NEW YORK STATE DEPARTMENT OF HEALTH

VITAL RECORDS

A **Request for Information** pertaining to the conversion of vital event records to digital image and electronic text format.

FAU # 0905280443

SCHEDULE OF KEY EVENTS

RFI Issued	July 10, 2009
Responses Due	August 10, 2009

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A Introduction and Background

The New York State Department of Health (NYS DOH) is charged with protecting the public health of all New York residents. Its mission is to protect and promote the health of New York residents through prevention, science, and the assurance of quality health care delivery. Within NYS DOH, the Vital Records Section performs the critical mission of filing, tracking, preserving, and confirmation of <u>births</u>, <u>deaths</u>, <u>fetal deaths</u>, and <u>marriages</u> for all of New York State *excluding* the five boroughs of New York City, and <u>dissolution of marriage</u> certificates for all of New York State *including* the five boroughs of New York City.

New York State possesses approximately 40,000,000 certificates consisting of approximately 50,000,000 pages of material and is investigating the possibility of converting all of these records to digital images and electronic text format, hereby referred to as "back-file conversion."

This document is a Request for Information (RFI) pertaining to that effort.

This RFI seeks feedback from qualified vendors who may be interested in bidding on the project when it becomes available. The NYS DOH seeks feedback on the base requirements, and ideas and suggestions for how to cost effectively conduct the project without compromising quality or timeliness.

B Back File Conversion Scope and Requirements

The following sections provide information about the nature of the documents to be converted, sufficient to support qualified vendors in preparing their responses to this RFI.

Note: ***Important Terminology:*** For all purposes related to back-file conversion, a "vital event **certificate**" is defined as all associated paperwork that represents a single event. This includes the certificate and any associated relevant materials; a certificate may consist of a single page of material or multiple pages of material, including but not limited to certificates, affidavits, licenses, forms, correspondences, or other material.

B.1 Scope

B.1.1 Summary of the Record Set

NYS DOH intends to convert the following records to digital images and electronic text:

- Birth Certificates–1880 to present; approximately 16.3 million certificates.
- Death Certificates–1881 to present; approximately 10.4 million certificates.
- Marriage Certificates–1881 to present; approximately 7.8 million certificates.
- Dissolution of Marriage Certificates–1963 to present; approximately 2.6 million certificates.
- Fetal Death Certificates–1880 to present; approximately 2.5 million certificates.

Note: All counts of certificates, and subsequent calculations of numbers of images to be produced and counts of keystrokes for data entry *are estimations*. The NYS DOH maintains the count of certificates to be accurate within 10%.

NYS DOH records consist of paper certificates and microfilmed certificates.

NYS DOH records consist of both handwritten and typewritten certificates as source content.

A NYS DOH record certificate may consist of single or multiple pages.

B.1.2 Birth Certificates

 "Birth certificates" consist of various versions and revisions of the following certificates:

- birth certificates (92% of all birth certificates),
- amended birth certificates (6% of all birth certificates; approximately 1 million certificates),
- A-series birth certificates/certificates of birth data (<1% of all birth certificates; approximately 35,000 certificates), and
- delayed birth registrations (1% of all birth certificates; approximately 160,000 certificates).

The total number of birth certificates includes certificates from each of these types of certificates. There are a total of approximately 16,300,000 birth certificates.

B.1.2.1   Conversion Source

The source material for birth certificates will primarily be paper; less than 1% of birth certificate source material will be microfilm.

All paper birth certificates are in bound books or in loose books in boxes.

All microfilm source is 16mm open reel rolls.

B.1.2.2   Versions and Sizes

There are approximately 22 versions of the New York State birth certificate. 85% of New York State birth certificates are between 8" and 9" wide and between 6" and 8" high. The vast majority of the remaining certificates will be 8.5"w x 11"h.

There are two historical versions of the A-series birth certificates, with an unknown number of additional versions interspersed throughout the record set.

There are an unknown number of versions of amended birth certificates and certificates of delayed birth registration.

These various versions and revisions may impact the *data entry* effort as the location of the information to be data entered from the certificates may change per version or revision. These various versions and revisions may impact the *imaging* effort as pertains to the sizes of the paper certificates that will be used as source material.

