



PURCHASING DEPARTMENT

COUNTY OF STEUBEN

3 EAST PULTENEY SQUARE
BATH, NEW YORK 14810-1510
(607) 664-2484

LEGAL NOTICE

Notice is hereby given that the Administration Committee of the Steuben County Legislature and the County Clerk of Steuben County will receive sealed competitive proposals per specifications for an Integrated County Clerk Record Management System; document #GC-16-034-P.

Requests for proposal forms, scope of services and general provisions are available at the Steuben County Purchasing Department, 3 E. Pulteney Square, Bath, N.Y. 14810. These documents are also available on the Steuben County website, www.steubencony.org.

Interested parties assume all responsibility to acquire information and forms.

To be considered, proposals must be submitted on Steuben County forms and delivered in a sealed opaque envelope. Proposals will be received at the Purchasing Department until 1:30 P.M. local time on December 28, 2016; at which time proposals will be opened and acknowledged as received.

Steuben County retains the right to reject any or all proposals and to withdraw this solicitation at any time.

Dated: November 21, 2016

Andrew G. Morse
Director of Purchasing

Request for Competitive Sealed Proposals:
Integrated County Clerk Record Management System; document #GC-16-034-P

1. **General Provisions:**
It is the intent of this request for proposals to obtain an integrated County Clerk record management system.
2. **Project Manager:**
Judith Hunter, Steuben County Clerk, 3 East Pulteney Square, Bath, N.Y. 14810.
Telephone number: 607-664-2563.
3. **Qualifications:**
Steuben County will be free to make any inquiry(ies) deemed necessary to ascertain the qualification(s) of the contractor and/or the accuracy of statements made by the contractor as to its qualification(s).
4. **Contact Information and Requirements:**
Along with its response, the submitter of the RFP shall include the following information: name, address, telephone number and FAX number.
5. **Proposal Cost; Budget Narrative and Justification:**
The price shall be an *in toto* price per the proposed scope of services/deliverables.

By *in toto* it is meant, the aggregate of all costs billable to Steuben County including but not limited to staffing, site/facilities, travel, freight, labor, materials and equipment.

6. **Selection of a Contractor:**
Selection shall only be made from proposals submitted by qualified, responsive and responsible entities who sufficiently meet the terms, conditions and specifications stated herein.

However, under all circumstances and all statements to the contrary notwithstanding, that Steuben County reserves as its right, the right to determine the contractor in accordance with the best interest of Steuben County.

Determination is not made at the opening. All submitted proposals are subject to final review and acceptance by the appropriate personnel or committee(s) of the Steuben County Legislature before a determination is made.

Receipt of proposals by the County shall not be construed as authority to bind the County.

7. **References:**
Any response to this request for proposal shall contain as a minimum at least three (3) reference with contact names and phone numbers where the contractor has completed projects similar in nature in New York State.
8. **Submission of Proposals:**
Those submitting proposals do so entirely at their expense. There is no express or implied obligation by Steuben County to reimburse any firm or individual for any costs incurred in preparing or submitting proposals, preparing or submitting additional information requested by the County, or for participating in any selection interviews.
9. **Contract Award:**
Award of contract will be made following a review of the proposal by the Steuben County Clerk and any additional County staff as deemed appropriate, and approval will be made by a designated committee.
10. **Method of Award:**
The award may be made to the most responsible contractor whose proposal is determined to be in the best interest of Steuben County and who is deemed the best fit to serve the County's requirements based upon criteria stated under the Scope of this RFP, the evaluation of references, corporate qualifications and, if deemed necessary, an interview with the contractor and the designated committee.

Price will not necessarily be the determining factor in the award of the contract. All proposals will be evaluated to determine if they meet the required format and are in compliance with all requirements of the Request for Proposals.

Incomplete or non-responsive proposals may be rejected at the discretion of Steuben County.

11. **Contract Term:**
The contract to provide an integrated County Clerk record management system, if an award is made, will be effective on the date the contract is signed by all required parties.

Steuben County contemplates that the contract term will be from February 2017 through January 2022.

The initial contract term shall be for a period of five (5) years. The County reserves the option to extend the contract for five (5) additional one (1) year periods, providing all terms, conditions and specifications remain the same, both parties agree to the extension, and such extension is approved by the County.

12. **Cancellation of Contract:**

Steuben County reserves, as its right, the right to cancel the contract(s) resulting from an award of this solicitation at any time during the contract period, without penalty to Steuben County and without stated reason, by delivering a written ten (10) day notice of intent to the contractor(s) or its representative(s). Said notification mailed to the contractor or its representative via the US Postal Service; First Class Mail shall be considered sufficient and delivered.

13. **Assignability:**

The contractor shall not assign, transfer, convey, sub-contract, sublet or otherwise dispose of all or portions of the contract; and/or work to be performed as a result of the contract; or its right, title or interest therein, or its power to execute such contract, or its responsibility therein to any other person, company or corporation, without the prior written consent of the Steuben County Clerk and the Administration Committee.

14. **Insurance:**

a) This document includes an information sheet entitled: STEUBEN COUNTY STANDARD INSURANCE REQUIREMENTS. These requirements establish the minimum insurance(s) which the contractor(s) shall have in effect prior to entering into a contract to do business with Steuben County. Said insurance(s) are required to remain in effect throughout the term of the contract(s).

In the event that the contractor's insurance lapses during the term of the contract, the County reserves, as its right, the right to cancel the contractor's contract(s) and to purchase the contracted product(s)/service(s) on the open market; with any increase in cost(s) to Steuben County being charged to the contractor. Credit shall not be issued to the contractor where open market cost(s) to the County are less than the cost(s) contracted with the contractor.

b) Steuben County shall be named as an additional insured in the contractor's policy for all intents and purposes of contract(s) issued as a result of an award. The document number and title shall be referenced in the description/additional comments section of the certificate of insurance form.

PLEASE NOTE: Additional insured and certificate holder *must only read:* Steuben County, 3 E. Pulteney Square, Bath, N.Y. 14810.

c) Each contractor shall submit an original of its Certificate of Insurance (which indicates the contractor's compliance with the above sections a) and b) to Steuben County Purchasing Department, 3 E. Pulteney Square, Bath, New York 14810.

