

RFI 25-001; Disaster Recovery Printing Services

Response to Vendor Questions

#	PAGE # OR SECTION #	RESPONDENTS QUESTION	State Comptroller Answer
1	Envelope Questions	On the outer envelopes are the permits pre-printed on the outer envelope? Are they all the same or different?	The envelopes do not have permits pre-printed. The PDF file for Department of Child Support warrants has a pre-printed permit, but Department of Revenue warrants do not.
2	Postage	Are there any postal compliance requirements - CASS, NCOA, PAVE, etc.	No, none are required as part of the RFI. The State's current mail vendor participates in the USPS Seamless Acceptance program, which complies with all USPS requirements.
3	Postage	IMBs – Are intelligent mail barcodes required?	No, IMBs are not required.
4	Postage	Postage – all first class? What forms are required, how is the postage funded and applied for the Permits?	Mail currently goes out pre-sorted first class. The State's mail vendor uses metering systems and then bills the Comptroller's Office (or other agencies) based on a daily report provided to them by the Comptroller's Office. When the Comptroller's Office previously contracted for a specific warrant mailing project, the vendor paid the postage and then invoiced the Comptroller's Office. The Comptroller's Office is open to proposals where postage would be paid by the respondent and then invoiced to the Indiana State Comptroller and will consider other options proposed by respondents.
5	Postage	Does the state qualify for Mail Anywhere with the USPS?	It is believed the Comptroller's Office should qualify but would need to do further research to confirm eligibility and that there are no legal restrictions.
6	Materials / Stock	Can you provide samples of the Envelopes, Check Stock versions or File of the Base Check Stock? Are the checks sequentially numbered?	Sample documents can be provided with a signed NDA (RFI attachment A). The warrant stock currently has a red document control number on both the check and the pay stub that is sequential. Warrant numbers (generated from PeopleSoft) may not be sequential as \$0 payments are suppressed from generating a warrant.
7	Processing Requirements	Are there any ancillary processing requirements – inserts, additional pages/addendums, stickers/labels, etc.	No, there are no ancillary processing requirements. As noted on page 4 of the RFI, under Payment Documents, multi-advice documents are paired with, and mailed in the same envelope as, their corresponding warrants. The Comptroller's Office prefers this to be the case during a disaster recovery scenario, but it is not a mandatory requirement.
8	Turnaround times	Turnaround time - What programs require Same Day or Next Day Processing for Print and Mail?	The mandatory turnaround times for high priority warrants and tax documents are given on page 5 of the RFI under Service Level Agreements. For medium/low priority warrants and payment documents, the State Comptroller has not currently identified a mandatory turnaround time and is interesting in timelines proposed by respondents. For other documents, the turnaround times would be discussed with the vendor as the needs may vary depending on the project.
9	Exceptions	Do you have exceptions that need to be shipped via Courier (FedEx, UPS, Priority Mail)?	Sample warrants to be used for testing are typically sent to the State's bank overnight. From time to time the Comptroller's Office will pull warrants out for an agency to pick up from the Comptroller's Office. In a disaster recovery scenario, if that occurs, the Comptroller's Office might request they be overnighted by the vendor to the agency.
10	RFI pp.1-8, especially including page 3, and Response Instructions Item 14, p. 8.	Should the Disaster Recovery [DR] component of the State's intended solution include business processes readiness, IT systems operational readiness, or other purposes, or a combination of any of the 3, in addition to the RFI's DR printing and mailing services?	No, this RFI is specifically for disaster recovery printing and mailing services.
11	Att. C Cost Proposal Activities & Cost Description table; RFI pp. 1-8	Would the State please confirm whether or not there is an expected DR testing frequency for the DR component of the solicitation to maintain the readiness of the DR solution, and, if so, what is that frequency (e.g., monthly, bi-quarterly, quarterly, etc.)? Does the State expect a minimum testing frequency of payment processing specifically? Does the State expect testing of other DR elements and what would be the minimum testing frequency for those elements?	The Comptroller's Office is open to respondents' proposals of testing frequency.
12	Att. C Cost Proposal Activities & Cost Description table; RFI pp. 1-8	Can the State confirm if the payments to payees for checks or warrants will be drawn from the State's bank(s), and paid to the payees from the State's bank(s) directly, or is the State expecting to reimburse the vendor for payments? Does each department listed in the "Warrants" sub-section on page 3 of the RFI draw on separate banks and/or accounts, and if so does the check/warrant stock and/or envelopes need to reflect that?	Warrants will be drawn from the State's bank and paid to the payees from the State's bank directly. All warrants draw from the same bank account.