B.1.2.3   Data Fields and Estimated Data Entry Keystrokes

Birth certificates will require data entry for approximately 20 fields of data. These 20 fields will require approximately 154 data entry keystrokes to capture the data. The certificates will include type-written and hand-written information.

Amended birth certificates, A-series birth certificates/certificates of birth data, and delayed birth registrations will require a subset of these fields and commensurately fewer data entry keystrokes.

NYS DOH estimates that birth certificates will require approximately 2.510 billion keystrokes for data entry.

B.1.2.4   Imaging

Birth certificates are single sided forms and will require a single image to represent each certificate. These certificates will result in approximately 16,300,000 birth certificate images.

Certificates of delayed birth registration were double sided forms until 1984, and single sided forms from 1985 until present. The double-sided certificates of delayed birth registration will result in approximately an additional 160,000 birth certificate images.

NYS DOH estimates that birth certificates will result in a total of approximately 16,460,000 images.

B.1.2.5   Special Considerations

The following sub-sections describe special considerations that must be accommodated in the data entry or imaging effort and are provided to vendors as informational.

B.1.2.5.1   Corrections

Corrections are represented on birth certificate certificates in one of two ways.

- Interlineation

  Interlineation is the process of drawing a single line through incorrect information, placing an asterisk next to the field that is being corrected, and writing the correct information elsewhere on the document.

- Annotation

  Annotation is employed by the NYS DOH state-wide Perinatal Data System. For annotations, the correct information is *present* in the appropriate field, and annotations pertaining to the correction are printed at the bottom of the document.

Only the most current information is to be captured in the data entry effort.

For instances of interlineated corrections, data entry personnel will be required to identify the correct (i.e. current) information on the form. The fact of correction will be captured in the data entry effort.

B.1.2.5.2   Amended Certificates

An amended certificate is any certificate that has been placed under seal and replaced with a new certificate containing new information.

For all amended certificates, both the original as well as the amended certificate will be imaged and data entered. This will result in multiple certificates representing the same "case"; for these certificates, versioning information will need to be captured in the data entry effort. There are approximately 1,000,000 amended birth certificates.

The data entry effort will include identification and capture of the fact of an amended certificate, and capture of identifying amendment information for versioning purposes.

In some instances, amended birth certificates were produced with*out* the original file date on them. The data entry effort will include identification and capture of the fact of no file date.

B.1.2.5.3   A-Series Certificates

The A-series birth certificate is a type of certificate used for adoptions. The A-series was originally titled "birth certificate" and used for registration of adoptions of children born in and out of New York State as well as in and out of the country. The A-series birth certificates often have "by adoption" type-written on them.

More recently, the A-series is titled "Certificate of Birth Data" and is used exclusively to register adoption of foreign-born children.

For instances of A-series certificates where the child was not born in New York State, the data entry effort will include capture of this fact as well as the state in which the child was born.

For instances of A-series certificates where the phrase "By Adoption" was written on the certificate, the data entry effort will include capture of this fact.

B.1.2.5.4   Half Records

For some years, vital event administration adhered to a strict chronological-sequential assignment of state file numbers to birth certificates. When a birth registration occurred late, the registration would be "inserted" within the existing assigned state file numbers; such insertion was accomplished by assigning the same state file number a second time and appending a "-#" (numeric) or "-*a*" (alpha). This effectively created a duplicate state file numbered certificate; these duplicate certificates are not amended certificates but are referred to as "half records".

Half records occurred with:

- birth certificates,
- A-series birth certificates/certificates of birth data, and
- delayed birth registrations.

The data entry effort will include identification of these half records, capture of the fact of the half record (as opposed to capture of the fact of amendment—these certificates, while sharing a state file number like an amendment, are *not* amendments), as well as data entry of the number appended to the state file number.

B.1.2.5.5   Delayed Birth Registrations

For some years, delayed births were registered using the standard birth certificate forms and demarcated with a slash (\ ) across the upper right hand corner of the form.

The data entry effort will include identification of birth certificates that were used for delayed birth registrations, and capture of the fact of such delayed birth registration.

Note: These delayed birth registrations could also have been inserted into the chronological-sequential record set as a "half record."

