

SABIS RFP CJS 2007-03

QUESTIONS AND ANSWERS

JULY 25, 2008

1. Is it possible to get a Microsoft Word version of this RFP?

Answer (6/25/2008): No, the RFP is not available in Microsoft Word.

Answer (6/30/2008): DCJS will provide the response forms in Rich Text Format (.rtf) by posting the materials on the SABIS RFP page on the DCJS public web site for Offerers use in preparing its bid(s). An Offerer's bid will be disqualified, however, if an Offerer provides a bid to this RFP that includes any material changes to these response forms.

Answer (7/1/2008): DCJS will provide the response forms in **.doc format for Microsoft Word (.doc)** by posting the materials on the SABIS RFP page on the DCJS public web site for Offerers use in preparing its bid(s). An Offerer's bid will be disqualified, however, if an Offerer provides a bid to this RFP that includes any material changes to these response forms.

2. What are the estimated numbers of eight-image palmprint records that will be submitted per month, per year?

Answer: Zero at this time - - will eventually equate to the number of arrest and civil transactions.

- a. Does this answer mean that future civil transactions will contain 8 palm images in each transaction?**

Answer: DCJS assumes that civil transactions will contain up to 8 palm images in the future.

3. The requirement for a SLOC indicates a value equivalent to an Aggregate amount of the Contract value. Could DCJS elaborate on what is included in this aggregate value? (RFP section 5.10 and Appendix F)

Answer: Initially, the aggregate value is the sum of the Total Fixed Price Cost from Attachment 21 ("Total Proposed Cost of Ownership For Vendor's Mandatory Base System For Initial 10 Year Contract Period") and Total Optional Feature Cost and Total Monthly Maintenance Cost for all optional features from Attachment 23 ("Detailed Optional Features Price List").

4. Can we assume that the intent of this requirement is whenever a filter (i.e., sex) is used to conduct a Tenprint search that results in a NO HIT, the AFIS will relaunch the search using no filters? (RFP Attachment 13, Item 70)

Answer: Yes.

5. What percentage of non-idents are expected to be relaunched by a rechecker? (RFP Attachment 13, Item 89)

Answer: Two (2) percent of poor prints.

6. For latent processing it appears there will be the notion of a "Latent print image identifier" and the "Latent search ID". Could DCJS please elaborate on their relationship and interaction in the Latent workflow? (RFP Attachment 13, Item 119)

Answer: The Latent print image identifier is linked to the image. The Latent search ID is linked to the search - - i.e., each search is uniquely identified.

7. Could DCJS please explain what is meant by "on a separate screen"? Was the intent for the data to be available on a separate tab in a multi-tab view? (RFP Attachment 13, Item 195)

Answer: DCJS does not want biographic data presented on the same screen as the verification / validation function; this is required to reduce potential bias during the verification / validation process.

- a. Please elaborate on the "on a separate screen". Does this mean that each workstation is to have two monitors, one for viewing text? Alternatively, does this mean that the text is presented on another person's workstation, not on the latent examiner or tenprint technician workstation?

Answer: DCJS is not expecting workstations to have two monitors. DCJS requires the data will be accessible on the same workstation via a separate tab, link, etc. depending on the Offerer's solution.

8. Is this requirement for TP/TP only? (RFP Attachment 14, Item A.8)

Answer: No - - it includes Latent as well.

9. In order to better understand this option and present as much value as possible in our response, could DCJS please elaborate on the business intent of this item? (RFP Attachment 16, Item 44)

Answer: DCIS is looking for an option for system verification or in the event coding/segmentation check/sequence check algorithms have been updated with a newer version since the transactions were first processed.

- a. Indeed, all transactions will go through this coding/segmentation check/sequence check in the first place when they are processed by the system the first time and are thus very likely to get the same results, unless the coding/segmentation check/sequence check algorithms have been updated with a newer more powerful version since the transactions were first processed. Does DCJS intend to perform new TP/TP + TP/UL searches on these transaction batches? If yes, how often does DCJS intend to do that and does DCJS have an order of magnitude of the size of the batches (for matcher subsystem sizing purposes)?

Answer: If there is an issue, DCJS requires that the transaction go through TP/TP and TP/UL as well.

10. Could DCJS please elaborate on the business intent of optional item? (RFP Attachment 16, Item 49)

Answer: DCJS is interested in the capability of known to known palm print searches.

- a. In order to assess the impact on the sizing of the matcher subsystem, can DCJS quantify how many PP/PP searches will be launched after TP/TP's with no identification?

Answer: Very small number of searches - - less than one (1) percent.

- b. Will PP/PP searches be performed systematically whenever this is no TP/TP identification, only when no usable fingers are available for TP/TP processing or some percentage of no-HIT TP/TP searches based on some external information?

Answer: Only when the prints are of extremely poor quality or when no usable fingers are available.

11. DCJS is planning the procurement of a multi-million-dollar system that it will use for a decade or more to provide mission-critical identification services. Given the size and importance of this investment, we strongly recommend that DCJS perform benchmark tests on vendor systems. Without a benchmark, DCJS will have no reliable, objective way to determine which vendor's system will most improve the efficiency and accuracy of DCJS's identification operations, and no way to confirm that a particular ABIS meets the throughput and performance requirements with the proposed algorithms and architecture. While the planned site visits are a logical step, there is no adequate substitute for controlled benchmark tests to thoroughly assess a system's accuracy and speed, and confirm vendor claims regarding their proposed SABIS solutions.

Answer: DCJS requirements for accuracy and throughput will be enforced by withholding payments until the Prime Contractor's proposed accuracy and throughput rates have been validated. Additionally, the accuracy and throughput rates will be continually evaluated throughout the term of the contract and any extensions and, if the rates fall below the contractual values, the Prime Contractor will be held accountable per the terms of the contract per section 5.57 of the RFP.

12. In the stated purpose of the RFP, the DCJS requests a new SABIS "using COTS products and services." We agree with that statement, as a COTS product would reduce the program risks and give the State the highest return on investment. However, each ABIS vendor has their own COTS product which may not function exactly as described in the RFP requirements, but can still meet the intended purpose of the requirements. Since every requirement in the RFP is mandatory and vendors cannot take any exceptions or offer alternatives, the incumbent vendor is given a significant advantage as they can deliver the solution you have specified with little or no customization. If forced to adhere to the mandatory requirements without the option of taking exceptions or offering proven alternative COTS solutions, other vendors will be forced to make costly customizations to their COTS products. For this vendor, such customizations will not improve our COTS ABIS product, but will potentially increase risks and costs to the State where existing alternative COTS capabilities meet and or exceed some requirements. In order to procure a "best value" system, we ask that you remove the language that prevents vendors from taking exceptions to requirements or offering alternative approaches.

Answer: The requirements for this RFP were developed based on functions that are imperative to DCJS operations. DCJS has made every attempt to present these requirements without prescribing how to implement them; rather, DCJS is expecting Offerer proposals of efficient, cost-effective solutions to the requirements as described in the RFP. Additionally, DCJS is unaware of any mandatory requirement(s) that will increase risk and cost to the State; if an Offerer has an example of a requirement that would increase risk and cost to the State, DCJS encourages the Offerer to provide the example(s) to DCJS for consideration.

13. The requirement that the offerer provide customer references for systems that “Utilize the same generation of COTS software, user interface and workflow as the offerer proposes in their response to this RFP” is inconsistent with the statement that DCJS is seeking a new ABIS equipped with the latest, proven algorithms, hardware and software using COTS products. No two installations are exactly alike, as there are minor differences from installation to installation, and it is impossible for a vendor to propose an ABIS solution which precisely matches each of its prior major installations. Additionally, there are no standards for ABIS version configuration control regarding coding, searching, matching, and architecture nomenclature. Therefore, a vendor could propose a software version consisting of coding, searching, and matching algorithms that are the same as that used by a referenced customer; however, that customer’s version number could be an earlier number than that of the proposed version for SABIS. Therefore, the RFP should be revised to instruct vendors to propose an ABIS solution, based upon proven COTS technology, which represents the most accurate and cost-effective solution that is technologically available. (RFP Section B.4)

Answer: Based on feedback from the draft RFP issued in May 2008, DCJS has considered alternative language and modified the requirement as stated in RFP section 3.1.C.1. DCJS is requiring the Offerer to propose both a proven SABIS solution and hardware and software support terms acceptable to DCJS which support terms will enable the Offerer to fully meet all of the requirements of the RFP for the term of the Contract and any extensions. “Proven” means that the proposed solution and provision for support have been previously placed into commerce by the Offerer, that is; that the proposed solution has been procured, installed, accepted and is in operation at a level consistent with the proposed capability at least ninety consecutive days at an organization not owned or controlled by the Offerer.