13	RFI p.7, Item 6.	What percentage of the regular printing does the State expect would comprise the total of the regular and DR printing combined?	Regular printing is not a mandatory requirement for the purposes of the RFI. The Comptroller's Office is open to proposals that include regular printing and welcome input from respondents on what they are able to offer.
14	RFI pp.3-4	Does the State follow the Government Printing Office (GPO)'s MICR printing guidelines? Does the State follow any guidance other than the GPO's MICR printing guidelines?	The Comptroller's Office does not explicitly follow the GPO guidelines, but Wells Fargo has specific guidelines that must be followed. These are included in the Mandatory Specifications for Warrants on page 5, but the Wells Fargo guidelines are being provided with this Response to Vendor Questions document as "Wells Fargo MICR Document Design Specifications.pdf".
15	RFI pp.3-4	Does the State currently use or expect the vendor to use Enterprise-grade MICR printers, or a lower-grade high-volume MICR printer? Does the State currently use or expect the vendor to use MICR verification systems in addition to MICR capable printers? Is there any special equipment for MICR printing that the State currently uses or expects the vendor to use?	The Comptroller's Office prints all warrants, tax documents, payment documents, and most letters on Ricoh Pro 8320M printers. Respondents are not required to use any specific equipment as long as the output meets the mandatory requirements of the RFI.
16	No Page	What is the proposed duration of the contract for this project, including any options for renewal or extension?	The Comptroller's Office IT contracts are typically awarded for one year and renewed annually, up to a maximum of four years in accordance with the State's guidelines. The Comptroller's Office is open to contracting for an initial period of up to four years.
17	RFI, page 8 of 12, item 12	Can you provide a detailed description of your quality control process, specifically focusing on the steps taken to prevent and identify issues related to MICR and formatting errors?	Specific print settings, such as spacing adjustments made on the printers, will be provided to the awarded vendor. All warrant PDF layouts, paired with print settings, have been tested and validated by our bank, Wells Fargo. The Comptroller's Office completes internal quality control of every print run, such as visual review of all batches of warrants. If anything appears to be incorrect, the Operations team manually validates using a MICR gauge such as <a href="https://www.elfring.com/micr-gauge.htm">https://www.elfring.com/micr-gauge.htm</a> . The Comptroller's Office also sends batches of warrants to Wells Fargo for validation on an as-needed basis, usually if the rejection rate exceeds the 1.5% threshold.
18	RFI, page 8 of 12, item 12	What specific measures do you have in place to ensure that the reject rate remains below 1.5% for warrants printed under the disaster recovery contract?	Specific print settings, such as spacing adjustments made on the printers, will be provided to the awarded vendor. All warrant PDF layouts, paired with print settings, have been tested and validated by our bank, Wells Fargo. The Comptroller's Office completes internal quality control of every print run, such as visual review of all batches of warrants. If anything appears to be incorrect, the Operations team manually validates using a MICR gauge such as <a href="https://www.elfring.com/micr-gauge.htm">https://www.elfring.com/micr-gauge.htm</a> . The Comptroller's Office also sends batches of warrants to Wells Fargo for validation on an as-needed basis, usually if the rejection rate exceeds the 1.5% threshold.
19	RFI, page 8 of 12, item 12	In the event of a rejection, what is the current timeline for resolving the issue, and what steps are taken to ensure a timely resolution?	Currently the Comptroller's Office receives notifications from Wells Fargo only if the monthly rate exceeds 1.5% of all checks cashed that month (typically no more than twice per year and usually received by the middle of the month reported). The Comptroller's Office reviews the scan of a rejected check to identify the issues. The Comptroller's Office could complete the review and notify the contractor of issues within a week of receiving the list.
20	RFI, page 8 of 12, item 12	Could you elaborate on the methods used to independently verify the cause of a warrant rejection, distinguishing between printing errors and other potential issues?	The Comptroller's Office receives a daily file containing scans of all warrants cashed. In the event the reject rate exceeds the 1.5% threshold of all checks cashed during a month, Wells Fargo sends a list of all rejected warrants for that month, including information about how the automated scan was read. The Comptroller's Office reviews the scan of a rejected check to identify the issue, which historically was typically a torn MICR that could not be read but could be any multitude of reasons. (The Comptroller's Office moved the warrant itself to the bottom 1/3 of the page last year to address the torn MICR issue.) If rejects are deemed to be printing errors, the Comptroller's Office reprints the warrant and manually validates using a MICR gauge. If any changes to the layout file are needed, they are made in a test environment and test warrants are sent to Wells Fargo for validation. Once approved, the updated layout is put into production.
21	RFI, page 8 of 12, item 12	How will the State of Indiana and its current bank be involved in the process of verifying and addressing discrepancies in the rejection rate data, and what role will they play in ensuring accurate identification of the root cause of rejections?	The Comptroller's Office requested in the RFI that the warrants printed in a disaster recovery situation do NOT look like production warrants, which will make it easier to quickly identify warrants printed by the vendor vs. warrants printed in-house. If the DR warrants have an issue, the Comptroller's Office will reprint one or more of the warrants in-house and compare to the scanned vendor's warrant to determine if the issue is with the warrant file or printing. If it is printing, the Comptroller's Office will work with the vendor and/or Wells Fargo, as needed, in order to identify the problem, create a resolution, and have Wells Fargo test the solution.
22	Sample Contract page 8 of 15, item 27	Regarding the Information Technology Enterprise Architecture Requirements outlined in the sample contract (page 8 of 15, item 27), there is a link provided that requires a login to access the relevant technology standards. Could the State of Indiana provide the actual document or an accessible version of the standards for review to ensure compliance with the contract requirements?	The Comptroller's Office is awaiting confirmation from the Indiana Department of Administration (IDOA) that vendors who have registered with IDOA as a bidder will have an Access Indiana login that allows them to sign in to review the relevant technology standards. Vendors are directed to include any exception to boilerplate clause 27 in their response to question 15 (page 8), and the inability to access the documents will be taken into consideration during scoring.