B.1.2.5.6   "A.K.A." Certificates

For some years, if a child assumed a step-father's last name, NYS DOH would accept an acknowledgement of this fact, add the step-father's last name to the child's birth certificate, and mark it as "also known as" or "A.K.A".

The data entry effort will include identification of these "a.k.a." birth certificates, and capture of the "a.k.a." name *in addition to* the child's recorded last name.

B.1.2.5.7   Fetal Deaths

For some years fetal deaths were sometimes registered using birth certificate forms. This occurred from approximately 1915 through 1938, but there may be other years when this occurred. In these cases, the fact of fetal death is indicated on the certificate using notation.

The data entry effort will include identification of fetal deaths and capture of fetal death information from these certificates when present.

B.1.3   Death Certificates

"Death certificates" consist of various revisions of death certificates.

The total number of death certificates includes only this certificate type. There are approximately 10,400,000 death certificates.

B.1.3.1   Conversion Source

The source material for death certificates will include:

- Microfilm: 1881 through 1989 (78% of death certificates; approximately 8.1 million certificates)
- Paper: 1990 through 1994 and 2000 through present (17% of death certificates; approximately 1.8 million certificates)
- Electronic Images   1995 through 1999 (5% of death certificates; approximately 500,000 certificates)

The paper source certificates are in bound books or in loose books in boxes.

All microfilm source is 16mm open reel rolls.

B.1.3.2   Versions and Sizes

There are approximately fifteen (15) major versions of the New York State death certificate, with an additional fifteen (15) minor revisions interspersed throughout the record set.

Characteristics used to distinguish major versions include, but are not limited to, significant layout changes, changes to the size of the certificate, changes to the location of fields on the form, the addition of new fields, the removal of fields, changes to the name of the form.

Characteristics used to distinguish minor revisions include, but are not limited to, changes to the names of fields, changes to the fonts used, the addition or removal of fields.

These various versions and revisions may impact the *data entry* effort as the location of the information to be data entered from the certificates may change per version or revision.

These various versions and revisions may impact the *imaging* effort only as pertains to the sizes of the paper certificates that will be used as source material. NYS DOH assumes that for all microfilm source material, there will be no imaging impact due to versions and revisions. 100% of the paper certificates used as the conversion source material will be 8.5"w x 11"h.

B.1.3.3   Data Fields and Estimated Data Entry Keystrokes

Death certificates will require data entry for approximately 16 fields of data. These 16 fields will require approximately 105 data entry keystrokes to capture the data. The certificates will include type-written and hand-written information.

Prior to 1915, the registration district number was not included on the certificate. In these cases, the data entry effort will capture the county.

NYS DOH estimates that death certificates will require approximately 1.092 billion keystrokes for data entry.

B.1.3.4   Imaging

Death certificates are single sided forms and will require a single image to represent each certificate.

For approximately 500,000 certificates, NYS DOH will provide an electronic image (.tiff file) as its source certificate. For these instances, no imaging will be required; only data entry work will be required.

NYS DOH estimates that death certificates will result in approximately 9,900,000 new death certificate images.

B.1.3.5   Special Considerations

The following sub-sections describe special considerations that must be accommodated in the data entry or imaging effort and are provided to vendors as informational.

B.1.3.5.1   *Corrections*

Corrections are represented on the death certificates by interlineation. Interlineation is the process of drawing a single line through incorrect information, placing an asterisk next to the field that is being corrected, and writing the correct information elsewhere on the document.

Only the most current information is to be captured in the data entry effort.

For all interlineation instances, data entry personnel will be required to identify the correct (i.e. current) information on the form. The fact of correction will be captured in the data entry effort.

B.1.3.5.2   *Fetal Deaths*

For some years fetal deaths were sometimes registered using death certificate forms. This occurred from approximately 1915 through 1938, but there may be other years when this occurred. In these cases, the fact of fetal death is indicated on the certificate using notation.

The data entry effort will include identification of fetal deaths and capture of fetal death information from these certificates when present.

B.1.4   Marriage Certificates

A "marriage certificate" consists of one or more of the following forms:

- Affidavit,
- License,
- Certificate,
- supporting documents (as necessary).

The total number of marriage certificates includes one or more of the above-referenced forms. There are approximately 7,834,000 marriage certificates.

