State of Connecticut

Request for Proposal #13PSX0284

TO PROVIDE NDNP-COMPLIANT DIGITIZATION, OCR & XML METADATA SERVICES FOR NEWSPAPERS ON MICROFILM

Contract Specialist: Susanne Hawkins

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Department of Administrative Services

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Request for Proposals (RFP)

TO PROVIDE NDNP-COMPLIANT DIGITIZATION, OCR & XML METADATA SERVICES FOR NEWSPAPERS ON MICROFILM

Guide to Electronic Proposal Submissions

1. Introduction To BizNet

It is now a requirement of Department of Administrative Services (DAS)/Procurement Services that all Companies create a Business Network (BizNet) Account and add your company profile in the BizNet system. Companies are responsible for maintaining company information as updates occur. Please Note: If you are certified through the Supplier Diversity or the Pre-Qualification Program, you have already created a BizNet account.

The BizNet login is**:** https://www.biznet.ct.gov/AccountMaint/Login.aspx

New Companies: Create an account by clicking the BizNet login link above and then the button on the right labeled "Create New Account". Login and select CT Procurement and Company Information. Please be sure to complete information in all tabs (Company Information, Accounts, Address, etc…).

Existing Companies Needing to Update Their Information: Login to BizNet and select CT Procurement and Company Information.

If you are having difficulty connecting to your account or downloading/uploading forms, please call DAS/Procurement Services at 860-713-5095.

2. Business Friendly Legislation

As a result of Public Act 11-229, DAS/Procurement Services' goal is to make doing business with the State of Connecticut more business friendly. To eliminate redundancy, forms that were repetitively filled out with each request for proposal are being automated in BizNet.

DAS/Procurement Services began the transition to on-line bidding by automating the submission of Affidavits and Non-Discrimination forms on October 1, 2011. Companies can submit forms electronically to their BizNet account if they haven't already done so. These forms must be updated on an annual basis, no later than 30 days after the effective date of any material change rather than completing them with each proposal submittal. Companies that have already filed these forms have the ability to view, verify and update their information prior to submitting a proposal response.

Instructions for Uploading Affidavits and Non-Discrimination Forms:
Click on the following link for instructions on how to upload Affidavits and Non-Discrimination forms:
http://das.ct.gov/images/1090/Upload%20Instructions.pdf

(a) AFFIDAVITS

THE FOLLOWING FORMS MUST BE SIGNED, DATED, NOTARIZED, UPLOADED OR UPDATED ON BIZNET. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN INTO BIZNET AND FOLLOW THE INSTRUCTIONS LISTED ABOVE.

(1) OPM Ethics Form 1 – Gift & Campaign Contribution Certification

(2) OPM Ethics Form 5 – Consulting Agreement Affidavit
(3) OPM Ethics Form 6 – Affirmation of Receipt of State Ethics Laws Summary
(4) OPM Form 7 – Iran Certification

For information regarding these forms, please access the Office of Policy & Management's website by clicking on the following link: http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038

(b) NON-DISCRIMINATION –

CHOOSE ONE (1) FORM THAT APPLIES TO YOUR BUSINESS. COMPLETE AND UPLOAD OR UPDATE ON BIZNET ANNUALLY. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN INTO BIZNET AND FOLLOW THE INSTRUCTIONS LISTED ABOVE.

(1) Form A – Representation by Individual (Regardless of Value)
(2) Form B – Representation by Entity (Valued at $50,000 or less)
(3) Form C – Affidavit by Entity(RECOMMENDED) (Valued at $50,000 or more)
(4) Form D – New Resolution by Entity
(5) Form E – Prior Resolution by Entity

For information regarding these forms and on which form your company should complete, please access the Office of Policy & Management's website by clicking following link:
http://www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav_GID=1806

3. New Revised Process – Online Proposal Responses

Any proposal posted by DAS/Procurement Services must be submitted electronically. The common forms listed below have also been automated in the BizNet system. In addition, specific forms are now fillable, as noted below. To complete forms; download them from your BizNet account, complete your submittal response, and upload these documents (as well as any other required submittal documents) through BizNet prior to the opening date and time. Late submissions will not be accepted. Proposals are not publicly opened and are not available for viewing until after the Contract has been awarded.

