QUESTIONS & ANSWERS TO

REQUEST FOR PROPOSALS

Document and Data Management Consulting Services

DATE RFP ISSUED: July 5, 2023

DATE OF ANSWERS: July 24, 2023

Question: Can this work be done 100% remotely?

Answer: The NMFA anticipates the majority of the work to be completed virtually. However, flexibility for potential on-site visit(s) should be built into any proposal.

Question: Will the emails of 20 employees to interviewed/Survey be provided for communication?

Answer: Any selected contractor will have the ability to communicate with employees via email. The contractor will not have access to an employee's email.

Question: Any idea as to how many record format there are between the departments and the 20 people?

Answer: Primarily Microsoft Office suite as well as .pdf and various image files.

Question: When referencing the Offer's experience with Data Management, that can be the experience of the people submitted for the bid, correct?

Answer: Should a particular firm not meet the experience requirements, but its employees do; the NMFA may consider that experience as counting towards the minimum requirements.

Question: The training does not have to be formal class room training, it can be a training document and test evaluation?

Answer: The training should be developed and delivered to best assist NMFA employee's in complying with document and data policies and procedures. Ideally that format will include training documentation and educational resources such as videos or virtual training sessions.

Question: Is there a forum where we can see questions that other vendors have asked and what your responses were, so as to save you the time of answering the same questions multiple times?

Answer: All questions and answers are posted to the website as outlined in the RFP.

Question: Our company, in addition to providing consultative services, also provides the actual products and services that NMFA may need as a result of this project. Meaning, once the consultations are completed, NMFA may decide to proceed with scanning/digitization services, software purchases or support, hardware purchases or support, etc.   If we won the award to act as consultants for NMFA, would that preclude us from also being a vendor for any of the aforementioned products/services to NMFA?

Answer: No

Question: Based on the selection of a consulting firm, would that firm have a pre-disposed advantage to providing the recommended products/services, or would NMFA take the recommendations from the Consultative Services and issue RFP's for those recommendations for any interested firms to respond?

Answer: For any follow-on needed services or products, the NMFA will follow the requirements of its Procurement Policy, accessible via its website nmfinance.com.

Question: It sounds like you do not have any record retention schedule at this time. Has there been drafts or previous schedules defined that can be utilized, or will the vendor be starting from scratch?

Answer: Although not bound by their requirements, the NMFA has been following the State of New Mexico's record retention requirements promulgated in rule. The NMFA also follows other applicable federal record retention requirements, specifically those regarding bond issues and human resources/benefits.

Question: Is the location for meeting with departments in one location – i.e., 207 Shelby Street?

Answer: The meetings may occur virtually, and, if needed, in person at 207 Shelby Street, Santa Fe, NM 87501.

Question: Is there currently any document management or records management software used for the organization? It sounds like each department may be doing their own document management and may have some software and/or storage.

Answer: Currently there is no unified, over-arching system, policy or procedure. The NMFA has utilized Docuware for limited archiving.

Question: Is there a Records Manager that we will be working with?

Answer: Yes.

Question: Is there an IT person that we will be working with to provide the details on software and storage currently used?

Answer: Yes.

Question: Is there a start date requested and a deadline defined for this project?

Answer: The NMFA anticipates starting the project this fall (September/October) with an expected completion of June 30, 2024.

Question: Will the Board of Directors and associated committees be included in the engagement scope?

Answer: No.

Question: During the COVID pandemic, we successfully transitioned from on-site interviews to virtual interviews. We would expect to conduct the interviews virtually for this engagement. Do you have any objection to interviews and other meetings being conducted virtually?

Answer: No, however the NMFA encourages Offerors to build-in the potential for on-site visits if needed.

Question: Please confirm the physical inventory will be performed by NMFA staff using forms provided by the consultants rather than the consultants conducting an on-site

physical inventory.

Answer: Yes.

Question: In the Scope of Procurement, item 2.1, the RFP references "document type"; in item 3.2, the RFP references "types of documents (whether electronic or hard copy)". In 2.1, does document type refer to its purpose (invoice, contract, etc.) or type of document e.g. electronic or hard copy?

Answer: The NMFA will need to capture various information about documents: electronic or hard copy, software (word, excel, etc.), system, and purpose.

Question: Please provide a listing of current NMFA licensed software and tools. At a minimum, does NMFA currently use a document management system either SharePoint or another system? If so, what system(s) is(are) in use.

Answer: The NMFA does not currently use a unified document management system. The NMFA does utilize the full suite of Microsoft products, Salesforce, Formstack, Tableau, EnABLE, and Docuware.

