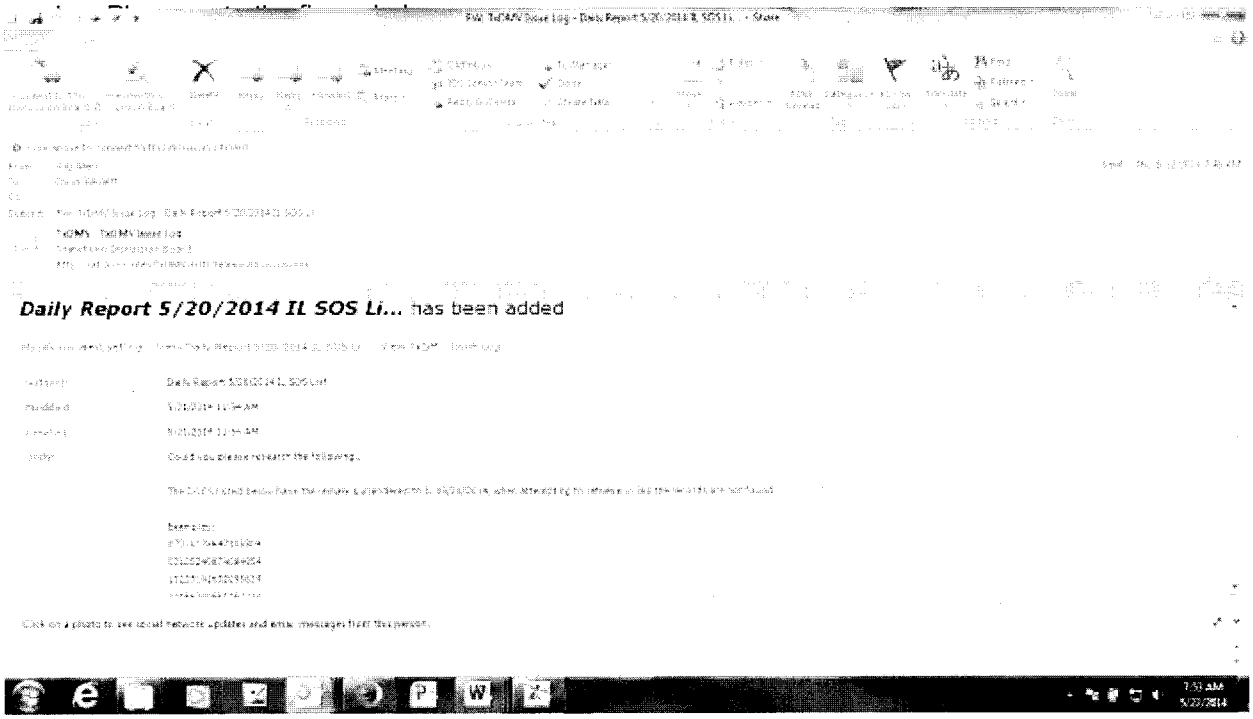


Figure 2: Daily Log Response

Note the communication travels from the Discussion Board on the Website to individuals on the team.

Training

Training is included for the use of the Customer Service website reporting tools and for searching the document retrieval interface on the Customer Service websites. Training is delivered one-on-one with the PA Project Manager and mostly delivered through webinar.

Training is also included for all personnel who are using our Managed Hosting Services during the course of our engagements. This included training is limited to the initial group of personnel trained. However, training is included on a continuing basis to the designated PA contact or their designated trainer. We employ the "train the trainer" concept and maintain close contact with that person to advise of any changes or enhancements to the applications or toolsets employed.

Training is included for the use of the equipment supplied for Desktop Scanning Services noted in Section A.6.8.9. However, this training is limited to the initial team members participating in the Desktop Scanning Services. Training will continue to be offered for the PA project manager directly responsible to the PA for performance; however, training for new personnel will be charged at the training rates on the Price Listing.

Project Management Services

Each Digital Imaging Services conversion engagement contemplated by IOS follows a template driven approach. The guidelines and recommendations promoted by the Project Management Institute and within the Project Management Book of Knowledge (PMBOK) form the basis of the template. We engage the PA early to discover

the problem analysis, the stakeholder goals, and the objectives of the conversion. We then pattern our sets of tasks, scope the entire activity, and build a specific work structure to meet specific milestones. Communication is essential and reporting at multiple levels is important to maintain continuity on realizing the initially stated goals. Most projects will have deviations from the initial scope and our experience will guide the PA on the requirements to achieve a successful conversion outcome.

Below is a high level overview of our Project Structure. Please note the clarification upfront on statements of need, the flow into constraints, the follow on planning, the pilot assessment, the ramp up of production, and the finalization of the project. Each grouping has milestones and deliverables elaborated in a Statement of Work for each Digital Imaging Conversion.

Each conversion contemplated will have a nominal charge for significant departures during the project plan after the Pilot Phase has been completed. There are no extra charges for the above template-driven approach to successful imaging conversions. Should the PA desire a Project Plan to be built, without a subsequent succession

into a digital imaging conversion, IOS will charge the normal hourly rates for a minimum of 40 hours.

OpenText Project Template.mpp

ID	Task Name	Duration
1	**Conversion Project Template**	**107 days?**
2	**Initial Inquiry**	**28 days?**
3	Initial Inquiry	0 days?
4	First call with PA	1 day
5	Obtain Technical Requirements	1 day
6	Request Process Details	2 days
7	Details Reviewed by IOS	3 days
8	Output Specs Discussed	4 days
9	Schedule next review / Clarify notes	1 day
10	Request Clarification on Output and OCR/ICR	1 day
11	Review high level project with IT	1 day
12	**Discuss Project Pricing/Resources Costing**	**31 days**
13	Price List Sent approximate pricing provided	1 day
14	Document project requirements including pricing	1 day
15	Delivered Statement of Work	1 day
16	Schedule Process Walkthrough with Users	1 day
17	Review project requirements and timelines	1 day
18	Finalize Agreement and SOW	0 days
19	**Begin Project Planning**	**9 days**
20	Review Call with Managers	1 day
21	Meet IT staff review image, metadata, formats for delivery	1 day
22	Prep a sampling box/s of documents with the department's users	1 day
23	Provide feedback / alternatives on the sampling	1 day
24	Create a Project/Application Production Process Plan for conversion project	3 days
25	Review Project/Application Production Plan with customer	6 days
26	Change/modify Production Plan with Customer	1 day
27	Obtain agreement / signoff on plan	0 days
28	**Implementation Steps**	**4 days**
29	Setup chain of custody process	1 day
30	Assign resources	1 day
31	Security Analysis	1 day
32	Review Space and Environmental Needs	1 day
33	**Begin Pilot Test Case**	**23 days?**
34	Begin Pilot Test Case	0 days?
35	Obtain Source Media from Customer.	3 days
36	Scan, process and output pilot files	3 days
37	Complete full production cycle of pilot boxes.	9 days
38	Format files for test output to EDMS	1 day
39	Test upload to EDMS	1 day
40	Review Pilot Delivery	5 days
41	Approve Pilot Delivery	0 days
42	**Begin Production Rampup**	**24 days?**
43	Begin Production Rampup	0 days?
44	Approve Transportation Schedule	1 day
45	Schedule pickups	5 days
46	Receive and maintain Inventory	4 days
47	Scan, Index, Convert, Stage	5 days
48	Output file set	2 days
49	Assurance Review	2 days
50	Full Scale Production	3 days
51	**Continue with delivery schedule to completion**	**71 days**
52	Weekly production manager report	61 days
53	Project Issue Handling	10 days
54	**Cleanup servers, delete files, return documentation**	**2 days**
55	Final Tasks	2 days
56	Finalize and Close Project	0 days

Figure 3: IOS Standard Project Template

Delivery, Technical, Quality and Imaging Services

Delivery

OpenText can perform conversions throughout Texas. The lowest costs will be charged when performed at our San Antonio offices where we take advantage of the labor costs being comparatively lower than other metropolitan areas of Texas.

Statewide Services

IOS has direct coverage in Austin and San Antonio with secured facilities described in detail in RFP Sections A.6.2. IOS's current coverage strategy to cover Texas is as follows:

- **Location:** IOS's Texas headquartered conversion facility is located at 10537 Gulfdale Drive in San Antonio. A second facility is located in Austin at 8200 Cameron Road.

