SUPPLEMENTAL INFORMATION HEADER

The following pages contain supplemental information for this competitive document. The supplemental information is contained between this header and a trailer page. If you receive the trailer page, all supplemental information has been received.

If you do not receive the trailer page of this supplement, use the inquiry process described in the document to notify the Procurement Representative.

Note: portions of the supplemental information provided may or may not contain page numbers. The total number of pages indicated on the cover page does not include the pages contained in this supplement.

Supplement One - Profiles and Summary of Divisional and Departmental Documents

Ohio EPA e-Document Management Project - Divisional Profiles

Contents

Introduction 2

DAPC 3

DSW 6

DERR 8

DMWM 10

DDAGW 12

DEFA 14

Legal 15

OSI 16

OCAPP 17

DES 18

PIC 19

Director's Office 20

EEO 21

Fiscal 22

ITS 23

O&F 24

OES 25

Introduction

In order to better understand the profile of Ohio EPA's document volume, structured data requests were sent out to representatives of each of the Agency's 19 program / support offices, 5 district offices, and 7 local air agencies. After introductory training on the data collection tool, users from the various offices were asked to record information on the quantity and type of documents stored in their organizations. The 31 responses contained over 3,500 individual lines of data, each representing documents within the respondents filing hierarchy. Upon analysis, the 31 individual responses provide detail on the volume and characterization of the Ohio EPA's documents.

All told, the Agency stores over 70,000,000 pages of documentation, in both onsite and offsite storage. Offsite storage is a combination of documents held in local archive locations (such as the Central Office basement or district office outbuildings) and 3rd party storage (Fireproof, Grove City), while onsite storage represents physical and/or electronic document copies located within departments. Details on onsite and offsite storage by division are listed below.

The remainder of this document presents divisional profiles describing the types of documents stored within each of the program areas, along with any available information on day forward volumes and existing electronic sources from which to capture documents.

Onsite Back File Page Count (000's) by Program and Location

	CO	NEDO	SWDO	CDO	SEDO	NWDO	Grand Total
DAPC	4,244	3,253	2,197	1,218	786	190	11,887
DSW	3,511	1,720	6	1,099	1,135	576	8,046
DERR	2,970	1,441	378	1,082		65	5,935
DMWM	872	2,019	801	219	548	1,105	5,563
DDAGW	2,288	574	488		470	747	4,566
DEFA	2,073						2,073
LEGAL	1,292						1,292
Other	1,916	22	63		227	1	2,230
Grand Tot	**19,165**	**9,028**	**3,933**	**3,617**	**3,165**	**2,684**	**41,590**

Offsite Back File Page Count (000's) by Program and Location

Column Labels	CO	NEDO	SWDO	CDO	SEDO	NWDO	Grand Total
DAPC	1,062	1,576	1,254	390	3,382	152	7,816
DSW	1,650	1,358	176	328	452		3,964
DERR	26	2,144	786		1,126		4,082
DMWM	1,004	746	1,256	104	466	430	4,006
DDAGW	1,328	102			88	486	2,004
DEFA							
LEGAL	3,600						3,600
Other	3,510						3,510
Grand Tot	**12,180**	**5,926**	**3,472**	**822**	**5,514**	**1,068**	**28,982**

DAPC

Division: The Division of Air Pollution Control

Description: The Division of Air Pollution Control (DAPC) ensures compliance with the federal Clean Air Act and the Emergency Planning and Community Right-to-Know Act as part of its mission to attain and maintain the air quality at a level that will protect the environment for the benefit of all. The division reviews, issues and enforces permits for installation and operation of sources of air pollution and operates an extensive ambient air monitoring network. The division also oversees an automobile emission testing program, to minimize emissions from mobile sources.

In certain portions of the state, Ohio EPA has delegated authority for management of the clean air act to local agencies. Depending on the arrangement, authorities are delegated to cities, counties, or other regional entities.

Functionally, files will contain the same information as the district air operations, though each group may have its own unique organizational scheme. Local air agencies are currently active in Cleveland, Akron, Canton, Lake County, Dayton, Hamilton County, Portsmouth, Mahoning

Key Documents / Files	Source Systems	Volume / Frequency	Back File Inventory
STARS2 – Documents generated and stored in the DAPC system include: Permits, Applications, Emissions Reporting, Compliance Reports, Intent to Relocate Approval, Permit Modifications and Revocations, General Correspondence	Electronic, in the STARS2 system.	Approximately 25,000 occurrences per year, consisting of over 200,000 pages.	Not available.
Permit Review / Development – Files for the development of permitting programs in general, and for the review of specific permits. Documents include PSD/NNSR Permit Support Files, PTI Exemption Letters, redesignation files, stack height files, ozone data, federal guidance, Title V program files, PAG files, acid rain data, Air/RCRA files, NWS/LCD Files.	Primarily paper files, though some items are also available on the departmental shared drive in Word and PDF format.	Approximately 150 occurrences per year, totaling 329,000 pages.	Not available.

Air Toxics – Documents include: Studies, Investigations, Risk Summaries, remediation plans, and enforcement determinations	Paper and electronic, with printouts of Word, Excel, and PDF placed into file.	Unknown number of occurrences totaling 45,000 pages per year.	Not available.
Enforcement – Documents include findings, consent orders, and EC case files.	Paper	Approximately 150 occurrences per year totaling 15,000 pages.	Back file contains 140,000 pages, all onsite.
Rulemaking – Includes official certified copies of rules along with supporting dockets.	Predominantly paper.	Approximately 100 occurrences per year, totaling 45,000 pages.	225,000 pages, all onsite.
SIP Management – Includes NSR/PSD modeling files, and history files from the SIP library	Paper, with some modeling files available electronically.	Approximately 100 new occurrences per year, totaling 20,000 pages.	Back file goes back 30 years or more, and includes almost 750,000 pages, all onsite.
Community Right to Know – Documents grouped by facility include: Inventory Reports, LEPC Reports, LEPC Membership Rosters, and Tax Exemption Requests	Paper, though some inventory reports are kept on the shared network drive.	Not Available.	Not Available.
Facility Files – Wide variety of documentation on individual facilities, held at district offices and air locals. Can cover Permit to Install / Operate (PTI / PTIO), Title V permits, off permit activities, permit modifications, Includes: emissions information, facility correspondence, fee assessment / payment data, public hearing and confidential information.	Primarily paper, though does include copies of digital photographs stored electronically.	Not available. Files are spread across 5 district offices, and not all districts organize / quantify files at same level.	Not available. Files are spread across 5 district offices, and not all districts organize / quantify files at same level.
Open Burn Files – Documents related to open burn requests or complaints. Includes permit applications and permits, complaints, warning letters, NOVs, and inspection data.	Primarily paper, though does include copies of digital photographs stored electronically.	See comment in "Facility Files" above.	See comment in "Facility Files" above.

Asbestos Files – Documents related to asbestos abatement projects. Includes initial demolition notices and revisions, inspection reports, NOVs and correspondence	Primarily paper, though does include copies of digital photographs stored electronically.	See comment in "Facility Files" above.	See comment in "Facility Files" above.
Notes: Facility, Open Burn, and Asbestos files are spread across 5 districts, representing an additional 14 million pages of back file onsite and in district archives.			

DSW

Division: Division of Surface Water			
Description: The Division of Surface Water (DSW) ensures compliance with the federal Clean Water Act and works to increase the number of water bodies that can safely be used for swimming and fishing. The division issues permits to regulate wastewater treatment plants, factories and storm water to reduce the impact of pollutants. The division also develops comprehensive watershed plans aimed at improving polluted streams. To determine the health of Ohio's surface waters the division samples streams, lakes and wetlands, including fish, aquatic insects and plants.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
National Pollution Discharge Elimination System (NPDES) Files – Documents include permit applications, permits, transfer and termination notices, fact sheets, comments and responses, transcripts, pretreatment files, and correspondence	Signed copies of permits and other official documents are kept in paper, but a large portion of files of record exist in the Surface Water management system (SWIMS) with a paper copy held in the files.	Approximately 6,000 occurrences per year, consisting of 130,000 pages total.	Total back file is approximately 2,300,000 pages, including 300 boxes of material stored offsite.
401 Section Files – Documents include applications, comments and responses, hearing transcripts, periodic release and monitoring reports, notices of non-compliance and correspondence	Combination of paper files and documents on stored SWIMS.	Unknown number of occurrences per year, totaling 42,000 pages.	Total back file is approximately 890,000 pages, 520,000 pages of which are located in onsite storage.
Ecological Assessment Unit (EAU) – Files located in the Groveport field office include field sheets, bioassay reports, ODNR fish kill reports, sediment data, and inland lakes monitoring data.	Combination of paper files and documents on the EA3 system, STORET, LIMS, and ECOS.	Unknown number of occurrences per year, totaling 10,000 pages.	Total back file is approximately 400,000 pages, with over half located in offsite storage.
Water Quality Modeling – Includes water quality models, and other supporting data for TMDLs, TSDs, PSDs, and other reports.	Combination of paper files and documents on shared network drives.	Approximately 600 occurrences per year, totaling 5,000 pages.	Total back file is approximately 490,000 pages, all located in onsite storage.