14. What is DCJS’ vision for the agency’s future FastID needs? (RFP section 3.1.C)

Answer: While FastID is not a term that is utilized by DCJS, we believe the question refers to optional solution description item A.13 in Attachment 15 - - “A remotely requested search and identification function...”. This item describes how DCJS would envision an implementation for this type of feature.

15. Fast ID search averages or peaks have not been specified/broken out. Are these included within the TP/TP searches? (RFP section 3.1.C)

Answer: While FastID is not a term that is utilized by DCJS, we believe the question refers to optional solution description item A.13 in Attachment 15 - - “A remotely requested search and identification function...”. DCJS expects Offerers to provide this information in its response if the Offerer chooses to offer this optional feature to DCJS in either its base solution or as a customized element of its solution.

16. While the RFP indicates DCJS's clear interest in ensuring that the SABIS can exchange information with other systems/devices, the RFP does not clearly link this to compliance with standards/specifications issued by the National Institute of Standards and Technology (NIST). Standards established by the NIST Information Technology Laboratory (ITL) were designed specifically to promote interoperability between AFIS and LiveScan vendors to capitalize on the use of the fingerprint biometrics for both identification and verification applications. DCJS should require a standards-based design for the seamless exchange of records with external databases worldwide based on strict adherence to the ANSI/NIST-ITL 1-2007 standard.

Answer: The RFP specifies requirements to adhere to national standards throughout as applicable.

17. DCJS has not specified certain daily, peak and matcher search times and certain capacity requirements. We have attached to these questions several tables that identify specified and unspecified items. We believe that it would be in the DCJS' best interest to specify those items that are currently not specified and/or labeled as NA. Where possible we have attempted to map current draft RFP values to these tables. (RFP section 3.a.C.2/3)

Answer: DCJS has provided all of the metrics at its disposal in the RFP.

18. Are peak hour response times the same as normal response time requirements? (RFP section 3.1.C.3)

Answer: Yes.

19. Peak times appear to be over four times the daily average transaction throughput requirements. Is this intentional? (RFP section 3.1.C.3)

Answer: Yes.

20. What will be the average size of unsolved latent fingerprint images? (RFP section 3.1.C.4)

Answer: Offerers should use their installed base of customers as an estimating guide.

21. What will be the average size of unsolved latent palmprint images? (RFP section 3.1.C.4)

Answer: Offerers should use their installed base of customers as an estimating guide.

22. Do the response times include matching plus processing times? (RFP section 3.1.C.14)

Answer: The response time in this case is from the time the transaction is sent to the matchers and appears in either the queues or on the workstation screen.

23. Paragraph 19 includes a performance requirement stating: “For the Tenprint target search database, the time that it takes for a subject’s search criteria alphanumeric data (such as sex or pattern) to be updating a NYSID record in the target SABIS databases within 3 minutes of receipt of the Final Identification message or an Identification Technician’s confirmation of a composite record update. . .” (RFP section 3.1.C.19)

- a. Paragraph 25 identifies a performance requirement of; “...updated on the appropriate database, from the time that the SABIS system receives the request for the update of the data until the time that the update is completed on the target database(s)/file(s) must be no more than 10 seconds. . .” (RFP section 3.1.C.25)

Answer: This requirement is only for the alpha numeric data associated with the NYSID.

- b. Are these two performance requirements contradictory? (RFP sections 3.1.C.19 and 3.1.C.25)

Answer: No - - these are not contradictory requirements. 3.1.C.19 relates to new information to be inserted into a database; 3.1.C.25 relates to updating existing alphanumeric data on a database.

- c. Would the DCJS consider changing 10 second requirement to one minute to be consistent with other requirements? (RFP section 3.1.C.19)

Answer: No.

- d. Please confirm that this means real-time update to both the database and the matching engine files simultaneously, such that at the time of completion, if a search was run using that record, it would be located.

Answer: Yes

24. This section stipulates feedback or a progress indicator within one (1) second. Is this an average monthly time? (RFP sections 3.1.C.23 and 3.1.C.24)

Answer: Please refer to RFP section 3.1.C.37.

a. Does this apply to both Latent and Tenprint workstations and functions?

Answer: Yes.

b. Does this mean that as long as the SABIS displays a progress indicator within 1 second that the function that is progressing can then complete within the other time performance constraints?

Answer: Yes.

c. Does this response requirement include image display?

Answer: This does not include image retrieval from a database for finger / palm print display; rather, it includes such items as drop down menus and other UI features / functions.

25. Could the DCJS be more specific regarding financial reporting requirements as described on page 67 of the RFP (e.g., type of information required and format)?

Answer:

Section 5.8.D.1

Invoicing for balances due for SABIS will be handled in a manner consistent with RFP Sections 5.14 and 5.15. In the event the additional accounting reports are required, the Division will further advise.

Section 5.8.D.2

The vendor is required to submit to the Division, on a quarterly basis, a Fixed Assets Report including identifying assets or equipment pertaining to this project. This will include information such as, but not limited to make, model, serial number, price/value and purchase date. The format will be provided to the contractor at a later date.

26. We strongly urge the DCJS to require a conversion of source materials to a NIST-compliant, FBI 14 image database consistent with current industry standards. We encourage DCJS to move away from a two finger database (as vendors can provide alternative solutions), abandon Sagem's proprietary Predict compression routine, and adopt the NIST standard WSQ and/or JPEG2000 (as appropriate to the image resolution). DCJS should consider the improvement in accuracy and interoperability to be gained by the conversion to current standards, and that future business solutions depend upon the FBI 14 base.

Answer: DCJS did not include any requirements for a 2 finger database, and conversion addresses 14 images. Attachment 13 #20 states composite is best 20 images. The Predict compression is not part of this RFP.

27. Please elaborate on the meaning of "history / event data" that is to be converted? (RFP Appendix B, subsection III.A.1)

Answer: Data to be converted is listed in table II.A.

28. Can DCJS provide clarification of the sentence "This is for error processing only"? (RFP Appendix B, III.A.2)

Answer: Error processing is how the Offerer proposes to handle an electronic record it cannot convert.

29. There appears to be an Inconsistent basis for percentage:

- 1. The text states "Exactly 1.50 percent of the randomly selected records"**

Per the previous sentence, this implies 1.5% (150) of the 1000 randomly selected. However,

- 2. The following context implies the 1.50 percent to be 3/4 of the 1000 selected records. The statement "Of the remaining 0.50 percent, 0.25 of the randomly selected records shall consist of records that ... and 0.25 percent shall be those records that ... "**

Please clarify this requirement. (RFP Appendix B, subsection V.A)

Answer: Please refer to the first sentence in this section which states "...randomly selected two percent....". This is the sum of the 1.50 percent and 0.50 percent in your question.

30. While report 1 and 2 are named differently, the description is completely the same. The description more closely aligns with report 2. Perhaps the intent of the previous (report #1) was the analogous reporting for automated processing functions? Please clarify these report requirements? (RFP Appendix E, Tenprint Reporting)

Answer: Report 1 is organized by Function; Report 2 is organized by Workstation Operator.

31. Will a new LT also be searched against the applicant records (LT/TP search)? (RFP sections 3.1.C.23 and 3.1.C. 24)

Answer: Yes, except for TP records marked as Latent search ineligible.

- a. This answer and others use the term: latent ineligible. Please explain how and when this determination is made. Is it based on policy, on statute, or on image quality?**

Answer: Statute - - the determination is made by DCJS and will be provided to SABIS in a message (see Appendix J).

32. Will a new LT also be searched against the applicant records (LT/TP search)? (RFP section 1.3.A, 2nd paragraph and Appendix J, Table 5)

Answer: Yes, except for TP records marked as Latent search ineligible.