- d) The Certificate of Insurance must be approved by the County Risk Manager prior to the contractor's acting on and/or performing any of the obligations it incurred as a result of the award and/or contract.
 - e) Self-employed persons must carry Worker's Compensation coverage as directed by the Steuben County Risk Manager. Contractor shall submit an original Certificate of NYS Worker's Compensation Insurance Coverage form WC 88 31 21 C, which indicates the contractor's compliance, to be approved by the County Risk Manager prior to the contractor's acting on and/or performing any of the obligations it incurred as a result of the award and/or contract.
 - f) Worker's Compensation Insurance Exemption: Contractors claiming to be exempt from the requirement to carry/provide Workers' Compensation Insurance shall submit a fully executed CE-200 form; the form to be complete, notarized, and stamped as received by the New York State Workers' Compensation Board.
15. **Non-Collusive Bidding Clause and Certificate:**
- a) Clause –

"By submission of this bid, each contractor and each person signing on behalf of any contractor certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of knowledge and belief:

 - 1) The prices in this bid have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other contractor or with any competitor;
 - 2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the contractor and will not knowingly be disclosed by the contractor prior to opening, directly or indirectly, to any other bidder or to any competitor; and
 - 3) No attempt has been made or will be made by the contractor to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition."
 - b. The contractor shall submit a signed and dated Non-Collusive Bidding Certificate with its bid. Said certificate is mandated by Chapter 956 of the Laws of New York State, pursuant to Section 103-D of the General Municipal Law. Reference the "NON-COLLUSIVE BIDDING CERTIFICATE" form included in this bid document.

16. **Hold Harmless Clause and Form:**

a) Clause –

“The contractor agrees that it shall at all times save harmless the County of Steuben from all claims, damages or judgements or for the defense or payment thereof, based on any claim, action or cause of action whatsoever, including any action for libel, slander, or personal injury, or any affiliated claims, by reason of any act or failure to properly act on the part of the contractor and in particular as may arise from the performance under this contract. In the event of an injury by the subcontractor or its employees, they shall cause notice to be served upon the County within twenty-four (24) hours of any such injury.”

b) The contractor shall submit a signed and dated Hold Harmless Clause form with its bid. Reference the “HOLD HARMLESS CLAUSE” form included in this bid document.

17. **Iranian Energy Sector Divestment Certification:**

Contractor hereby represents that said contractor is in compliance with New York State General Municipal Law Section 103-g entitled “Iranian Energy Sector Divestment”.

By submission of this proposal, each contractor and each person signing on behalf of any contractor certifies and in the case of a joint proposal, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief, that each contractor is not on the list created pursuant to NYS Finance Law Section 165-a(3)(b).

The contractor shall submit a signed, notarized and dated Iranian Energy Sector Divestment Certification with its proposal.

Said certificate is mandated by Section 103-g of the General Municipal Law. Reference the Iranian Energy Sector Divestment Certificate form included in this document.

18. **Addendum/Addenda:**

a) If an addendum has been issued prior to the County’s receipt of proposals Steuben County shall attempt to notify potential contractors known to have received the proposal documents and whose contact information is on file with the County.

Steuben County does not ensure the potential contractor receipt of addendum. It shall be the responsibility of each contractor, prior to submitting its proposal to contact the Director of Purchasing, 607-664-2484 to determine if an addendum has been issued.

- b) Addendum shall be available for review and/or copy at the Steuben County Purchasing Department, Room #217, Steuben County Office Building, 3 E. Pulteney Square, Bath, N.Y. It will also be available on the county web site.
 - c) It is a requirement that the contractor sign, date and include the addendum with its submission.
19. **Submission of Proposals:**
- a) The contractor shall submit three (3) sets of its RFP; including all required documents (e.g. signed clauses, statements, forms, bonds, insurance, manufacturer's specifications, etc.)
 - 1) One (1) set shall be stamped (or otherwise indicated) as being the "ORIGINAL."
 - 2) Other sets shall be stamped (or otherwise indicated) as being the "DUPLICATE" or "COPY."
 - 3) Information presented in the "ORIGINAL" set of the RFP submission shall prevail.
 - b) The RFP shall be submitted in a sealed opaque envelope marked on the outside with: the contractor's name and address and the designation: "Sealed Proposal: Integrated County Clerk Record Management System".
 - c) The envelope shall be addressed to Andrew G. Morse, Director of Purchasing, Steuben County Office Building, 3 E. Pulteney Square, Bath, N.Y. 14810. Proposals shall be received at the Purchasing Department and will be acknowledged as received, at such time.
 - d) Facsimile transmitted proposals are not acceptable and shall be rejected.
 - e) Security procedures are in effect at the Steuben County Office Building. Interested parties, especially respondents who intend to hand deliver bids and/or conduct business with the Steuben County Purchasing Department should allow sufficient time for any delay which may arise as a result of security procedures. To be considered "delivered on time," a submission must be received at the Purchasing Department by the appointed hour.
 - f) You must submit a separate RFP response for each different solution you are proposing.

20. **Late Proposals:**
Contractor shall bear sole responsibility for the delivery of their proposal in a timely manner. Reliance upon the U.S. Postal Service or other carriers is at the contractor's risk. Late proposals shall not be considered and shall be returned unopened.
21. **Right of County to Seek Clarification, Accept or Reject Proposal(s), etc:**
- a) Steuben County reserves as its right, the right to require clarification from contractors for the purpose of assuring a full understanding of the contractor's responsiveness to the solicitation requirements.
 - b) Steuben County reserves as its right; the right to accept or reject any and all proposals (or separable portions thereof), the right to waive irregularities and technicalities, and the right to request resubmission.
22. **Civil Rights:**
The County of Steuben, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 and New York State Labor Law; Article 8 - Public Work, Section 220e hereby notifies all contractors that it will affirmatively ensure that any contract awarded as a result of this proposal solicitation will be awarded without discrimination on the grounds of race, color, sex or natural origin.
23. **Information to be Included in the Proposal:**
- a) Title page: show the RFP subject, name of contractor's firm, local address, telephone number, name of contact person and the date.
 - b) Letter of transmittal: limit to one or two pages with the following:
 - Briefly state the contractor's understanding of the work to be done.
 - Give the names of the persons who will be authorized to make representations for contractor, their titles, addresses and telephone numbers.
 - Give the firm's federal taxpayer's identification number.
 - c) Contractor profile: State whether the firm is local, regional or national.