- Signature Page (RFP-26)
- Employment Information Form (DAS-45) – Fillable Form
- OSHA Certificate of Compliance (DAS-12) – Fillable Form
- Statement of Qualifications (DAS-14) – Fillable Form
- Contract Exhibit B – Price Schedule (RFP-16)
- RFP Addendum (RFP-18) – if applicable

Additional forms such as those listed below must be reviewed carefully and accepted by the proposer prior to proposal submittal:

- Standard Terms and Conditions (RFP-19)
- Vendor Authorization Guidelines (DAS-28)
  - This form must be signed by the person identified in the Corporate Resolution or By-Laws, as the party legally authorized to bind the company. A link to sample forms is provided below: http://das.ct.gov/Purchase/Info/Vendor_Authorization_and_Guidance_081106.pdf
- Request for Proposal Document (RFP-22)
- Request for Proposal Contract (RFP-50)
- Contract Exhibit A.1 – Description of Goods & Services
- Contract Exhibit A.2 – Additional Terms and Conditions
- Contract Exhibit C – SEEC Form 11

4. Insurance Accord Certificates

Contractor is responsible for maintaining their BizNet account with new and/or updated insurance information.

Documentation will need to be uploaded to your BizNet account evidencing that the state is an additional insured:

(a) Certificate of Insurance (Accord Form)
(b) The insurance policy declaration page
(c) The additional insured endorsement to the policy

Training documentation is available through the DAS Website under "DAS Business Friendly Initiatives" at the following website: http://das.ct.gov/cr1.aspx?page=371

Proposers are cautioned that there may be additional documents, attachments or requirements depending on the complexity of the RFP. Please read ALL RFP documents carefully and provide all required information. Failure to do so may result in rejection of your proposal.

Overview / Scope of Services

The Department of Administrative Services is issuing this request for proposal to provide newspaper images and metadata to the National Digital Newspaper Program (NDNP) that will be loaded into the Library of Congress's Chronicling America database on behalf of the Connecticut State Library, herein, known as the Client Agency. The Client Agency has been initially awarded a two-year grant from the National Endowment for the Humanities to expedite this service. The National Endowment for the Humanities, in its sole discretion, may extend the initial grant for additional terms beyond the original term.

This contract replaces the following contract award(s) in part or in total: NONE

Instructions to Proposers

1. **Proposal Schedule**

RELEASE OF RFP:	Date:	25 October 2013
RECEIPT OF QUESTIONS:	Date:	31 October 2013, by noon Eastern Time
ANSWERS TO QUESTIONS POSTED AS ADDENDUM:	Date:	6 November 2013
RFP DUE DATE:	Date:	25 November 2013 at 2:00 pm Eastern Time

2. **Questions:**

   Questions for the purpose of clarifying this RFP must be received no later than the date and time specified in Section I, "Proposal Schedule" and must be directed to the Contract Specialist via email: Susanne.hawkins@ct.gov

3. **Communications**

   During the period from your organization's receipt of this Request for Proposal, and until a contract is awarded, your organization shall not contact any employee of the State of Connecticut concerning this procurement except in writing via email directed to the Contract Specialist, Susanne Hawkins.

4. **Solicitation Submission**

   Solicitations shall be submitted online by the RFP due date and time only. Proposers must upload their solicitation submission to their BizNet Account.

