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 | **North Region** |

**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 | 23-68162 AttF Mandatory Requirements – NAID AAA Certification |
| 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 | 23-68162 AttF Mandatory Requirements – Example of Standard COD |

**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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| Federal Records Management & Shredding (FRMS) was formed in 2013. FRMS has had uninterrupted NAID AAA Certification since 2014. We provide document destruction services to over 500 unique companies in Central and Northern Indiana. Document destruction and management is the core business for FRMS therefore 100% of the company’s experience encompasses protecting personal identity and personal health information. |

1. Explain your process for maintaining NAID certification.

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| All Employees of FRMS are tasked with ensuring continued NAID AAA compliancy:  **General Manager**  All Pre-Hire Compliancy Tasks   * 7 Year Federal, State, County Background Check * Social Security Number Trace * Drug Screening * 7 Year Employment History Verification   All Post-Hire Compliancy Tasks   * Annual Background Check * Annual Drug Screening * I9 / E-Verify * NAID AAA Access Training and Test * Employee Confidentiality Agreement   General Office   * Insurance Compliance * Indiana Business Entity Report * Confirmation of other Employees doing their NAID related tasks * Weekly Checks of CCTV System * Monthly Security System Checks * Employee Appearance – including uniforms and badges * Confirm Paperwork given to customer meets NAID AAA requirements   **Executive Assistant**   * Visitor Sign-In * Visitor Badges * Office Appearance   **Operations Manager**   * Monthly checks of lighting (inside and outside of facility) * Monthly checks of locks of all doors and gates * Monthly shredder checks (particle size, how long bins sit, maintenance logs) * Monthly Building clean check (inside and outside) * Monthly Truck Check   + Cab   + Box   + Outside of Trucks   + Maintenance Logs   + Insurance Cards * Annual Truck Check – DOT Inspections * Daily Uniform and Badge Inspections   **Drivers**   * Ensure proper uniform is being worn * Truck Checks   + Including ALL doors are locked at every stop – both cab doors and rear door   + Empty all trucks at the end of every route * Equipment Checks   + Confirm all equipment is empty before leaving the warehouse (in case of static issues inside the equipment)   + Clean Equipment (wipe off dust from all equipment prior to taking it to the customer)   + All equipment is locked BEFORE leaving the customer’s facility |

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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| FRMS follows the strict guidelines set in place by NAID for AAA Certification on a daily basis. Adhering to these guidelines and persistent and continuous employee training confirms we meet all Federal and State laws, IRS Publication 1075 and HIPAA guidelines. |

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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| To ensure the State remains in compliance with IRS Publication 1075 as it relates to the disposal of PII (2.F.3), FRMS adheres to all NAID AAA Certification size requirements for paper shredding. FRMS maintains a closed chain of custody for bales of shredded paper to the recycling mill where the material is ultimately pulped. Any electronic media within the possession of FRMS is shred. |

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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| FRMS is a NAID AAA Certified company. All of our policies and procedures assist in keeping all of customers, including the State in compliance with HIPAA and PHI.  Prior to customers contracting with FRMS, we thoroughly review why choosing a vendor with the NAID AAA Certified distinction assists their facilities with being and staying HIPAA and PHI Compliant. |

**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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| Our facility address is: 1140 Hayden Street, Fort Wayne, IN 46803. This is our only location and it is NAID AAA Certified. |

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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| **Once Driver Arrives at Agency**   * Driver exits truck and confirms all doors are locked * Driver begins Agency specific sign-in procedures * Driver either enters facility after sign-in or is escorted to shred bins * If Agency has consoles instead of bins, the contents of the consoles are emptied into a toter the driver has brought inside with him * Driver confirms shred bins are locked before exiting facility * Driver unlocks side chute for the on-site truck and pulls out tunnel * Driver unlocks toter and keeps lid in a closed position to ensure weather/wind does not impact security * Driver pushes toter into tunnel to be lifted * Toter is lifted and dumps the material into the enclosed shredding unit * Cameras inside the truck confirm shredding occur * Once empty, the toter is brought back down * Driver confirms all material has been shred (due to static inside equipment) * Empty toter is delivered back inside the Agency * Driver confirms toter is left locked * Process is repeated for multiple pieces of equipment and Agency is provided with a work order and Certification of Destruction at the end of service |