Total Maximum Daily Load (TMDL) – Includes public notices, draft and final reports, submittal letters, and USEPA documentation.	Combination of paper files and documents on shared network drives.	Unknown number of occurrences per year, totaling 7,000 pages.	Total back file is approximately 55,000 pages, the majority of which is located onsite.
Standards and Technical Support – Includes reports, maps, GIS files, QDC applications / approvals, PSP approvals, quality management plans, SOPs, LSC documentation, technical justification, and public hearing information.	Combination of paper files and documents on shared network drives.	Approximately 400 occurrences per year, totaling 20,000 pages.	Total back file is approximately 243,000 pages, all located in onsite storage.
319, Non-Point Source (NPS) and Surface Water Improvement Fund (SWIF) Program Files– Grant applications, RFPs, periodic reporting, and correspondence.	Paper	Approximately 50 occurrences per year, totaling 15,000 pages.	Total back file is approximately 190,000 pages, all located in onsite storage.
Enforcement Files – Administrative and Judicial actions	Paper, stored in the journal room.	Approximately 50 occurrences per year, totaling 1,000 pages.	Onsite back file is 8 boxes. Current offsite tally is 70 boxes.
Notes: The 5 district offices hold an additional 6,800,000 pages of data in local facility and watershed files.			

DERR

Division: Division of Environmental Response and Revitalization			
Description: The Division of Environmental Response and Revitalization (DERR) oversees investigation and cleanup of contaminated sites including federal facilities. The division responds to and oversees cleanup of emergency releases and spills to the environment. In addition DERR also provides assistance to companies and communities that clean up and reuse brownfield sites.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Targeted Brownfield Assessment (TBA)– Project files for the TBA program. Include applications, level of effort (LOE) assessment forms, reporting from the site investigation field unit (SIFU), and other documents	Though paper copies are kept, most documents are kept on the department shared drive.	Approximately 25 TBA's are conducted per year, consisting of 60,000 pages total.	Total back file is approximately 10GB.
Grant Making – Project files for grants covered under the Clean Ohio Fund, US EPA Superfund, US Department of Energy, DSMOA, FUSRAP, and URSB radiological safety programs. Documents include: applications, reimbursement requests, periodic reporting, and correspondence.	Combination of paper files and documents on shared network drives.	Approximately 250 documents per year, totaling 25,000 pages.	Total back file is approximately 60,000 pages.
Resource Conservation and Recovery Act (RCRA) – Documents include closure plans and corrective actions. Documents are stored in	Paper only.	Approximately 25 documents per year, totaling 2,000 pages.	No back file. Files exist in the department only as WIP, ultimate ownership is DMWM.
Fiscal Documents – Departmental accounts payable and cost recovery documentation for projects.	Files exist as paper, though many cost recovery documents also exist in OAKS	Approximately 2,000 documents per year, totaling 17,000 pages	Total back file is approximately 800,000 pages.

Site Investigation Field Unit – Documents related to field sampling. Includes correspondence, work plans, photos, lab data or logs, and assessment reports.	Paper, though some documents are received electronically and printed.	Approximately 20 occurrences per year, totaling 5,000 pages.	Approximately 158,000 pages in the department, in addition to approximately 400GB of project files available electronically.
Spill Reporting – Documents related to spills that require DERR investigation and response. Includes incident reports, investigation reports, photographs, maps, invoices, and correspondence.	Majority of day forward information is electronic, PDF, JPG, and email.	Approximately 20 occurrences per year, totaling 60,000 pages.	Back file from 2009 on is electronic, data 2000-2008 is paper with CD/DVD backup, and 2000 prior is a paper subset.
Administrative and Program Records – Memoranda of agreement and understanding, periodic reporting, audit / tracking spreadsheets.	Majority of information is stored electronically, in various MS Office formats.	Nominal.	Total 10+ year back file volume less than 5 GB.
Voluntary Action Program (VAP) - Documents related to VAP projects, technical certification, and technical assistance.	Paper, mix of internally and externally generated documents.	Approximately 200 occurrences per year, totaling 375,000 pages.	Approximately 2,000,000 pages in the department and in the agency basement, no storage offsite.
Remediation and Emergency Response- Technical and engineering data, guidance documents, and plan files for emergency response and remediation data.	Paper, CAD, GIS, office, sourced from district offices and approved contractor performing work.	Approximately 350 occurrences per year, totaling 175,000 pages.	No central office paper back file, though approximately 100GB of records are stored electronically. Majority of back file resides at district offices, where official response file is held.
Notes: Volumes above are for Central Office holdings, district offices hold an additional 1,000,000 to 3,500,000 pages of back file each, covering a period of up to 35 years.			

DMWM

Division: Division of Materials and Waste Management

Description: The Division of Materials and Waste Management (DMWM) oversees the proper handling of wastes and promote reuse and recycling of materials and waste generated in Ohio. The division is comprised of two sections, handling Solid and Infectious Waste Management and Hazardous Waste Management.

The Division of Solid and Infectious Waste Management (DSIWM) ensures proper handling of solid waste and encourages people to reduce, reuse or recycle solid waste generated in Ohio. The division issues permits to regulate landfills, waste incinerators, transfer facilities, composting facilities, scrap tire facilities, construction and demolition disposal sites, infectious waste disposal sites and industries that generate infectious wastes, such as hospitals. The division also oversees state and local planning for long-term solid waste management.

The Division of Hazardous Waste Management (DHWM) implements Ohio's hazardous waste management program. This program regulates hazardous waste from the point of generation to final disposition ("cradle to grave"), which is required by the 1976 federal Resource Conservation and Recovery Act. The division also oversees Ohio's Cessation of Regulated Operations program, which requires companies to properly secure their facilities when they go out of business.

Key Documents / Files	Source Systems	Volume / Frequency	Back File Inventory
Planning and Administrative Files – Annual reports, plans, fee reports, correspondence, and meeting notes for the DSIWM section.	Paper, though some documents may be created in Office systems.	Approximately 80 occurrences per year, consisting of 8,000 pages total.	Total back file is approximately 280,000 pages, including approximately 80 boxes of material stored offsite.
Financial Assurance – Instruments, correspondence, enforcement orders, and closure plans.	Paper.	No annual volume information.	Total back file is approximately 190,000 pages and 15 years, of which 5 years is kept on site.
Enforcement Files – Pre and Post referral files including: inspection letters, violation notices, referrals, attorney correspondence, and final orders.	Paper.	No annual volume information.	Total back file is approximately 160,000 pages, of which 90,000 pages are kept on site.

Composting, Infectious Waste, and Scrap Tire Files – Authorizing actions and correspondence for 3 separate programs.	Paper	No annual volume information.	Total back file is approximately 256,000 pages, of which 130,000 are located in onsite storage.
Solid Waste Licensing – Applications, fee reports, and log sheets for solid waste facilities	Paper	No annual volume information.	Total back file is approximately 280,000 pages, 45,000 of which is located in onsite storage.
Hazardous Waste Files – Contains general information, notifications, enforcement actions, PA/VSI, Fee reports, and findings & orders.	Combination of paper files and documents on shared network drives.	No annual volume information.	No back file information
Notes: The 5 district offices contain an additional 7,600,000 pages of documentation on individual facilities. Though some of this information is duplicated in the amounts above, much of it is only kept in the district facility files.			