  IOS's subcontractor, Kofile, provides a footprint in Dallas for engagements in the Dallas/Fort Worth areas. Additional partner relationships exist with two companies in Houston.

- **Personnel Availability:** IOS's two locations in San Antonio and Austin are the main facilities for our personnel. The San Antonio facility has on average 70 personnel working on 10 projects per month. Our Austin facility is currently dedicated to fulfilling the digital mailroom tasks of the OAG-CSD as well as other on and off site engagements with the City of Austin. Additional state agency projects are processed through this Austin facility when warranted; currently IOS is engaged in two off-site conversion projects which are managed out of this location; both projects represent $1 million in conversion services.

- **Other Location or Delivery Information**: Personnel are specialized as to on site and off site engagements which provides IOS with the capability to move teams throughout the state for engagements. Project managers and team leaders are assigned to engagements and are responsible for their team's production and product delivery.

  HUB certified staffing agencies full in the gaps when new personnel are required to perform tasks under the current CCG award. IOS's partnership with our HUB staffing agencies provides a streamlined hiring process as they prequalify our staff augmentation for optimal production and delivery..

Freight Charges

Freight charges are determined by distance and volume of source media to be converted. Our freight charges are detailed per the Price Sheet.

Special Delivery Requirements

IOS will adhere to requirements stated by the PA in advance of pickups or deliveries at no additional cost.

Hours of Pick-up or Delivery

We will the coordinate with the PA as request.

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).

IOS understands this provision and agrees to comply with the requirements stated.

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.

IOS understands this provision. We have an excellent record of delivery and request that products and services be reviewed, noted for any discrepancies, and the PA notify OpenText within 30 days of Delivery of their Acceptance. Further, should there be any delivery not meeting the specification requirements as noted by PA, we respectfully ask to be advised in writing of that lack of completion, be put on notice of our need to perform, and to allow a reasonable time to meet the specifications as memorialized in the SOWs or amendments.

Technical Requirements

Implementation Requirements

IOS will work with each PA to provide realistic implementation requirements.

Testing and Acceptance

IOS will develop responses to PA SOWs and per our Project Methodology Template, to meet the described criteria.

Data Exchange

IOS agrees with this requirement and will provide secured, encrypted tools for movement of information using our Managed File Transfer Product, among other secured solutions. Managed File Transfer empowers organizations with complete transparency and full auditability in all events related to content exchange. Together with the

support of industry standard FIPS 140-2 validated cryptography, OpenText Secure MFT ensures the safety of the exchange of intellectual properties thereby mitigating risks and improving compliance.

Technology Upgrade Protection and Proprietary Software

IOS has a productivity benefit to maintain a stable and current technology infrastructure. Our applications will be within two releases of the most current released applications, which derive the best mix of productivity and enhancements.

All image formats will be open and non-proprietary. However, PDFs are proprietary. Data will be delivered in text and / or XML suitable for loading into defined system repositories.

The majority of our transaction repository systems are based on the Microsoft Windows products. Typically, we host and provide access to data with SQL 2008 Database software, in a .NET environment and use the SharePoint product for our web publishing interface to records. Our web-based architecture demands a two-level segregation of data from retrieval engines and we function in a full n-Tier design. Many of our requests are accommodated with specific web services layers built within the .NET architecture. Our transaction processing systems within IOS are also based on the Microsoft Server 2008 platforms and we have supported Linux, Unix, and other variants of Operating System environments within our company's product lines. However, within our Information Outsourcing Division, all of our processing systems are based on Windows Server 2003 and Windows Server 2008, using Windows 7 client stations.

Backup Files Retention

IOS performs backup of all data and images on regularly scheduled automated tape rotation intervals. Backup files will be moved offsite after project completion to secured storage and deleted 12 months after delivery, which procedure is subject to change if otherwise specified by the PA via written consent. After acceptance of the entire contemplated digital imaging services project the tapes will be bulk erased then they are destroyed. Projects which have concluded with formal acceptances will be purged from the existing production systems and the tape cycles will assure destruction at the maximum of all files within 9 months from closeout of the project.

Disaster Recovery

IOS maintains three facilities (Austin and San Antonio in Texas; Rochester, New York) which are dedicated to providing similar services. Each are on separate power grids, separate telephone networks and different personnel. Each are approved for working on projects and have passed all basic clearances. Further, the technology employed is similar in each location. The capability to move to site 1, 2 or 3 exists and we send our tape backups on a regular basis to rotate between the facilities. Similar tape backup capabilities exist and have been tested to allow resumption of work in progress at other remote facilities should a Disaster Declaration be made.

Our Disaster Recovery plan and Business Continuity Plan that exist are current. Many components of the Plan include items such as service contacts, telephone line IDs, home phone numbers, etc. We feel this listing is highly privileged and more information can be provided on a "need to know" basis. We invite CCG to inspect our facility in Austin, Texas on South Mopac, which house our Web Hosting client sites and is our ultimate backup facility. This is in addition to our production facilities.

Please refer to the embedded document below, which provides our Disaster Recovery (DR) Overview for Customers. As mentioned, our actual DR plan is confidential and cannot be shared.

Disaster Recovery Overview - Custome

Systems Security

Generally, IOS will always maintain a separated LAN in our production data centers with no access to the Internet. At customer sites, for onsite scanning engagements, we follow a completely self-contained environment. This will involve dedicated servers, switches, and workstations with a singular purpose built on a non-internet capable IP addressing scheme (192.168.x.x or 10.x.x.x). One workstation will have a secondary card, not bridged, to connect with token based VPN directly to IOS to access updates for malware, Trojans, and operating system updates. This practice changes as security needs demand. We conform to PA and customer IT requirements.

Below is a simplified and typical configuration:

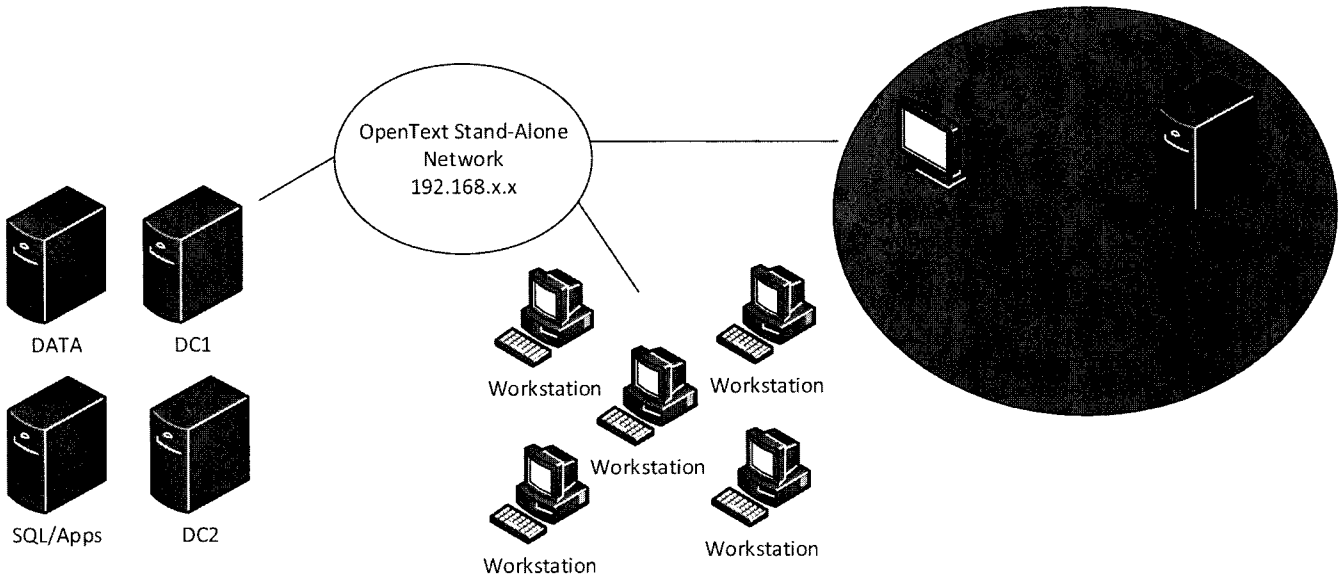


Figure 4: Network Setup On-Site

This configuration allows both logical and physical separation of resources. Physical access at a customer (PA) site will be important to maintain privacy of the records.