Product and/or Service Specifications

1. **The Client Agency shall:**

a. Provide duplicate negative microfilm of newspapers that are free of copyright restrictions or is being used with permission
b. Provide the Contractor with detailed information about every title and reel, and collation of each issue and page on each reel, to be used to create the NDNP-compliant metadata
c. Provide portable hard drives for the digital files and pay for shipping film and hard drives from the Client Agency to the Contractor

2. **The Contractor shall:**

a. Provide image and metadata files that comply with the National Digital Newspaper Program (NDNP) specifications (validated using DVV software from Library of Congress) and that can be loaded into the Library of Congress database
b. Provide these files to meet the current NDNP specifications and, as time goes on, to meet the latest update to the NDNP specifications
c. The files should also be re-useable in other systems or for other purposes
d. Provide a mainland U.S. shipping address for receipt of microfilm and portable hard drives from the Client Agency

3. **NDNP Microfilm Processing Specifications:**

a. Provide validated master digital page image format=Grayscale, scanned for maximum resolution possible between 300-400 dpi, relative to the original material, uncompressed TIFF 6.0
b. Validated derivative digital page image format=JPEG2000 (JP2) using specified compressions options
c. Validated OCR text file with bounding-box coordinates for associated bounding boxes for words= text file per page
d. Validated PDF Image with Hidden Text, i.e., with text and image correlated = 1 PDF per page
e. Structural metadata to relate pages to title, date, and edition, sequence pages within issue or section; and to identify image and OCR files
f. Validated metadata using METS in accordance with guidelines (all digital assets in a METS object structure, Metadata Encoded Transmission Schema) according to an XML Batch template structure
g. Deliverable files should organize the page images and related files for each newspaper title in a hierarchical directory structure sufficient for identification of the individual digital assets from the metadata provided
h. Note: The four digital files associated directly with a newspaper page (TIF, JP2, PDF, and OCR) are expected to use the same file identifiers with distinct file extensions

4. Digital Page Image Specifications:

a. Images shall be 8-bit grayscale scanned from 2N silver negative microfilm at the maximum resolution possible, between 300 and 400 dpi, relative to the physical dimensions of the original newspaper, rather than the microfilm
b. Each JPEG2000 will incorporate appropriate XMP metadata, will be 6 decomposition levels, and 25 quality levels, compression shall be 8:1
c. A standards-based target film strip must be scanned at the start of each session. Target for NDNP project to be provided by the Client Agency. Target test images shall be delivered with page images
d. Exclude the other informational targets, such as START or JANUARY 1902 or ISSUE(S) MISSING, that typically appear interfiled with the newspaper pages on microfilm. These targets do not need to be scanned, or, if scanned automatically, do not need to be processed and delivered
e. Newspapers microfilmed two sheets per frame should be split into two separate image files and must be assigned appropriate corresponding metadata
f. Images with more than 3 degrees of skew should be deskewed
g. Page image files should be cropped to the page edge (not to the text block boundaries), retaining the actual edge and up to ¼ inch beyond
h. All operations that change the image dimensions, spatial resolution, or orientation (e.g., cropping, deskewing) shall be made to the TIFF before OCR processing
i. The grayscale master TIFF files must have the same dimensions, spatial resolution, cropping and deskewing as the images used for OCR, but no other enhancements (e.g. sharpening, contrast enhancement, etc.) may be used in the OCR-creation process

5. Uncorrected OCR Text File Specifications:

a. One OCR text file per page image shall be provided. (Discrete files produced for each page)
b. Each OCR text file name must correspond to the page image it represents. Text must be encoded in the UTF-8 character set
c. No graphic elements shall be saved with the OCR text
d. The OCR text shall be ordered column-by-column (i.e. in a natural reading order) with bounding-box coordinate data at the word level
e. The OCR text shall be encoded using the ALTO (Analyzed Layout and Text Object) schema, Version 1-4 or greater
f. Use of the SourceImageInformation\fileName element is required; and should be included in the path if path contains useful information
g. If the OCR process generates coordinates for zones, the segmentation data shall be removed from the METS/ALTO object prior to delivery to Library of Congress
h. All page images shall be accompanied by an ALTO XML file containing recognized text
i. If possible, provide these additional elements for OCR files: Confidence level data at the page, line, character, and/or word level; point size and font data at the character or word level