DDAGW

Division: Division of Drinking and Ground Waters			
Description: The Division of Drinking and Ground Waters (DDAGW) ensures compliance with the federal Safe Drinking Water Act and evaluates potential threats to source waters that supply Ohio's more than 5,000 public drinking water systems. The division has a lead role for statewide ground water protection in cooperation with other state and federal agencies, implements a ground water quality monitoring program, and provides technical assistance to the agency's waste management divisions.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Engineering Files – Data and documentation related to the design and certification of water systems. Includes: correspondence, pilot studies, plan reviews, certification, water supply revolving loan agreements, backflow documentation	Paper files, some documents are duplicated on CD / DVD as PDFs.	Approximately 550 occurrences per year, consisting of 5,000 pages total.	Approximately 25 boxes of material in addition to 200,000 images on microfilm from 1915-2003, and 68 DVDs from 2003-2011
CAS – Rules development, compliance, enforcement, and containment information. Includes consumer notices, containment files, referrals, enforcement actions, correspondence, rule development, primacy applications, and guidance.	Paper files, though many items are sourced from the Safe Drinking Water Information System (SDWIS) and the SWIMS system.	Approximately 550 occurrences per year, totaling 90,000 pages.	Total back file is approximately 2,000,000 pages, split between on and offsite storage. Onsite back file of individual documents ranges from 2-30 years, while offsite information is stored for 20 years.
Fiscal Documents –General budgeting / accounting documents for division operations, information on fees, fines, and delinquencies, grant reporting, and department personnel files.	Paper files, though many item are sourced from SDWIS, the Ohio Administrative Knowledge System (OAKS), the OEPA fee management system (REVENUES), the OEPA time tracking system (TAS).	Approximately 18,000 occurrences per year, totaling approximately 35,000 pages.	Total back file is approximately 36,000 pages, all of which is stored onsite.

Technical Support and Underground Injection Control – Includes technical assistance, policy guidance, and procedural information on groundwater matters, as well as Class I/V injection control permitting, operations reporting, and remediation	Paper files, though some original documents are stored in shared folders.	Approximately 4,000 occurrences per year, totaling approximately 60,000 pages.	Total back file is approximately 620,000 pages, split between onsite and offsite storage.
Water System Files – Includes all information about active systems, usually stored at the district level. Includes correspondence, general site information, periodic operations reporting, lead and copper monitoring files, and plan approval files.		Over 100,000 individual documents created per year, totaling 390,000 pages.	Total back file is approximately 6.4M pages. This is spread across the 5 district offices with 4.4M pages in the offices, with a further 2.0M pages warehoused on site.
Enforcement Files – Includes referrals, internal and communications, supporting documentation, draft and final compliance agreements, meeting minutes, and file notes / memos.	Paper, with internal documents and outbound correspondence created electronically and printed for file. Some duplication and overlap between enforcement information stored at district, with DDAGW program office, and within Legal office.	Not Available	Varies by district, Northeast District Office (NEDO) onsite back file storage contains 14,000 pages of documents, while program office contains 20,000 pages of storage for all districts.
Water Quality C & P (WQC&P) – includes information on the Source Water Assessment & Protection Program (SWAP), and ground water quality information. Includes: SWAP plans, assessments, guidance, and correspondence, as well as ambient well files, water quality data, and general files.	Paper, primarily created in Word, some items are stored on subject specific websites.	Approximately 600 documents are created per year consisting of over 12,000 pages.	Total back file is approximately 120,000 pages. Less than 10 boxes worth of material are stored offsite.
Notes: Additional water system files located at the 5 district offices contain an estimated 2,900,000 pages of additional paper.			

DEFA

Division: Division of Environmental and Financial Assistance			
Description: The Division of Environmental and Financial Assistance (DEFA) finances municipal wastewater treatment projects, other projects improving water quality and drinking water projects through low-interest revolving loan programs. Eligible projects include building or renovating drinking water plants or wastewater plants and sewers, restoring aquatic habitat, improving home sewage disposal systems and best management practices for agriculture or forestry to reduce and prevent water pollution.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Loan Project File – Loan projects for both WPCF and WSRLA programs. Includes nomination and other pre-project eligibility forms, project approval/signoff documents, financial forecasts, plan approvals, bid packages, executed contracts, change orders, payment requests, performance validation documents and project correspondence. Up to 96 unique documents in each file.	Though some items are received in hardcopy form and a paper file is kept on each loan project, all project information is either generated in or uploaded into the departmental repository, AIMS.	Approximately 550 occurrences per year, consisting of 199,000 pages total.	Total back file is approximately 3,200,000 pages, including approximately 620 boxes of material are stored offsite.
General Program Documentation – Policies, annual management plans, reports, bond documents, procedure documentation, watershed needs surveys.	Combination of paper files and documents on shared network drives.	Unknown number of occurrences per year, totaling 25,000 pages.	Total back file is approximately 105,000 pages, all located in onsite storage.
Notes:			

Legal

Division: The Office of Legal Services			
Description: The Office of Legal Services provides general counsel to Ohio EPA's divisions and districts and evaluates, prepares and negotiates administrative enforcement actions. In addition, Agency attorneys prepare trade secret claim determinations; prepare and review contracts; assist in the development or review of legislation and rules; and address public records request issues.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
General Files – General information including certifications, plan approvals, final findings and orders, licensures, letters, NPDES permits, the Director's weekly review, invoices and proof of publication for public notices.	Paper.	Approximately 6,750 occurrences per year, consisting of 145,000 pages total.	Total back file is approximately 1,950,000 pages, of which 5 years stored onsite.
Enforcement Files – Individual case files for the various enforcement areas (Solid Waste, Hazardous Waste, Air, Water, DERR). Documents include attorney work product, disciplinary actions, IOCs, findings and orders, legal research, meeting notes, memos, project related information, Correspondence	Combination of paper files and documents on shared network drives.	Unknown number of occurrences per year, totaling 190,000 pages.	Total back file is approximately 1,750,000 pages, 2/3 of which are in onsite storage.
Notes:			

OSI

Division: The Office of Special Investigations			
Description: The Office of Special Investigations (OSI) is the criminal investigative branch of Ohio EPA. The office works in partnership with other state and federal agencies to conduct investigations of activities that may criminally violate any of the state or federal environmental laws or regulations. The office's investigations span all of Ohio EPA's environmental programs.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Case Files – Information related to active investigations or cases includes complaints, field reports, warrant reports, sampling, enforcement referrals, meeting notes, permits and applications, notices of violation (NOVs), grand jury documents, other court documents, and correspondence.	Mixed paper and electronic. Paper comes from	Approximately 1,400 occurrences per year, consisting of 90,000 pages total.	Total back file is approximately 550,000 pages, stored onsite.
Radiological Assessment Documents – Includes plans and procedures at the county, state, and Ohio EPA level related to the state's nuclear power plants.	Electronic, with paper file copies.	Approximately 10 occurrences per year, totaling 2,000 pages.	No back file information.
Notes:			

OCAPP

Division: The Office of Compliance Assistance and Pollution Prevention			
Description: The Office of Compliance Assistance and Pollution Prevention (OCAPP) is a non-regulatory program that provides information and resources to help small businesses comply with environmental regulations. OCAPP also helps customers identify and implement pollution prevention measures that can save money, increase business performance and benefit the environment. Services of the office include a toll-free hotline, on-site compliance and P2 assessments, workshops/training, plain-English publications library and assistance in completing permit application forms.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Program Files –Site Visit Letters & Correspondence, Assistance Response, Recognition Program Correspondence, Training & Education Correspondence, Regulatory Response Correspondence, Administration & Management Correspondence and Information	Paper and electronic.	Approximately 3,000 occurrences per year, consisting of 45,000 pages total.	Total back file is approximately 150,000 pages all stored onsite.
Notes:			

DES

Division: Division of Environmental Services			
Description: The Division of Environmental Services (DES) provides laboratory services to other Ohio EPA divisions, state and local agencies and private entities. The division chemists and biologists analyze environmental samples, inspect and certify laboratories, and provide technical assistance.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Administrative – General divisional files including contracts, intra-agency agreements, correspondence, controlling board requests, budget files, and lab performance reviews.	Most file items are stored in hardcopy form, though some documents are sourced from Excel and OAKS.	Approximately 900 occurrences per year, consisting of 11,000 pages total.	Total back file is approximately 130,000 pages, all located onsite in Reynoldsburg.
Laboratory Certification and Operations – Documents relating to the certification and inspection of 3rd part laboratories and their ongoing operation. Includes applications, inspection notes, reports, QA plans, and various test results.	Combination of paper files and documents stored in the eLIMS, Word, and Excel.	Approximately 1,900,000 pages per year, the majority of which is analytical instrument data sheets stored in the eLIMS system.	Total back file is approximately 140,000 pages, all located in onsite storage. This does not include records in the eLIMS system.
Quality Assurance / Control – Standard operating procedures, quality management plans, reports, results, and correspondence.	Combination of paper files, eLIMS, and documents on shared network drives (PDF, Word).	Unknown number of occurrences per year, totaling 20,000 pages.	Total back file is approximately 90,000 pages.
Notes:			