33. Table 5, Appendix J implies that the annual database growth of the system is approximately 40% of the annual throughput (tenprint transactions per year). This seems to contradict the requirement in 3.1.C.2 which states “the offerer’s SABIS solution shall be initially capable of storing composite and up to two (2) MRE Tenprint records for up to 8.7 million unique individuals” (RFP section 1.3.A, 2nd paragraph and Appendix J, Table 5)

Does the State desire a multi-registration or a mono-registration system? If a multi-registration system, wouldn’t the database grow annually by the number of tenprint transactions per year?

Answer: The State requires a multi-registration target database system (See 3.1.C.2). In a multi-registration environment, database growth is not equal to the annual volume of retained tenprint transactions per year. Once a NYSID record has grown on the target database to include a composite set of fingerprint images and two registrations of images, that NYSID record will not grow in size any further. Any subsequent identifications made against that NYSID record will result in a replacement of the oldest registration event with the most current event. Therefore, target database growth includes new non-identified criminal and

civil fingerprint submissions, and the addition of two registration events to a NYSID record and the estimated annual growth is 73 percent of the number of tenprint transactions.

34. Does DCJS intend latent examiners to store full evidence files (as well as the latent images) in the SABIS? (RFP section 3.1.C.2 and Appendix J, Table 6 and Appendix B, subsection I.C.7)

Answer: Not in the mandatory requirements - - just the latent images and associated data as defined in RFP Attachment 14, item A.6. However, Optional Feature(s) may include storage of additional data if warranted (e.g., Attachment 15 item C.6).

35. Day 1 forward: will unsolved latent fingerprint and unsolved latent palmprint images be stored in compressed or uncompressed format? (RFP section 3.1.C.2; Appendix B, subsection I.C.7 and Appendix J, Table 6)

Answer: DCJS is not prescribing the approach - - this will depend on the Offerer's solution.

36. Will vendor be required to provide same number of workstations as current SAFIS Hardware Inventory? (RFP Appendix L)

Answer: For Tenprint processing, DCJS expects the Offerer to propose sufficient workstation levels based on its equipment capabilities (refer to RFP section 3.1.C.9). For the Latent system, assume existing numbers of equipment.

37. Can DCJS specify the corresponding percentage of the TP/TP searches that will be Fast ID Searches? (RFP section 3.1.C)

Answer: While FastID is not a term that is utilized by DCJS, we believe the question refers to optional solution description item A.13 in Attachment 15 - - "A remotely requested search and identification function....". DCJS does not have estimated volumes for these types of searches.

38. Note there is an inconsistency between the number of Digiscans listed in the 4th bullet (16) (refer to RFP Appendix L, page 1) and expressed in Table #8 (Appendix J, page 18).

Answer: DCJS has confirmed the data is consistent.

39. We recommend the new SABIS support latent palm images of any reasonable size (including more than 1" x 1")

Answer: The RFP does not preclude any approach to sizing of palm images.

40. We urge the DCJS to remove all requirements that are specific or unique to the Sagem paradigm so that the SABIS procurement becomes a competitive procurement, based upon performance, rather than a particular vendor's product. For example, the required use of filtering and binning should be removed from the RFP, as current top-of-the-line ABISes can search 100% of the database while still adhering to required response times and accuracy requirements. The use of filtering and binning reduces accuracy and should therefore be avoided. Alternatives to a two finger database are also available.

Answer: The requirements for this RFP were developed based on functions that are imperative to DCJS operations. DCJS has made every attempt to present these requirements without prescribing how to implement them; rather, DCJS is expecting Offerer proposals of efficient, cost-effective solutions to the requirements as described in the RFP. DCJS has not defined any requirement specific or unique to any vendors paradigm. Filtering and binning features, for example, are neither required nor precluded by the RFP.

41. These requirements seem to imply pattern matching for TP/TP matching. We suggest that DCJS consider modifying these requirements to allow for a non-pattern method of TP/TP matching. For TP/TP searches, would it be acceptable to use advanced "first level matching" such as topological matching or shape matching? (RFP Attachment 13, Items B.66, B72, B91 and B92)

Answer (7/1/2008): DCJS is not requiring a vendor to utilize patterns as part of its technical search capabilities. Further clarification of requirements concerning patterns is being developed.

Answer (7/25/2008): DCJS is not requiring a vendor to utilize patterns as part of its technical search capabilities - - see 41.a below.

- a. Computing technology has advanced significantly and now allows automated processing on a much larger scale than only a few years ago. We believe that a more automated process not requiring comparison of classifications, but rather relying on automated technical searches, would reduce manual processing and limit the risk of error. Would NY DCJS be receptive to an alternative, more automated workflow?**

Answer: Yes. The requirements for this RFP were developed based on functions that are imperative to DCJS operations. The requirements are not intended to prescribe how to implement them (as is evident in the Solution Description requirements); rather, DCJS is expecting Offerer proposals of efficient, cost-effective solutions to the requirements as described in the RFP. For example, DCJS is not requiring the use of patterns or its Name Search function in the Offerer's proposed solution. These features, in the current environment, provide great value to DCJS and may be incorporated into the proposed solution at the Offerer's discretion. DCJS welcomes alternative, more automated solution submissions provided that all of the DCJS mandatory

requirements are met. Within this context, DCJS has modified the language in the following requirements and appendices to clarify its intent not to prescribe how requirements are met:

Attachment	Requirement Number	Clarified Requirement Language
13	2	The vendor shall provide a SABIS solution with configuration items that may be changed to cause a respective system change without a system downtime, or emptying of queues. Configuration items shall include, but not be limited to, the following system parameters or settings, and have modifiable value to allow respective processing or related edits to change without the requirement for a software/code change: - if applicable, the system setting whether or not a technician must review/confirm, all automatic system determination for fingerprint patterns - if applicable, the system setting whether or not a technician must assign fingerprint patterns to fingerprints for a transaction before a Tenprint search - the system setting whether or not a technician must review/confirm all system determined/suggested composite target image substitution - the system setting whether or not a technician must review/confirm all automatic image quality ratings other than that of a good print - the system setting whether or not a technician must assign image quality rating for each finger for a transaction before a Tenprint search - the system setting for whether or not images are automatically sent for quality review after image coding - the system setting for any threshold(s) used in searching - the parameter for the maximum number of candidates to be returned in a candidate list for verification, with unique parameters for Tenprint searches utilizing a system threshold, Tenprint searches performed without a system threshold, Latent fingerprint, and Latent palm print searches - the parameter for the number (1 or 2) of verifications required to finalize a Tenprint search that has at least one suspect that has been identified as a hit by a verification operator - the parameter for the number (1 or 2) of verifications required to finalize a Tenprint search that has no suspects identified as a hit by a verification operator
13	4	The SABIS shall include an audit capability. This audit system will store the associated data for both Latent and Tenprint processing for periodic reports, ad-hoc reports and analysis needs. This capability shall have a configurable retention period with an initial retention of 3 years. The audit capability and production of auditing reports shall not degrade identification system performance. Audit information shall include processing information, as noted below, and appropriate dates and times involving: - Transaction identification (IP address of source, contributor ORI, transaction/case/NYSID, any search id) - Modifications (field identifier, before and after values, technician id), - Error/rejection (types, values, technician id, Contributor ORI), - Searches (types, such as auto process/ technician request; parameters used; technician id), - Purge requests (TCN or NYSID, technician id), - Transaction Processing Times for all stages/queues (stage/queue name, date started/ended, time(hour/minutes/second) started/ended, time elapsed for each stage), - Search results (candidates, ranking/scoring information, Name Search (if the Offerer's solution incorporates the DCJS name search function) /Tech Search/Both Search indicators), - Technician determinations (manual patterns (if applicable)/quality, plain to roll/palm to palm/roll to roll substitution, technician id), - System Processing, including Actions, Technician ID, Parameters and Results for: - sequence check results, - segmentation results, - rejections, - auto patterns (if applicable)/quality/topological assignment, - minutiae assignment, - fingers used for a search, - sure hit determination, - candidate elimination, - NYSID/image verification and validation results,