23	Page 3	Can the State of Indiana confirm that the current fulfillment is managed in-house, or is it managed by a outsourced vendor?	All printing, sealing of pressure-seal forms, and insertion into envelopes is currently completed in-house. All documents are then provided to the State's mail vendor for pre-sort and mailing. Anything inserted into envelopes are also sealed by the State's mail vendor.
24	Page 3	Would the State of Indiana be willing to have a daily percentage of the applications managed by RRD on an ongoing basis so that a "Warm Site" BCP/DR solution would be additional quantity volume as needed in the event of a declared disaster? If yes, what would be the minimum percentage of application quantity/ volume that the State of Indiana would consider? (e.g. 25%, 10%, etc...) This approach is in contrast to a "Cold Site" BCP/DR model where an activation of the plan would expect a ramp up from zero within an RTO timeframe.	Regular printing is not a mandatory requirement for the purposes of the RFI, so there is no minimum. The Comptroller's Office is open to proposals that include regular printing and welcome input from respondents on what they are able to offer. One file of each type of warrant is created each weekday. The Comptroller's Office is open to, for example, having one file type printed, sending one file of each type once per week, or less frequently. The Comptroller's Office is not interested in splitting individual files between a vendor and in-house (i.e. not having the vendor print 25% of each file on any given day).
25	Tax documents	Are there any tax documents that are multiple pages?	All tax documents listed in the RFI are single page.
26	Records retention	Will records retention follow federal guidelines?	The State will keep an electronic copy of all files sent to the vendor in accordance with State of Indiana records retention policies.
27	Payments	Does the State have "list payments" where payments are done through a a third party to other receivables? Or are payments going straight to who they're intended for?	Payments are made to vendors, agencies, individuals, etc. directly, not through a third party.