PIC

Division: The Public Interest Center			
Description: The Public Interest Center (PIC) responds to citizen and media inquiries regarding environmental issues and Agency actions. PIC prepares news releases; facilitates public hearings; and implements public involvement activities for citizen organizations, community leaders and other parties interested in environmental issues. The division also oversees publications and manage the Agency's Web site.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Operational files – Includes op-ed pieces, citizen advisories, internet and intranet content, branding and standards information, photographs, and logos.	Combination of paper files and documents on shared network drives.	Approximately 5,100 occurrences per year, consisting of 5,500 pages total.	Not available
Administrative Files – Includes the weekly report, employee performance evaluations, training presentations, correspondence tracking reports, overtime requests, receiving documents, phone logs.	Combination of paper files and documents on shared network drives and individual disk drives.	Unknown number of occurrences per year, totaling 4,000 pages.	Not available.
Notes:			

Director's Office

Division: Director's Office			
Description: The Director's Office is charged with upholding the Agency's mission to protect human health and the environment. The office directs all activities of the Agency including policy development and rule making, enforcement, strategic planning, coordinating state and federal initiatives, and providing outreach, education and assistance to the regulated community and citizens.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Correspondence Files – Separate files for legislative, executive, ERAC, and constituent correspondence, including certified mail logs.	Paper, with some logs kept in Excel.	Approximately 2,000 pages per year.	Total back file is approximately 35,000 pages, split between onsite and offsite.
Legislation File – Bill copies, legislative inquiries, and correspondence related to the current legislative session	Paper, with some electronic copies and logs.	133 files per legislative session (2-year period), plus one file for each piece of proposed environmental legislation.	Unknown, though approximately 5-10 boxes created at end of each legislative session.
Notes:			

EEO

Division: Office of Equal Employment Opportunity			
Description: The Office of Equal Employment Opportunity (EEO) pursues fair and equal treatment for all individuals employed by or seeking employment with Ohio EPA and also monitors the Agency's compliance with all laws, rules and regulations governing nondiscrimination.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Complaint and Suit Files – Documentation of complaints brought in the areas of EEOC, OCRC, and DAS (EOD). Include initial complaint letters, Official notification letters, Fair Employment Practice Verification forms, Workforce Reports, letters of determination, investigation notes, supporting documentation, and summary reports	Paper.	Approximately 50 files in the past 10 years	No back file information available.
ADA Files – ADA forms and informal inquiries	Paper.	Approximately 30 files, unknown size.	No back file information available.
Notes:			

Fiscal

Division: Office of Fiscal Administration			
Description: The Office of Fiscal Administration provides fiscal services to the Agency including purchasing, accounts payable, accounts receivable, payroll, grants administration, budgeting, economic analysis and internal accounting control review. The office also conducts and maintains Sewer and Water Rate Surveys that show residential rates for these services throughout the state.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
General Files – Documents include: invoices / vouchers / pay card logs, requisitions / purchase orders, pay ins, lockbox check copies, remittance advices, leave forms, ISTVs (Intrastate Transfer Vouchers), sign in/out sheets	Predominantly paper records, though some items are duplicates of records held in OAKS.	Approximately 90,000 occurrences per year, consisting of 200,000 pages total.	Total back file is approximately 2,800,000 pages, including approximately 80% of which is stored offsite.
Notes:			

ITS

Division: Office of Information Technology Services			
Description: The Office of Information Technology Services promotes Ohio EPA success by providing excellent information technology leadership, solutions and support.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Grant / Rule / User Group Files – Applications, federal and other required forms, work plans progress reports, funding information, and correspondence for NEIEN grants. Checklists, fact sheets, contact lists, training, and certification and notes for CROMERR and FROG.	Combination of paper files and documents on shared network drives.	Unknown, estimated to be fewer than 500 pages of paper per year.	Unknown, estimated to be fewer than 2,000 pages.
Media Conversion Files – Data entry, PIN mgt, staff location info, subscriber agreements, fee information.	Combination of paper files and documents on shared network drives, DRUMS, EA3, Access, and the e-Business Center.	Unknown number of occurrences per year, totaling 57,000 pages.	Total back file is approximately 31,000 pages, all located in onsite storage.
Fiscal / Acquisition Files – Quotes, purchase orders, contracts, ISTVs, vouchers, purchasing card payment logs, correspondence, and travel files	Combination of paper files and documents on OAKS and shared network drives	Unknown number of occurrences per year, totaling 12,000 pages.	Total back file is approximately 315,000 pages, with 205,000 pages in offsite storage.
Notes:			

O&F

Division: The Office of Operations and Facilities			
Description: The Office of Operations and Facilities handles core support needs for the Ohio EPA, including: the motor pool, supply room, mailroom, signage / painting / small construction, facility leases, utility contracts / billing, telecommunications, and asset management.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Asset Transfer Forms – EPA Form 1206	Hardcopy form that is entered into OAKS.	Approximately 300 occurrences per year, consisting of 1,000 pages total.	Total back file is approximately 12,000 pages, evenly split between onsite and offsite storage.
Notes:			

OES

Division: The Office of Employee Services			
Description: The Office of Employee Services (OES) provides assistance to Ohio EPA administrators and staff on matters regarding Civil Service laws and rules, discipline, employment, benefits, recruitment, position descriptions and personnel policies. The office maintains current employment information, posts available positions with the state job bank and collects and screens employment applications submitted to the Agency.			
Key Documents / Files	**Source Systems**	**Volume / Frequency**	**Back File Inventory**
Personnel File – Employee data files include applications, interview information, policy acknowledgements, tax forms, medical enrollment forms, contact information, performance evaluations, disciplinary letters, and resignation forms.	Paper files, though most documents are originally sourced from Word, Excel, or PDF.	Approximately 4,000 documents per year, consisting of 25,000 pages total.	Total back file is approximately 45,000 pages, stored onsite.
FMLA / Disability File – Documents related to FMLA filings, including: Designation Notice, Notice of Eligibility and Rights, Certification of Healthcare Provider, Disability Supplemental Information, and Disability Application.	Combination of paper files and documents on shared network drives.	Approximately 190 occurrences per year, totaling 500 pages.	Total back file is approximately 1,000 pages, all located in onsite storage.
Notes:			

Supplement Two – Functional and Technical Requirements

This section describes the technical and functional requirements for the ECM Project.

Offeror must complete the "Capability Assessment" column for each requirement. Add comments to further qualify the response. Simply checking a specific box for an answer is not considered sufficient enough to distinguish one offeror from another. Please be robust in your response to how your solution meets each requirement.

Key Terminology

Administrator

A user who has additional permissions or privileges from an end user. May be a business administrator or a technical system administrator.

Annotation

A comment or instruction added during the document review process.

Assign

To appoint a person to a particular task or responsibility.

Attributes

See Properties.

Audit Trail

Log of who changed what, why, and when for accountability. Governmental regulations may dictate that the audit trail shall contain the old value, new value, who, and when the value was changed.

COLD

The ability to extract data from formatted reports for indexing purposes; includes the separation of reports by subsection for search or retrieval, and the application of formatting templates to reduce storage requirements in the ECM. Supports input of ASCII, PCL, APF, PDF, and DJDE file formats.

CSV

A comma separated value file. This format can be opened in Microsoft Excel.

Delegate

To appoint a person to a particular task or responsibility in place of oneself. Also known as a proxy.

Document

An object that contains content (e.g., an MS Word document).

Document Type

A term for classifying similar documents into groups for the purpose of utilizing standard lifecycles, workflow processes, user access, etc.

Electronic Signature

A computer data compilation of any symbol or series of symbols executed, adopted, or authorized by an individual to be the legally binding equivalent of the individual's handwritten signature.

Ingestion

The process of bringing new documents and their respective metadata into the system, whether by scanning of paper, electronic document transfer, or by database integration.

Lifecycle

The stages a document progresses through from creation to destruction.

Major Version

A number that will help keep track of versions of a document. A major version of the document has a version number that is a whole number, i.e., 1.0, 2.0 etc.

Metadata

See Properties.

Minor Version

A number that will help keep track of versions of a document. A minor version of the document has a version number that is not a whole number, i.e., 1.1, 2.21, etc.

Mobile Applications

Mobile application development is the process by which application software is developed for small low-power handheld devices such as personal digital assistants, enterprise digital assistants or mobile phones. These applications are either pre-installed on phones during manufacture, or downloaded by customers from various mobile software distribution platforms.

Notification

An electronic notice to a subscriber when a defined event occurs. Notifications can be sent by e-mail or delivered to a subscriber's repository inbox.

Object

Container that allows document content to be stored separately from its metadata.