B.1.4.1 Conversion Source

The source material for marriage certificates will include:

- Microfilm: 1881 through 1994 (82% of marriage certificates; approximately 6.44 million certificates)

- Paper: 1995 through present (18% of marriage certificates; approximately 1.4 million certificates)

The paper source certificates are in bound books or in loose books in boxes.

All microfilm source is 16mm open reel rolls.

B.1.4.2 Versions and Sizes

There are approximately five (5) major versions of what constitutes a New York State marriage certificate. There are an unknown number of revisions of each of the named forms (above) interspersed throughout the record set. The major versions may affect each of the above-referenced forms.

Characteristics used to distinguish major versions include, but are not limited to, what forms are/were required, significant layout changes to any of those forms, changes to the size of any of those forms, changes to the location of fields on any of those form, the addition of new fields to any of those forms, the removal of fields from any of those forms, changes to the name of any of those form.

In addition to the major versions and revisions of the forms, there are three significant historical events that affect both the number of forms required for registering the event, and the layout of any of those forms. They are:

From 1881 through 1915, marriage certificates consisted of one of the following:

- one double-sided form, or

- two separate single-sided forms.

They constituted an affidavit (also known as "return" or "record") and a certificate.

From 1916 through 1984, marriage certificates consisted of one of the following:

- two double-sided forms, or

- one double-sided form and one single-sided form.

They constituted an affidavit, a license, and a certificate.

From 1985 until present, marriage certificates consist of:

- one single-sided form.

It constitutes an affidavit, a license, and a certificate.

These various versions and revisions may impact the *data entry* effort as the location of the information to be data entered from the certificates may change per version or revision.

These various versions and revisions may impact the *imaging* effort only as pertains to the sizes of the paper certificates that will be used as source material. NYS DOH assumes that for all microfilm source material, there will be no imaging impact due to versions and revisions. 100% of the paper certificates used as the conversion source material will be 8.5"w x 11"h.

B.1.4.3   Data Fields and Estimated Data Entry Keystrokes

Marriage certificates will require data entry for approximately 21 fields of data. These 21 fields will require approximately 220 data entry keystrokes to capture the data. The certificates will include type-written and hand-written information.

Given the nature of the record set, it is likely that the specified data will need to be captured from a variety of the named forms. NYS DOH's preference of which form to use for data entry is described below.

For 1881 through 1915:

1. affidavit (i.e. "return"),
2. certificate.

For 1916 through 1984:

1. license,
2. affidavit,
3. certificate.

For 1985 – present:

1. all information is present on the single-sided form.

Some fields were not present on earlier versions of the forms. Examples include:

- District Number: This field was instituted in 1979.
- Surname After Marriage: This field was instituted in 1987.
- Municipality Code: This field was instituted in 1998.

Prior to 1926, the registration district number was not included on the certificate. In these cases, the data entry effort will capture the county.

NYS DOH estimates that marriage certificates will require approximately 1.723 billion keystrokes for data entry.

B.1.4.4   Imaging

A marriage certificate consists of multiple single-sided and/or double-sided forms and will require multiple images to represent each certificate. On average, marriage certificates will result in approximately 2.3 images per certificate. These certificates will result in approximately 17,914,000 marriage certificate images.

For years 2000 to the end of the phase, any document that was used to serve as testament to a correction to a marriage certificate will have to be imaged as part of that certificate. These documents are referred to as "supporting documents." NYS DOH estimates that there are approximately 34,000 of these corrected marriage certificates, and that each will have on average 6 supporting documents. These corrected marriage certificates will result in approximately 204,000 additional images.

NYS DOH estimates that marriage certificates will result in a total of approximately 18,118,000 images.

B.1.4.5   Special Considerations

The following sub-sections describe special considerations that must be accommodated in the data entry or imaging effort and are provided to vendors as informational.

B.1.4.5.1   Corrections

Corrections are represented on marriage certificates by notation. Notation is the process of identifying incorrect information on a certificate with a symbol (e.g. *) and providing the correct information elsewhere on the document with a corresponding symbol.

For years 2000 to the end of the project, corrections to marriage certificate were annotated on a copy of the original certificate. In these instance, the original certificate will be imaged and data entered, and the updated copy of the certificate will be imaged and data entered, and a versioning mechanism will be used to delineate the versions.