Each server and the stations connected to them are enabled with encryption and the desktops are secured as well. Wireless is not enabled within this system.

Secure Tiered

IOS offers a variety of options for Managed Hosting Services which include online, nearline, and offline on-demand loading of storage. Each is managed in secured Data Centers based in Austin, Texas with redundant Disaster Recovery facilities at Rochester, NY and Tinton Falls, NJ. The last facility maintained continuous operations during Hurricane Sandy for 37,000 customers worldwide.

PAs can engage OpenText on an interim basis to make converted images available or on a longer term basis. If the need is for an installed system or the need exists to build your hardware requirements, but desire to have your project up and running immediately; we have the option available to make your information immediately accessible. Some PA's may be faced with the additional challenges of getting support from internal IT resources or have budget restraints.

OpenText Managed Hosting Services provide an alternative method of deployment to achieve optimum performance without the administrative and implementation costs associated with installing and managing an in-house system. Some benefits of Managed Hosting Services include:

- Experts with years of experience deploying and maintaining your OpenText solution
- Fast deployment to realize success and ROI sooner
- Scalability to easily grow with your business or project
- Service Level Agreement (SLA)
- Fixed, predictable cost

Major IT initiatives taken on in-house usually require significant up-front investment and can take months to implement and deploy before real benefits are realized. Consider using Managed Hosting Services to reduce the cost, time, and staff needed to implement an OpenText solution while maximizing your rate of return. By choosing an OpenText Hosted Solution, not only will you work with experts in such areas as security, scalability, and performance, but you will also benefit from an assured level of consistent service and quality with a Service Level Agreement (SLA).

Quality

Source Media Inspection

IOS maintains strict inventory controls at the beginning of every project to maintain control over the entire project. Within our processes is a checkpoint to notify the PA contacts of any damages or questionable documents which may be damaged previously or which will require repair. We agree to comply.

ISO will 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.

Indexing

During our Inquiry process and the follow on scoping exercises, IOS and PA jointly develop the indexing criteria to be performed. After the Pilot stage is complete, the PA will approve the indexing to be performed during the conversion project.

Index Quality

IOS is proud of our record of servicing the needs of PAs which require accurate, timely, and comprehensive solutions to migrating paper, and film, records to digital repositories. From our facilities located across the nation, we have exceeded the needs of Federal, State and County agencies for over 20 years. Clients such as the State of Florida, Los Angeles County, California, and several Departments in the State of Texas have obtained exemplary conversions and presently maintain continuous support from our company.

An example of our quality is an authorized quote from our customer the State of California Department of Health -

"CDPH has completed performing random Quality Control (QC) check of 19,986 samples distributed among 761 batches for (DELETED) documents from OpenText (previously Global 360) on January 18, 2011. Among those, 19,940 samples were accepted; the total number of samples accepted was equivalent to 99.8% which meets a minimum of 99.0% acceptable quality level, per the contract requirements. Therefore, CDPH has determined that this deliverable passes the QC inspection. Congratulations!"

We obtain these levels of accuracy by maintaining strict process controls. We maintain tight controls throughout the lifecycle of the passage of each page to a digital record. Further we take multiple steps to completely identify the information content with combinations of accurate recognition and indexing.

Our three steps quality assurance process starts with scanning of the documents, comparing the digital image to the physical paper, indexing the document, and comparing the document header with the indexing criteria, Finally the last step before delivery to the PA a third individual is assigned to review entire product. In most cases providing data matching from existing customer provided record sets helps assure the data is correct.

Image Quality

IOS will perform initial analysis on the source media and report the best image for the cost. Generally, we will consult with the client as part of our normal Project Inquiry Process and the follow on of the Pilot Test Case Process to assure the best quality in a cost-effective manner.

Quality Assurance

Quality control is ongoing during the document conversion process. The images are Quality Checked (QC) during the scanning process and again at the indexing process.

Quality Control Procedures:

- Physical inspection
- Document content inspection
- Monitoring of all capture components both hardware and software
- Quality evaluation (to assure optimum quality)
- Documentation of quality control inspections

Throughout the conversion process, a series of tests and observations are constantly being made to ensure that the completed document conversion product is accurate and legible and that no record or document is missed.

Corrections

IOS agrees to correct any deficiencies at no charge within the timeframes noted above.

Digital imaging errors will be examined and determined as to cause and steps necessary to remediate. Errors which are due to actions by IOS will be corrected in a timely manner and at no charge. Source media which is inadequate for rendering properly, legible and correctly oriented images will require evaluation by the project management of the PA and IOS. This evaluation will determine an adequate outcome to providing information about the document image in question.

IOS maintains very high standards of accuracy and will work closely with the PA to achieve an error rate margin which is extremely low to meet PA thresholds set during the initial pilot scoping exercises.

Returned Source Media

Source media will be prepared, scanned, indexed, and maintained in order during the entire conversion process. Any exceptions to handling during the imaging services engagement will be identified and approved in the pilot stage of the prospective conversion implementation. An example would be all files with black and white pages may include color photographs to be captured at a higher resolution, which would require adjustments to the scanning bit depths. All file manipulations will be maintained in sequence and subject to PA approval.

Each box with files is reconstituted and placed into secured storage after Output Media is delivered. The material will either be returned on shrink-wrapped pallets or destroyed, pending approval by PA.

Imaging Services

For each engagement, OpenText IOS will appoint a project manager who has experience in providing large scale conversions of this nature. With multiple certified CDIA+ individuals, numerous personnel, who are members of AIIM and ARMA, our group has the depth of expertise in the creation of successful project outcomes. We will appoint a Project Manager acceptable to your organization and publish a hierarchy of command with an escalation ladder to assure access to the proper level of authority at all times during the conversion. A liaison for each project will be expected from your organization with a similar structure. As for the day-to-day activities and questions, we would appoint shift supervisors and an overall project supervisor. That set of people would connect regularly with the IOS Project Manager who would be in charge of both formal and informal communications.

Our team will work side-by-side with the respective PAs to ensure all requirements are understood, technology is applied appropriately, and the benefits exceed expectations. Our Project Managers monitor each project with their counterparts and make sure each project comes in on-time, correctly, and within budget.

The imaging requirements are then discussed in depth to assure the combinations and complexities of the activities are recognized and risks are mitigated and planned to achieve a successful outcome.

Preparation, Handling and Re-preparation

We will provide basic Document Preparation, Document Handling and Re-preparation per PA requirements.

IOS has extensive experience scanning many form factors and paper sizes.

Staples and other fasteners are removed and the paper is made ready for scanning. Our scanning capabilities may encounter paper thicknesses that must be handled through differing formatted scanner paths. We maintain equipment to provide these capabilities of overhead capture as well as flat glass scanning.

IOS handles a wide variety of weight and size documents. We have an inventory of scanners to handle the various required types. OpenText can handle mixed size documents and large plan drawings.

Box and Document Level Tracking

IOS has developed an internal automated tool referred to within this response as PTS. PTS, which stands for Production Tracking System, was developed to allow tracking of every component of a conversion during the

entire process. Each image is uniquely identified and then assigned in a work step touch point for every stage of the delivery. Each step and individual that encounters that image are maintained in a job-specific database. Every box is assigned a unique number (control number) that follows all the content in that box. Each file within the box is joined to the control number and the specified ID that the PA uses for tracking files internally. If the PA does not have an assigned file naming convention, then IOS creates one during the process.

IOS can identify every paper in possession, the person who prepared the documents for scanning, which piece of equipment scanned each page, the person who input the indexing, how the data was audited, which technician checked the files for delivery and when the documents were sent back as Output media.

The following are further descriptions of our processes:

Logistics and Inventory

Every project requires files to be identified, inventoried, moved, assigned batch controls and staged into production generally within boxes. This also requires that files exit the scanning production area and be rebuilt and stored for retention during the mutually agreed import analysis and approval period. OpenText IOS uses our own personnel to assure protection of the records and required compliance for privacy of the records during transit.

Chain of Custody

We introduce tracking at the introduction of records into our digitizing process. As each file in each box is moved through our system they are controlled with assignments to batches. Personnel control for each batch state is maintained throughout. Each box of files may be identified as to type and assigned to an inventory database by control number. This event starts the tracking and time metrics. Please note the **unique** ID label to follow the production of every file contained within the box.