Privilege

The permission and ability to perform an operation or set of operations. Basic privileges define the operations that a user can perform on objects in the repository. Extended privileges define the security-related operations the user can perform.

Permission

System defined capabilities for access or operation. Object-level permissions are access permissions assigned to every object in the repository.

Properties

Data about the data. Attributes or metadata are synonymous terms. Information that describes the document or content.

Purging

The process of deleting unwanted or obsolete information.

Rendition

A document providing the same content as another document but displayed in an alternate file format. A rendition process transforms one document to different file format, for example from MS Word to PDF.

Repository

The part of a document management system; comprising specific functionality to control the check-in/check-out of material, version control, and look-up against defined properties.

Template

A document or file that has a preset format. It may include instructions or boilerplate text for inclusion.

User

A user is a person that has permission to perform a selected action.

Functional & Technical Requirements

Supplement Two – Functional and Technical Requirements is being provided as a Microsoft Word document through the State's Procurement Website as a convenience for responding to the RFP. **The Supplement format and content must not be modified.** If the requirements are modified, reformatted or omitted, the offeror's response may be disqualified.

For each requirement documented in the RFP the offeror must provide a narrative description of its solution. The offeror must also provide a summary of any COTS products that will be used to meet the requirements. For each requirement identified, the offeror must indicate how the requirement (functional or technical) is delivered by checking one of the following boxes in Supplement Two:

Out of the Box: Requirement will be fully met with out-of-the-box functionality that can be presented for business use with minimal effort beyond tuning a feature "on" or "off" (e.g., built in processes, rules or reports).

Configuration Required: Requirement will be met with functionality that can be presented for business use after modifications utilizing the software configuration tools. This would include managing or creating new business rules or process flows via tools provided as part of the proposed COTS software.

Customization Required: Requirement will be met with functionality that can be presented for business use only after a new module or plug-in is developed. Modules or plug-ins would be created in a programming or scripting language and leverage low level application infrastructure such as API's, messaging, integration technologies, or services to exchange data or execute logic within the COTS solution. This would also include any updates the software vendor would make to the core code as part of a future release or service pack.

Not Available: Requirement will not be met as part of the offeror's proposed solution.

Offeror Comments / Narrative: The offeror should use this column for narrative and/or additional comments as applicable.

Priority: On a relative scale, this represents how critical the requirement is deemed to be in meeting key objectives of the ECM Project by the Ohio EPA stakeholders.

- **"1" = Low**
- **"2" = Medium**
- **"3" = High**
- **"4" = Most Critical**

All the specifications given in this RFP for equipment and other system elements are minimum system requirements. The offeror may recommend features or other elements in excess of the minimum but must clearly identify them as such, provide the rationale behind the recommendations, and explain how they will benefit the State. The recommendations may not result in additional evaluation credit being given.

Section 1: User Experience

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	Users can easily navigate and perform their primary job tasks with little-to-no training with intuitive ribbon-style toolbars, tabs, and easy access features that are based on the familiar look and feel of Microsoft Office products.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	Client provides the capabilities for users themselves to personalize the user experience (i.e. personalized home page that opens to personal workflow lifecycles, stored favorite retrievals, etc).	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	Client displays all of the associated information about a document right alongside the image itself – displaying index values, notes, related documents, revisions, discussion threads, and document history.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	Client provides the ability to auto-import camera images and media files directly from a connected device.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	Solution offers the full feature set of a client based solution through a web deployable interface (i.e. rich internet application).	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	Web client provides a dashboard component to create and manage personalized interfaces that present end-users with access to priority content and tasks (i.e. workflow status report, commonly used document searches).	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	Solution offers full support for Internet Explorer and Mozilla Firefox browsers on windows platforms as well as full support the Mozilla Firefox and Safari browser on the Macintosh platform.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	Solution provides capabilities to not only retrieve and archive to the ECM system from the native office toolbar, but also can search and retrieve ECM stored content from directly inside the native office application.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	Ability to automatically link related documents, of similar or different file types, to each other. For example, a third party generated text file to a TIFF image. If so, ability to identify hot spots or zones that trigger multiple related documents from the primary document.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	Offline / mobile user can pre-load content to their device that can be viewed and edited, and then synchronized back to enterprise system once connection reestablished (i.e. complete forms, make edits, etc.).	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
11	Solution provides natively built interfaces to standard mobile devices - BlackBerry, iPad, iPhone, Windows Phone, and Droid. Note: This is a future requirement based on expected future needs.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 2: Document Properties

Ohio EPA must be able to assign document properties or metadata to each object in the ECM. Properties will store information about a document, which are distinct from document content. In addition to storing additional information about the content of the document, the properties associated with the document will provide further information to the system for document classification (i.e. storage location within ECM).

Document Properties are also commonly referred to as Document Attributes or Document Metadata.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must be able to support classification taxonomy defined by document type and document subtype.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must allow the assignment of document properties to serve the following functions: • Determine classification taxonomy • Facilitate document searching • Capture and track required system-related or regulatory information	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must allow document properties to be changed during the following operations: • Create New Document • Import Document • Copy Document • Scan Document • Edit Document • Document Workflow	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
4	The system must allow the rules that govern the management of properties to be defined for each document type, sub- type combination. For example, this allows for control of both changes to retention polices and changes to document level access by group or Individual.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must clearly identify mandatory properties making them distinguishable from optional properties. For example, some metadata is required for some documents, while not for other documents.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
6	The system must allow properties to become mandatory once a particular lifecycle state has been achieved. For example, some metadata not required – like an approval – until a document reaches a particular state.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must allow certain properties to be modified after a document has become an official record (post-approval). For example, a compliance officer is the only person who can change/alter retention period of a doc with retention applied. For example a document stored in “Orders” incorrectly and it needs to be a “Judgment”.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must notify the user when a mandatory property has not been populated.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
9	The system must clearly distinguish user assigned properties from system assigned properties.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	The system must allow user assigned properties to be populated using the following controls: • Text Box (single and multi-line) • Grid (spreadsheet) • List of Values (single and multi-value) • Check Box • Radio Button • Date / Calendar These are the ways the system will collect metadata pertaining to the document. These data collection options are used when setting up the solution.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
11	The system must notify the user when a property does not pass an edit check.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
12	The system must allow values for properties to be selected from lists maintained both inside and outside of the system - the ECM application must be able to validate or select property values from its own data dictionary or from data tables of other external applications.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
13	The system must support both single and multiple value properties. For example, doc type and sub doc types.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
14	The system must support a variable amount of multiple value instances for a given document.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
15	The system must allow the definition of Properties to be display only or hidden.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
16	The system must allow Properties to be displayed only after a particular life cycle state has been achieved.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
17	The system must ensure that all system assigned Properties are display only or hidden (e.g. cannot be modified by users).	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
18	The system will ensure that display only Properties will be clearly distinguishable as such by users.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
19	The system must be able to accommodate spell checking of all text attributes fields.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
20	The system must be able to combine multiple fields to create one logical field. For example: Name = district ID+ CountyID+ Facility_ID	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
21	The system must provide different meta data types. (i.e. date, date and time, currency, specific currency, alphanumeric, numeric, floating point).	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
22	The system must provide the ability to define multiple instances of the same property value field to a single document. For example, a document that belongs to two facilities.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
23	The ECM system must support at a minimum the following file formats: .bak - System Backup Files .dat - data files .dxf – Autocad Files .doc, .docx, .dot - Microsoft Word .gif, .tiff, .jpg, bmp - Graphics .gpw - AutoCAD .html - Hypertext Markup Language .klm – Google Earth (path definition) .mdb - Microsoft Access Database Files .mpp - Microsoft Project .pdf - Adobe Acrobat .ppt, .pptx - MS PowerPoint .rtf - Rich Text Format .txt - ASCII Text .wb3 – Quattro Pro .wpd, .wp5 - WordPerfect .xls, .xlsx, .wks – Microsoft Excel .xml - Extensible Markup Language In addition to the above named extensions, the solution must support a variety of raster, vector, and grid formats used by the ESRI GIS system.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 3: Document Storage & Hierarchy Requirements

The ECM will be used to store documents that can be accessed by users from various functional areas. In order to be able to easily locate and classify documents, it is necessary to create a standard storage hierarchy.