6. Image PDF with Hidden Text Specifications:

a. A PDF Image file with Hidden Text shall be provided for each page image
b. Each searchable PDF file name corresponds to the page image it represents
c. The PDF files should incorporate appropriate XMP metadata
d. Page image must be grayscale, downsampled to 150dpi and encoded using a medium JPEG quality setting
e. Only the 14 standard Type1 fonts may be used. These fonts may not be embedded
f. Text streams must be Flate encoded
g. The page image may not contain any bookmarks, links, named destinations, comments, forms, Javascript actions, external cross references, alternate images, embedded thumbnails, annotations, or private data
h. The PDF may not be tagged; must open to Fit Page sizing; open to single page layout; will open with neither document outline nor thumbnail images available; will open with the tool bar, menu bar, and user interface elements visible
i. The PDF shall not open centered in the screen; will not be encrypted, digitally signed, or have any security
j. The PDF shall be linearized (also known as "Fast Web View" and shall be compatible with Acrobat 5.0 or later. Except where conflicting with any of the other requirements of this profile, the PDF shall conform to PDF/A (ISO 19005-1)

7. Specifications for Metadata for all Image Files:

a. Structural metadata for pages, issues, editions, and titles shall be organized by date to support a chronologically-based browsing interface
b. Headers for all image deliverables (TIFF, JPEG2000, and PDF) should incorporate tagged metadata relating to the creation of the images
c. Technical metadata describing the quality characteristics of the film used for digitization must be encoded in a XML METS object
d. Target test images used in scanning shall be described in the reel metadata

8. Validation Specifications:

a. All digital objects shall conform and validate to NDNP technical specifications
b. Assets should be ready to be delivered to Library of Congress in a prescribed directory structure conforming to the "BagIt" specification, a hierarchical package format for transferring digital content

Proposal Requirements

1. **Contract Period**

The State intends that this contract shall be in effect for a period of 6 years, from Date of Award through December 31, 2019.

DAS, in its sole discretion, may extend this Contract for additional terms beyond the original term, prior to Termination or expiration, one or more times for a combined total period not to exceed the complete length of the original term.

2. **Mandatory Extension to State Entities**

Contractor shall offer and extend the contract (including pricing, terms and conditions) to political sub-Divisions of the State (towns and municipalities), schools, and not-for-profit organizations.

3. **Quantities and/or Usages**

Any quantities set forth in this RFP are estimated quantities and/or usages only and in no way represent a commitment and/or intent to purchase any particular amount. Actual quantities may vary and will be identified on individual purchase orders issued by the requesting entity.

4. **Brand Name Specifications and/or References**

The use of the name of a manufacturer or of any particular make, model or brand in describing an item does not restrict proposers to that manufacturer or specific article unless limited by the term "no substitute". However, the article being offered must be of such character and quality so that it will serve the purpose for which it is to be used equally as well as that specified, and the proposer shall warrant to the State that it is fit for that purpose. RFPs on comparable items must clearly state the exact article being offered including any and all applicable options and the proposer shall furnish such other information concerning the article being offered as will be helpful in evaluating its acceptability for the purpose intended. If the proposer does not indicate that the article offered is other than as specified, it will be understood that the proposer is offering the article exactly as specified. Proposers must submit complete documentation on the specifications and quality levels of the proposed products. RFPs submitted that do not contain this documentation are subject to rejection.

5. **P-Card (Purchasing MasterCard Credit Card)**

Purchases for all state agencies that are less than $1,000 shall be made using the State of Connecticut Purchasing Card (MasterCard) in accordance with Memorandum No. 2011-11 issued by the Office of the State Comptroller.

Contractor shall be equipped to receive orders issued from this Contract using the Mastercard. The Contractor shall be responsible for the credit card user-handling fee associated with credit card purchases. The Contractor shall charge to the State's MasterCard only upon acceptance of goods or rendering of services.