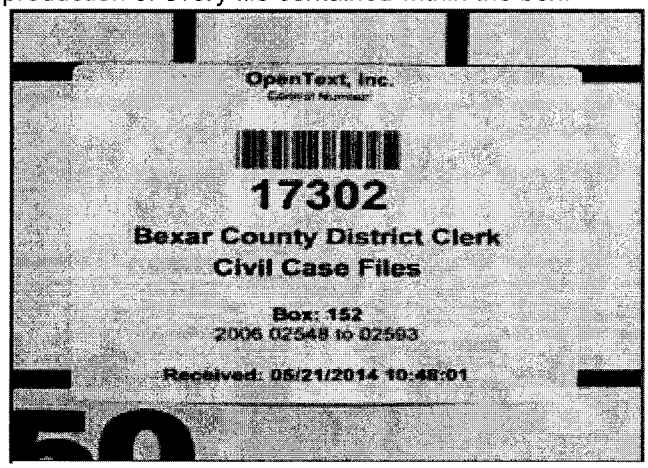


Figure 5: Unique Tracking Codes

Each box and files within is mapped into our tracking system. This allows us to maintain planning for production by facility, type of records and the targets for each stage of production.

Figure 6: Source Staged Above Floor

The following figure displays our Production Tracking System (PTS), which identifies a set of records moving through our facility. Note each operator, the number of documents, images, times worked and stage for every batch, file, and folder assigned to the team members.

Control: 17452 Batch: 1

Box Information

Customer: CC Family Court Application: NON-UIFSA Box: 368

Description: Domestic Boxes

Last BDS Sequence: 35 Date/Time In: 2008-06-09 12:33:48 Date/Time Out:

Batch Information

Scan Batch ID: 14545 Index Batch ID: Date/Time In: 2008-06-20 08:08:06 Date/Time Out:

Status History

Status	Date In	Date Out	User Name	Workstation	Prep %	Folders	Docs	Images	Fields	Chars
SCN	2008-06-20 08:08:06	2008-06-20 08:46:26	Nicole Devlin	LASDS-POOL20	0	1	76	1037	0	0
SUS	2008-06-20 08:46:26	2008-06-30 07:23:09	Nicole Devlin	LASDS-POOL20	0	0	0	0	0	0
QAS	2008-06-30 07:23:09	2008-06-30 07:41:46	Yvonne Pienkalski	LASDS-POOL20	0	0	76	1037	0	0
RFI	2008-06-30 07:41:46	2008-07-18 11:07:33	Yvonne Pienkalski	LASDS-POOL20	0	0	47	0	0	0
RFE	2008-07-18 11:07:33	2008-07-18 13:20:43	Lopez, Lance M	LASDO-LLOPE2	0	0	0	0	0	0
EXP	2008-07-18 13:20:43	2008-07-18 16:01:39	Lopez, Lance M	LASDO-LLOPE1	0	0	47	961	0	0
WTB	2008-07-18 16:01:39		Lopez, Lance M	LASDO-LLOPE1	0	0	0	0	0	0

Include Box Status Exit

Figure 7: Every Document Activity Tracked

Accurate Inventory

We do not rely solely on initial inventory assessments at pickup ("there were 224 boxes"), we actually assign unique control numbers to each group of records or box as it is filled and moved through the systematic

digitization process. As the paper reaches various stages of completion the PTS is automatically updated using a person's ID and barcode scanner. Further, this allows us to maintain tracking on the precise location of a paper that is requested from our client on an emergency basis.

Classification

Documents which are necessary to be identified by type according to client requirements can be marked with inserted barcode sheets which precede the selected document.

Figure 8: Mixed Document Types

Data Matching this technique allows the PA to build in automated indexing is to match the file with the correct data and either:

a) Insert a barcoded cover sheet with data retrieved from the client's own Index, thereby allowing the provision of name and other specific identifiers. An example is shown below:

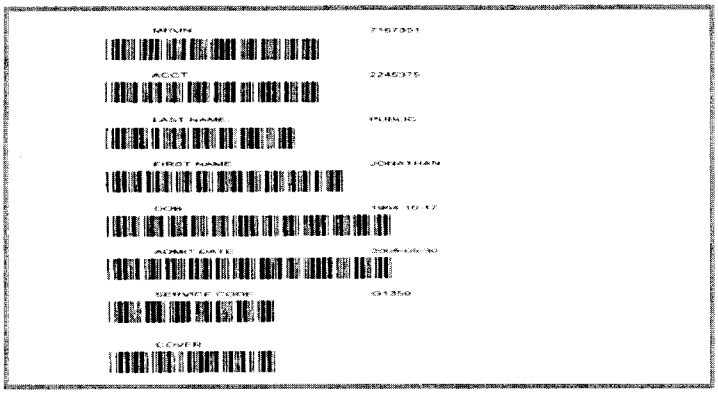


Figure 9: Data Matching

Or, a better alternative –

b) Retrieve from a client provided database the particulars for document identifiers.

This requires coordination from the IT staff and access to the historical database for the required index items to be properly matched and "merged" into the image index metadata.

Providing the data to match directly upfront provides significant benefits, specifically maintaining data integrity across the applications and providing awareness of exceptions from the original evidence on paper. We validate paper to database in this manner!

Note, in the picture below, the operator in one of our onsite based engagements obtaining a barcode cover sheet to precede and automate the data during the scanning process.

Figure 10: Database Barcode Preparation

This permits error reduction at the source and conforms to accepted principles of attention to quality at the point of origin.

1. First, it reduces the amount of repetitive data entry;
2. Second, it has the added benefit of maintaining data integrity by not mangling the name incorrectly or reversing digits;
3. Third, it allows an error in the client provided database (such as name misspelling) to be noted when compared to the actual MRN.

Again, we recommend a control file from the existing data be used as the check for the files.

Automated Classification (Intelligent Document Recognition)

Automated classification can also be performed after the initial scanning. IOS employs world class tools for the purpose of creating accurate OCR, and processing that recognition to allow document recognition (IDR or Intelligent Document Recognition). The format of documents to be selected and identified by type, and the

business rules about the content, determine if this stage is performed pre or post scanning. These document type classes (Taxonomy) will need further clarification for each engagement.

IOS has significant experience in identifying document types within case files. We recognize the challenges of matching the intended use and required retrieval of specific documents requested to the raw file contents existing today in paper form. Our OpenText Capture Center application toolset will be employed to allow a consistent classification as requested.

Scanning Equipment

OpenText IOS uses the Kodak and Fujitsu lines of production scanners and will commit new equipment as required per engagement.

Image Enhancement

During the initial test and the follow-on pilot stage, we uncover the requirements that will dictate the need for specific enhancements to achieve the best image.

In over 95% of our conversion projects, a resolution of 200 to 300 DPI provides the best quality image. When a higher resolution is used, the images become very large to store electronically, and can slow down a network and retrieval time. The post processing software used in our production area is especially designed to "enhance" the scan of a "poor quality" original without increasing the DPI of the scan. Our QC of the images after the post processing assures the best quality possible. If needed, the poor quality image is rescanned until the image quality is optimized.

Records Lifecycle Management

IOS is well aware of lifecycle management of information and is a leader in supplying modern systems that deliver these capabilities.

Image Repository Hosting

IOS provides large data center hosting capabilities in multiple continents. We meet customer requirements with direct dedicated servers which are connected with VPN to the PA. Specifications developed by the PA will be addressed with the ability to perform search and retrieval per their requirements. Rendition and viewing of images will be performed based on criteria for indexing the images which are developed with the PA. Extracting and moving the images to intermediate storage will be performed on a time and materials basis. There will be no "records" charge, and all resulting data and images will be non-proprietary and well described with XML attributes.

Redundant hosting charges for backup to onsite hosted document collections or secondary fail-over hosting servers are noted on the Price Sheet.

Indexed information and related images will be placed into the secured viewing repository for PA use.

Needs Assessment and Analysis / Project Plan Report

Each engagement for a requesting PA answered by IOS will mandate an inspection of the source media and the proposed indexing requirements. A high-level meeting with the agency personnel will begin the process of developing an SOW response document, which will include a complete SOW answer with costs, personnel

assignments, schedules, assumptions, and exceptions. Further, we will note an escalation procedure, customer support contacts, deliveries, and return schedules among other components for producing a successful conversion. Please note our project response plan detailed in Section A.12.9.4 of this document.