Ohio EPA will define the requirements of the storage hierarchy here. The actual storage hierarchy will be finalized during the design phase.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must allow rules to govern the storage hierarchies to be defined for each document type and sub- type combination.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must allow the end user to specify the properties required to properly identify and store the document.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must automatically create the storage hierarchies and link the document into proper storage structure.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must allow a document to be linked into multiple storage hierarchies.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	If the storage hierarchies do not exist, the system must automatically create them prior to linking in the documents.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must allow property values, literal text, or a combination of both as the label for a folder.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must automatically link documents into the proper hierarchies based on specific property values.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must provide a facility for end users to easily navigate to frequently accessed documents.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	If the document classification changes (due to property changes) the system must automatically update the storage hierarchy to match the classification changes.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 4: Compound Document Requirements

This section identifies the requirements for compound documents within the repository.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must allow the creation of compound documents, which are a collection of independent documents assembled together to create another logical document (e.g. chapters in a book).	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must allow specific versions of a document to be bound to the compound document.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must allow the current version of a document to be bound to the compound document.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must allow actions to be performed on a compound document such as check-out, check-in, status changes, email and printing to be cascaded to all component documents.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must allow the components of a compound document to be routed (via electronic workflow) and processed together as a logical unit.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must allow compound documents to become components of other compound documents.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must allow QR codes to be created on compound documents.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 5: Document Importing & Creation Requirements

This section identifies requirements associated with importing documents into the system and the creation of new document templates.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must support the creation and storage of a variety of document formats. See Section 2.23 for a list of required document formats.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must support the addition of new formats.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must integrate with MS-Outlook. Capability to index emails before creating, sending, and after receiving.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must have the ability to IMPORT reports from other systems and extract metedata while importing, for example, COLD. See Supplement Five for a list of required legacy systems from which to import.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system can allow users to copy an existing document to create a new document.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	When an existing document is copied all assigned properties are copied (at the user's discretion) and the document is set to "Draft" status. The user must be prompted whether or not they would like to copy the properties.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	When copying certain types of documents (such as a policy or procedure), only the effective and current file can be copied to ensure the most current template is used. For example, these would apply to Word templates, which EPA has many of them for Non-Compliance Documents and letters they generate.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	When copying a document with an obsolete template, system must recognize the template as not being current and send an alert to the user, and/or prevent the user from using the obsolete template.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	The system must automatically create PDF renditions upon check-in for specified file formats.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	The system must allow the importing of single documents.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
11	The system must allow bulk importing / ingesting of documents.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
12	The system must allow the population of properties / metadata during the bulk import operation.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
13	The system must handle duplicate documents. Documents may be recognized as duplicates based on similar meta-data. Once a duplicate has been identified the system must present various options to the operator for handling a duplicate document.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 6: Document Editing Requirements

This section identifies the requirements for editing source documents.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must allow only authorized users to edit document content.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must prevent multiple users from editing document content concurrently.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must allow authorized users to edit document properties.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must have the capability to be configured to prevent users from check-in without incrementing the version number.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must have the capability to be configured to allow authorized users to check-in a new version from an existing file residing outside the repository.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must allow authorized users to cancel the check-out of a document.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must allow administrators to cancel check-out of a document on behalf of another user.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must automatically notify administrators if a document has been checked out longer than a specified time frame.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 7: Document Versioning Requirements

This section describes document versioning.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must provide a configurable versioning scheme for each document type and sub-type combination.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must prevent all users from overwriting previous versions upon check-in (cannot check in as the same version).	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must increment the version number to the next major version when a document's status is changed to "Approved."	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 8: Document Output Requirements

This section describes the user requirements regarding the output of documents from the repository.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must support the following types of Document Output: • Viewing • Printing • Exporting Exporting must export both content and properties; property information must be stored in a CSV file.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	Only authorized users are allowed to output document content or renditions.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	Output operations must be performed on the document's primary content or renditions.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	Output operations must be performed on the entire content of a compound document.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	Create documents as encrypted PDF.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 9: Document Annotations

This section identifies the user requirements for annotating documents.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must enable authorized users to annotate the documents during the review process.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must allow users to mark annotations as viewable to broad groups of users, or to be kept "private."	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system should relate annotations to the corresponding document in the repository.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must not save PDF annotations directly in the PDF file.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must identify the author of annotations stored within the repository.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must allow authorized users to see the annotations created by other users.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must allow multiple reviewers to annotate a document concurrently.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must provide a facility to view a summary of all annotations.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	The system must provide a facility to print a summary of all annotations.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 10: Document Lifecycle Requirements

This section describes the lifecycle or status requirements.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The number of and names for lifecycle states must be configurable.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must enforce the creation of new documents in a "draft" lifecycle state.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must enforce the import of documents into the repository in a “draft” lifecycle state.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must enable authorized users to assign and alter the lifecycle state of the document.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must support a truncated lifecycle for some documents.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The lifecycle states and transition between states must be configurable for each document type and sub-type combination.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must automatically promote certain documents and assign appropriate security based on defined business rules.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must allow documents to skip lifecycle states (non-linear transitions). For example, Legal Holds, or other hold codes that would override standard status code updates/changes.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	The system must allow batch state transitions.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 11: Document Workflow Requirements

This section describes the user requirements for using workflow.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must make the use of workflows optional.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	A Document or Task must be able to start the lifecycle of a workflow. A task can be started in SWIMS and not necessarily ECM.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must support both parallel and serial workflow. For example, document reviews by multiple people concurrently.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must support the routing of multiple documents within a workflow.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must support the routing of compound documents within a workflow.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must support routing documents in either its native format or its PDF rendition.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must notify users via e-mail when a workflow task has been received in their inbox.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must support the delegation of workflow tasks to an individual or group.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	The system must support the assignment of workflow tasks based on user roles.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	The system must support adding or removing workflow participants on demand.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
11	Authorized users must be able to redirect a workflow task if it sits in a participant's inbox for a specified amount of time.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
12	Authorized users must be able to terminate a workflow that is in progress and recall workflow tasks.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
13	The system must allow the assignment of a “Proxy” or “Delegate” to perform work flow tasks in the event that the user typically assigned to the task is not available. This can either be an individual or a group.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
14	The system must be configurable to automatically enforce the use of workflow templates based on the document type and sub-type. For example, when a permit application is filled in on line, based on the document type the appropriate workflow will be triggered.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
15	The system must notify the workflow initiator if tasks are not completed within a certain amount of time.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
16	The system must provide an “Out-of-Office” notification to the workflow initiator so they can proactively re-assign tasks if individuals are not available.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
17	If more than one document is routed within an approval workflow, the user must have the choice to “Approve” or “Reject” individual documents or “Approve All” or “Reject All.”	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
18	The system must not allow users to conditionally approve documents. For example, if a user adds annotations or comments to a document during a signatory review, the approval function must not be enabled.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 12: Document Security Requirements

This section describes the security requirements for objects within the repository.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must minimally provide the following permission levels: • No Access • Read Only • Annotate • Write • Version • Delete • Print • Email • Report • Properties • Re-index	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must support the ability to define and assign permission sets for each document type and sub-type.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must automatically apply the proper permission set to a document upon creation or import.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
4	The system must automatically apply the proper permission set to a document upon lifecycle state change.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	If the user groups do not exist in the repository, the system must automatically create them before assigning them to the permission set.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 13: Search and Retrieval

This section describes the search and retrieval requirements

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must provide a configurable utility that allows an end-user to search and find documents using document properties / metadata.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must enable full text searching of PDF (text) and source files.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must allow external applications to retrieve documents. For example, if one is in SWIMS and wishes to retrieve a document from ECM. See Supplement Four for list of applications with which the system needs to integrate.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must provide advanced full text search capabilities that include fuzzy, inflectional, thesaurus, proximity, and wild card.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must allow the user to view, edit, or perform any function they have authorization to perform on a document directly from the search results display.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must allow search criteria to be saved for later execution.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must allow the search results to be printed or saved to a file (CSV).	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must be configurable with respect to which properties are displayed in the search results.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	The system must allow saved searches to be available to all or a group of users, or only to an individual. Public searches must be able to be executed by any user of the system; private searches must be able to be executed by the user that created it.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	The system must enable users (not administrators) to create their own personalized saved searches.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
11	The system's search interface must accommodate multiple search methods from a single panel. This includes advanced search operators, full text searching, text searching, searches against notes, index value searches, searches against defined document types, all file formats, date ranges, etc.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
12	Core search and retrieval must allow users to search for multiple document types (text/ COLD, image, PDF, Word, etc.) in one search.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
13	The system must provide capabilities to not only retrieve and archive to the ECM system from the native office toolbar, but also, the system must be able to search and retrieve ECM stored content from directly inside the native office application.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
14	The system must provide access for persons with disability. For example the proposed system should follow Microsoft standards for disabilities.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
15	When selecting search criteria, the ability must exist to limit values in lists and dropdowns to occurring values based on previous selections (cascading pick lists).	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
16	When entering index data, software provides the ability to administratively restrict pick list values based on other index value selections (cascading pick lists).	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 14: Document Retention & Purging Requirements