Give the location of the office from which the work is to be done and the number of partners, managers, supervisors, seniors and other professional staff employed at that office.
 - d) Summary of contractor's qualifications in addition to minimum qualifications: identify partners, managers and supervisors who will work on the project.

24. **Modification or Withdrawal of Proposals:**
- a) A proposal may be modified or withdrawn by an appropriate document duly executed in the manner that a bid must be executed and delivered to the place where proposals are to be submitted at any time prior to the scheduled time for opening of proposals.
 - b) No proposal may be modified, withdrawn or canceled for a period of one hundred twenty (120) days after the date of the proposal opening and all proposals shall be subject to acceptance by the County during this period.
25. **Responsibilities for Work:**
The contractor assumes full responsibility for the acts and omissions of all his employees and all sub-contractors, their agents and employees and all other persons performing work under the contract.
26. **Consideration of Proposal; Acceptance of Proposal (Award):**
- a) The award of contract will be made by written notice of award signed by a duly authorized representative of the County and no other act of the County shall constitute the acceptance of a bid.
 - b) The acceptance of the proposal shall bind the successful contractor to execute a contract.
27. **Execution of Contract/Certificate of Insurance:**
The contractor to whom the award is made shall assist and cooperate with the County as necessary in preparing the standard County agreement for execution.
28. **Commencement of Work:**
Notwithstanding any delay in the preparation and execution of the agreement, the successful contractor shall be prepared, upon receipt of the notice of award, to commence work within a time period mutually acceptable to contractor and the County.
29. **Supportive Specifications:**
The contractor shall be responsible for obtaining all permits required to fulfill this contract and shall comply with all laws, ordinances, rules and regulations of the jurisdictions in which the work is performed.
30. **Sales Tax Exemption:**
The County is exempt from payment of sales and compensating use taxes of the State of New York and of cities and counties within the State of New York.
31. **Protection from Claim Against "Or Equal":**
In the event of any claim by an unsuccessful contractor concerning or relating to the issue of "equal or better" or "or equal" the successful contractor agrees to

hold the County of Steuben free and harmless for any and all claims for loss or damage arising out of this transaction for any reason whatsoever. The County is to be free and harmless for any and all legal fees and court costs.

32. **Evaluation Process:**

- a) After determining that a proposal satisfies the mandatory requirements stated in the request for proposal, (see section-eligibility criteria) the comparative assessment of the relative benefits and deficiencies of the proposal in relationship to the published evaluation criteria shall be made by using subjective judgment. The award of a contract resulting from this RFP shall be based on the lowest and best proposal received in accordance with the evaluation criteria stated below.
 - 1) Demonstration of successful similar projects, preferably in public sector environments.
 - 2) Qualifications of individuals assigned to the project.
 - 3) Demonstration of clear understanding of the requirements of the project.
 - 4) Ability to deliver a high quality service at a reasonable cost.
 - 5) Proposal review criteria/application review process and scoring.
- b) After an initial screening process, a technical question and answer conference or interview may be conducted, if deemed necessary by the County, to clarify or verify the contractor's proposal and to develop a comprehensive assessment of the proposal.
- c) Steuben County reserves the right to consider historic information and fact, whether gained from the contractor's proposal, question and answer conference, references or any other source, in the evaluation process.
- d) It is the contractor's responsibility to submit information related to the evaluation categories and that Steuben County is under no obligation to solicit such information if it is not included with the contractor's proposal.

33. As a result of this RFP, Steuben County intends to enter into contract with the selected contractor to provide the services described in the scope of services section. However, this intent does not commit the county to award a contract to any responding contractor. Steuben County and the Steuben County Clerk reserves the right, with agreement by the applicant, to accept or reject in part or in its entirety any proposal received as a result of this RFP if it is in the best interest of the County to do so.

34. **Questions:**

Contractor's questions will be accepted until December 14, 2016 and shall be submitted in writing to Andrew G. Morse, Director of Purchasing, Steuben County Purchasing Department, 3 E. Pulteney Square, Bath, NY 14810. No questions will be accepted after this date.

GENERAL TERMS AND CONDITIONS

SCOPE OF SERVICES

Integrated County Clerk Record Management System

Steuben County is seeking proposals for an Integrated County Clerk Record Management System *including image to microfilm services and secure, encrypted off site backup of data and images.*

To this end, the Steuben County Clerk is requesting proposals from qualified vendors to provide, install, and support a Windows based, PC server electronic document imaging and indexing system that would enable integrated real time processing of County Clerk transactions including but not be limited to: cashiering with appropriate "pass-through" indexing and accounting; cross reference indexing; ability to restrict specific searches to specific security profiles; ability to search verified and/or unverified information with offsite search and billing capabilities [potentially for real property and/or court recording and filing]; unlimited scanning (imaging); in-house tagging and back-scanning; redaction capabilities for partial or entire documents; reports and/or interface that shall meet the requirements of the County Clerk, New York State [including, but not limited to, Taxation and Finance (Mortgage Tax, Real Estate Transfer Tax & Income Tax), Office of Real Property Services, Department of State (Notary Public & Corporate Divisions), Office of Court Administration, State Archives (Cultural Affairs & Records Management), State of New York Mortgage Agency, State Police, and the Division of Criminal Justice Services], and other County Departments (Treasurer and Real Property Services); Pistol Permit program with Veteran Card capabilities; map scanning capabilities, Passport application transmittal, Internal Revenue Service liens and billing. The system proposal shall include two (2) options: a "Leased System & turn-key solution" AND a "County Owned Equipment & turn-key solution". The project's goal is to identify the vendor/solution that may best meet the functional and technical requirements described in this RFP. This RFP in no way obligates the County to purchase any products or services.

To be considered, vendors must submit information for a system that substantially satisfies all the requirements in this RFP. Submissions shall include software, hardware, documentation, training, maintenance, and support as detailed in the RFP.