For instances of notated corrections, data entry personnel will be required to identify the correct (i.e. current) information. The fact of correction will be captured in the data entry effort.

B.1.4.5.2   Reconstructed Marriage Certificates

In some *rare* cases, the finalized paperwork for a marriage was never received by NYS DOH and therefore was never registered. When NYS DOH has encountered one of these instances, it has reconstructed the certificate by obtaining a copy of the affidavit for license from county clerk, obtaining letters from the officients and witnesses, and obtaining copies of court or church records as they may be available.

The result of this reconstruction effort is a marriage certificate that does not have an executed license or certificate, but instead has supporting documents.

For these reconstructed marriage certificates, the necessary data will be obtained from the affidavit and various supporting documents. It is likely that the only image to be taken will be the affidavit. The fact and date of reconstruction will be captured in the data entry effort.

B.1.5   Dissolution of Marriage Certificates

Dissolution of marriage records consist of various versions and revisions of the Certificate of Dissolution of Marriage. The certificates will include type-written and hand-written information.

The total number of dissolution of marriage certificates includes only this certificate type. There are approximately 2,600,000 dissolution of marriage certificates.

B.1.5.1   Conversion Source

The source material for dissolution of marriage certificates will include:

- Microfilm: 1963 through 1999 (69% of dissolution of marriage certificates; approximately 1.8 million certificates)
- Paper: 2000 through present (31% of dissolution of marriage certificates; approximately 800 thousand certificates)

The paper source certificates are in bound books or in loose books in boxes.

All microfilm source is 16mm open reel rolls.

B.1.5.2　　Versions and Sizes

The NYS DOH has maintained dissolution of marriage certificates since 1963. In that time, there are three major revisions of the certificate.

These various versions and revisions may impact the *data entry* effort as the location of the information to be data entered from the certificates may change per version or revision.

These various versions and revisions may impact the *imaging* effort only as pertains to the sizes of the paper certificates that will be used as source material. NYS DOH assumes that for all microfilm source material, there will be no imaging impact due to versions and revisions. 100% of the paper certificates used as the conversion source material will be 8.5"w x 11; 100% of the microfilm source will be 8.5"w x 7.5"h.

B.1.5.3　　Data Fields and Estimated Data Entry Keystrokes

Dissolution of marriage certificates will require data entry for approximately 15 fields of data. These 15 fields will require approximately 139 data entry keystrokes to capture the data.

For early records, the district number may not be included on the certificate. In these cases, the data entry effort will capture the county.

Dissolution certificates will require approximately 361.4 million keystrokes for data entry.

B.1.5.4　　Imaging

Certificates of Dissolution of Marriage are single sided forms, but will require capture of two separate images to represent each certificate.

Dissolution of marriage certificates will result in a total of approximately 5,200,000 images.

B.1.5.5　　Special Considerations

The following sub-sections describe special considerations that must be accommodated in the data entry or imaging effort and are provided to vendors as informational.

B.1.5.5.1　　*Corrections*

Corrections are represented on the certificates through a mechanism called "interlineation." Interlineation is the process of drawing a single line through the incorrect information, placing an asterisk next to the field that is being corrected, and writing the correct information elsewhere on the document. Only the most current information is to be captured in the data entry effort. Data entry personnel will be required to identify the correct (i.e. current) information on the form. The fact of correction will be captured in the data entry effort.

B.1.5.5.2　　*Data Fields*

Given the nature of the record set for dissolution of marriage certificates, some fields may have originally been entered as literal information, but in later years coded. Coded fields will require fewer keystrokes than literals. In these instances, the literal keystroke counts were used to calculate the total keystroke counts.

B.1.6   Fetal Death Certificates

"Fetal death certificates" consist of various versions and revisions of:

- stillbirth certificates (4% of all fetal death certificates; approximately 90,000 certificates)
- fetal death certificates (57% of all fetal death certificates; approximately 1.4 million certificates),
- fetal death certificates — spontaneous (7% of all fetal death certificates; approximately 170,000 certificates),
- fetal death certificates — induced (32% of all fetal death certificates; approximately 800,000 certificates).

The total number of fetal death certificates includes certificates from each of these types of certificates. There are a total of approximately 2,500,000 fetal death certificates.