Question: May we enter into a mutual NDA before responding? This will allow us to deliver a more comprehensive proposal.

Answer: In any proposal, Offerors should identify and label any material deemed to be proprietary and confidential. The NMFA will endeavor to protect that information subject to its obligations under applicable public records and open meeting laws.

Question: Can NMFA provide us with a list of business functions and/or a high-level organizational chart and/or an existing Records Retention Schedule, so that we may gauge the effort to conduct data collection interview sessions?

Answer: Although not bound by their requirements, the NMFA has been following the State of New Mexico's record retention requirements promulgated in rule. The NMFA also follows other applicable federal record retention requirements, specifically

those regarding bond issues and human resources/benefits.

Question: Does the 'Inventory of Records and Information' include both electronic and paper records and non-records ?

Answer: Yes

Question: Does the engagement scope include both Unstructured and Structured data, or just Unstructured?

Answer: Both.

Question: Does NMFA have an existing Data Security Classification Standard? If so, may we obtain a copy?

Answer: Not at this time.

Question: Does NMFA utilize a primary document management system(s) ? If so, may we get a list of it/those, with applicable licenses held?

Answer: The NMFA does not currently use one unified document management system.

Question: Does NMFA utilize Microsoft 365/SharePoint/Teams? If so, which license does it hold?

Answer: Yes, E5.

Question: Has budget been allocated for this effort? Or is senior management buy-in still needed after proposals have been vetted and a vendor selected?

Answer: This effort has been included in the NMFA's budget.

Question: Has NMFA engaged any outside consultants for Information Governance initiatives within the past two years? If so, has that (have those) consultant(s) been asked to provide a proposal for this effort?

Answer: No.

Question: Does NMFA have an expected/preferred timeline within which they would like this project completed and if so, can NMFA please now share it with Offerors?

Answer: The NMFA anticipates starting the project this fall with an expected completion of June 30, 2024.

Question: Section 2.1, Fees notes that the proposal should "not exceed the offeror's standard fee schedule." Could NMFA pleaser clarify, does this statement apply to this RFP? If so, please explain.

Answer: The NMFA expects to receive the Offerors most competitive billing rate, comparable or lower than billed to other clients.

Question: Sections 3.0 and 7 - Section describes insurance requirements as "appropriate professional liability insurance". Could NMFA please clarify what amount you consider "appropriate"?

Answer: An amount equal to that for comparable work.

Question: Can NMFA now please provide any additional information to help Offerors better understand the scope/amount of documents and data that will be involved in these efforts?

Answer: The NMFA primarily has electronic records, created and stored across various Microsoft platforms, as well as maintained or accessed via Salesforce, Tableau, Formstack, EnABLE and Docuware.

Question: Is there an existing inventory of documents, and if so, how accurate and comprehensive is the inventory and can NMFA now please provide it to Offerors?

Answer: No there is not an existing inventory.

Question: Does NMFA have its legal restrictions and business requirements for documents/data retention currently compiled, and if so, can NMFA now please provide it to Offerors or help us to understand the volume/depth/breadth of such?

Answer: Although not bound by their requirements, the NMFA has been following the State of New Mexico's record retention requirements promulgated in rule. The NMFA also follows other applicable federal record retention requirements, specifically those regarding bond issues and human resources/benefits.

Question: Does NMFA have its policies and procedures for documents/data retention currently compiled, and if so, can NMFA now please provide it to Offerors or help us to understand the volume/depth/breadth of such?

Answer: Part of this engagement will be to develop applicable policies and procedures for document/data retention.

Question: We understand that approximately 20 employees participate in the interviews. Can the NMFA tell us how many interviews the Offerors can expect to conduct (e.g., will there be four interviews with five individuals each)?
Can NMFA please confirm that these 20 employees have requisite knowledge to assist with providing the required information for:
- What records are used, generated, and needed
- How records are utilized – workflow
- Location and format of the information
- How is information used by other departments
- How vital are the records

Answer: The NMFA will work with the selected offeror(s) to ensure that interviews are conducted with the appropriate employees in order to maximize efficiency.

Question: In regard to assisting "NMFA management in implementing the policies and procedures developed as a result of the described services", can NMFA please now provide additional guidance on its expectations for these efforts (i.e., time frame and/or block of hours)?

Answer: The NMFA anticipates a limited block of hours helping management strategize on developing the appropriate steps to ensure that NMFA staff adopts the new practices and procedure with respect to data and document management. This effort will represent a significant change to how NMFA employees operate and requisite strategy to ensure adoption will be needed in address change management.