2. SITE INSPECTION AND LOCATION:

1. It shall be the responsibility of the vendor, prior to submission of a proposal to be sufficiently acquainted with project requirements so that the resulting proposal will take into consideration all the equipment, labor, supervision, services, and supplies necessary to provide for the orderly and timely completion of the work.

3. TERM: The initial contract term shall be for a period of five (5) years. The County reserves the option to extend the contract five (5) additional one (1) year periods providing all terms conditions and specifications remain the same, both parties agree to the extension, and such extension is approved by the County.

4. SUB-CONTRACTORS: The use of subcontractors will require prior written approval from the County Clerk. The County Clerk is not obligated to approve any subcontractor. All subcontractors must be listed in the proposal.

In the event the County clerk approves a subcontractor, the vendor shall retain the total responsibility for the performance of the subcontractor.

5. METHOD OF AWARD: The County Clerk may request an onsite presentation by the contractor to clarify their proposal.

All proposals will be evaluated by the Steuben County Clerk's Office and the Purchasing Department. It is anticipated that Steuben County will act to select a firm within forty-five (45) days from the proposal opening date set forth above.

The proposal will be awarded on an all or nothing basis to the responsible firm who best meets the following criteria: technical qualities, ability and facilities to provide the required services, performance on similar contracts, evaluation of the proposer's understanding of Steuben County's needs, and price.

All qualified proposals will be evaluated and the award shall be made by using the following criteria:

- a. Responsiveness of the proposal – 10%
- b. Qualifications and experience of the proposer – 30%
- c. Price proposal – 30%
- d. Review of references – 10%
- e. Technical qualities of proposed system – 20%

A. Rejection or Acceptance of Proposal:

1. All proposals will be initially evaluated for completeness and compliance with the technical specifications, management capabilities, and other requirements contained in this RFP. Minor problems with completeness or compliance will be called to the attention of the proposer for discussion and correction. Substantial deviations from specifications or other RFP requirements may result in the disqualification of the proposal.
2. Proposers' references may be contacted during any stage of the evaluation process. The Steuben County Clerk reserves the right to contact references without advance notice to the proposer.

3. Selected proposers may be required to provide an onsite functional demonstration of hardware and software capabilities outlined in the RFP. The demonstration must be conducted with the specific products included in the vendor's proposal and involve document scanning, index data entry, image recording, image display, image printing, and other capabilities as specified in the RFP. The demonstration will involve documents to be supplied by the Steuben County Clerk.
4. The successful proposer must be prepared to fulfill the contract award within Thirty (30) days of selection.
5. The successful vendor's proposal will be incorporated into a contract. Any false or misleading statement found in the proposal will be grounds for disqualification.
6. The imaging and indexing system must be fully operational for the activities specified in the RFP within thirty (30) days after the contract award.

6. HARDWARE REQUIREMENTS: The successful proposer will provide all necessary hardware to provide a fully functional integrated system per the specifications contained herein. The hardware required includes, but is not limited to:

- 14 staff stations to include 1 each of receipt printer and scanner.
 - 5 with printers
 - 1 with thumbprint scanner/signature pad and card printer
 - 13 with dual monitors
- 12 public station computers

The County reserves the right to add additional stations or any other equipment, as may be required, to meet changing needs.

The County supplies consumables for the vendor provided printers. To meet the supply needs in a timely manner, the County maintains a backup supply of consumables. If the vendor changes or updates the models of any of the supplied printers, and such change results in a change in style of consumables, the vendor shall replace any backup supply of consumables with the new style required.

7. PROJECT SPECIFICATIONS:

A. Proposed System Hardware: The proposed system must meet *as a minimum* the current system configuration and the below proposed system capabilities.

B. Proposed System Capabilities:

TRAINING, MAINTENANCE AND SUPPORT SERVICES

1. The vendor must be able to provide user-friendly software allowing the novice operator to quickly and easily accomplish tasks with a minimum of confusion/delay and training. Describe how the user is able to navigate through the system.
2. The vendor selected will provide training for all County Clerk personnel, other County personnel and any interested Abstractors. Please describe the training and documentation provided for the proposed system.
3. The selected vendor will supply maintenance and support for the system for five (5) years. The Steuben County Clerk's Office's normal business hours are Monday through Friday from 8:30 a.m to 5:00 p.m. In your proposal, define your policies regarding maintenance, support, and enhancements to vendor supplied hardware and software. Also, please provide sample agreements. This information should include, but is not limited to:
 - Delivery method and potential cost of future upgrades and product enhancements.
 - Who will be responsible for file conversions resulting from product enhancements?
 - Response time for normal business hours, as well as, the policy and procedure for after hour support.
 - The availability of toll free telephone, email and chat support.
 - Problem reporting and resolution procedures.
 - Define procedures for fixing or replacing hardware during this period
 - It is understood that for any software or maintenance or enhancements and any hardware maintenance or replacement for which the vendor assumes responsibility, the revisions or replacements will be performed in an accurate and timely manner. The vendor will assume the liability for all costs incurred due to any negligence on the part of the vendor.
 - *The rights of the Steuben County Clerk to acquire the source code in the event the vendor ceases to support the product or ceases to remain in business must also be explained in detail.*

MICROFILM PROCESSING AND STORAGE SERVICES

4. Ideally, the proposed system should provide an automated method for the preparation and transfer of images for the production of archival microfilm. Describe the capabilities of the proposed system for the creation of archival microfilm.
5. Ideally, once the image and index data have been verified, the system should commit the images to permanent storage. Describe the permanent storage procedure for the proposed system.