This section describes document retention and purging user requirements.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must be configurable to automatically purge "Draft" versions (and associated PDF Renditions and annotations) of a document after a specified number of days have elapsed following a document's promotion to "Approved."	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The ability to automatically purge Draft versions must be configurable for every Document Class, Subclass, and Type combination.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The number of days following the document's promotion to "Approved" should be configurable for every Document Class, Sub-Class, and Type combination.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must be able to send a notification to defined users prior to purging documents.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	Document purging must create an entry in the audit trail.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	Document purging must not purge related entries from the audit trail.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must provide the ability to assign retention schedules to documents or groups of documents based on a variety of dates.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must provide alerts and messaging when documents reach end of cycle on their given retention schedule.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 15: Electronic Signature Requirements

This section describes the user requirements for electronic signatures.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The must should support appending a signature page to the PDF rendition.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must be configurable to display specific document properties on the signature page.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must be able to certify the document. When the document is provided for court, the judge must know that this document is the true and accurate copy of the original document received.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must be capable of displaying the electronic signature information when the document is viewed in the repository.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must be capable of displaying the electronic signature information as part of the printed copy.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must support inclusion of the electronic signature information in published output.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must provide the ability to insert the signature page at a specified point within the PDF rendition for certain documents.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 16: Audit Trail Requirements

This section describes the user requirements for the audit trail.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must contain an audit trail.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must allow for archiving of the audit trail.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The audit trail must be configured to capture those events deemed necessary.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must allow users to generate reports on any items contained within the audit trail (within user specified criteria).	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The audit trail must be configurable based for each document type and sub-type combination.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The audit trail must be presented in a readable format to the user.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must allow an authorized user to view and print the audit trail for any selected document.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 17: Reporting Requirements

This section describes the user requirements for custom reports.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must enable the generation of custom reports.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must enable authorized users to create ad-hoc reports.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must provide the ability to save report output to a file (at a minimum CSV, RTF, PDF).	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must provide the ability to print reports to network printers.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must provide the ability to define run-time criteria/parameters and run reports in batch mode.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 18: Periodic Review Requirements

This section describes the user requirements for periodic review.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must automatically route documents for Periodic Review based on criteria defined for each Document Class, Subclass, and Type combination.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must be able to generate reports on periodic review status. The reports must identify what documents are coming ready for review and who is responsible for performing the review.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must track acknowledgements of periodic review.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must send notifications for documents which require periodic review at defined intervals.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	Notifications for periodic review must be by user group and user role.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must be able to track status of periodic review.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must automatically generate a change request for documents that are identified as requiring a change.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must notify users and administrators when review has not occurred within a specified time frame.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	Periodic review schedule must be reset each time the document is promoted to the “Effective” status.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 19: System Administration and Performance

This section describes the user requirements for system administration and performance.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must be available to users 24 x 7 excluding backup and maintenance time.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must follow Ohio EPA's requirements for disaster recovery and business continuity.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must enable authorized users to manage repository data dictionaries.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must enable authorized users to manage users, groups, and permissions.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must enable authorized users to manage supported file formats and system configurations.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must provide on-line help.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must allow for the segregation (and delegation) of system administration functions to authorized users.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	The system must be able to support a 1,400 user community.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	The system must display the screen to perform a function within 3 seconds after the function is selected by a user.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	The system must be accessible via VPN.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
11	The system must support the use of Citrix.	1	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
12	The system must utilize the Oracle Database. Note: Oracle Rack (clustering) is currently being used.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
13	The system must support LDAP and Active Directory authentication. Note: Currently NDIS is used. The desire is that the ECM will use the windows logon credentials to log into the ECM using the browser?	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
14	The system must be able to reside on VMware.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
15	The system must have API capabilities for external applications to retrieve and insert documents. Note: Web services with Java support.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
16	The system must be available in a concurrent user licensing arrangement.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
17	If acquired on a named user license arrangement, licenses must be transferable within the organization.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
18	System must provide a documented means for the system administrator to audit historical usage, for the purpose of matching future license or metered throughput purchases to actual usage.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 20: Document Scanning

This section describes the user requirements for scanning documents and capturing data.

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	The system must be able to support multiple scanner types. Note: Different locations will need scanners based on their volumes of scan.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	The system must be able to scan at 200 DPI, 240DPI, 300DPI in both color and Black and White.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
3	The system must be able to read barcodes/QR Codes for separation and indexing. Note: Types of barcodes it can read.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	The system must support Patch Sheets for document separation at scan time.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
5	The system must have automatic color detection based on content and output images in color, black & white and gray scale.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
6	The system must have automatic orientation – based on content, automatically orient the scanned images correctly for reading.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	The system must have trainable electronic color dropout.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	Store in native file format.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	Document classification based on Template, Zone OCR, Logos and keywords.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	Perform Automated indexing based on keywords and retrieve data from back-end Oracle or SQL Database.	4	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Section 21: Integration

This section describes the requirements for integrating with existing applications

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
1	From a data centric business application, based on account/record information presented on the screen, system allows users to retrieve ECM stored documents without custom programming, API programming, scripting, or modifications to the existing application.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
2	Provide the ability to execute separate and distinct document retrievals from sections/files on the screen.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
	Beyond retrieval, the proposed system allows for other ECM functions to be performed, non-programmatically (i.e. point-and-click configurable), within the business application. This includes the ability to execute ALL of the following ECM functions (items 3 through 11 below) from a single screen:			
3	• Index ECM stored documents using data on the business application screen.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
4	• Present user with a workflow step in context with the business application screen.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
5	• Launch a complete set of related documents presented in a tabbed folder view.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
6	• Launch scanning interface to perform ad hoc capture related to the account/record.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
7	• Create a scanning cover sheet with bar codes using data from the business application screen.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
8	• Retrieve documents based on a custom query from the business application screen.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
9	• Index captured documents using data from more than one screen within more than one business application.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
10	• Launch and complete an electronic form to track an event of start a workflow process.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Req. No.	Requirement	Priority	Capability Assessment	Offeror Comments
11	• Create a form letter, based on a Microsoft Word template, using data on the business application screen.	2	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
12	Provide integrations with Microsoft Outlook allowing users to access ECM functionality and import emails and attached documents into the repository directly from their email interface.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	
13	Provide http url requests to retrieve documents, present workflow interfaces, and present a folder interface in lieu of custom programming.	3	☐ Out of the Box ☐ Configuration Required ☐ Customization Required ☐ Not Available	

Supplement Three – Initial Scope of Index Values

The following elements have been identified as candidate indexes based on agency input to the document inventory data collection effort and subsequent analysis:

Category	Value	Description	Selected Index Value for Example Document
Agency Info	Office Location	Which office location created this document?	CO, CDO, NEDO, NWDO, SEDO, SWDO, LAA's, etc.
	Department*	To which program or support office does this document pertain? (eg DMWM, DDAPC, LEGAL, etc)	DAPC, DDAGW, DMWM, EEO, Fiscal, OCAPP, etc
	Sub-department*	To which office subdivision does this document pertain? (department specific)	Open Dumping, Waste Water, Composting, Infectious Waste, SW Landfill, NPDES, TMDL, etc
	Media*	Air, Land, Water	Land, Water, Air
ID Numbers	ID Info*	Location to store any IDs related to the document.	Core ID, Permit No., RCRA ID, Grant ID, PTI No. Project ID, etc
Addressee Information	Organization Name	Addressee Organization Name	No choices - operator entry or pull from Core ID or other ID info if possible.
	Address on Document	Complete street address, including suite number	No choices - operator entry or pull from Core ID or other ID info if possible.
	City	Addressee City	No choices - operator entry or pull from Core ID or other ID info if possible.
	State	Addressee State	Pick list of other 50 states and Canadian Provinces
	Zip Code	Addressee Zip Code	No choices - operator entry or pull from Core ID or other ID info if possible.
Location Information	Name	Name of facility or location where activity took place	No choices - operator entry or pull from Core ID or other ID info if possible.
	Address or location	Complete street address, including suite number, or narrative descripton (1/3 mile from xyz intersection)	No choices - operator entry or pull from Core ID or other ID info if possible.
	Township	Facility City / Township	No choices - operator entry or pull from Core ID or other ID info if possible.
	County	Facility County	No choices - operator entry or pull from Core ID or other ID info if possible.
	State	Facility State	
	ZIP Code	Facility Zip Code	
	GIS Coordinates	Coordinates of facility	No choices - operator entry or pull from Core ID or other ID info if possible.
Project Information	Project Name	Common name of project	No choices - operator entry or pull from Core ID or other ID info if possible.
	Project Type	Type of project	Enforcement
Date Information*	Received Date	Date item was received.	No choices - operator entry or pull from Core ID or other ID info if possible.
	Sent Date	Date item was sent.	No choices - operator entry or pull from Core ID or other ID info if possible.
	Due Date	Date item is due.	No choices - operator entry or pull from Core ID or other ID info if possible.
	Expiration / Termination Date	Date item expires or is terminated.	No choices - operator entry or pull from Core ID or other ID info if possible.
	Issuance Date	Date item was issued.	No choices - operator entry or pull from Core ID or other ID info if possible.
	Journalization Date	Date item was journalized.	No choices - operator entry or pull from Core ID or other ID info if possible.
	Effective Date	Date item is in force.	No choices - operator entry or pull from Core ID or other ID info if possible.
Document Info	Document Type	What kind of document is this?	Directors Findings and Orders - Consensual, Application, NOV, Permit, General Correspondence, etc