Question: The RFP states in 1.6 that Offerors are required to submit "A list of three (3) references for the Offeror's work with other entities supplying both assurance and advisory services". The RFP also states in 1.7 that "… the Offeror should discuss the availability of frequent meetings and staffing breadth to perform assurance and advisory services as requested by the NMFA".
Can the NMFA please explain what it means by "assurance and advisory services"?

Answer: The language was an error. Instead of "assurance and advisory services" it should have read "data and document management consulting services."

Question: Is the NMFA open to Offerors providing the requested services remotely or in a hybrid manner (i.e., a mix of on-site and off-site work)?

Answer: Yes. The NMFA anticipates the majority of the work to be completed virtually. However, flexibility for potential on-site visit(s) should be built into any proposal.

Question: Will NMFA please now share its budget or preferred/estimated costs for these efforts?

Answer: The NMFA has allocated funds for this effort in its yearly budget. The NMFA will be comparing fees as a part of the evaluation of submitted proposals.

Question: From the contract award date, what is the expected time for the project to begin?

Answer: The NMFA anticipates beginning work sometime in early Fall depending on availability – September/October.

Question: What is your expected duration of the project?

Answer: The NMFA anticipates starting the project this fall (September/October) with an expected completion of June 30, 2024.

Question: Can you share your budget for the project?

Answer: The NMFA has allocated funds for this effort in its yearly budget. The NMFA will be comparing fees as a part of the evaluation of submitted proposals.

Question: How many documents need to be migrated? What is their total file size in GB's if known? How many departments have documents requiring migration?
  o   What filetypes need to be migrated (e.g. PDF, Word, Excel, text, images, video)
  o   Does each department have a separate fileserver, or are the documents in a centralized location?

Answer: The NMFA has 2 TB of data, the migration is unknow at this point. Primarily the data is Microsoft Office suite, as well as .pdf and image files. The NMFA has one fileserver.

Question: How many documents are physical copies, and how many are already digitized?
  o   Who will be responsible for digitizing documents?

Answer: Most documents are in digital form, the NMFA does not anticipate a significant effort for digitizing documents.

Question: What is the ideal project plan start date?

Answer: The NMFA anticipates starting the project this fall (September/October) with an expected completion of June 30, 2024.

Question:	Approximately how many end users will the final solution support? Is that number expected to grow or stay relatively static?
Answer:	Between 60-75, remaining static.

`

Question:	Is there any current Document Management solution(s) in place that will be replaced or augmented?
Answer:	No.

Question:	Are there solutions for other purposes (CRM, ERP) that will need to be integrated with?
Answer:	EnABLE and Salesforce.

Question:	Are there any known compliance requirements a solution will need to be in alignment with?
Answer:	Retention requirements.

Question:	Would the final solution need to support document workflows?
Answer:	Document workflows would be helpful in order to capture the utilization and interdependency of documents/data; as well as version control.

Question: What records are used, generated, and needed?

Answer: Records across the entire organization.

Question: How are records utilized – workflow.

Answer: Tracking the usage, workflow and interdependency of key data/documents would be part of the anticipated services.

Question: How is information used by other departments?

Answer: Defining the usage, workflow and interdependency of key data/documents would be part of the anticipated services.

Question: How vital are the records?

Answer: Dependent on the type of record.

Question: How many departments are involved, or in scope?

Answer: Approximately 8.

Question: Who are the key SMEs and their roles in these departments?

Answer: Senior Managers and Managing Directors.

Question: How many total users are involved in the operational use of these documents?

Answer: The NMFA has approximately 60 staff members.

Question: Are any of the documents, or data, accessible by external users, or 3rd parties?

Answer: Yes.

Question: Where are all known storage areas of files today (including but not limited to individual computers, network shared drives, Microsoft Teams, SharePoint, O365 applications or OneDrive, email, etc.)?

Answer: SharePoint, OneDrive, On-prem fileshare, SalesFroce, Enable, local laptops, and email.

Question: How many different software applications are being used today?

Answer: NMFA has over 200 application between SaaS and local applications.

Question: Do we know what the average number of pages per document type is? For example, Grant Applications may have multiple pages, attached scanned images, etc.

Application Name
Number of Pages within an Application
Does the application require additional supporting documents?
If there are additional supporting documents how many?

What is the estimated number of applications received per application type?

Answer: The NMFA does not have an average number readily available. The NMFA anticipates that most documents are already available in digital form.