DATA ARCHIVING AND DISASTER PREPAREDNESS SERVICES BACK-UP AND RECOVERY

6. The image database and indices residing on a *fixed disk drive* must be regularly backed up in some manner. The backup of data must not require constant attention by a systems operator. Please state how the system backup will be accomplished. Describe the software used, system availability during backup, any operator intervention or assistance required, and file reorganization capabilities.
7. Provide a summary of the proposed system's backup features and options.
8. The image server and scanning and indexing stations must be protected from fluctuations in current, including power outages. In such situations, the system must provide for safe shutdowns. Describe the software required and the time needed for a safe shutdown of the proposed system.
9. The proposed system must provide for protection against loss of data or images due to power surges or outages. Describe how this is to be accomplished.
10. Describe the archiving features of the proposed system.
11. In the event of a natural disaster or catastrophic event affecting vendor's hardware in the County Clerk's Office, vendors' technicians shall be onsite within 24 hours to provide technical support.
12. In conjunction with archive storage and protection, the vendor will also provide disaster recovery services. In the event of a major disaster, the vendor shall at all times be prepared to replace and/or restore all the County's historic and current databases under its control. Disaster recovery services will be mutually agreed upon between vendor and County Clerk with advance notice as to potential cost and timeline.
13. Vendor will provide off-site backup in the event of a disaster in the County Clerk's Office. [Explain the process that you will propose.]

GENERAL SYSTEM/SOFTWARE REQUIREMENTS

14. Vendor must own the software being proposed to the County. Any variation from this must be specifically outlined with the name and

address of the owner provided. Vendor must not use outside software during the course of the contract without the County's express written consent

15. Steuben County's data and images will remain the property of Steuben County at all times regardless of storage location. No data or images will be released to a third party without explicit written approval of the County Clerk.
16. State how images can be used by other applications on the proposed hardware and/or other applications on other hardware.
17. Describe any hardware and software that does not conform to open industry standards.
18. The database must be ODBC and SQL compliant with multi-user concurrent read/write capabilities based upon current relational database technology.
19. The County Clerk should be able to add additional fields to the database and update screens to meet future needs.
20. Software must include devices to prevent deletion or alteration of any verified image or index stored in the system. Describe whether alteration or deletion is permitted with security. The system must generate a log of any changes made to the index or image data for audit purposes. Describe how this issue is managed on the proposed system.
21. Describe the platform(s) under which the system runs. Please describe the proposed database software. List all operating systems and hardware configurations with which the software is compatible.
22. The vendor will guarantee upward compatibility of data, both magnetic and imaging, as new technology is developed and adopted by vendor. If a new, superior technology for data archiving is invented and gains widespread usage, the vendor will ensure that the County's data can be migrated to the new technology for optimal long-term protection and security.
23. Please include any other features or modules of the proposed system you would like to inform the Steuben County Clerk about that was not included in this RFP which would improve the efficiency of the County Clerk's Office. Please state clearly any additional costs associated with each feature.
24. The County Clerk uses additional software for searching and retrieving images of the more historical County Clerk records. Describe how your system could communicate and/or integrate this into your proposed system.

CASHIERING, RECEIVING, AND FEE SYSTEM

25. System must recognize multiple payment methods (i.e. cash, check, money order, credit card, debit accounts, ACH) within a single transaction. System should allow entry of miscellaneous revenue and issuance of refunds [with space to explain] within a

receipt.

26. System must allow for tracking of checks.
27. Ideally, the proposed system should allow for adjustments of the workflow regarding how documents are receipted and fees and money are handled.
28. The cashiering system must automatically assign the next document number to each indexed document. Describe the system's document numbering capabilities.
29. The system must automatically calculate the appropriate fee for each document when the clerk enters the document type. The fee amount for a document must be able to be overwritten, allowing exceptions to the typical document fee to be charged. Documents with no filing fee must be allowed to be entered.
30. Receipting functions should be provided both as an integrated function and for use at the counter. The proposed system should calculate the total amount due and generate a receipt. End of day reports should be available for printing for each recording and should have the subtotal for the various functions. The receipting function should also account for and distribute funds to appropriate government entities as per formulas set up by Steuben County.
31. Cashiering software must include tables to limit the amount of data entry required, including the receipts generated by the system.
32. System must generate detailed receipts, which include all pertinent information. Describe the receipts generated by the proposed system.
33. System must generate such a page that details certain information about the recording of a document.
34. The proposed system must have the ability to generate bar coding at the Steuben County Clerk's preference for either the cover page only, or for every page.
35. The primary logical index will be in the document number consisting of a sequential number throughout the year. The system must automatically increment the number for each new document and assign the correct day and time of day for each document recorded. State how the proposed system will index the documents and state whether indexing can be performed at the front counter at the time of capturing fees.
36. The system should have the capability to override the primary logical index with a user-entered number, which then becomes the new incremental number. State the capability of the proposed system to allow the county to override the primary logical index.
37. The proposed system must have the ability to scan, index, and commit individual batches of one or more pages. State whether the system is capable of keeping track of multiple batches automatically.
38. The system must have the ability to scan, index, and commit documents to one storage medium from different workstations

simultaneously. Describe the system's indexing and commitment process.

REPORTS AND REPORTING FOR CASHIERING SYSTEM

39. Reports are to include daily, monthly, and annual reporting statistics. Describe the reports supplied with the proposed system and your ability to write custom reports in order to make them available at the time of installation.
40. Describe any reports and reporting capabilities that are delivered with the proposed system
41. All cashiering reports must allow for date range selection to produce daily, weekly, monthly, quarterly, semi-annual and annual reporting as required.
42. System must provide receipt reporting. Exact receipt information that was printed for customers' receipts must print through the receipt reporting functions. The detailed receipt information must include, but not be limited to, what portion of each fee was by check, cash, or billed to a "draw down" account. These reporting functions must be available by operator ID, or consolidated over all cashiering operators.
43. System must generate a check report. This report should list all check transactions. The information should include, but not be limited to: date, time, operator ID, check number, check amount, submitter, and payer. Totals should print at the end.
44. System must provide audit reporting. Audit information to include, but not be limited to: date, time, operator ID, cash drawer number, instrument number(s), book and page number(s), receipt numbers, submitter name, first grantor and first grantee names, document type, payment type, check number, check amount, cash amount, draw down amount, name of payer, refund amount, name of person receiving refund, and void information.
45. System must generate a void report. This report should include, but not be limited to: date, time, operator ID, instrument number, book and page numbers, and other transaction detail.
46. System must provide a cash balancing report. This report should be available in summary format and in detail format.
47. The cash balancing report must include, but not be limited to: totals for County recording fees, totals for transfer taxes, totals for each document type, totals for each payment type, totals for each transaction type, totals for each account type [e.g. State and County], bank deposit amount, and total number of transactions.
48. The cash balancing reporting must provide detailed report(s) that include, but are not limited to: date and time, instrument number, book and page number, receipt number, submitter name, document type, number of pages, County recording fee, consideration amount, transfer tax, transaction type, payment type, check number, check amount, cash amount, draw-down amount, and deposit amount.