Preservation Imaging

Preservation services are an important part of the ability of a Digital Imaging company to offer a complete solution to capturing information for the future. Many precise steps to digitizing fragile and faded documents that have experienced environmental degradation require special knowledge and specialized equipment. OpenText IOS partners and subcontracts with Kofile Solutions for this type of effort as they are specialists with an impressive history of serving the public's needs in County and State Digital Imaging projects.

Further, their facilities, personnel, and security practices mirror our own. We have worked with many of their personnel over the years and realize that it is more than technology that delivers – it is the dedication and persistence of the people involved that will bring a difficult project together properly. We are proud to team with them and offer a complete solution to the State of Texas.

IOS understands the requirements regarding Preservation Imaging services and will meet or exceed all SOW requirements. We understand that digitization is aids in the original document's preservation, but does not replace the original. Many historical records are permanent, and IOS treats them as such. No one wants to hear, "I'm sorry, but those pages were stolen, lost, destroyed, or inaccessible." The expertise demanded to address a PA's permanent or historical records is different from the knowledge to scan a printout from an inkjet printer. The image serves as a reference tool and is a backup if the original is damaged or destroyed.

Our experience with the data conversion of archival documents is exemplary. We can address any concerns regarding the handling of fragile items, superior image capture and processing, and quality of work. We recommend that, if possible, projects involving Permanent Records and other historical materials include physical, and not just digital, preservation of the document by processing images free of dirt, tape, and folds.

IOS subcontractor's capability to provide conservation-level document preparation and archival imaging saves money by ensuring the project occurs only once. Our methodology ensures that the resulting digital images are the highest quality and free of distortion or information loss. We always default to U.S. National Archives and Records Administration (NARA) technical guidelines for digitization. We understand the need for Preservation and Access images (or Master and Working Files).

Methodology for Preservation Imaging includes an initial review of the entire project with stakeholders and management from all groups. A rigorous, face-to-face discussion of the user's needs establishes the requested outcomes and the awareness of specific constraints. This clarification helps assure the success of the overall engagement.

We can work on-site or at a facility as required by the PA. However, for items with significant factors of age, size, or fragility, the need to use specialized equipment requires that the work must occur at the facility. While a desktop scanner transports easily, specialized equipment and large overhead planetary scanners used in these circumstances cannot be transported due to size and cost restraints. We do not recommend using a mobile unit for items involving preservation or special imaging restraints. In-house projects lead to better quality control and supervision. It enables, use of specific personnel trained for and dedicated to each task, and results in a superior capability to identify re-scans.

Special Document Handling is available as required by the PA.

Examples of our capabilities in response to the requirements listed above are as follows:

- There are 24-hour temperature and Relative Humidity (RH) controls throughout our subcontractor Kofile's facility. Work areas and vaults are closely regulated to adhere to archival regulations for consistent climate control. Collections are never subjected to ultraviolet (UV) light as all work areas are windowless. The building is regularly maintained and has no issues with pests. Food or drinks are not permitted in the conservation areas by anyone or for any reason.
- This facility has three vault areas. One is specifically designed for microfilm storage. Secure and fire-resistant vault doors protect each. Each has at least a four-hour UL Rating of at least 350. Each vault has its own temperature and humidity controls. Records return to the vault areas when not receiving treatment.
- To address Preservation Imaging's expert care and handling regulations, our subcontractor will utilize its conservation staff—all of whom work closely with the Imaging Departments and provide invaluable feedback and standards regarding care and handling of the document. Staff from this department will perform preparation procedures on fragile and historical documents (i.e. staple and brad removal) and will perform any flattening or humidification procedures.
- A senior conservator oversees the conservation laboratory and supervises daily work. Each location has several assistant technicians who contribute to projects by performing limited conservation treatments under close supervision. We strongly support employee cross-training. Our conservation team has a strong retention rate and years of experience and practice for each level technician. Temporary workers, however, are assigned to specific tasks, such as prep or basic unbinding procedures, which are not relevant to the CCG's required services.

Standard Operating Procedures (SOP) for the Handling of Archival Materials

Archival and historical documents are unique. Our technicians are trained to handle confidential and fragile documents according to stringent archival standards, and they abide by the following operating procedures:

- Our subcontractor Kofile holds original materials that represent cultural property. Most are the only copies in existence. The slightest damage could mean the loss of a valuable piece of historical information.
- We have an obligation to the cultural property, its owners and custodians, to the conservation profession, and to society. You will help us provide the best possible service.
- **Clean Hands.** Always use clean hands to handle any document and wash frequently during long exposure to archival materials. Perspiration is naturally oily and salty, and it damages paper. Do not use hand creams prior to handling archival material. Hand sanitizer is available, but should never be used prior to handling the documents, only after.
- **Working with fragile documents.** Take extra care when handling fragile documents. If damage occurs during handling, notify your Supervisor. Always use two hands to handle large objects. Consult a co-worker if you need help moving an object. Think about where you will place the item before you pick it up to move it. Do not lean on material, even if covered. Avoid placing any items on top of archival documents. Take care not to touch or drag anything, such as jewelry, across the surface of a document. Be sure to roll up loose shirtsleeves, as they can abrade surfaces or catch on the edges of materials easily.
- **Workspace.** Use adequate workspace. No smoking, food, or drink is permitted near collection documents. Always have a clear space in which to work with materials. Place all bags, purses, and personal items in the lockers provided.
- **Writing.** Use pencils only (No. 2 or softer), not pens. Do not use spiral notebooks near the documents. Never write on paper with archival material underneath. The impression can pass through and damage the material.
- **Leave Items in Protective Housing.** Unless it is your responsibility, do not remove collection materials from plastic sleeves or protective housing without approval from your supervisor.

All preservation technicians are responsible for understanding the duties of their positions and executing those duties to the best of their abilities.

IOS 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.

This occurs, if the PA requests an onsite project and the project doesn't require the large specialized scanners, which would expose IOS to equipment liability. Note – our offsite facilities provide a secure working environment and exceptional oversight staff who are capable of supervising the PA's required handling procedures.

Mixed-sized Documents (e.g., sticky notes, Certified Mail cards) and Large Format Documents,

We employ a range of scanners to tailor imaging services to the document being imaged. Equipment includes technical scanning equipment by Fujitsu, Kodak, WideTEK, Zeutschel, Scan Optics, and Contex. If applicable, documents are imaged by hand and not fed through an automated Document feeder. The technicians are trained to handle fragile documents. The particular scanner is selected and is employed based on document fragility and stability. This tailored selection process enables PA documents to be addressed based by their varying densities. Fragile documents are identified and flagged for exception handling and placement in Mylar, as necessary. All scanners employ page detection to adjust for size and thicknesses.

We utilize Mylar pockets or envelopes if documents require placement into archival enclosures during imaging. Our subcontractor Kofile manufactures its own custom enclosures comprised of SKC SH725 PET polyester. Polyester or Polyethylene Terephthalate (PET) is the most inert, rigid, dimensionally stable (dimstab), and strongest plastic film. PET is otherwise known as Mylar® Type D or Melinex® 516. It is crystal clear, smooth, and has no odor. It will not distort or melt in case of fire. The inherent static cling of polyester provides physical support and protection from daily public use. Also, clear, inert polyester film does not interfere with high clarity imaging.

Evaluate the condition of Source Media and steps needed for preservation of the Source Media

The Project Manager will work in conjunction with a designated Conservator to address all aspects of the digitization project if required. Initial evaluation will occur on-site or in-house per the PA's approval. No preparation procedure (i.e. flattening or humidification) is attempted without testing. The following section (section e) details our capabilities to ensure the preservation of the Source Media.

Historical and archival items receiving specialized imaging preparation, i.e. humidification and / or flattening undergo an additional in-house examination and logging procedure to document treatment according to archival standards. Upon receipt, items are assessed to document condition prior to service. Each sheet is inspected to ensure that it receives the appropriate level of treatment. A written record is retained to record:

- Date(s) of treatment
- Name(s) of the conservator who worked on the item or held a supervisory position
- Name(s) of the technician who worked on the item
- Condition of document upon receipt
- Identity of certificates/records (manuscript, Photostat, typed, etc.)
- Original file number of maps or series of maps
- Map title or Book title
- Number of pages, proper pagination, and blank pages
- Substrate type

- Special characteristics
- Presence of acidic glues
- Presence of previous repairs
- Presence of pressure sensitive material
- Presence of staples, paper clips, brads, etc.
- Attachments
- Information pertinent to the identification of the document/plat

These reports can be customized to the specific project or PA requirement. This documentation accompanies the item through the work effort, and is finalized and can be delivered to the PA upon project conclusion.

