Attachment F Technical Proposal

RFP 23-68162 Document Destruction Services

**INSTRUCTIONS**: Please supply all the requested information in the yellow-shaded areas and indicate any attachments that have been included.

Document all attachments and which section and question they pertain to. DO NOT reply ‘see attached’ in any section as this will be deemed as non-responsive and could have a negative impact on your proposal.

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| Region (s) Bidding | **South, Central, North** |

**Mandatory Requirements**

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| **Requirement** | **Yes / No** | **Required Document (s) Attached** |
| Confirm that your company is an AAA-certified member in good standing with the National Association for Information Destruction (NAID) | Yes | Yes, 68162\_attU.pdf |
| Confirm that your company has reviewed and agree to follow all Health Insurance Portability and Accountability Act (HIPAA) guidelines | Yes |  |
| Confirm that your company has reviewed and agree to follow all guidelines for IRS Publication 1075, Exhibit 7, and media sanitization. | Yes |  |
| Confirm your company has a standard Certificate of Document Destruction | Yes | Yes, 68162\_AttR.pdf |

**General**

1. Provide an overview of your experience providing document destruction services. How much of this experience includes document destruction of PII and PHI?

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| Shredding and Storage Unlimited, LLC has been performing document destruction services since 2007 and the document destruction of PII and PHI have always been included. Since 1998 we have maintained a record storage warehouse and have stored documents that include PII and PHI. We complete over 18,000 shredding service stops per year in Indiana. We treat all paper as confidential and as if it containers PII or PHI. We are NAID AAA Certified and follow all procedures to maintain the confidentiality of all records. |

1. Explain your process for maintaining NAID certification.

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| We have a I-SGIMA Certification Compliance Officer (ICCO) that maintains the certification. Their job is to perform frequent reviews of the processes, paperwork, and behaviors to ensure all processes and procedures are being followed. We utilize an internally developed driver app that forces specific procedures are followed to complete tasks and offer reminders on procedures. The ICCO is also responsible for renewing NAID AAA Certification before expiration. |

1. Explain how your company keeps up to date with Federal and State laws and regulations, IRS Publication 1075, and HIPPA guidelines as it relates to document destruction services.

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| We follow the I-SIGMA (NAID) publications. As the industry trade organization for the industry they monitor guidelines and communicate those guidelines to members. From I-SIGMA: “NAID AAA Certification specifications are regularly evaluated/amended as necessary and service provider compliance is verified to ensure ongoing conformance with all known data protection regulations”.  On top of relying on I-SIGMA, the ICCO does a bi-annual review of all laws, IRS publication 1075, regulations, and HIPPA guidelines and confirms that all company procedures and processes meets those standards. |

1. Explain how you will ensure the State remains in compliance with IRS Publication 1075 as it relates to the disposal of Personally Identifiable Information (PII).

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| The documents are locked in containers as they are transported to the shred truck. Once in possession of the documents/containers, they do not leave the direct custody of the service provider until they are shredded. The documents will undergo an initial on-site cross-cut shred using a commercial grade shredder. The shredded pieces will be comingled with other shreds and stored in the locked enclosed box in the back of the shred truck. The rear of the truck where the shredded paper is stored cannot be accessed until the truck returns to the processing facility. The shreds are baled into 1-ton bales and before they are pulped at a paper mill. By maintaining this procedure and maintaining NAID AAA Certification the State will remain in compliance with IRS Publication 1075 as it relates to the disposal of PII. If this publication changes at any time we will be notified by NAID and we will review the new guidance so that the State remains compliant. We also do bi-annual reviews of IRS Publication 1075 and a review of any new versions. |

1. Explain how you will ensure the State remains in compliance with the Health Insurance Portability and Accountability Act (HIPAA) guidelines as it relates to the disposal of Protected Health Information (PHI).