Attachment	Requirement Number	Clarified Requirement Language
		▪ composite substitution, ▪ MRE creation, ▪ MRE modification, ▪ MRE substitution, ▪ Individual fingerprint quality rating score (if applicable) ▪ Automatic pattern updating if applicable, ▪ manual pattern updating if applicable, ▪ User Administration System creations, deletions, modifications (userid of administrator, userid of subject, before and after values), ▪ CCH reject request.
13	23	The ULF File shall include the following, at a minimum: ▪ Latent Case Number; ▪ Latent Search ID; ▪ Latent Print Characteristics; ▪ Latent Print Image ID; ▪ Image Quality; ▪ Race; ▪ Sex; ▪ Pattern (if applicable); ▪ Age; ▪ Age Difference/Tolerance; ▪ Crime Type; ▪ Crime Date; ▪ Creation Date; ▪ Expiration Date; ▪ Tickler Date; ▪ Contributor ORI; ▪ Site ID; ▪ Original Examiner ID (of examiner that added the entry); ▪ Assigned Examiner ID (of examiner that owns the UL Case); and ▪ Search filters.
13	37	The Offerer shall provide a SABIS solution that allows for updates to critical parameters / values without system downtime. The parameter / value update solution may be used for Tenprint and / or Latent processing and shall include, but is not limited to, the following: • Add, modify or delete parameters / values • Respective Pattern comparison values (if applicable) • Error values/reasons which can be selected by the automatic and/or manual processes for a transaction in Tenprint processing • Specific automatic sequence errors, denoted by DCJS, which would require workstation review in Tenprint processing. Such errors may include transposed fingers, transposed hands, and duplicate rolled fingers.
13	46	The SABIS shall enable an Identification Technician to modify a transaction during the pre-search process. These modifications shall include, at a minimum, the following information: • Manually assigned patterns (if applicable) • Selection/Deselection of Rejection reason(s) • Visual /coder qualities • Minutiae editing • Plain to roll or roll to roll replacement • Comment
13	58	SABIS shall store for Tenprint transaction processing the following results, which will be available via an immediate TCN inquiry through a GUI: • Pattern (if applicable) and quality assignment values(manual and automatic), date/time, and Identification Technician userid • Topological mapping, if applicable • Automatic sequence check information • Encoding information, such as scores (if applicable) • Errors detected during automatic system checks (i.e. pattern mismatches if applicable, segmentation/sequence errors, quality problems) • Identification Technician's problem resolution information (i.e. pattern changes if applicable, image manipulation such as roll to roll or slap to roll image switch, and minutiae editing, as well as date/time of resolution and Identification Technician userid)
13	66	This requirement has been removed.
13	67	This requirement has been removed.

Attachment	Requirement Number	Clarified Requirement Language
13	71	After the SABIS identification process is initially completed, a Transaction Response is sent from the SABIS to the DCJS CCH. In the case where this Transaction Response indicates an identification, the DCJS CCH may subsequently respond to the SABIS with another Transaction Request for that transaction. This Transaction Request indicates that DCJS invalidated any Hit/Identification from SABIS. The SABIS shall act on the request as follows: A single no threshold search is launched to produce another candidate for verification. No repeat candidates from prior search(es) for this fingerprint transaction TCN will be sent to verification or returned in the subsequent DCJS response. After searching and subsequent verification (if necessary) is completed, another Transaction Response message is returned to the DCJS CCH from the SABIS with any new candidate's Candidate Identification Indicator.
13	72	After the SABIS identification process is initially completed, a Transaction Response is sent from the SABIS to the DCJS CCH. In the case where this Transaction Response indicates a non-identification, the DCJS CCH may subsequently respond to the SABIS with a single additional Transaction Request for that transaction if the Offerer's solution incorporates the DCJS Name Search function. This Transaction Request indicates that DCJS has another namesearch candidate for verification on the SABIS. If the Offerer's solution incorporates the DCJS Name Search function, the SABIS shall edit and act on the request as follows: 1. SABIS pattern comparison, if applicable, will be performed between that name search candidate's NYSID pattern on the target database and the transaction fingers' patterns 2. If the name search candidate's fingerprint patterns are pattern eliminated (if applicable), then the Transaction Response message is returned to the DCJS CCH with that new name search candidate's Candidate Identification Indicator of "Pattern Eliminated". 3. If the name search candidate's fingerprint pattern is not pattern eliminated (if applicable), then the candidate is sent for workstation verification and when subsequent verification is completed, another Transaction Response message is returned to the DCJS CCH from the SABIS with the new candidate's Candidate Identification Indicator.
13	73	The SABIS shall process Final Identification Message from the DCJS CCH as follows (Note – see Appendix J, Tables 1a – 1e): 1. If the TPULF-eligible is set, SABIS shall automatically initiate a TP/ULF search with the transaction's images. 2. In addition, for all Final Identification messages a. If NYSID is present in the message and the transaction is eligible for SABIS updating, perform the applicable database update process and respond to DCJS CCH with the File Status Response message including the type of transaction (TOT) as TRANCLSD (tran closed). b. IF NYSID is present in the message and the transaction is SABIS Update Ineligible, update the audit system and respond to DCJS CCH with the File Status Response message including the type of transaction (TOT) as TRANCLSD (tran closed). c. If NYSID is not present in the message, update the audit system and respond to DCJS CCH with the File Status Response message including the type of transaction (TOT) as TRANCLSD (tran closed).
13	83	This requirement has been removed.
13	86	TCN-based transactions shall require exception processing when transactions declared non-identifications in Verification/Validation could be a hit based on: • high name search score (if the Offerer's solution incorporates the DCJS Name Search function), and/or • a candidate produced from both name search (if applicable) and technical search, and/or • a candidate produced from a contributor supplied number (field hit or number hit).
13	89	Recheckers shall have the capability to overwrite any part of the search criteria (patterns (if applicable), search fingers-including using a combination of roll images and plain images) that will re-launch the search and will update the changes to the database.
13	90	Recheckers shall have the capability to change search criteria and subsequently launch searches that will retain original search transaction for updating the target database. These criteria shall include, but not be limited to: • Selecting/deselecting fingers used in the search • Patterns and pattern references if applicable • Sex

Attachment	Requirement Number	Clarified Requirement Language
13	91	This requirement has been removed.
13	92	This requirement has been removed.
13	97	The SABIS shall send a SABIS FILE Maintenance Notice message (as defined in the SABIS Message Table, Appendix J, Tables 1a – 1e) to DCJS CCH when information kept on the DCJS system is changed on the SABIS (e.g., quality of images).
13	99	User Interface screens shall be used by Identification Technicians and will display real-time transaction based information. The field information displayed should be selectable for a given transaction. This information should include, when present, but not be limited to: ▪ TCN; ▪ Current Status/Queue; ▪ Name; ▪ Contributor ORI; ▪ Type of transaction; ▪ Fax Number; ▪ Arrest number; ▪ CJTN; ▪ Transaction Processing Times for all stages/queues (stage/queue name, date started/ended, time (hour/minutes/second) started/ended, time elapsed for each stage)); ▪ If applicable, pattern assignments for each finger by stage/queue including Identification Technician userid and pattern (auto classification, manual, topological, if used); ▪ Quality Assignments for each finger (coder and manual, if used)by stage/queue including Identification Technician userid and score, if used; ▪ Rejection Reasons, both actual and tentative, and Identification Technician userid by stage/queue with date and time of rejection; ▪ Image Substitution Performed with Identification Technician userid and finger numbers by stage/queue; ▪ Exception Processing results; ▪ Verification/Validation results; and ▪ Sequence Errors detected.
13	129	This requirement has been removed.
13	192	The Identification Technicians shall have the ability to input fingerprint patterns (if applicable) and visual quality assessments throughout the acquisition process.
13	202	The Identification Technician\Latent Print Examiner shall be able to view biographic data and image for the subjects of input transactions and for search candidates. Such data shall include, but not be limited to: TCN/NYSID, minutiae count, markers, sex, finger number, and pattern (if applicable).
16	3	If applicable, keyboard mapping software or hot keys shall be available for pattern entry keys.
16	26	SABIS shall have administrative configurability for the degree of pre-search processing automation. A configuration change shall only involve changing a parameter on the SABIS and not require system downtime or empty queues. Setting 1 – Identification Technician intervention for all processing Setting 2 – no Identification Technician intervention for acquisition, pattern assignment (if applicable) and visual quality rating, except for transactions flagged for workstation review after encoding (Post Encoding). Post Encoding workstation review rate shall be based on configurable parameters such as, but not limited to, quality editing, sequence and segmentation error resolution, and pattern mismatch resolution, if needed.
16	27	A SABIS workstation shall be available to give a Identification Technician the ability to extract completed transactions from the DCJS S&F system and send them to the test system based on a selectable set of criteria. These criteria shall include: Contributor ORI; specific post encoding errors such as all or specified sequence errors; quality, and pattern mismatch (if applicable); capture device type such as livescan or cardscan; reject reason; processing statuses and queues; and TCN. All necessary queues and databases would receive the related transaction data copied from the production system and populated to the test system for this purpose. This may include extracting a copy from the permanent database data for records returned from a transaction search.
16	28	The Identification Technician shall have the ability to perform a plain to roll image replacement or roll to roll image replacement. When the image replacement is performed after image encoding, fingerprint patterns (if applicable) and quality assessments previously assigned to a fingerprint image shall be retained with that fingerprint image.