The Contractor shall capture and provide to their merchant bank, Level 3 reporting at the line item level for all orders placed by MasterCard.

Questions regarding the state of Connecticut MasterCard Program should be directed to Ms. Kerry DiMatteo, Procurement Card Program Administrator at (860)713-5072.

6. **Subcontractors**

DAS must approve any and all subcontractors utilized by the contractor prior to any such subcontractor commencing any work. Contractor acknowledges that any work provided under the contract to any state entity is work conducted on behalf of the State and that the Commissioner of DAS or his/her designee may communicate directly with any subcontractor as the State deems to be necessary or appropriate. Contractor shall be responsible for all payment of fees charged by the subcontractor(s). A performance evaluation of any subcontractor shall be provided promptly by the contractor to DAS upon request.

7. **Stability of Proposed Prices**

Any price offerings from proposers must be valid for a period of 120 days from the due date of the proposals.

8. **Amendment or Cancellation of the RFP**

DAS reserves the right to cancel, amend, modify or otherwise change this RFP at any time if it deems it to be in the best interest of the State to do so.

9. **Proposal Modifications**

No additions or changes to any proposal will be allowed after the proposal due date, unless such modification is specifically requested by DAS. DAS, at its option, may seek proposer retraction and/or clarification of any discrepancy or contradiction found during its review of proposals.

10. **Proposer Presentation of Supporting Evidence**

Proposers must be prepared to provide any evidence of experience, performance, ability, and/or financial surety that DAS deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

11. **Proposer Demonstration of Proposed Services and or Products**

At the discretion of DAS, proposers must be able to confirm their ability to provide all proposed services. Any required confirmation must be provided at a site approved by DAS and without cost to the State.

12. **Erroneous Awards**

DAS reserves the right to correct inaccurate awards. This may include, in extreme circumstances, revoking the awarding of a contract already made to a proposer and subsequently awarding the contract to another proposer.
Such action on the part of DAS shall not constitute a breach of contract on the part of DAS since the contract with the initial proposer is deemed to be void and of no effect as if no contract ever existed between DAS and such proposer.

13. **Proposal Expenses**

Proposers are responsible for all costs and expenses incurred in the preparation of proposals and for any subsequent work on the proposal that is required by DAS.

14. **Ownership of Proposals**

All proposals shall become the sole property of the State and will not be returned.

15. **Ownership of Subsequent Products**

    Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State unless otherwise stated in the contract.

16. **Oral Agreement or Arrangements**

    Any alleged oral agreements or arrangements made by proposers with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

Selection Criteria

A selection committee will review and score all proposals. The following information, in addition to the requirements, terms and conditions identified throughout this RFP Document, will be considered as part of the Selection process and are listed in order of relative importance.

1. **Applicable Content**
   - (a) Ability to meet specifications, requirements, terms and conditions
   - (b) Ability to provide service
2. **Business Information:**
   - (a) Length of Time in Business
   - (b) Appropriate Insurance
   - (c) References
3. **Account Management**
   - (a) Strategy for managing contract and customer service approach
   - (b) Ability to adhere to Quality Assurance requirements
   - (c) Reporting Capabilities
4. **Value**
   - (a) Form RFP-16 Exhibit B Price Schedule
5. **Delivery**
   - (a) Ability to adhere to delivery requirements

DAS may award by individual item, group of items, or the entirety of all items. DAS may also reject any and all RFPs in whole or in part, and waive minor irregularities and omissions if the best interest of the state will be served.

Submittal Requirements

Submittal requirements are listed in the order of importance for this RFP.

1. **Applicable Content**

   (a) Demonstrate through supplying samples of NDNP-compliant images and metadata, preferably of pre-1923 newspapers.