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| We will follow the same process as described in question 4 for all State documents. All PHI will be rendered unreadable and will remain safeguarded until they are unreadable. This process will ensure the State remains in compliance with the HIPAA guidelines. We also do bi-annual reviews of HIPAA guidelines and a review of any new laws that may change those guidelines. |

**Document Destruction**

1. Provide a list of your disposal site locations in Indiana and indicate if any are not NAID certified. Please include any third-party facilities.

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| 3001 S Walnut St, Bloomington, IN 47401 is the only disposal site for paper and media in Indiana that we utilize. It is a NAID AAA Certified site.  Technology Recyclers, 8401 E Washington St, Indianapolis, IN 46219 is a disposal site for shredded hard drives and media in Indiana that we utilize. It is a NAID AAA Certified site. |

1. Describe your process for on-site / mobile shredding services. How can you ensure all documentation will be secure until shredding is complete?

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| The documents are locked in containers as they are transported to the shred truck. Once in possession of the documents/containers, they do not leave the direct custody of the service provider until they are shredded. The containers are weighed and the documents will undergo an initial on-site cross-cut shred using a commercial grade shredder. The shredded pieces will be comingled with other shreds and stored in the locked enclosed box in the back of the shred truck. The rear of the truck where the shredded paper is stored cannot be accessed until the truck returns to the processing facility. The shreds are baled into 1-ton bales and before they are pulped at a paper mill. The shreds are safeguarded until they are rendered unreadable by pulping. |

1. Describe your process for off-site / facility based shredding services. How can you ensure all documentation will be kept secure during transport and until shredding is complete?

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| The documents are locked in containers as they are transported to the truck. Once in possession of the documents/containers, they are scanned and they do not leave the direct custody of the service provider until they are securely locked in the enclosed truck and the containers are never unlocked or condensed once on the truck. The containers are scanned upon arrival to the truck. Once back at the facility the containers are scanned in and weighed. A on-site shred truck is used for facility based shredding. It parks within the facility and all paper is shredded within 24 hours of arriving at the facility. The shreds are baled into 1-ton bales before they are pulped. The shreds are safeguarded until they are rendered unreadable by pulping. |

1. For off-site / facility based shredding services explain any (potential and actual) excess time between arrival to the facility and actual time of destruction.

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| Containers are processed and shredded upon arrival. In extreme cases the paper is shredded next day, within 24 hours of arrival. |

1. Describe your process for destruction of media. How can you ensure all media will be secure until shredding is complete?

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| We use the same process for media as we do on-site shredding services. |

1. Will non-FTI media (e.g., CDs/DVDs) be kept in the same console/bins as paper? If yes is there a limit to how much non-FTI media can be combined? If no, describe the separate console / bin that will be provided solely for non-FTI media.

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| A small amount (less than 5%) of non-FTI media may be kept in the same containers as paper. We will provide a separate bin labeled for non-FTI media. The container options are the same for non-FTI media. |

1. During transit has any bin ever been lost or misplaced? If yes, how was it recovered and what was the outcome.

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| No |

1. Describe the capacity of the trucks intended for use for both on-site and off-site shredding.

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| On-site: 6,000 to 10,000 lbs of shredded paper  Off-site: 30 – 96 gallon containers |

1. Provide a description of the facilities in which off-site/plant-based destruction will take place and how the facility is kept secure.

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| We are the sole occupant of the facility where plant-based destruction will take place. The facility is kept secure with a 24/7 monitored alarm system and 20 cameras to monitor all entry ways and exits into the facility along with the driveway along the facility. The facility is locked 100% of the time. The containers are stored in a dedicated space and a shred truck performs the off-site shredding while being within the four walls of the facility. |

1. Describe in detail the equipment that will be used for document and media destruction and how the equipment will meet IRS requirements in Publication 1075 and Media Sanitization guidelines.

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| The equipment will perform an initial on-site shred to reduce risk during transportation. Per NISTY SP800-88 Rev. 1 Shred is an acceptable sanitization method for all media types except for microforms. For microforms we will work with a NAID AAA Certified disposal site for Micro Media destruction. |

1. If shredding does not result in paper material being at a minimum of 1 mm x 5 mm (0.04 in. x 0.2 in.) in size describe your process for further destruction i.e., pulping or burning.