* - Indicates multiple values can be selected for this Item

Supplement Four – Ohio EPA Existing Production Environment Applications & Tools

Ohio EPA ITS currently is confident that they have enough virtualized server space, bandwidth, and storage to meet the needs of the ECM solution. Below are some specifications of current technology:

SAN – Greater than 24 TB remaining. Offerors should provide information as to how many IO operations per second (IOPS) they require for a given response time of 3 seconds maximum.

LAN / WAN -

- Point to Point T1 between sites Fiber to the all desktops
- VLAN Tagging in use...Allows ITS to flexibly route traffic and avoid contention from other types of network traffic (printers, etc)
- Printers isolated. (minimize sap)
- Minimze protocols (appletalk)
- Multicasting off (except for DMZ)
- VMware Server is current version
- Air Locals use VPN over internet

SW Infrastructure

- Microsoft Office applications
- Microsoft Outlook
- Minimal SharePoint, however the Ohio EPA is expanding the use of MSP throughout the organization.
- Web Logic for application server
- SOA applications
- Java Beans
- Viking Data entry in some applications.

Support

- Help Desk utilized for organization

Hardware Minimums on Desktop

- Workstations (qty) RAM (Total Memory in MB)
  - 1 3840
  - 140 3584
  - 259 3328
  - 97 3072
  - 48 2560
  - 2 2304
  - 343 2048
  - 3 1792
  - 30 1536
  - 8 1280
  - 154 1024
  - 96 960 or less

  Total workstations 1,181
- VDI in 3 years.
- Windows PC's

Databases – It is expected that an Oracle database will be leveraged with the solution. Ohio EPA ITS has licenses for Oracle 11g. Oracle rack clustering suite is used.

Barcode Printers – Barcode printers are expected to be used to assist with some of the large backfiling needs where cover sheets, separation sheets, document types and individual secondary ID barcodes can be created to assist with metadata assignments. Ohio EPA currently has ~40 available throughout all locations.

Scanners – It is anticipated that Ohio EPA will move forward with a decentralized scanning approach, utilizing higher speed scanners for first few years, then potentially moving to smaller, less powerful scanners as more paper becomes backfiled and moved to electronic format. For the purpose of the RFP, offerors must provide estimates for 15 scanners with the following specifications:

- Double-sided, 60/120 ppm
- USB 2.0
- Up to 300 dpi optical resolution
- Image enhancement technology
- TWAIN and ISIS interface
- Single and multi-page TIFF, JPEG, RTF, PDF, searchable PDF – file outputs.

Anticipated Current Applications Identified for Long-term Potential ECM Integration – These applications, some COTS and many custom developed, will be candidates for long-term integration to ECM, post-Phase 1. Any integration performed after Phase 1 implementation may be performed by the Contractor using the IDA process.

Division	Application	Start date	# users (internal)	# users (external)	Platform	Description
AGENCY	TAS Reports	2007	1,200		APEX	Reports from the Time and Attendance System
AGENCY	TAS	2007	1,200		JAVA	Time and Attendance System
AGENCY	REVENUE	1997	100		PowerBuilder	Agency revenue assessment system
AGENCY	WRAPN	2005	50		PowerBuilder	Automated public noticing system, which coordinates the submission of text to required newspapers for publication
AGENCY	eBusiness Center	2007	10	10,000	JAVA	Transaction management center, handles self reporting and fee collection
AGENCY	Permit wizard	2005		10,000	JAVA	Permit forms generation / data collection
DAPC	Air Services					
DAPC	Stars2	2008	300	3,500	JAVA	Process management for air pollution control regulation
DAPC	ELIMS	2006	29		.NET	Lab management system
DAPC	CEMS Tracker		2		Foxpro	
DAPC	WebACTS					
DDAGW	SDWIS	2006	100		JAVA	Safe Drinking Water Information System
DDAGW	SWAPtrack	2003	50		Foxpro	Ground water assessment tracking
DDAGW	SWEPT	2007	30		.NET	Safe Water Electronic Plan Tracking, tracks surface water plans
DDAGW	GWQCP	2011	30		JAVA	Ground Water Quality Characterization Program
DDAGW	SWIMR	2007	20		.NET	Safe Water Information Management Reporting
DDAGW	CCR Tracking	2004	20		Foxpro	
DDAGW	UIC DB & PDA	2006	10		Foxpro	
DDAGW	Opcert	2003	10		PowerBuilder	Operator certification management application
DDAGW	RCRA Tracking System	2010	7		.NET	
DDAGW	eDWR - eBusniness center	2009		1,000	JAVA	eDrinking Water Reports
DEFA	AIMS	2009	70		JAVA	Assistance Information Management System
DERR	RRS	2006	30		PowerBuilder	The Release Reporting System
DMWM	DRUMS	2000	65		PowerBuilder	
DMWM	eDRUMS	2010		700	JAVA	
DSW	NPDES Permit QAQC	2003	100		Access	
DSW	EA3	2006	100		JAVA	Ecological Assessment & Analysis Application - bug and fish sample management
DSW	CyberIntern	2005	100	100	SQLdatabse	Interface for lab sample DBs
DSW	SWIMS	1999	100		PowerBuilder	Surface water permitting system
DSW	GIS Interactive Maps(google maps)	2008	100	5,000	OTHER	
DSW	ECOS	1996	25		Foxpro	
DSW	Credible Data	2009	2	1,000	JAVA	
DSW	eDMR(ebusiness Center)	2007	2	3,100	JAVA	Online discharge monitoring / self-reporting system
DSW	SWANS	2006	1		Access	Storm Water Application NOI System
OEEF	OEEF Grant application service	2011		200	JAVA	Manages documents for OEE administered grants
AGENCY	OAKS				OTHER	Statewide Peoplesoft financial reporting system
AGENCY	ESRI				OTHER	GIS Database

Supplement Five – Current Organization Proposed User Breakdown

Breakdown of the Ohio EPA associates by office and location:

Support Divisions / Departments

Columbus - 50 Town St.	*Associates*	
Directors Office	23	
Ohio Lake Erie Commission	5	*see notes*
Office of Environmental Education	5	
Public Interest	17	
Information Tech Svcs	34	
OCAPP	11	
Legal	33	
Fiscal	18	
O&F	8	
DEFA	51	
OES/EEO	12	
Division of Environmental Services	39	
Total	256	

Program Divisions	*Associates*					
	Dist. Office	DSW	DAPC	DDAGW	DMWM	DERR
Columbus - 50 Town St.	-	120	113	71	76	71
CDO	17	16	23	13	9	12
NEDO	28	32	26	35	35	28
NWDO	20	24	28	31	26	16
SEDO	21	22	18	18	21	12
SWDO	24	24	4	20	23	24
District/Division TOTALS	**110**	**238**	**212**	**188**	**190**	**163**

HEADCOUNT GRAND TOTAL **1357**

Note: Lake Erie Commision is out of scope for this project

Phase 1 Scope: There are 162 Administrative Assistants throughout the Agency. It is estimated that this will be the primary target audience for Phase 1 training to capture and retrieve the non-compliance documents within scope of Phase 1. In addition, it is estimated that 30-40 additional Supervisors and other associates will be included in this scope. For System Administration and Support, it is estimated that 5-10 associates will be required to be trained.

SUPPLEMENTAL INFORMATION TRAILER

This page is the last page of supplemental information for this competitive document. If you received this trailer page, all supplemental information has been received.

Note: portions of the supplemental information provided may or may not contain page numbers. The total number of pages indicated on the cover page does not include the pages contained in this supplement.