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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| **Once Driver Arrives at Agency**   * Driver exits truck and confirms all doors are locked * Driver lowers liftgate and sets up caution cones * Driver begins Agency specific sign-in procedures * Driver either enters facility after sign-in or is escorted to shred bins * If Agency has consoles instead of bins, the contents of the consoles are emptied into a toter the driver has brought inside with him * Driver confirms shred bins are locked before exiting facility * Driver unlocks rear truck door, places toter on liftgate, and lifts toter into the back of the truck * Toter is securely placed in the back of the truck * Driver closes rear truck door, re-locks it. * Process is repeated for multiple pieces of equipment and Agency is provided with a work order and Certificate of Destruction at the end of service. * Driver continues on his route and repeats this process for every Agency * Driver returns to FRMS at the end of his route and backs up to a dock door   + Dock Door is monitored with a door chime and security camera * Driver offloads the equipment on his truck into the FRMS warehouse the same day * Driver puts toters into queue to be shred and labels each toter with a “Number 1” tag to indicate the toter has been at FRMS’s facility for 1 Day.   + Toters still needing to be shred on day 2 are re-labeled with “Number 2”   + Toters still needing to be shred on day 3 are re-labeled with “Number 3” and are considered to be of the highest priority and must be shred that day   **No Facility-Based Routes are ever over-night. The driver returns to the warehouse at the end of each day and unloads material.** |

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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| FRMS adheres to NAID AAA Certification requirements as it pertains to destruction times for off-site/facility based toters. Our process for meeting the 3-business day requirement for NAID is:   * Driver puts toters into queue to be shred at the end of their route * Each toter is labeled with a “Number 1” tag * Toters still needing to be shred on day 2 are re-labeled with “Number 2” * Toters still needing to be shred on day 3 are re-labeled with “Number 3” and are considered to be of the highest priority and must be shred that day |

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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| Small amounts of media may be placed inside the equipment (excluding hard-drives and tapes with metal backing plates) and will be treated the same as if it were paper material.  If an Agency has hard-drives to destroy, the Agency is responsible for deciding whether they opt-out or opt-in to serial number tracking.  **Opt-Out**   * Agency is required to sign a Serial Number Recordation “Opt-Out” Agreement   **Opt-In**   * FRMS will send (by email) a serial number identification worksheet * Agency will identify the serial number of each hard drive to be destroyed and send the form back to FRMS * Driver will cross-reference this form with the actual hard drives to be destroyed * Both parties sign off * Material is tagged just as paper toters are tagged to meet the 3-business day NAID AAA Certification requirement for media destruction |

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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| Any media that comes into the possession of FRMS will be treated as FTI material and is destroyed the same way. Small amounts of media may be kept in the same equipment however if the Agency has large amounts of media, FRMS can provide equipment that is made to specifically hold this type of material. The media bins have a slot on the top which is bigger (to allow hard-drives and tapes to fit) and are reinforced due to the extra weight. |

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 – FRMS has never lost or misplaced a bin. |

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

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| Each of FRMS’s on-site trucks hold approximately 10,000 lbs of shredded material. Each of FRMS’s plant-based truck holds the equivalent of 12 pallets or 30, 96-gallon toters. |

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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| FRMS – 1140 Hayden Street, Fort Wayne, IN   * Every entrance/exit is locked 24/7 * Every entrance/exit automatically locks * Every entrance/exit (including dock doors) are monitored with contact sensors/chimes and security cameras * Entire facility (inside and out) is monitored by security cameras   + FRMS Management has smartphone remote access to these cameras   + Office personnel have desktop access to check visitors before opening the doors to them * Visitors are required to sign-in, wear a visitor’s badge, and be escorted by a member of our staff for the entire duration of their visit * Parking lot is surrounded by a fence with barbed wire and is closed and locked during non-business hours * All Drivers are in uniform and wear their employee ID badges   + Our website can be viewed at any time to verify, in real-time, the photos and names of all current employees * The entire warehouse, including shredding area, and the facility-based shredding machine, are monitored by security cameras. |