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| pulping |

1. Describe your process, including scheduling, for purge services. On-site / Off-site?

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| The requesting agency/person can call our office at 812-332-3299 or email the IDOA account manager at [josh@shreddingunlimited.com](mailto:josh@shreddingunlimited.com) to request a purge service. We will collect the name, address, and quantity to be shredded during this communication. The purge service will be scheduled to be completed within 5 business days of the initial request unless otherwise requested by the agency. Unless otherwise requested, the purge service will be performed using on-site shredding. |

**State Facility Security Requirements**

1. Describe your current requirements for background checks for staff responsible for document destruction for both employees and subcontractors. Explain how the current process will meet the State of Indiana background check requirements.

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| All employees and subcontractors receive a yearly background check. The background check is performed by a vendor independent of Shredding and Storage Unlimited, LLC. The background check includes 7 year of: Employment History, E-Verify, Fingerprinting, SSN Trace, County Criminal History, Statewide Criminal History, Federal Criminal History, National Alias Criminal History, Address to Criminal History, Address to Statewide Criminal History, Address to Federal Criminal History. This meets the standards of IRS requirements in Publication 1075 and NAID AAA Certification. |

1. Explain your process for ensuring all personnel have received a background check upon hiring and annually. What actions are taken should an employee’s background check not meet the State requirements?

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| Any crimes that involve theft result in immediate termination. All other results are reviewed and may result in immediate termination or reassignment. Any employee background check that does not meet State requirements would result in immediate termination. |

**Sensitive Material Requirements**

1. Explain what safeguards have been put in place to prevent disclosure of information both internally and externally.

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| All employees sign a confidentiality agreement yearly. We have a strict password complexity policy and all passwords are managed by password managers. MFA is used wherever internal data is stored.  For on-site shredding of containers on wheels the paper is never directly accessed, seen or touched by the Shredding and Storage Unlimited, LLC employee. The lid on the container remains closed until the container is dumped onto the shredder by the truck. The process is witnessed by the employee through CCTV but information from the paper cannot be read.  For off-site shredding a similar process is followed with the containers remaining locked until the shredding is complete. |

1. How does your organization communicate to third-party partners requirements for safeguarding information? What is the process for ensuring compliance with requirement?

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| We require confidentiality agreements with all third-party partners. We do not share client information with third party vendors. |

1. Explain your process for discovering and communicating disclosures of information.

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| We have a process in place for any mishandling of information whether there was a disclosure of information or not (incident). I have included the incident response plan. In summary, if any client information leaves the possession of a Shredding and Storage Unlimited, LLC for any amount of time OR if there is the possibility of disclosure of information while still in the employees possession they are to immediately report the incident to management. Management will investigate the situation to determine if there was any possible disclosure of information during the incident. If it is discovered that information may have been disclosed management will communicate with all involved clients immediately. |

1. Is there a contingency plan in place in the event the facility has to be evacuated? Explain. How would you ensure documents / media would remain secure?

*If applicable, provide a copy of said plan*.

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| All unshredded documents and media are securely locked in containers until they are actively being shredded. While the documents are being shredded they are enclosed within the truck. There is no loose paper in the facility that would need to be secured in cases of evacuation. |

**Bin Requirements**

1. Describe in detail the features of the available bins to include size, structure, and material used to construct them. *Pictures are encouraged.*

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| 30 Gallon Executive Console, 35” X 19” X 16”, 80 – 100 lbs of paper, Wood: JCAHO and HIPAA compliant. Self-locking when closed. Paper Slot    2 Wheeled Carts:  32 Gallon Toter, 36” X 19” X 22”, 100 lbs of paper, Plastic  64 Gallon Toter, 41.5” X 22.5” X 28.25”, 200 lbs of paper, Plastic  96 Gallon Toter, 45.5” X 26.5” X 33.5”, 300 lbs of paper, Plastic (Available in 2 wheel and 4 wheel options)  HIPAA compliant. Secured with padlock. Molded paper slot |