   (b) Demonstrate through supplying written documentation that the Contractor has experience successfully providing digitization services of the type described in these specifications, including the process used to create files and metadata to meet project specifications within deadlines. State the number of years of experience working on digital project and specify which years these were NDNP projects.

   (c) Supplying written documentation to demonstrate that the Contractor's facility has the proper equipment and trained staff to provide the requested service

2. **Business Information:**

   (a) Provide a brief business history outlining the types of services the company provides and the length of time they have been in business providing those types of services

   (b) Ability to provide three (3) references where the Contractor provided similar scope of work, preferably other NDNP clients, please provide the following information for each reference: Name of Company, Contact Name and Phone Number, email address, Scope of work

   (c) Ability to provide proof of insurance that complies with contract documents specified requirements

   (d) Past 2 years financial statements
   Should proposers wish this information to be considered confidential, this information should be marked "Confidential", and this information will not be made viewable to the public and will only be reviewed by the evaluation committee.

3. **Account Management**

   (a) Plan for contract management

   (b) Provide examples of training of experienced personnel that would be assigned to coordinate and conduct work as specified in this RFP

   (c) Contractor's Quality Assurance Plan for providing the scope of work for this contract

   (d) Contractor shall provide a full set of 10 issues of NDNP compliant images and metadata samples as described in the specifications preferably of newspapers published prior to 1922

4. **Value**

   (a) Contractor's pricing submitted on Form RFP-16 Exhibit B Price Schedule

5. **Delivery**

   (a) Contractor's demonstrated ability to complete and deliver specified work on schedule with no or few errors or problems or rework

Index of Abbreviations / Definitions

DAS – The Department of Administrative Services

CSL – The Connecticut State Library

NDNP – National Digital Newspaper Program

OCR – Optical Character Recognition

XML – Extensible Markup Language

METS – Metadata Encoded Transmission Schema

Metadata – data about the digital image, including where and when it was scanned, the title of the object, and more

DVV Software – Digital Viewer and Validator software from the Library of Congress

Grayscale –Digital images captured in shades of gray

Dpi – Dots per inch

TIFF – Tagged Image File Format for storing images

JPEG2000 (JP2) – an image compression standard created by the Joint Photographic Experts Group committee

PDF – Portable Document Format

skew – "to turn or place at an angle; to give a bias to, to distort" (definition from www.freedictionary.com)

deskewed – to rotate a scanned image to compensate for skewing (definition from en.wiktionary.org)

spatial resolution – the ability of a camera to capture the small details on a page

UTF-8 – UCS Transformation Format -8 bit. Character encoding used in software, the WWW and programming

Flate Encoded – a data compression format

ALTO – Analyzed Layout and Text Object

Javascript – a computer programming language

PDF/A – see ISO 19005-1

ISO 19005-1 Document management - Electronic document file format for long-term preservation – Part 1: Use of PDF 1.4 (PDF/A). A "standardized version of the Portable Document Format (PDF) specialized for the digital preservation of electronic documents" from the International Organization for Standardization (Wikipedia, article on PDFA)

BagIt – A hierarchical package format for transferring digital content

Attachment 1 - Sample Contract

This RFP is not a contract and, alone, shall not be interpreted as such. Rather, this RFP only serves as the instrument through which proposals are solicited. The State will pursue negotiations with the proposer whose proposal scores highest. If, for whatever reason, DAS and the initial proposer fail to reach consensus on the issues relative to a contract, then DAS may commence contract negotiations with other proposers. DAS may decide at any time to suspend the current RFP process and start the RFP process again.

Attachment 1 to this RFP is a draft contract and it is included in this RFP for informational purposes only in order to show some contract provisions that the State of Connecticut requires. It is not intended to, and will not, be the specific contract that the State and the successful vendor(s) will sign. After DAS selects a vendor, DAS will deliver a draft contract to the vendor for consideration and negotiation. The contract that DAS and the successful vendor will sign may vary from Attachment 1. The contract may include a liquidated damages clause at the discretion of the State.