Question: What is the maximum number of groupings you intend to have for categorization?

Answer: The NMFA does not have a current estimate.

Question: Many documents have to be retained for periods of time. Would you be able to provide your current retention policies in place today?

Answer: Although not bound by their requirements, the NMFA has been following the State of New Mexico's record retention requirements promulgated in rule. The NMFA also follows other applicable federal record retention requirements, specifically those regarding bond issues and human resources/benefits.

Question: What are the current methods of archiving or deletion of soft copies, and what are the current methods of destroying or recycling hard copies of documents?

Answer: Currently, most of this work is done manually.

Question: Does the destruction of digital data/documents need to be automated?

Answer: Ideally, but the NMFA is open to various options.

Question: Will there be a reporting requirement for data/documents which are being omitted?

Answer: Ideally.

Question: How many different inbound channels does the information come from for these documents?

Answer: SharePoint, SalesForce, Enable, email.

Question: What mobile capabilities are required for data and/or document management?

Answer: The NMFA would like for users to be able to access key documents/data while out-of-the office with minimal disruption and maximum efficiency.

Question: Does NMFA have a training department?

Answer: No.

Question: Does NMFA have a marketing & communications team today?

Answer: Yes.

Question: Is there IT Support available for NMFA

Answer: Yes.

Question: How much time do you and your teams spend on manual data entry and data maintenance?

Answer: Approximately 10 hours per week for each individual charged managing documentation.

Question: Approximately how much storage space is used for documents today?

 Answer: 2 TB

Question: Are any data warehouses in place today (i.e. O365, MS Azure, etc.) and are they GovCloud or FedRamp approved?

 Answer: No

Question: Are there any government regulations (HIPAA, FINRA, etc.) impacting document management at NMFA to be aware of?

 Answer: This will be fully defined as the Retention Schedule is finalized. However, the NMFA is subject to certain federal regulations governing bond issuances, tax-exempt securities, Drinking Water State Revolving Fund financings, and human resources/benefits matters.

Question: How many total documents are there (hundreds, thousands, etc.)?

 Answer: Over 500,000 on local file share – undetermined amount in SharePoint and other applications.

Question: What would be the result of losing a document or processing it incorrectly?

Answer: This depends on the document, but could lead to financial loss or other risks.

Question: Which documents do you print off and why?

Answer: This question may be answered as part of the interview process.

Question: How many document types, or what percentage of documents are in paper or hardcopy form?

Answer: Most documents are in digital format.

Question: Which processes do you manage by sending emails back and forth?

Answer: The NMFA heavily utilizes email.

Question: What controls do you have in place to see who has changed a document and when?

Answer: Version control is a key part of the Scope of Work.

Question: How would you currently view a previous version if needed?

Answer: Version control is a key part of the Scope of Work.

Question: How many different systems are we looking to integrate?

Answer: The NMFA does not currently use a unified document management system. The NMFA does utilize the full suite of Microsoft products, Salesforce, Formstack, Tableau, EnABLE, and Docuware.

Question: If there are no integrated systems today, how is data flow managed between systems today (manual uploads, SFTP, email, scheduled batch jobs, etc.)?

Answer: Manual uploads.

Question: Are there any policies in place today for the proper destruction, deletion, or archiving of documents?

Answer: Although not bound by their requirements, the NMFA has been following the State of New Mexico's record retention requirements promulgated in rule. The NMFA also follows other applicable federal record retention requirements, specifically those regarding bond issues and human resources/benefits.

Question: Is the data that needs to be organized in the form of digital documents?

Answer: Most NMFA data is in digital format.

Question: Are hard copies of documents included?

Answer: Yes. However, most NMFA documents are in electronic form.

Question: Will the State extend the response due date by 3 weeks to allow for adequate time to respond to all vendor questions and subsequently provide time for all vendors to respond once received the answers?

Answer: Not at this time, however, the NMFA does reserve the right to amend the RFP, including the schedule.

Question: Data Management: What are the current NMFA Licensed Software and Tools?

Answer: Docuware

Question: Is there any ETL tool in use at present? If yes, please provide related details.

Answer: No

Question: Is there a preferred Reporting tool? Do you already have adequate licenses for it?

Answer: The NMFA does utilize the full suite of Microsoft products, Salesforce, Formstack, Tableau, EnABLE, and Docuware.

Question: Could you please share volumetric details about the estimated data volume? Such information will be used for estimating data storage.

 Answer: over 2 TB of data to manage