Documents that have been stored in a rolled or tri-folded state

We regularly address historical and public records, including manuscript, typescript, Photostat, micrographic media, tri-folded files, blueprints, re-created records, plats, and maps). We never endorse the use of any method of treatment, repair, or maintenance that is not 100% reversible.

Our conservation laboratories are equipped with some of the most advanced, novel equipment in the industry. Due to the unique nature of the bindery trade, a large majority of the equipment consists of 19th- and 20th-Century pieces still operating per their original intent. Each location has oversized soaking sinks, exhaust fume hoods, advanced paper suctions tables, and humidification chambers.

Improperly stored papers become inflexible and retain a memory of the storage position. Tools to 'flatten' documents include tacking irons, heat presses, and an Ultrasonic Humidification Chamber. With these practices, the possibility of unnecessary fractures or breaks is eliminated. The technicians are experienced in the use of all three methods. The facility is equipped with several dry-mount presses, and each conservation workstation has a tacking iron. The tacking irons have adjustable temperature controls to alleviate damage to the documents.

One flattening method is accomplished by moderate pressure drying between acid-free blotters. Careful monitoring eliminates bleeding ink and mold or fungus growth. Flattening occurs in the conservation lab where the strictest archival environmental control standards are practiced.

Items are humidified after testing the solubility of the image. The Ultrasonic Humidification Chamber can correct the most fragile document's folds and bends. This machine is enhanced with a cross flow and also features a humidity dome and ultrasonic humidifier. Private labs are rarely equipped with this device, and this significant investment represents our subcontractor's foresight and commitment to offering the best available technology as a functioning and efficient vendor.

We tailor imaging services with a range of scanners. We have significant experience addressing documents with wax seals, paper seals, raised embossed seals, or other intended permanent items affixed to documents. Our specialized scanning enables superior image capture. Documents are imaged by hand, and technicians are trained to handle fragile documents. A scanner is employed based on document fragility and stability. It enables PA documents to be addressed based by their varying densities. Fragile documents are identified and flagged for exception handling and placement in Mylar, as necessary. All scanners employ page detection to adjust for size and thicknesses.

Advanced equipment for exception materials are highlighted below:

Zeutschel: This is an overhead tabletop scanner for books, newspapers, and large-format documents (certificates, drawings, maps)—see pictured right. It is a High End Scanner for maximum performance and perfect images. It provides correction and automatic document detection with integrated color management, contrast improvement, image rotation, despeckle, deskewing, cropping, masking, and b&w scanning with dynamic threshold, etc. Product advantages include:

- High scan speed
- ROI-scan feature (limitation of scan area)
- high productivity
- Best results with automatic color management
- Perfect Book – 3D scan technology for perfect book curve
- No UV/IR radiation
- Low exposure to light (illumination will only be activated when scanning)
- No reflections with high gloss originals
- Excellent cost-performance ratio

WideTEK: These wide format duplex scanners digitize two-sided printed documents up to 36" in width. At a resolution of 300 PPI or DPI the scanner needs only 2.5 seconds to scan the front and back sides of a page in a single pass through the scanner.

The idea of double sided scanning in one production step primarily means less production effort. The document no longer needs to be flipped over and scanned again on the other side. This scanner ensures the best possible gentle document transport and digitizes historical and fragile documents without damage to the source document.

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.

We acknowledge this requirement and are responsible for the basic document preparation, document handling, and re-preparation during the digital imaging process as defined in the SOW. Document integrity is maintained while performing staples, straight pins, brads, grommets, and other fasteners.

Documents of non-standard weights

As previously discussed, a range of scanners are employed to tailor imaging services—including roll scanners, book scanners, and overhead planetary scanners.

The various scanners are employed based on a document's state of fragility and stability. It enables PA documents to be addressed based by their varying densities as each scanner has individual strengths. All of our scanners employ page detection to adjust for varying sizes of paper and, more importantly, thicknesses to reduce "pull-through" on thin papers following thick bond. De-speckling, de-skewing, and automatic image contrast enhancement are all employed.

1200 PPI and 24-bit color for Documents and photographic Images

We can make use of color or gray-scale scanning techniques for documents to ensure the optimum resolution of each page. Our subcontractor has extensive experience imaging in both methods per the client's preference.

We verify effectiveness and minimum legibility of the scanning process through rigorous and systematic quality control. Images are captured at the required PPI (or DPI) at color or 256 gray levels. We ensure the highest image quality for documents with poor contrast and difficult-to-read information. As a standard process, all images for inclusion in the target system accumulate as Group IV bi-tonal images in a standard TIFF format.

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Bonding and Insurance

Subcontractor staff is background checked and specific personnel are bonded, as necessary.

IOS will cover each project of this nature with a separate Certificate of Insurance to mitigate the risks.

Image Enhancement

Manipulation of the specific image thresholds are part of the service and may be laborious to achieve an approved rendering of the original. The PA SOW will note these requirements, which will be met by the response to the SOW or PA requests.

IOS and Kofile also provide custom indexing services. We believe that data integrity is essential to PAs. Our goal is to provide consistently-keyed fields. This will improve document retrieval and build a dependable searchable database for staff and patrons.

IOS performs key entry at least twice for every field. Our proprietary indexing software and keying procedures provides proven 99.25% accuracy.

Following the initial field key entry, the record is displayed to a second indexing operator. This individual also keys the field (also termed a "blind re-key"). The software compares the entries. If they do not match, the record is sent to a supervisor. This supervisor identifies the problem with the field entry and determines if it is a one-time keying error or a prevailing issue. The supervisor decides if a new keying standard is needed for all operators to follow. The record is then sent to another indexing technician and keyed again. With this methodology, each field is blind-keyed three times.

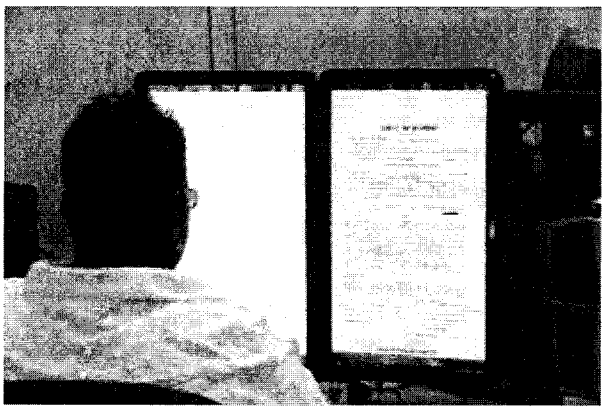


Figure 11: Data Entry Technician

In our quality control procedures, any questioned process is researched and answered internally by experienced managers and supervisors. If the PA is required to provide input, IOS will contact the PA for a clarification and / or decision. We take pride in building successful professional relationships with our clients.

Desktop Scanning Services

IOS routinely implements, tests, and deploys suitable equipment to allow a PA based desktop scanning solutions. Applicable charges will be noted on the Price Sheet.

End of Projects

We provide documentation during the entire engagement and build a file to allow other personnel to understand the decisions made during the conversion after the primary parties have moved onto other projects. Part of the finalization includes the elaboration of the exceptions processing and the resolution to difficult documents encountered during the conversion. The rationale must be explained sufficiently to avoid misunderstandings of the use after the conversion is completed.

Reports and Performance

As noted in other sections, we provide direct access to our performance with a real-time dashboard on our OpenText Web Portal. Included in our service, we publish reports which are digested and summarized to allow PAs to quickly determine the progress against plan for our services against their expectations. These dashboards are fed information from a variety of our production tools sets through the database resident under our PTS.