Attachment	Requirement Number	Clarified Requirement Language
		This process shall be confirmed by the Identification Technician.
16	43	SABIS shall provide a capability for an Identification Technician to request on a SABIS workstation a NYSID record of composite images and process the images through pattern assignment (if the Offerers system uses fingerprint patterns) and minutiae assignment to determine problems that can be flagged for review and possible correction by a post encoding Identification Technician. A selectable table shall be easily changed so that certain features can be turned on or off for this review process. These features include, but are not limited to: pattern mismatches (if the Offerers system uses fingerprint patterns), quality control errors, and sequence errors. The Identification Technician shall have the option to launch a new search based on changes made.
16	44	SABIS will provide for batches of NYSID numbers to be extracted from the database and sent automatically through coding again to check for segmentation, sequence, pattern mismatches (if applicable) and quality control errors. These transactions will be non-urgent work, and will only go to post-encoding if discrepancies are detected. This process must not impact production.
16	77	SABIS shall enable the Latent Print Examiner prior to verification to view a Latent Print Candidate Report or similar report summarizing the following for each candidate: Rank on the candidate list; NYSID or Case Number; Pattern Type (if applicable); Core/Delta Distance (intervening ridges) of matching finger; matching finger number; number of sets of fingerprints; Palm Print Classification (thenar, hypothenar, interdigital) and matching palm, and matching segmented palm area for the subject

Appendix N - - Definition Updates

Filtered name search	In the current DCJS environment, this is a name search process that eliminates candidates based on filters such as pattern non-matches.
Front end Processing	In the current DCJS environment, Front End processing is the processing that takes place prior to searching. It includes acquisition, pattern and quality assignment, coding and quality control.
High name search score	A DCJS defined value where the result from a name search is very certain to be an identification in the DCJS Name Search function based on a match of name, gender and date of birth.
Latent Search Ineligible	A civil tenprint input transaction which may not be searched against the Unsolved Latent file, or have subsequent Latent searches done against it.

Pattern Match	In systems utilizing fingerprint patterns, a match where a) the input transaction fingerprint pattern is exactly the same as the candidate fingerprint pattern, b) a primary or reference pattern of a finger on the input transaction finger is exactly the same as candidate finger, c) a finger on the input transaction or candidate finger is denoted as M(issing), or d) a finger on the input transaction or candidate finger is denoted as U(known).
Pattern updating, manual	In systems using fingerprint patterns, assignment of fingerprint pattern designation(s) by experienced Identification Technicians.

42. This requirement seems to imply an Iterative searching under direction of CCH, No threshold on 2nd search and Candidate list manipulation. Is this interpretation correct? (RFP Attachment 13 Item B.71)

Answer: Yes - - this is a specific, and infrequent, instance of an exception condition.

- a. Within the phrase "After searching and subsequent verification (if necessary) is completed," we believe the parenthetical may be misleading. For a search with no thresholding, verification will always be necessary.**

Answer: Agreed - - the parenthetical “(if necessary)” should be ignored / removed.

43. This requirement appears to be focused on Latent processing. Will this also be a requirement for Tenprint work? (RFP Attachment 13, Item B.79)

Answer: Yes.

44. Please provide a definition of “event count.” (RFP Attachment 13, Item B.105)

Answer: Event count is the number of events in the NYSID Status message from the DCJS CCH system to the SABIS.

45. Must all SABIS-originated LT images be captured at 1000 dpi and stored in a lossless format? (RFP Attachment 13, Item B.117)

Answer: Captured at 1000 dpi - - yes. Stored at 1000 dpi, in a lossless format - - yes (see RFP Attachment 13, # 115).

46. This requirement appears to imply that Latent examiners can force a search of the unknown latent databases using a stored, known tenprint or palmprint record. Is this interpretation correct? (RFP Attachment 13, Item B.139)

Answer: Yes.

a. Please elaborate on this workflow?

Answer: The Offerer must describe its workflow solution in its bid response.

47. “Latent print cancellation request” is not mentioned elsewhere in the RFP. Please elaborate on the anticipated workflow for this feature? (RFP Attachment 13, Item C.169)

Answer: Please refer to the Glossary (Appendix N) in the RFP for the definition of “Latent print cancellation request.”. DCJS is not prescribing a work flow for this feature; DCJS is expecting a proposed work flow solution from the Offerer.

48. Do the accuracy requirements (Tenprint technical search accuracy rate and Tenprint technical search miss rate) apply to criminal records (converted from the 10-finger database) and also to applicant records (converted from the 2-finger database)? (RFP Attachment 14)

Answer: Yes.

49. Can the DCJS confirm that the 8 palmprint images are: lower palm, writer’s palm, upper palm and full hand image, times two hands = 8 images?

Answer: Refer to FBI EBTS.

50. Regarding the version/patch numbers of third-party software and the inventory and data dictionaries for all file and DCJS databases, and given that the software applications to be delivered to the DCJS will change in the next 30 months, before they are delivered, would the DCJS consider specifying a higher level description of these items rather than detailed descriptions? (RFP Attachment 14, Items A.9 and D.1)

Answer: No - - DCJS requires the details in order to adequately evaluate the Offerer’s proposed solution.

51. In this item DCJS has re-established 99.5% uptime as a minimum contractual obligation (also see Section 3.1.C). The requirement implies that it will be measured over a one month period. DCJS elaborates that downtime is equivalent to 0.5% (which equates to about 3.6 hours per month) for any system component and includes scheduled administrative downtime. DCJS also discusses System Availability as being able to “fully process, identify, and respond to Tenprint and Latent search requests”. (RFP Attachment 14, Item D.1)

- a. Does “system component” include any physical personal computer or server?
- b. We suggest that, with the advent of new technologies, there are more efficient paradigms available than using component downtime as a measure of overall system performance. Using system component downtime as a measure is somewhat arbitrary, complex, and prone to errors. Tracking individual component downtime by itself represents a significant effort and designing to this standard is not cost effective. Indeed, given proper design, individual component downtime becomes meaningless.
- c. We suggest that DCJS consider modifying this requirement to focus on the system’s ability to fully process, identify, and respond to Tenprint and Latent search requests as a measure of system availability and downtime.

Answer: Downtime will be measured each month, and each month stands on its own (refer to RFP section 5.57). Additionally, System Downtime is defined in the Glossary.

52. Currently DCJS owns the interface to the FBI IAFIS. This section implies that SABIS may play a more direct role in the future in communication with the FBI NGI. Can DCJS articulate the agency’s vision of the role SABIS will play in future communications to NGI. (RFP Attachment 14, Item E.2)

Answer: This requirement is to obtain the Offerer’s vision of the role its SABIS will play in future communications to NGI.

53. These optional requirements also seem to be mandatory requirements as stipulated in Attachment 13 items #25 and #27. Please resolve this apparent inconsistency? (RFP Attachment 16, Items 8 and 9)

Answer: RFP Attachment 13 item #25 is for supervisors; RFP Attachment 16, item #8 is for all workstations; similarly, RPF Attachment 13 #27 is for the monitoring workstations; RFP Attachment 16 #9 is for all workstations.

54. In this optional workflow, has DCJS considered and will DCJS specify the anticipated throughput requirement? (RFP Attachment 16, Item 49)

Answer: The number of these types of transactions would be very small - - less than one (1) percent of all other transactions. DCJS is not prescribing a throughput requirement for this optional feature.