1. Who will be responsible for maintaining keys used to lock bins?

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| Unless otherwise requested the Shredding and Storage Unlimited, LLC will have keys to all containers. The State will have the option to use their own padlock on carts if needed. Keys can be provided to approved State personnel and the possession of keys will be tracked with a Key Control Form and training. |

1. Describe your process for repairing and replacing damaged bins.

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| The State or any Agency should notify us by either calling 812-332-3299, or emailing [josh@shreddingunlimited.com](mailto:josh@shreddingunlimited.com). If the damage to the bin results in the potential disclosure of information the bin should be removed from service immediately and a replacement will be provided within 24 hours of notification. If the damage is determined the be cosmetic or does not interrupt the function of the container as determined by the State representative an exchange for a new container will take place during the following service unless an exchange is determined to be needed sooner. |

**Customer Service and Account Management**

1. Provide a hierarchy of the account management team and identify where in the hierarchy is the IDOA primary contract.

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| 1. Chrisy Gornall and Dan Gornall (Members, Co-Presidents) 2. Josh Gornall (Operations Manager and IDOA primary contact) 3. Macy Volrich, Morgan Volrich (Phone Customer Service Representatives) 4. Drivers/Shred Truck Operators |
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1. Will the State of Indiana have a dedicated customer care team or shared with other clients? If a dedicated team how many representatives will be assigned to the State contract? Where will the team be located?

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| The State of Indiana will not have a dedicated customer care team unless the volume reaches a level where a dedicated team would better support the State of Indiana over a shared team. Utilizing a team that is knowledgeable about all daily business operations and understands the priority of the State allows the support team to more quicky resolve issues and dispatch resources. The support team has full authority over all resources and can dispatch more resources when needed. The support team is located at the company headquarters at 3001 S Walnut St, Bloomington, IN 47401. |

1. In the event the customer care team cannot resolve an issue, describe your problem escalation process.

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| The customer care team has full authority to resolve any issue. If the Phone Customer Services Representatives do not know the answer to a question or how to resolve an issue they will escalate to the Operations Manager. The Operations Manager has access to direct all resources to resolve any issues. The Operations Manager is also able to resolve any issues in person if no other resources are available or able to resolve an issue. |

1. In the event your company needs to cancel and/or reschedule a pick-up, describe the process for notifying the Using Agency.

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| Shredding and Storage Unlimited, LLC will contact the Using Agency via a pre-discussed method with the Using Agency (phone and email). If the primary contact method is unreachable, we will use other contact methods we have been given to communicate with the Using Agency. |

1. Explain your implementation process and how you plan to transition Using Agencies that are under an existing contract upon expiration without a disruption of service.

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| We utilize two different methods depending on usable space available to Using Agency.  Our primary method will be to distribute containers 3-7 days before the existing contract is expired and a final pickup is scheduled. This delivery schedule should cover any early or unscheduled pickups by previous vendors that may result in a disruption of service. If the previous vendor removes containers before they are expected to we will have a dedicated emergency response team in place that will be able to deliver the containers same day or first thing next day if the request comes late in the day. This option is only viable if the Using Agency has the available space to store both sets of containers for a short time.  Our secondary method if the Using Agency does not have the space will be to arrange with the previous vendor so that we can place our container, pick up their container, shred the contents of their container, and deliver their container back to their facility. This method will have to be prearranged so that we can get permission from the previous vendor.  Once we implement a Using Agency and agree upon a schedule (i.e. every other Monday) we will provide a calendar with the planned dates for the remained of the year. If the planned day falls on a State Holiday we will provide the alternate day at least one week before service. If the planned day falls during the week of a State Holiday the planned day may be adjusted by as much as 1 business day. We will communicate this change to the Using Agency at least one week before the Holiday adjustment. |