49. System must provide a summary report that shows the total number of documents that were recorded in a user specified date range. Totals should be broken down by document type. Total deed consideration amount for the date range should print as well. This report printed for a year time frame, will assist in assessing the annual workload and audits.
50. The following are reports which need to be generated from the Cashiering System on a periodic basis as enumerated:
- A. Transfer Tax Report – NYS Department of Taxation and Finance: Summary of Transfer Tax Documents recorded, amount to be transmitted to State, and amount retained by County. [Monthly]
 - B. RP-5217 Forms Filed – NYS Office of Real Property Services: Summary of number of forms filed for the month with breakdown of State fees and fees retained by County. [Monthly]
 - C. Notary Public Report for Department of State: Number and list by name of Notary Public qualifications filed, amount to be transmitted to State, and amount to be retained by County. [Monthly]
 - D. Cultural Affairs fees collected – NYS Department of Education: Number of documents recorded and filed subject to fee, amount transmitted to State and amount to be retained by County. [Monthly]
 - E. Records Management fees collected – NYS Department of Education: Number of documents recorded and filed subject to fee, amount transmitted to State and amount to be retained by County. [Monthly]
 - F. Mortgage Tax Reports: The following mortgage tax related reports shall be available and have the ability to be extracted by any date range:
 - 1. Mortgage Tax book by date: detailed listing of all mortgages recorded with assigned N.Y.S. mortgage tax number including unapportioned mortgages as required by the State.
 - 2. Apportioned mortgages with detailed listing including held mortgages as required by State.
 - 3. Monthly mortgage tax report with municipal breakdown of amounts and interest apportioned.
 - 4. County fee retention report to submit to state as required.
 - 5. Local mortgage tax report for transfer of funds to appropriate County account including interest.
 - 6. State of New York Mortgage Agency monthly report of amount to be transmitted including apportioned interest.
 - 7. Semi-Annual Mortgage Report for distribution of funds to the towns and city submitted to the State for approval.

- G. Office of Court Administration report by State object codes for the following fee types: Index Numbers issued (including exempt category), Requests for Judicial Intervention, Notes of Issue, Motions Fees, Jury Demands, Appeals Filed. [Monthly]
 - H. Report to the County Commissioner of Finance: In a format established by the County Clerk's Office with adjustment category. [Monthly]
 - I. Annual Report of the County Clerk: In a format established by the County Clerk to include revenue totals, amounts transmitted, amounts retained, etc.
 - J. Passport Reports – United States Department of State
 - 1. Transmittal Report (format provided by Passport Agency) [Daily] and
 - 2. Journal of Execution Fees Collected Passport [Monthly]
 - K. Federal Tax Liens: Billing summary for transmittal to the Internal Revenue Service. [Monthly]
 - L. System must provide ability to add interest apportioned by the County Clerk to various reports, some as detailed above, and others as needed.
51. System must provide ability to access and produce receipt and/or receipt record by receipt number or date search.
52. System must provide an employee productivity report that shows the total number of documents handled by user ID during a user specified date range. This report should include, but not be limited to the following totals: cashiering, creating, indexing, verifying, scanning and mailbacks.

INDEXING AND SYSTEM FUNCTIONS

53. Please describe how the proposed system manages Supreme and County Court records.
54. The proposed system must provide for the imaging and indexing of maps. Please describe the proposed system's capabilities in this area.
55. The proposed system must be able to provide for the ability to E-Record and E-File. Please describe your experience with both of these functions and give examples of other NYS Counties that you have worked with in this area.
56. System must be able to produce transcripts and certificates of disposition as requested according to New York State and Steuben County specifications.
57. Ideally the system should have the ability to define and maintain multiple logical (report) and physical (image) indices on the stored documents. Describe the system's indexing capabilities.
58. Software should allow an unlimited number of entries per document as well as the various types of legal description. Describe the limits of the system to associate grantor/grantee and legal description information with a document.

59. Describe how the system will use other indexing enhancements such as copy names feature, same as name feature, and copy other related document or indexed field information.
60. Software must allow users to specify how the data are to be sorted. The staff must have the capability to sort at least by name, document type, or date. Specify how documents can be sorted and viewed. The system should also enable the user to save a document or selected range of documents on a CD or other electronic medium. Describe the system's capability of selecting, sorting, and saving index information and their associated documents.
61. The system must be a batch entry process that would necessitate the County to bundle documents and index them sequentially. Describe the document processing capabilities of the system.
62. Data entered during the cashiering process must not have to be re-entered by the index operator. Describe the information which is entered by the cashiering clerk that will automatically flow to the indexing process, and describe the process of indexing either in conjunction with the cashiering process or separately. Also describe any other features that are designed to minimize key strokes such as "auto complete."
63. When an index is certified, the system should tag the index entry as verified. The system should then be able to track records as "verified" or "pending verification." Describe the capabilities of the proposed system, which allows the County Clerk to track records through the different phases of the recording process. Also comment if the verification process is site, key or either.
64. The system must allow for the association among related documents to be established. An example would be a lien document and a document which satisfies that lien. Describe how the proposed system allows the association of documents, the viewing of the related documents, and the number of documents that can be related to each other.
65. System must generate a numbering protocol for items including, but not limited to: receipts, lien filings, transfer tax, mortgage tax serial numbers, book and page numbers, judgments, pistol permits, court files etc. The system must roll over these numbers as scheduled or mandated by the State.
66. System must have an integrated Pistol permit management system with Veteran card incorporation which shall include fees and reports.

DOCUMENT SCANNING AND IMAGING

67. The scanners should allow for adjustable resolution of the scanned image by the operator. Describe the scanner quality and adjustable range.
68. The system should allow the operator to enhance images for greater clarity. The system should allow for adjustment of sharpness,

contrast, resolution, and reverse image. State the image enhancement features of the proposed system.