55. If your company was not represented at the Mandatory Pre-Bid Conference – 1 July 2008; will you be permitted to bid as a prime contractor?

Answer: Pursuant to RFP section 2.2, attendance at the Pre-Bid Conference is a mandatory prerequisite to further participation in this Procurement. Therefore, if a company was not represented at the Mandatory Pre-Bid Conference, the company would be disqualified from further participation in this Procurement.

56. Since our company will be subcontracting to a particular prime do we still need to submit a “notice of intent to bid” to receive all the proper documentation to respond to the prime bidders?

Answer: Only Prime Contractors should submit a Notice of Intent to Bid.

57. You had mentioned the meeting Attendee list would be distributed. Will this be posted on the website, emailed separately to the attendees or only sent out to the Intent to Bid participants?

For vendor/subcontractor attendees with proven technologies, such as advanced matching and search capabilities, having this attendee list will help us reach the prime bidders sooner for a Aug 15th RFP submission. This allows the prime bidders to vet out technologies for stated identity accuracies, “lights out” and FAST ID processing and determine the appropriate fit into their Gap Analysis many of them will need to do in order to meet the RFP functional requirements.

Answer: This material was e-mailed to vendors as was posted to the SABIS Procurement website on July 3, 2008.

58. “Offerer shall submit cost information in Attachment 25 for optional work and conference space for fifteen (15) DCJS representatives at the Albany Project Office location.” Is it DCJS' intent to have up to fifteen DCJS personnel assigned to work at the Project Office for the duration of the project? (RFP sections 2.0 and 2.25)

Answer: Yes, intent is that DCJS has the option to staff up to 15 through system acceptance and implementation.

59. DCJS states “the customer references provide to fulfill this element must be in addition to the customer references provided to meet the mandatory requirements specified in Subsections 1 through 4 above.” Does DCJS intend to say, “Subsections 1 through 5 above?” (RFP section 3.0.B, Item 6, paragraph 2)

Answer: No - - reference to subsections 1 through 4 is correct.

60. DCJS States “In addition, the Offerer’s SABIS solution shall be initially capable of storing 122,500 Unsolved Latent fingerprint images and 97,000 Unsolved Latent palm print images”. However, Appendix B Conversion Plan Requirements Section 1.C.5 states that the “The converted records shall contain both the previously assigned encodings and the Vendor’s new encodings.... This will create 240,000 search feature sets (i.e. encoding).” Does DCJS intend to maintain two feature set databases in perpetuity? (RFP section 3.0.C, Item 2)

Answer: DCJS’ intention is to maintain two encoded sets and to recognize which set has been utilized for a specific search. DCJS may decide to maintain only the Prime Contractor’s feature set once satisfied of the Prime Contractor’s search accuracy. The feature sets may be separate databases or one singular database so long as DCJS can distinguish which feature set is used for a specific search. Additionally, the 122,500 should be 125,000 and the 240,000 figure should be 250,000.

61. DCJS States “The offeror shall comply with the New York State Office of Cyber Security and Critical Infrastructure Coordination (CSCIC) Cyber Security Standards S05-001 version 2.0, Cyber Security Policy P03-002 version 3.0, and the DCJS Technology Policy issued June 4, 2007...” How can we get copies of the referenced documents and policies? (RFP section 3.0.C, Item 16)

Answer: These documents were e-mailed on July 23, 2008, to those individuals who timely submitted a complete Notice of Intent to Bid submission that included the appropriate signed non-disclosure agreements.

62. DCJS states, "One of the deliverables that must be included in the Project Plan is a transition plan for the current SAFIS and its interfaces..." Since the term "transition plan" is not capitalized, is DCJS requesting a description of activities, as described later in the text, but within the context of the Project Plan? Or, does DCJS intend a Transition Plan within the Project Plan? (RFP section 3.0, Item 3, Paragraph 2)

Answer: DCJS is requiring the submission of a full transition plan as described in this section.

63. It seems that DCJS has an archive that stores processed fingerprints. Other than conversion, does the SABIS need to interface with this archive during daily operations? Today does the SAFIS or Store & Forward interface with this archive? What is the archive platform? (RFP Appendix B)

Answer: DCJS currently maintains a manual archive that does not interact with SAFIS or Store and Forward. DCJS is developing an electronic archive platform and will provide the Prime Contractor with the specific interface requirements (note: Optional Feature Item 42 would require access to the archive - - DCJS would provide the appropriate interface requirements to the Prime Contractor).

64. DCJS states "Exactly 1.50 percent of the randomly selected records shall consist of records that contain a composite set of fingerprints ..." Will Offerer participate in the review? (RFP Appendix B, Section V, Item A)

Answer: If problems are encountered, then the Prime Contractor will be required to participate.

65. Last sentence states "The review of these records by DCJS are separate and apart from the randomly selected records as described above in VI.A." Did DCJS intend to refer to V. A. above? (RFP Appendix B, Section V, Item D)

Answer: Yes, sentence should reference V.A.

66. DCJS states, " Any and all Training materials developed for the SABIS shall become the exclusive property of the DCJS." Will DCJS protect copyright material of Offerer? (RFP Appendix D, Requirement #8)

Answer: No. DCJS considers these materials to be a "work for hire." DCJS intends to make training materials available to other authorized entities who are or may become users of the SABIS system, and to its employees and subcontractors. If an Offerer includes copyrighted materials as part of the training materials delivered to DCJS in the course of performing its obligations under this procurement, the Offerer must include a grant of an irrevocable license in perpetuity to DCJS reproduce and distribute this material for its purposes free of restraint.

67. Appendix D Training Requirements Number 1 states "The Prime Contractor shall train DCJS trainers in all workstation activities..."; Requirement Number 14 states "Training of approximately 200 Examiners..." and Requirement Number 15 states "Training of 100 Examiners..." (RFP Appendix D, Training Approach for SABIS, Latent Print Training, Tenprint Training) Please confirm:

1) It is the State's intent for a "Train the Trainer" training approach with the Vendor training the State staff who in turn would train the number of Examiners as shown in the Appendix.

OR

2) Vendor is responsible for training the number of Examiners as shown in the Appendix.

Answer: Tenprint would be a "Train the Trainer"; Latent would include both training the trainers and the examiners.

68. DCJS states "...Offeror shall indicate which reports, described below, are included..." Does DCJS have a preferred format for the reports, i.e. printed 8.5 x 11, batch print, monitor display, etc? Can DCJS provide examples of current Tenprint and Latent Print reports? (RFP Appendix E, Introduction)

Answer: Format would be report specific. Some reports will be automated; however all reports should be viewable on a GUI with the ability to print as desired.

69. The Year 2018 seems to be missing. Can the table be reviewed and this year's data properly added or revised? (RFP Appendix J, Table 5)

Answer: The 2nd instance of 2017 should be 2018.

70. The Latent Processing Diagram shows latent processing to the FBI IAFIS via RFES/ULW. Does DCJS intend to maintain RFES if ULW is introduced as a solution as described in Attachment 16, page 10, Item 55? How many cases are searched on IAFIS by DCJS each year using RFES? (RFP Appendix K Diagrams: Latent Processing Diagram)

Answer: The FBI strongly recommends DCJS transition to ULW from RFES. DCJS is currently testing differences between RFES and ULW. DCJS averages approximately 13,000 IAFIS searches per year.

71. The hardware inventory table lists 13 Control Workstations. Please define what is a control workstation? (RFP Appendix L)

Answer: Control workstation shall include Acquisition, Post Encoding and QC functions (e.g., minutiae editing).

72. DCJS States "DCJS currently defines a "Sure Hit" as a transaction based scenario where only one and the same NYSID is produced by both the DCJS filtered name search and AFIS technical search, and the technical score is above a DCJS defined threshold." Can DCJS provide information as to how the technical score is currently selected? (RFP Attachment 14, Section B, Item B.1)

Answer: Technical score threshold was determined from extensive DCJS accuracy testing.

73. DCJS states "DCJS' central site and the NYPD site operate on a 24x7x365 schedule." The NYPD site is also referenced on pages 115 and 116. Would DCJS describe the activities at the NYPD site? (RFP Attachment 14, Section D, Item D.1)

Answer: NYPD captures Tenprint images and sends those images to DCJS via Store & Forward for processing. NYPD also captures up to 4 palm images per individual arrest record. NYPD has the ability to utilize SAFIS Tenprint searching primarily for humanitarian searches and the identification of deceased individuals.