The sample below is specific to one customer and is illustrating an overview of a specific project:

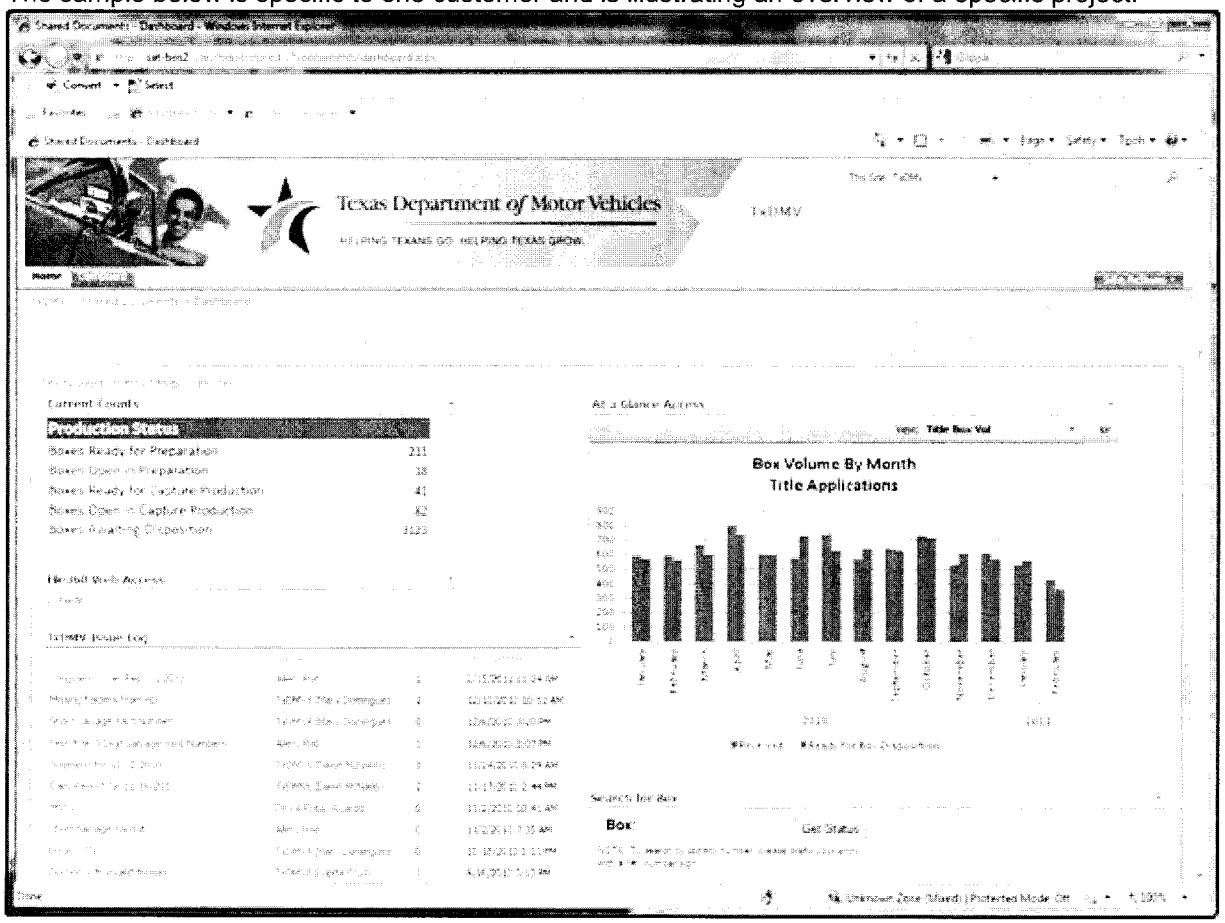


Figure 12: OpenText Portal – Sample Client Dashboard

Best practices for project management are used within each engagement. An integral part of managing the project relates to the cataloging of the images / source media batches and the tracking of the conversion effort through each stage of the process. The OpenText Portal will provide PA staff with the tools necessary to positively control the project, to manage the inventory of images on an ongoing basis, and can provide the PA's staff with important capabilities, including:

- Project monitoring and tracking
- Status reports
- Issue tracking

As can be seen in the figure above, IOS is able to track all information as it flows through the IOS production facility. The OpenText Portal will provide information about history and present production, destruction schedules, and daily reporting. Searches for a particular source media can also be conducted whenever a question arises about the status of a pick-up. The issue log noted in the customer service section is also made visible on the lower left hand side of the top-level Web page for all interested parties to review.

We strive to maintain a chain of custody and accountability during our entire process. Every pickup is monitored from the point of origin until they are received at our facilities.

This process begins the Chain of Custody and serves notice to the warehouse team that a shipment of a certain size is on the way. This allows us to respond with placing controls into the PTS in advance and maintain quicker inclusion of the boxes into the systems.

Through our Quality Assurance and Sampling Controls where we review the records in batch basis and individually, OpenText performs another review of each batch processed through the system.

During this process we institute specific review of document types which have been known to be troublesome in discrepancies or classification. We also promote a random review of key index criteria provided by the client to match against the form data itself. Failures of quality at this point will cause an expanded review of each batch performed by that operator. This may cause suspension, coaching or even termination depending upon the nature of the errors. At project initiation the sampling sizes are much larger in number. As operators become more proficient the sampling groups are broadened against the higher volumes, but each operator, machine, preparer, and classifier will have a sample set performed daily. OpenText IOS uses two monitors to allow faster production and easier viewing of critical document identification criteria.

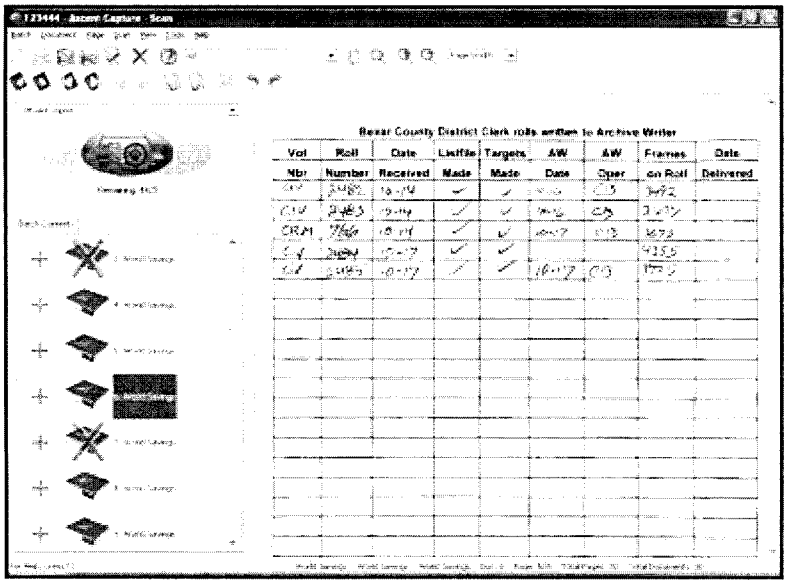


Figure 13: Daily Output Reports

Above is a quality sampling report card for a specific employee. We pay for performance and measure the quality for each person to provide a control on speed vs. accuracy. This will initiate recapture of images if the inspection criteria are not met.

Rejected images are noted by the **RED X**. If a batch has rejected images, the batch is returned to the capture step for rescans.

Additionally reporting through our PTS system allows Opentext and the PA to track a document through the production process. This allows us to quickly respond to requests for records and find the specific files requested.