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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| Facility-based shredder: Ameri-Shred Model AMS-4000, serial number: 090507-A. It’s a continuous shred and meets NAID AAA certification size requirements for shredding.  On-site destruction vehicles: Shred-Tech Freightliners/M21 that utilize dual shaft shredders which use low rpm and high torque using pierce and tear methods which meet the NAID AAA certification size requirements.  Hard drive destruction: Ameri-Shred Model 150-HD Shredder, serial number 34267. |

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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| FRMS meets the NAID AAA Certification size requirements. In addition, all paper is comingled, shred, baled, and sent to the paper mill in a closed chain of custody where it is ultimately turned into pulp. |

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

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| Regardless of whether the purge is on or offsite, the scheduling requires the same information to be provided to FRMS by the Agency. Either by phone call or email, a description of the purge is needed. Information that is needed to properly schedule a successful purge is:   * + Does the Agency require On-Site or Off-Site service for this purge   + The number of boxes to be picked up   + The location of boxes     - Main Level     - If not main level, what level are the boxes on and are there stairs involved or will we have elevator access     - Is parking available     - How soon does the Agency want the purge to take place   Once FRMS has the size and timeframe requirements, multiple date and time options will be provided to the Agency. From there, the Agency will need to pick which date and time works best for them.  On-Site Purges:   * Depending on the size of the job multiple men or trucks may arrive * Driver(s) confirms all doors on truck(s) and tunnel(s) are locked * Driver(s) will follow all Agency sign-in protocols * Driver(s) will begin emptying Agency boxes into FRMS bins * Equipment is locked prior to leaving Agency and taken outside to our mobile destruction truck * Bins are unlocked (lids remain closed) and put into tunnel for shredding * If job has multiple drivers on it, one driver will remain at the truck for shredding while other drivers bring full equipment out to be shred * Agency is presented with a work order and Certificate of Destruction once service is complete   Off-Site Purges:   * Depending on size of the job multiple men and trucks may arrive * Driver(s) confirms all doors on truck(s) are locked, put down lift-gate(s), and set up hazard cones * Driver(s) will follow all Agency sign-in protocols * Driver(s) will begin removing boxes from the Agency’s facility * The boxes are removed using a box cart and taken out to our locked plant-based truck. * Driver(s) unlocks the truck(s), use the liftgates to get boxes onto the truck, and stack on pallets.   + If a FRMS employee does not remain outside with the truck for the entire duration of the purge, the truck(s) will be locked and unlocked for each trip in and out of the Agency. * Agency is presented with a work order and Certificate of Destruction once service is complete. * Once the boxes/pallets arrive at FRMS they are immediately offloaded into the warehouse * The boxes/pallets and are labeled with a date that is 15 business days out from when they were picked up to ensure we meet NAID AAA certification purge requirements. |

**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 of FRMS employees are NAID Access employees and ALL are background checked prior to hire and every year after. This includes a 7 year Federal, State and County background check, social security number trace and sexual offender registry check. If there is ever a need to use a subcontractor, FRMS requires the subcontractor to be an active NAID AAA Certified company.  FRMS has a written policy in place that outlines the requirement for employees to be background checked and that policy includes result criterion (termination) should an unfavorable result be returned during one of those checks. To fulfill the requirements of this proposal, FRMS will not be using subcontractors. |

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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| FRMS’s General Manager is responsible for the pre-hire/hire/and post hire requirements. This includes certifying that a background check has been completed and passed *prior* to a potential employee being offered a job. Without a completed and passed background check, the job is not offered. This is because ALL of FRMS employees are NAID Access employees so all must pass background checks.  Post-hire, all employees sign a written policies and procedures manual outlining, among other items, background checks. This written policy includes result criterion (termination) if at any point an employee’s background check does not meet the State’s requirement and/or NAID’s requirement. |