74. The term "rechecker" appears frequently in these attachments. Is a rechecker essentially an auditor?? When does a rechecker perform their tasks? Is it after the operationally processing of fingerprints, palmprints and latents? Or is it after the fact? How often will they perform rechecking? (RFP Attachments 13 and 16, multiple occurrences)

Answer: The rechecker is not considered an auditor; the main focus and task of the rechecker is to review poor quality transactions which are initially determined to be a Non-Identification. Once a modification or correction is applied to the transaction by the rechecker, they have the ability to re-launch another search prior to the final conclusion. These tasks would be performed on less than 5% of the total Non-Identifications.

75. Does DCJS have daily Thru-Put rate requirements for TP/UL, LT/UL, PP/UP, LP/UP? (RFP section 3.1.C, Item 3)

Answer: RFP section 3.1.C, Item 3 lists the minimum number of the various searches to be completed in a 24 hour period.

76. Please confirm that answers provided by DCJS in response to vendor questions submitted as part of the bid process and upon which vendors will rely in the preparation of their responses supersede and take precedence over the Bid Solicitation/RFP documents. (RFP section 5.36, Items 1 – 5)

Answer: RFP section 5.36 stands.

77. Where do the remaining 1,000,000 individuals and 2,025,000 additional events come from? Are the 1,000,000 individuals tenprint records consisting of 2,025,000 Registration Events? Can DCJS explain why they will not be in NIST format and can DCJS provide more detail on the format of these records, as the vendor needs to know that to assess the conversion work to be done? (RFP Appendix B, Paragraph I.D.)

Answer: The remaining 1,000,000 individuals and 2,025,000 additional events are from DCJS' retention of current input data and images. The 1,000,000 individuals are in addition to the 7,700,000 individuals in NIST format and the 2,025,000 additional events may be for any of the 8,7000,000 individuals. The information described as non-NIST format are due to DCJS' processing and how the information was stored.

78. Please provide additional detail on the interface (type, response time, etc.) to the Archival system to enable the vendor to assess the development effort associated with this feature? (RFP Appendix B, Paragraph III.A.6 & Attachment 16, Item 86)

Answer: Details are currently in development, and will be provided to the Prime Contractor.

79. In order for the vendor to organize his work, can DCJS indicate approximately how long it will take to provide corrections to the records submitted for QA by the vendor? Also, approximately how long will DCJS take to provide comments/feedback on the 2% sample records provided along the way during the conversion? (RFP Appendix B, Paragraph V)

Answer: DCJS is committed to providing resources to expedite the correction of records submitted for QA. For scheduling purposes, assume DCJS will provide comments / feedback on the sample records within 5 business days of receipt.

80. What does DCJS mean by the "hardware and software necessary to access them"? Does this requirement refer to the software and hardware used for conversion of the provided records? Is there a predefined timeframe for which this hardware and software must be provided? (RFP Appendix B, Paragraph VI.C)

Answer: The hardware and software necessary to access them refers to hardware and software to be used by DCJS to view and access converted records for troubleshooting purposes. The hardware and software need to be available within 30 days following the end of the Conversion (as stated in the RFP) and will be retained by DCJS in perpetuity. This equipment, however, is not to be included in the technology refresh program.

81. These two paragraphs in Appendix C, paragraph II.F and G reference response times included in Attachment 14, but these particular search response times are not included in Attachment 14. The referenced response times appear to be those referenced in section 3.1.C. #14. Please confirm? (RFP Appendix C, Paragraph II.F and G)

Answer: Attachment 14, Item A.8 defines various response times, section 3.1.C. #14 defines technical search times only.

82. Please clarify the vendor's training responsibility. Is the vendor to train the DCJS trainers or the number of operators listed? (RFP Appendix D, Items 13, 14 and 15)

Answer: Tenprint would be a "Train the Trainer"; Latent would include both training the trainers and the examiners.

83. Appendix J table 6 (pg 16), is sized based on 4 palm print images. This requirement states up to 8 palm print images are to be stored. For purpose of properly sizing the storage capacity, could DCJS define the estimated percentage of 4-image/8-image palm print images per individual to be stored? (RFP Attachment 13, Item 22)

Answer: Initial storage should be estimated from the projected growth in **Appendix J, Table 6** which is calculated from 4 image palm print records. DCJS intends for future processing to include up to 8-image palm records per FBI-EBTS however acceptance and growth of 8 image palm print records has not been determined at this time.

84. In the verification process, please describe the criteria that define when the final verification decision occurs? (RFP Attachment 16, Item 84)

Answer: The number of examiners needed to verify and finalize a case as "fully verified" is configurable from site to site. Some sites may require two examiners while others could require 4 or more. RFP Attachment 16, Item 84 is an optional feature that allows a site to

forward a fully verified case to another site for an additional verification post final verification.

85. It is our understanding that the acceptance test will follow these criteria:

- a. The Vendor will utilize the production workstations to input the search prints**
- b. The peak hour throughput requirement for tenprint, finger latent, and palm latent is the same hour and all searches must be completed during this one hour.**

If this is not the case, please define the acceptance test criteria.

Answer: DCJS requires the Offerer to submit an Acceptance Test Plan that addresses how it will address this and other issues as described in RFP Section 3.1.C.33 and Appendix C.

86. Can DCJS please provide the search filters (i.e. finger number, sex, race) that have been stored in the existing unsolved latent file records? This historical information is integral to sizing the system and all vendors should have access to this information.

Answer: Standard filters are listed in Appendix B, section II.B. The distribution of the use of filters varies from case to case.

87. With regard to the site proposed for the functional evaluation, this paragraph states, *“Therefore, if DCJS determines as a result of the functional site evaluation that the customer’s tenprint system does not meet all of the mandatory requirements, the Offerer will be disqualified.”* It is unrealistic for DCJS to assume that other law enforcement agencies have implemented systems that meet all of the tenprint identification requirements that DCJS has included in its solicitation. The language is so restrictive as to impede fair competition and we ask that it be changed to say, *“Therefore, if DCJS determines as a result of the functional site evaluation that the customer’s tenprint system does not meet the intent of the mandatory requirement...”* (RFP section 3.1, B.4, last paragraph)

Answer: No. The mandatory requirements are based on DCJS needs - - the reference to mandatory requirements are those requirements in the five (5) bullets on page 31 and page 33 of the RFP.

88. Section 4.5 indicates that total cost of ownership will be taken into consideration in the financial evaluation. However, an evaluation of total cost of ownership would normally include more information than the vendor will provide in Attachment 21. Specifically, an analysis of total cost of ownership would normally include an estimate of the cost of housing (based on the system footprint) and (2) an estimate of the power consumption costs associated with each vendor’s system. Will the State use the information vendors will provide in Attachment 14, item A.9 to calculate these costs and factor this into the financial evaluation? (RFP section 4.5, 1st bullet; Attachment 14, Item A.9; Attachment 21)

Answer: No. As stated in Section 4.5 of the RFP, cost proposals will be scored as follows:

- 19 points will be based on the proposed pricing on response form Attachment 21. The lowest cost offerer will receive 19 points. All other offerers will be evaluated relative to the lowest offerers cost (lowest cost offerer/offerer cost x 19).
- 1 point will be based on the Detailed Optional Features Price List (Attachment 23). The lowest cost offerer will receive 1 point. All other offerers will be evaluated relative to the lowest offerers cost (lowest cost offerer/offerer cost x 1).

89. The total number of fingerprint records in Paragraph C, 1-4 equals 10.725 million which correlates to the total number of fingerprint records in Paragraph D. Can DCJS confirm the assumption that all the records in Paragraph C, 2 and 3 are NIST records? Can DCJS also provide an estimate of the number of records in each of Paragraph C, 1 and 4 that are in NIST format? (RFP Appendix B, section I, paragraphs C and D)

Answer: In Appendix B, section I, paragraph C, items 1 and 4 are NIST records; items 2 and 3 are not NIST records.

90. Can DCJS please provide the list of Regional locations where the training will be needed? (RFP Appendix D, Requirement 7)

Answer: The list is in Appendix J, table 7.