Note the figure following below:

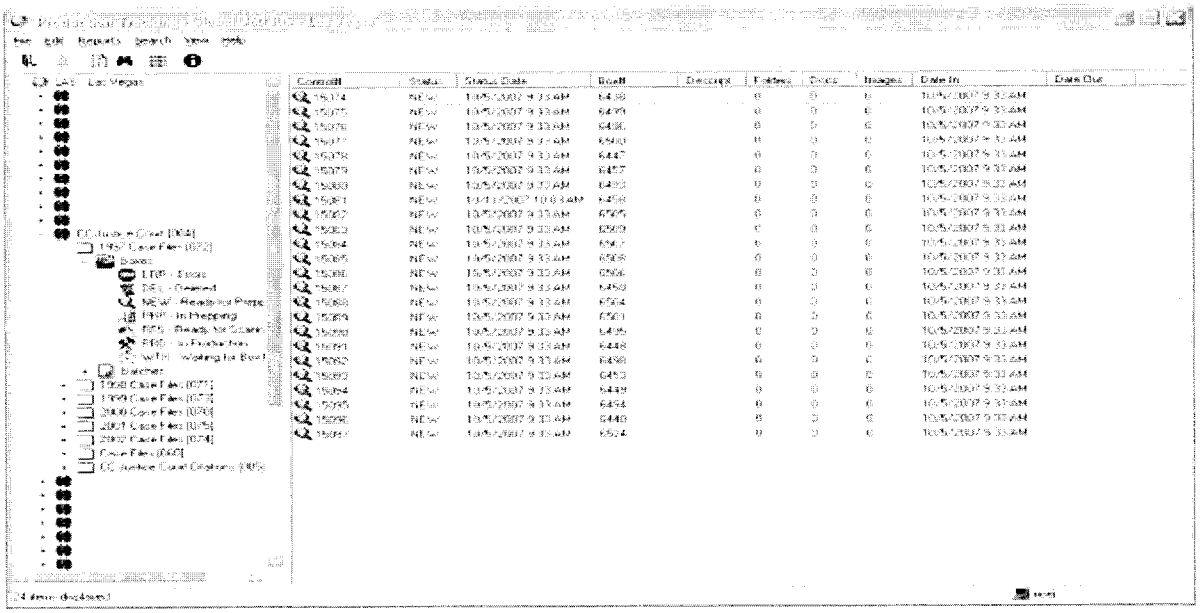


Figure 14: Production Workflow Tracking with PTS

We are also able to track each source media batch based on staff members who have been involved in the production process, from initial inspection, through scanning, indexing and the quality assurance process, etc. The data collected allows us to manage the productivity of staff and to address any issues that may arise during the course of the project.

Daily reporting is very customizable and driven by PA project needs and requirements. Below are items typically included in daily reports:

- Date and time of Source Media Check-out at the Loading Dock
- Name(s) of IOS staff performing the Source Media Check-out
- Name(s) of IOS staff transporting Source Media to IOS Vendor's facility
- Unique identifiers of the daily pickup
- Count of source media received for day
- Count of return items
- Date and time that Source Media arrived IOS facility
- Name(s) of IOS staff verifying receipt of Source Media at IOS facility
- Name(s) of IOS staff performing document preparation
- Name(s) of IOS staff performing document capture
- Count of images captured
- Count of images delivered to CSD Image Repository
- Exact date and time (timestamp) that each Output Media file, identified by its filename or its Unique Identifier, was transmitted (via Electronic Check-in) to the PA Image Repository Exact date and time (timestamp) that each Output Media file, identified by its filename or its Unique Identifier, was purged from the Awarded Vendor's system

- Time and date that all Media, identified by its Unique Filename was Checked-in to each step.

Finally, we close the gap of reporting with the finalization of the disposition of records which is this case is a destruction notice process:

The following sample figure illustrates a request for destruction, approval from PA, and the vendor onsite shredding Certificate:

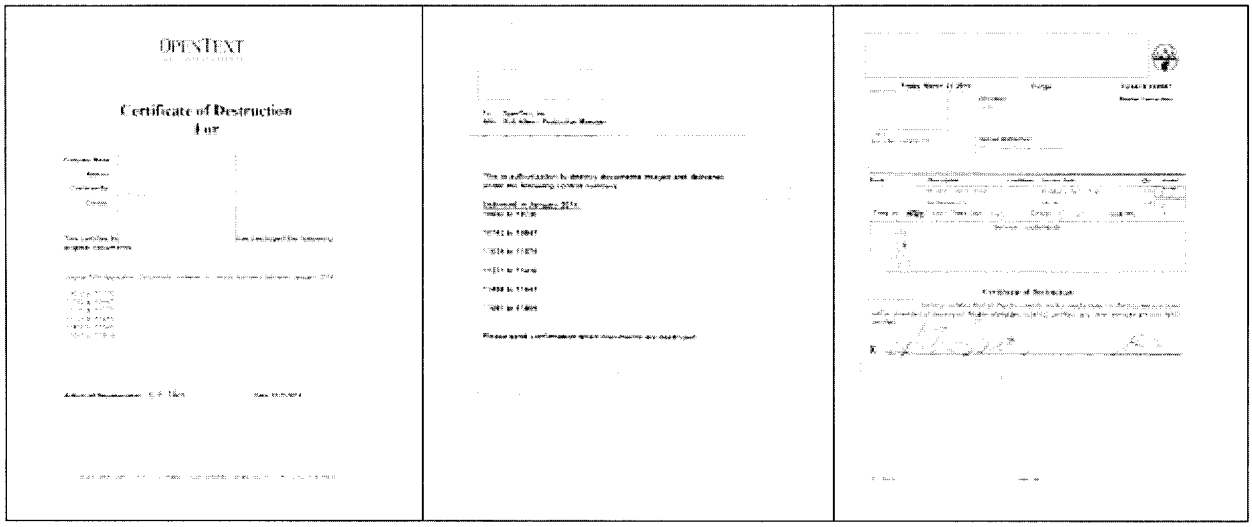
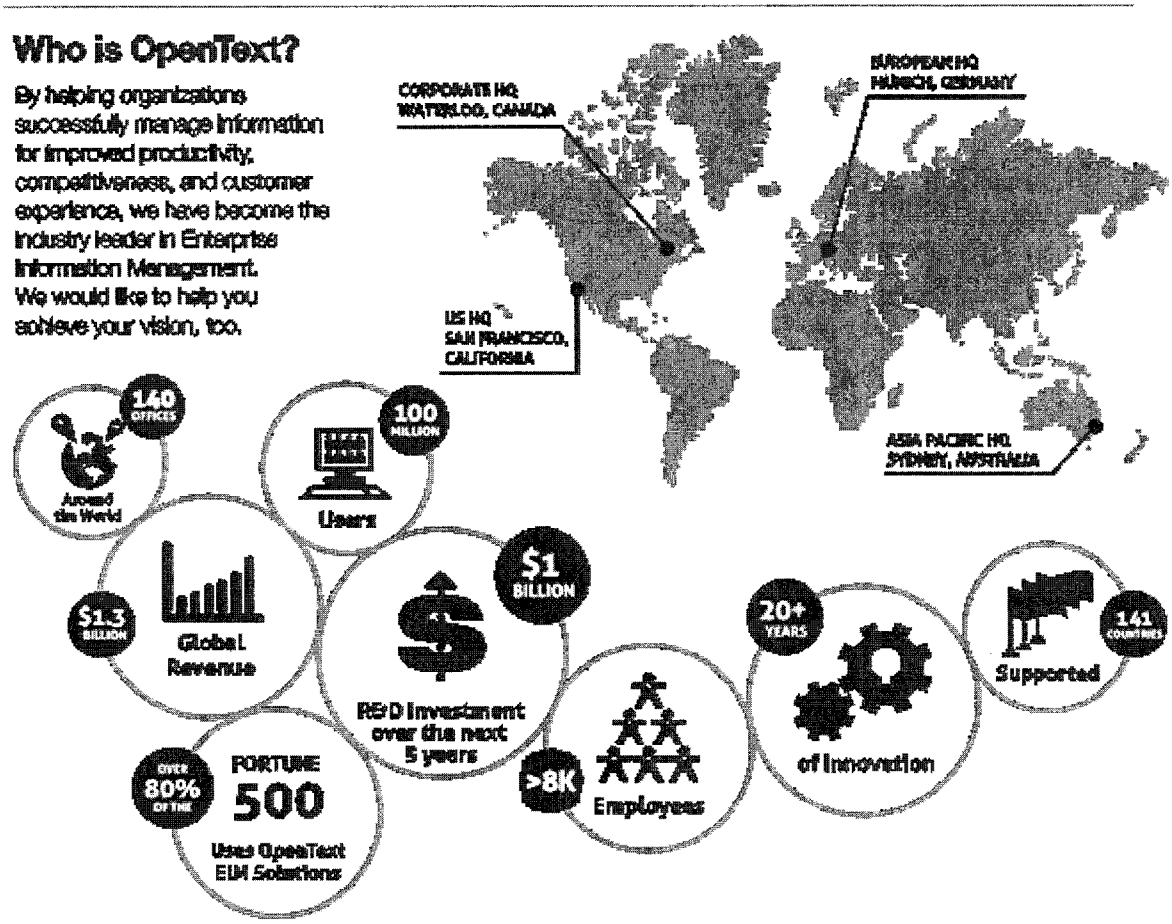


Figure 15: Sample Destruction Documentation

Please note we have redacted some of the information within the red boxes overlaid on the forms.



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