B.1.6.1   Conversion Source

The source material for fetal death certificates will include:

- Microfilm: 1880 through 1998 (76% of fetal death certificates; approximately 1.9 million certificates)
- Paper: 1999 through present (24% of fetal death certificates; approximately 600 thousand certificates)

The paper source certificates are in bound books or in loose books in boxes.

All microfilm source is 16mm open reel rolls.

B.1.6.2   Versions and Sizes

There are approximately three (3) major versions of fetal death certificates, each corresponding to a historical event.

- From 1880 through 1963, fetal deaths were registered using a stillbirth form.
- From 1964 through 1992, fetal deaths were registered using a fetal death form.
- From 1993 through present, fetal deaths are registered using either the fetal death – spontaneous form, or the fetal death – induced form.

There are an unknown number of revisions of each of the named forms (above) interspersed throughout the record set.

Characteristics used to distinguish major versions include, but are not limited to, what forms are/were required, significant layout changes to any of those forms, changes to the size of any of those forms, changes to the location of fields on any of those forms, the addition of new fields to any of those forms, the removal of fields from any of those forms, changes to the name of any of those forms.

These various versions and revisions may impact the *data entry* effort as the location of the information to be data entered from the certificates may change per version or revision.

These various versions and revisions may impact the *imaging* effort only as pertains to the sizes of the paper certificates that will be used as source material. NYS DOH assumes that for all microfilm source material, there will be no imaging impact due to versions and revisions.

100% of the paper Fetal Death — Induced certificates (approximately 475 thousand certificates) used as the conversion source material will be 8.5"w x 11"h.

100% of the paper Fetal Death — Spontaneous certificates (approximately 110 thousand certificates) used as the conversion source material will be 8.5"w x 14"h.

B.1.6.3   Data Fields and Estimated Data Entry Keystrokes

Fetal Death — Spontaneous, Fetal Death, and Stillbirth certificates will require data entry for approximately 16 fields of data. These 16 fields will require approximately 104 data entry keystrokes to capture the data. The certificates will include type-written and hand-written information.

Fetal Death — Induced certificates will require data entry for approximately 10 fields of data. These 10 fields will require approximately 47 data entry keystrokes to capture the data. The certificates will include type-written and hand-written information. Fetal Death — Induced certificates account for approximately 75% of all fetal death certificates.

From 1972 through 1987, fetal death forms included full social security numbers of the patient. For these years, the data entry effort will include capture of *the last four digits of the social security number only*.

For early records, the district number may not be included on the certificate. In these cases, the data entry effort will capture the county.

NYS DOH estimates that fetal death certificates will require approximately 150 million keystrokes for data entry.

B.1.6.4   Imaging

All fetal death certificates are single sided forms and will require a single image to represent each certificate.

NYS DOH estimates that fetal death certificates will result in a total of approximately 2,500,000 images.

B.1.6.5   Special Considerations

The following sub-sections describe special considerations that must be accommodated in the data entry or imaging effort and are provided to vendors as informational.

B.1.6.5.1   *Birth and Death Certificates*

For some years fetal deaths were sometimes registered using birth or death certificate forms. This occurred from approximately 1915 through 1938, but there may be other years when this occurred. These instances of fetal death will be captured during the phase of the project when birth and death certificates for these years are being converted.

B.2   Critical Project Requirements

B.2.1   Security

NYS DOH intends to apply strict security measures and protocols during the project to protect the documents and the information they contain, including but not limited to vendor responsibility and liability:

- for tracking, securing, locking, guarding, and monitoring the certificates in their possession, and for employing a security transportation firm for transport of physical records to and from NYS DOH facilities (where applicable);

- for safeguarding the certificates and their information from physical damage, theft, unauthorized copying, loss, compromise, re-distribution, disclosure, or security breach at all times while in their custody, and for employing procedures for responding to suspected security breach; this extends to all information systems used in the project;

- for keeping the physical records (paper or microfilm) within 300 miles of Albany, New York at all times (electronic images or data may be securely moved outside the 300 mile radius for legitimate, NYS DOH-approved work-related activities); all work must remain within the United States and its territories;

- for ensuring staff employed for the project pass criminal background checks (as allowed by law), have not been convicted of a felony, and are citizens of the U.S. or hold valid U.S. work Visas or naturalization papers;