69. Ideally, the scanner operator should be able to correct poor image quality by adjusting size, position, contrast, focus, resolution, etc. State the operator controlled image enhancement features provided by the proposed system.
70. Source Documents can range in size from a minimum of 8 ½ X 11 inches to 8 ½ X 14 inches, up to 36" wide if utilizing Canon IPF785 imagePROGRAF copier, scanner, printer.
71. The system should store the images in an industry standard, nonproprietary format. This format should compress the images for efficient *disk* utilization without loss of data due to the compression.
72. Describe how the system will use redacting technology for such things as automatic social security number removal or other sensitive information as needed.
73. The system should accommodate document scanning either at the front counter or at a later point. Please describe the system's ability to scan at various points in the workflow process.
74. During the scanning function, system must automatically verify document page counts with page count entered during recording process. Operator should be alerted of discrepancies in page count
75. System must support simplex, duplex and high speed barcode scanning with scanners capable of scanning an 8 ½" x 14" page, up to 36" wide if utilizing Canon IPF785 imagePROGRAF copier, scanner, printer.
76. System must allow the importation of scanned images from County owned devices (e.g. County Clerk's Canon IPF785 imagePROGRAF copier, scanner, printer.)
77. System must have the ability to import various image formats and automatically convert the image to a TIF file to allow direct upload into the system.
78. System must support large image files and multiple image formats. (e.g. survey maps, court exhibits with color photos).
79. System should provide for the ability to redact pre-determined information without altering the original document.

DOCUMENT RETRIEVAL AND PUBLIC ACCESS

80. Describe the format in which records are displayed and selected.
81. Upon retrieval of a specified batch, the system software should automatically retrieve and hold onto storage subsequent pages of the image, so as to provide a 20 second maximum response time on retrieval of the first page and a 5 second maximum response on all of the following pages. Describe in detail how this function is performed on the proposed system.

82. The system must provide the ability to easily browse next page, previous page, next document, etc. Describe in detail how this function is performed on the proposed system.
83. The system should provide a zoom capability to magnify a document. Describe the capability as it relates to changing the magnification of a document.
84. The system must have the capability to print an image to a laser printer without previously viewing it on a workstation.
85. Ideally, the indexed data should be displayed in one-line per document format, showing at minimum the name, type of document, date, associated images, number of pages. The software would allow for individual lines to be selected to display more detailed information on the screen, or be routed to a printer. Describe the format in which records are displayed and selected.
86. The software should allow the public user the ability to specify how the documents are sorted. Ideally, the public should be able to search any and all fields. Describe how documents can be viewed and the system's capabilities of selecting and sorting index information.
87. Please describe the search features employed by the proposed system.
88. The software must be capable of displaying images either on screen simultaneously with the index data or separately. The system must allow the user to page through the images on screen one at a time. Describe how the system handles the viewing of the document and related index information.
89. The user must have the capability to print images either with or without viewing them on-screen. The software must also allow individual images, entire documents, or selected portions of a document to be printed. Describe the printing capabilities of the proposed system.
90. System should provide the ability to print 8.5" x 11", and 8.5" x 14" 11"x17" copies with default size capability provided. Must also be able to print large scale on County Clerk owned Canon IPF785 imagePROGRAF printer.

CUSTOMER PAYMENT ACCOUNT SYSTEM

96. Fields for entry will include, but not be limited to: name, login, password, address, phone number, email address.
97. Each customer will be given a unique login and password.
98. The County Clerk will have the ability to restrict which employees have authorization to create, modify and/or view accounts.
99. System will allow for pay-down accounts.
100. System will automatically deduct accounts as prints are made. Customer Account current balances will immediately reflect deductions.
101. System will notify customers when account hits a minimal amount.

- System will include activity log and view/print receipt function.
102. System will allow County Clerk employees to void and/or modify customer account transactions in the cashiering / receipting function.

INTERNET CAPABILITY REQUIREMENTS

103. Internet Access Please describe the proposed system's capabilities regarding Internet Access.
104. System must have availability of a browser-based public inquiry module.
105. System must provide ability to host index and/or image data.
106. Vendor must provide a secure website for established County customers for land/court document index and image data availability.
107. System must allow for user specific restrictions to data (e.g. Judges need access to criminal court files; public do not). The County Clerk will determine levels of access.
108. Vendor must allow County to establish fees for online access the records.
109. Vendor must provide County with ability to generate revenue via its web based public inquiry system and have the ability to accept and process credit card payments from public searchers with no administrative charge to the County.
110. The web-based public inquiry must be similar in function for searches performed in the County office.
111. Vendor's web-based system must be hosted by a qualified data center.
112. Vendor must provide help desk support for public users of the system.
113. Remote Users. Describe the hardware and software and licensing required enabling the connection of remote users to the system.

SYSTEM ADMINISTRATION AND SECURITY

114. System must be able to seal an individual name and/or an individual minute/document, as well as an entire case. It must be able to automatically seal an entire case file with use of specific titles, e.g. youthful offender, and to seal all minutes by specific case type, e.g. matrimonial which must not be viewable without proper security.
115. The system must provide for password-only access to the system. There should be various levels of security to be designed by the system administrator. Describe the security levels of the proposed system.
116. The software should be able to distinguish between the Steuben County Clerk personnel, other County personnel, and the public.

Describe the capabilities of the system to track individual users and the ability to add and remove users.

117. Public access must be presented with options that limit such access to searching, viewing of index data, images, and printing. A public user must under no circumstances be allowed to modify data and perform a function, which could affect the integrity of the data or systems. Describe the security provision of this software and the various levels of security allowed.
118. The system should require that a clerk enter an identification code for audit and tracking purposes. State whether the proposed system tracks users for audit and tracking purposes.

8. DATA CONVERSION: Prior to going live, the Steuben County Clerk requests that all data from the prior system be converted to the new system.

As part of the conversion, all necessary programs must be written and debugged as part of this proposal. Please provide a detailed plan of the conversion procedures including the validation process used to ensure that 100% of that data was converted and uploaded successfully to the new system.

All notations, flags, remarks, associated books and cross references shall be carried over through the conversion process, e.g. satisfactions, discharges, releases, County Clerk's notes, remarks, etc.

It is the vendor's responsibility to handle any discrepancies in the conversion in which the Steuben County Clerk is not in agreement with the end result.