91. Can DCJS provide the maximum number of administrators to be trained? (RFP Appendix D, System Admin and Tech Support Training, Requirement 13)

Answer: The maximum number of administrators to be trained is expected to be thirty (30).

92. Are the fingerprint and palmprint images transmitted to DCJS from the livescans and digiscans deployed throughout the state and New York City transmitted in an uncompressed or compressed format? If they are transmitted in a compressed format, are they compressed using an FBI approved WSQ format? (RFP Attachment 14, Item A.4)

Answer: Currently, all fingerprint transactions are coming in compressed. We anticipate palms will also be compressed when we begin receiving them. There is no future plan, at this time, to receive messages uncompressed. The compression format is currently WSQ.

93. The first paragraph states that “System availability refers to DCJS’ ability to fully process, identify, and respond to Tenprint and Latent search requests with the throughput as stated in requirements in Section 3.1.C”

The throughput requirements in 3.1.C.3 require peak processing of 800 tenprints, 700 Latent fingerprints and 525 Latent Palm prints in one hour.

Further in the second paragraph of D.1 the requirements states: **Regardless of the location, the proposed High Availability solution shall utilize active-active technologies and shall switch to the High Availability configuration within ten (10) minutes of the primary configuration's failure."**

As stated in this requirement, the active-active technology requires both the primary site and the high availability site be operating simultaneously at 100% capacity and each site must be able to process the full throughput as stated in 3.1.C.3.

Extrapolating these mandatory requirements, the proposed SABIS operational system must meet the following performance requirements:

Tenprint throughput = 800/hour x 24 hours = 19,200 x 2 (active-active) systems = 38,400 day

Finger latent throughput = 700/hour x 24 hours = 16,800 x 2 (active-active) systems = 33,600 day

Palm latent throughput = 525/hour x 24 hours = 12,500 x 2 (active-active) systems = 25,000/day

Appendix J, Table 6 shows the unsolved finger latent database growing at a rate of 2,500/year over the next 20 years, the palm latent database growing at a rate of approximately 5,000/year after the initial palm latent conversion over the next 20 years.

Please confirm that these calculations are correct and it is a mandatory requirement for the vendors to size the proposed system to the above throughput rates. (RFP Attachment 14, Item D.1)

Answer: Referring to Attachment 14, Item D.1 - - (a) The key word in the second paragraph of this question is '**peak**'; (b) In the 4th paragraph of this question, the expectation is that the **HA site is to be available for processing in the event the primary site fails** in any way; (c) Since only one site is actively processing transactions at any one time, **the "x2" multiplier in the question above should not be assumed**. Referring to Section 3.1.C.3 - - (a) The **latent operation is 16 hours per day**; (b) The computations assume peak processing volumes for 24 hours; **please see Section 3.1.C.3 for the expected daily volumes**; (c) An updated Appendix J, Table 6 is as follows:

	Unsolved Latent Images	Known Palmprint Images	Known Palmprint Records	Unknown Palmprint Images
2008	120,000			
2009	125,000	2,800,000	700,000	97,000
2010	130,000	3,200,000	800,000	127,000
2011	135,000	3,400,000	800,500	152,000
2012	140,000	3,550,000	887,500	167,000
2013	145,000	3,700,000	925,000	175,000
2014	150,000	3,950,000	987,500	177,500
2015	155,000	4,200,000	1,050,000	180,000

	Unsolved Latent Images	Known Palmprint Images	Known Palmprint Records	Unknown Palmprint Images
2016	160,000	4,500,000	1,125,000	182,500
2017	165,000	4,800,000	1,200,000	185,000
2018	170,000	5,100,000	1,275,000	187,500
2019	175,000	5,400,000	1,350,000	190,000
2020	180,000	5,750,000	1,437,500	192,500
2021	185,000	6,100,000	1,525,000	195,000
2022	190,000	6,450,000	1,612,500	197,500
2023	195,000	6,800,000	1,700,000	200,000
2024	200,000	7,200,000	1,800,000	202,500
2025	205,000	7,600,000	1,900,000	205,000
2026	210,000	8,000,000	2,000,000	207,500
2027	215,000	8,400,000	2,100,000	210,500
2028	220,000	8,800,000	2,200,000	212,500

94. Please provide bidders with a sample NYSID Summary Rap Request. (RFP Attachment 15, Item A.13)

Answer: The request currently consists of a URL (with a length of approximately 500 characters) with a list of parameters that will be provided to the Prime Contractor.

95. Please confirm that Vendors must include pricing for the replacement of all hardware (including servers, storage area network, etc.) at both the primary site and high availability site two times during the ten (10) year Maintenance and Support Pricing (RFP Attachment 19)

Answer: The Offerer is required to refresh as often as needed to meet the mandatory requirements, including RFP Section 3.1.C.1, regarding supportability.

96. Attachment 29, at page 3, answer to question 7, states that “A contract is awarded when the procuring covered agency notifies a person either orally or in writing that the person has been selected to provide the commodities or perform the services being procured. The certifications required by section 5-a are only required to be filed by the person awarded a contract.”

At page 7, the answer to question 22 states that “The contractor must file a properly completed Form ST-220-CA (with the procuring covered agency) and Form ST-220-TD (with the Tax Department). The covered agency must include Form ST-220-CA in the procurement record for the contract. These requirements must be met before a contract may take effect.”

It would appear from the foregoing that the certification must be made after notice of award, but prior to the effective date of the contract. Must the Form ST-220-CA and Form ST-220-TD be filed with the bid, or only upon notice of award?

(RFP Attachment 29, paragraphs 7 and 22)

Answer: Contracts awarded by an agency are not effective until filed in and approved by the Office of the State Comptroller. Completion of the ST-220-CA and ST-220-TD is required before the contract can be submitted to OSC for approval. DCJS requires that these forms be completed by the Offerer upon receiving a Notice of Proposed Award.

97. Please confirm that in all instances where the phrase “by any government entity” is used in Section VII and VIII of the vendor responsibility questionnaire, the phrase means any government entity anywhere in the world. (RFP Attachment 30, sections VII and VIII)

Answer: There is no geographic limitation. More information on the Vendor Responsibility process is available at <http://www.osc.state.ny.us/vendrep>

98. Please confirm that a vendor must disclose indictments, grants of immunity, judgments, convictions etc. that occurred anywhere in the world. (RFP Attachment 30, sections VII and VIII, paragraphs 7.1, 8.2 and 8.3)

Answer: There is no geographic limitation. More information on the Vendor Responsibility process is available at <http://www.osc.state.ny.us/vendrep>

99. DCJS has requested that the vendor provide a roadmap of the next five (5) to ten (10) years for the Offerers’ organization for its products and services. In order to respond in a manner that most adequately provides DCJS insight regarding plans for product enhancements, new development and other planned capabilities, it will be necessary for vendors to disclose material that is classified as trade secret or highly proprietary and which, if disclosed to other vendors or the public, could result in commercial damage to said vendor.

Providing proprietary, trade secret information will allow the State to fully understand and evaluate future direction for their agency. How will the State ensure that this information will not be disclosed to other vendors or the public in any case including but not limited to disclosure in response to Freedom of Information requests or legal action by other vendors.

Please provide guidelines for marking this commercially secret or proprietary information and indicate if it should be included in a separate sealed envelope within the proposal. (RFP section 3.1 A. No. 2, Item f)

Answer: Please see RFP Section 2.27

100. Consistent with the DCJS desire for no single points of failure and supporting the public safety imperative, can we assume that DCJS will employ high

availability or redundancy strategies for the CCH environment and for the external communications environment that will be controlled and maintained by DCJS?

Answer: The totality of the requirements for high availability can be found in Attachment 14, Item D.1.

101. Can DCJS provide an estimate of the percentage of TP records that will be marked as Latent ineligible?

Answer: The percentage of Latent search ineligible records is 12 percent.

102. “Upon timely receipt of the complete Notice of Intent to Bid, DCJS will provide the vendor with further documents for use by the vendor in preparing their bid response to this RFP.”

Please advise what these “further documents” include and how we might obtain them.

Answer: These documents were e-mailed on July 23, 2008, to those individuals who timely submitted a complete Notice of Intent to Bid submission.