B.2.2   Quality

NYS DOH intends to apply aggressive quality controls, including but not limited to:

- requiring the conversion vendor to employ and follow procedures for monitoring and controlling conversion quality;

- separately employing an independent verification and validation vendor to ensure the quality and timeliness of the conversion vendor's work;

- independently inspecting converted certificates to verify image and data entry quality;

- verifying achievement of image quality; image quality will be defined as:

    - image is of equal or greater readable quality than the original certificate,

    - image is identified with the correct filename (unique identifier comprised of State File Number, Certificate Type, Year),

    - image is correct size, scanned at agreed digital quality and resolution, is oriented properly (landscape or portrait), is not skewed, rotated, flipped, negated, or inversed, is not obscured, and does not contain digital artifacts or distortions, and does not contain extraneous materials scanned with the image (including but not limited to fingers, fasteners, staples, paper clips, or other items).

B.3 **Payment**

NYS DOH anticipates paying per certificate converted and accepted by NYS DOH, with all costs associated with delivering the final image and associated text in the specified formats must be included in a per certificate price. A converted certificate would consist of:

- an XML file containing certificate data,
- one or more related certificate image files.

NYS DOH is also considering employing payment penalties for poor quality work or failure to adhere to critical requirements, such as:

- rejection rates for quality sampling exceed an established threshold (i.e. poor image quality; inaccurate text from data entry);
- source certificates (paper and microfilm) returned to NYS DOH *not* in a prescribed order;
- converted images and certificate text are not properly associated;
- missing, lost, stolen, or damaged certificates;
- failure to adhere to security requirements.

C NYS DOH Questions

Qualified vendors are asked to respond to the following questions, and also to provide other general observations, advice, or suggestions related to a project of this nature. NYS DOH is particularly interested in feedback pertaining to controlling cost, ensuring quality, and security.

C.1 Project Scope and Record Set Questions

NYS DOH has the following questions regarding record set details:

1. What are New York State's greatest risks in conducting a project of this nature and scope? What activities can the State conduct to mitigate those risks?

2. Describe the process by which the project would be conducted (please provide reasonable detail, and include all aspects such as collection and inventory of records, transportation, imaging, data capture, quality assurance methods, number of people and roles involved).

3. Describe the preferred technologies, equipment and infrastructure that would be required to deliver a project of this size and scope. Identify what parties would be responsible for providing these components.

4. What is a reasonable timeframe for the entire project to be conducted? Should the project be conducted in "phases"? What phases should there be, and what would constitute a phase? How might phases or other timeframes affect project price? What approaches to the project might you propose or prefer?

5. NYS has a diverse set of source records (types, condition, nature) as described in this document; how does this diversity effect the overall project, price, timelines, automated versus manual processing of documents.

6. What is your expectation of State involvement in the project as relates to State staffing and/or other State resources (i.e. what commitment of State staffing resources might the NYS DOH expect during the course of this nature)?

    If possible, provide an estimate per phase such that NYS DOH can determine the number of records that would be handled in the phase and per month.

7. Have you conducted a conversion project of vital event records for other states? If so, what states?

C.2 Security Questions

NYS DOH has the following questions regarding security:

1. What is your reaction to the security requirements and our security concerns?

2. What are New York State's greatest security risks in conducting a project of this nature? What activities can the State conduct to mitigate or eliminate those risks?

3. What activities and/or actions do you recommend be conducted to ensure the security of vital event records, and the privacy of the information they contain?

4. What is your reaction to the requirement that physical copies of records be kept within 300 miles of Albany, New York?

5. What information technology architecture, technology and security measures do you employ on projects of this nature?

C.3   Quality Questions

NYS DOH has the following questions regarding quality:

1. What is the expectation for achievement of quality? How is quality defined and measured for images and data entered text?

2. What level of quality is achievable for images and data entered text?

3. What is the best or the preferred methodology for ensuring image and data entry quality? What is your experience with this (or these) methodologies?

4. What is the ideal image format, ensuring high quality image and low disk space consumption?

5. What is the ideal methodology for capturing text data from certificates, ensuring high accuracy while containing cost?