Proposals: To be considered for selection, interested firms or individuals should submit the following:

1. **Cover Letter:** A cover letter signed by an official authorized to contract for the firm. The letter must contain the name, title, address, telephone number, fax number, and e-mail address of the firm's contact person for the proposal. The letter must contain a statement reflecting vendor understanding and agreement with the Scope of Services and the acceptance of all other requirements, terms, and conditions of the RFP.
2. **Vendor's Proposed Plan:**
The Vendor shall provide a Comprehensive Plan for the project describing the sequence of operations, manpower, material, and equipment that will be required. The plan shall be divided into technical, management, and cost sections.

Each proposal must be submitted in a sealed package. The cover of the package must be clearly labeled with the proposer's name. The first page of each proposal must contain the proposer's name, contact person's name, mailing address, telephone number, fax, and e-mail.

Proposers' responses must be prepared specifically for this RFP. Pre-written product descriptions and promotional materials presented without reference to this RFP are not acceptable. Technical specification sheets, product brochures, and similar printed materials where provided, should be included in an appendix. Such materials should be included only to the extent that they pertain directly to the information contained in the proposal.

3. **Technical Section:** The technical section must include complete descriptions of all hardware, software, and services to be provided by the vendor. The technical section must provide clear, unequivocal confirmation of the proposer's compliance with particular specifications presented in this RFP.

a. Where this RFP specifies that an electronic document imaging system must have a particular characteristic or capability, the proposer must state explicitly that the system has that characteristic or capability.

b. Vague expressions, such as "standard procedures will be employed," or "industry standards will be followed," are not acceptable.

c. The vendor must indicate the specific brands and models of all hardware components to be provided in response to this RFP.

d. The vendor must indicate the names and versions of operating systems, programming languages, database management systems, software development tools, or other software components on which the system is based.

4. **Management Section:**

a. Provide a brief history of your firm and its mission.

b. Describe the firm's office that will administer the proposal, including the number of employees and the makeup of staff assigned to these offices.

c. Please list any customers who terminated a contract with your firm within the past five years, and explain the reason(s).

d. Please provide a list of customers with which you are currently in litigation, if applicable. Include a brief explanation.

e. *Please submit a current comprehensive Dunn and Bradstreet report.*

f. List at least three (3) current references for which services were provided that is similar to this RFP. For each reference, provide the client's name, address, contact person, and telephone number. Also describe the work performed and when the work was performed. If the proposer operates as

an authorized agent, distributor, or value added reseller for an imaging system developer, the references can include installations undertaken by the imaging system developer.

g. Submit the names and brief resumes demonstrating pertinent experience of all management and supervisory personnel to be assigned to this project.

h. List any subcontractors who will be involved in the project and their specific roles, if applicable.

i. List and describe the specific tasks and milestones associated with delivery, installation, implementation, training, and testing of the system.

j. Specify site preparation requirements and responsibilities, including the Steuben County Clerk's responsibilities, for all hardware and networking components.

k. Provide a detailed plan for the conversion of existing data to the proposed system.

l. A proposer may present any exceptions taken to any items in this RFP, the reasons for excepting the requirement, and suggested alternatives, if any.

5. **Cost Proposal:** Provide a proposal for both a "Leased System & Turnkey Solution" and a "County Owned Equipment & Turnkey Solution".

Request for Proposal
Integrated County Clerk Record Management System
Document #GC-16-034-P

FILE DAY, DATE & TIME: Wednesday, December 28, 2016; 1:30 P.M. local time
Submission may be mailed or hand delivered.

SUBMIT TO: Andrew G. Morse, Director of Purchasing
Steuben County Purchasing Department
3 East Pulteney Square
Bath, New York 14810

The undersigned, having an integral understanding of the objective, terms and conditions, specifications and contractor's responsibility as stated in these documents, does hereby submit a quote for the provision of services as stated below and pursuant to the Request for Proposal.

PLEASE PRINT OR TYPE:	
Company Name:	Federal Employer ID:
Company Address:	
Name:	Title:
Signature:	Date:
Telephone Number:	Fax Number:
E-mail Address:	

IRANIAN ENERGY SECTOR DIVESTMENT

1. Contractor/proposer hereby represents that said contractor/ proposer is in compliance with New York State General Municipal Law Section 103-g entitled "Iranian Energy Sector Divestment", in that said contractor/proposer has not:
 - a) Provided goods or services of \$20 million or more in the energy sector of Iran including but not limited to the provision of oil or liquefied natural gas tankers or products used to construct or maintain pipelines used to transport oil or liquefied natural gas for the energy sector of Iran; or
 - b) Acted as a financial institution and extended \$20 million or more in credit to another person for forty-five (45) days or more, if that person's intent was to use the credit to provide goods or services in the energy sector in Iran.
2. Any contractor/proposer who has undertaken any of the above and is identified on a list created pursuant to Section 165-a (3) (b) of the New York State Finance Law as a person engaging in investment activities in Iran, shall not be deemed a responsible bidder pursuant to Section 103 of the New York State General Municipal Law.
3. Except as otherwise specifically provided herein, every contractor/ proposer submitting a bid/proposal in response to this request for bids/request for proposals must certify and affirm the following under penalties of perjury:
 - a) "By submission of this bid, each bidder and each person signing on behalf of any bidder certifies and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief, that each bidder is not on the list created pursuant to NYS Finance Law Section 165-a (3) (b)."

Steuben County will accept this statement electronically in accordance with the provisions of Section 103 of the General Municipal Law.
4. Except as otherwise specifically provided herein, any bid/proposal that is submitted without having complied with subdivision (a) above, shall not be considered for award. In any case where the bidder/proposer cannot make the certification as set forth in subdivision (a) above, the bidder/proposer shall so state and shall furnish with the bid a signed statement setting forth in detail the reasons therefore. The County reserves its rights, in accordance with General Municipal Law Section 103-g to award the bid/proposal to any bidder/proposer who cannot make the certification, on a case-by-case basis under the following circumstances:
 - a) The investment activities in Iran were made before April 12, 2012, the investment activities in Iran have not been expanded or renewed after April 12, 2012 and the bidder/proposer has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran; or