6. What is your reaction to the State's intention to use an IVV vendor?

C.4   Price and Payment Questions

NYS DOH has the following questions regarding pricing and payments:

1. What are the key factors, or what information do you need, to determine a price for a project of this nature?

2. How important is the accuracy of the estimated count of certificates, estimation of resulting images, and the estimation of keystrokes in your ability to scope the project and bid a price?

3. What is the typical or preferred pricing and payment model for a project of this nature?

4. What would be the most economical approach to this project, while maintaining all quality and security requirements? What contractual or other obligations would be associated with these other cost models?

5. Will pricing vary based on certificate source material? If so, what are the factors that most significantly affect price, and by how much will price vary?

6. Given the detail provided in this RFI about New York State's record set, what factors will most affect pricing?

7. What is your reaction to payment penalties?

8. What is your per certificate estimated price, and/or your estimated price for the entire project?

   Note: NYS DOH recognizes that this is an *estimate* and not a proposal price and is *non-binding*. NYS DOH would like to obtain this number strictly for long-range budget planning purposes in order to support moving the project forward to the RFP stage.

9. Aside from the source material, what other factors will or may most significantly affect the cost of the project?

10. What other approaches to the project could help contain the project's overall cost while achieving all quality and security goals?

D Instructions for Responding to this RFI

D.1 Who May Respond

This RFI seeks input from all interested parties who are:

- currently capable of conducting the project, and

- willing to provide responses to *all* questions listed in this RFI.

D.2 RFI Responses and NYS DOH Contact

Respondents may send questions regarding the content of this RFI to Mr. Peter Carucci IntelReform@health.state.ny.us.

To respond to this RFI, respond in writing to all questions **by August 10, 2009**. Submit your responses to:

Mr. Peter Carucci
Back-File Conversion RFI
NYS Department of Health
Vital Records
800 North Pearl Street
Menands, New York 12204

Electronic versions may be submitted to:

IntelReform@health.state.ny.us

D.3 Respondent Meetings

NYS DOH is interested in meeting with respondents who have submitted their written responses by the deadline to discuss the written information provided.

Meetings will be held at the discretion of NYS DOH at a time to be announced.

The intent of the meetings will be to clarify information included in written responses. Verbal clarifications provided by respondents during these meetings should be documented and submitted to NYS DOH in writing within fourteen (14) calendar days after the meeting.

D.4 RRI Response Contacts

NYS DOH requests that all organizations responding to this RFI designate a single contact within their organization for receipt of all subsequent information pertaining to this RFI.

D.5 Review Process

This RFI is being issued with the intent to obtain information.

Written responses to this RFI will be reviewed and considered by the NYSDOH in preparation for the issuance of a Request for Proposal (RFP) to support the back file conversion project.

NYS DOH is under no obligation to use any information or material submitted in response to this RFI.

D.6 Reimbursement

NYS DOH will not reimburse respondents for any costs associated with preparation of their responses to this RFI, including but not limited to attendance at respondent meetings.

D.7 Ownership

Ownership of all data, material and documentation originated and prepared for NYS DOH pursuant to this response will belong exclusively to NYS DOH.

D.8 Public Information Requirements

Disclosure of information submitted in response to this RFI shall be permitted consistent with the laws of the State of New York and specifically the Freedom of Information Law (FOIL) contained in Article 6 of the Public Officers Law.

The State shall take reasonable steps to protect from public disclosure any of the information submitted in response to this RFI which is exempt from disclosure. Information constituting trade secrets or critical infrastructure information for purposes of FOIL shall be clearly marked and identified as such by the Respondent upon submission.

If the Respondent intends to seek an exemption from disclosure of claimed trade secret materials or claimed critical infrastructure information under FOIL, the Respondent shall at the time of submission, request the exemption in writing and provide an explanation of (i) why the disclosure of the identified information would cause substantial injury to the competitive position of the Respondent, or (ii) why the information constitutes critical infrastructure information that should be exempted from disclosure pursuant to §87(2) of the Public Officers Law.

Acceptance of the identified information by the State does not constitute a determination that the information is exempt from disclosure under FOIL. Determinations as to whether the materials or information may be withheld from disclosure will be made in accordance with FOIL at the time a request for such information is received by the State.

D.9 Disclaimer

This RFI is issued solely for informational purposes and does not constitute a procurement or solicitation.