**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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| **Internal**   * All NAID Access Employee screening is done prior to hire   + 7 Year Federal, State and County Background Check   + Driving History Check   + Social Security Trace   + Sex Offender Registry Check   + Drug Screening * Post-Hire   + Extensive Training     - NAID Access Training Videos and Tests     - New drivers job shadow existing drivers for no less than one month     - After one month of job shadowing the new driver takes over the route while the existing driver job shadows him for no less than two weeks (this is to ensure that all security measures are being met and the driver is providing top-tier customer service     - Employee conference (with management team) to talk about release date – the date the new driver will begin doing routes solo     - On-going weekly meetings to discuss security and policies and procedures   + All employees sign legally binding nondisclosure agreements   + Clean Desk Policy – to ensure no information is within eyesight of visitors   + Nothing Leaves Policy – to ensure no employee takes anything into or out of the destruction area without the knowledge and permission of Management.   + Cell phones/any recording device are prohibited at all times in the shredding area   + Visitors must sign-in and wear a Visitor’s badge     - All Visitors are escorted by a FRMS employee during the entire duration of their visit.   **External**   * Entire facility (inside and outside) is monitored by security cameras * Shredding area is monitored by security cameras - including a dedicated camera on the shredding machine specifically * All doors are monitored with door sensors/chimes * All doors lock automatically * Fence with barbed wire surrounds the parking lot and is closed and locked during non-business hours * All truck doors, including cab doors, are locked at all times * All trucks are emptied inside the facility after each route, each day. |

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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| All third-party vendors that access our facility must sign-in, receive a visitor’s badge, and are escorted the entire duration of their visit by one of our employees. This information is communicated by FRMS to the third party when service/maintenance is required/scheduled.  In the event that a truck breaks down in the middle of a route and either taken directly to the repair shop or towed there, a driver remains with the truck until another FRMS driver and FRMS truck arrive to unload the material from the truck needing repaired into the functioning truck. At no point does a plant-based truck, with material in it, get left without the supervision of a FRMS employee. |

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

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| We have written policies and procedures in place to communicate any disclosure of information. FRMS has never had an incident of disclosure. Our NAID AAA Certified policy is:   * When it is discovered that information has been disclosed it is to be reported to management immediately. * Any employee who is found to have known of a disclosure and not report it will be dismissed. * FRMS will notify the Agency impacted by the disclosure within 60 days of the date of discovery. * This notification will include the identification of each individual whose confidential information has been, or is reasonably believed to have been disclosed. |

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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| If there is ever a need for a full facility evacuation, all employees are instructed to exit the building immediately. The doors automatically lock when closed behind them thereby ensuring the security of the material inside. It is the written policy of FRMS for all staff evacuated from the facility to meet across the street to confirm safety of everyone inside. |

**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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| Lockbox Console: Wooden, LEED Compatible and CARB2 Compliant, slam locks for efficiency, universal bag for ease of service, JCAHO Compliant, anti-phishing paper deflector, 180-degree hinge, wall-hugging liner, 36”H x 21.5” W x 16” D with a full capacity of approximately 100 lbs.  96 Gallon Toter: Molded plastic with internal lockjaw locking system (also available with external hasp locking system), molded paper slot with deflector to prevent tampering, rubber wheels with 7/8” steel axle for added strength when full to allow for ease of movement, no bag required, 24.5” W x 34” D x 46” H with a full capacity of approximately 350 lbs.  64 Gallon Toter: Molded plastic with internal lockjaw locking system (also available with external hasp locking system), molded paper slot with deflector to prevent tampering, rubber wheels with 7/8” steel axle for added strength when full to allow for ease of movement, no bag required, 23” W x 29” D x 42” H with a full capacity of approximately 250 lbs.  32 Gallon Toter: Molded plastic with internal lockjaw locking system (also available with external hasp locking system), molded paper slot with deflector to prevent tampering, rubber wheels with 7/8” steel axle for added strength when full to allow for ease of movement, no bag required, 19.5” W x 21.5” D x 42” H with a full capacity of approximately 150 lbs.  Attachment for Consoles: 23-68162 AttF #24 – Bin Requirements – Console  Attachment for Toters: 23-68162 AttF #24 – Bin Requirements - Toters |

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

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| Each driver for FRMS has a key to access all equipment. If a key is required at the Agency’s location, an authorized key holder form will be filled out and given to FRMS. |

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

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| Damaged equipment needing replaced or repaired will be done so within 2 business days of FRMS being notified. The initial notification may come at the Agency’s request or by FRMS as it is our policy that our drivers also notify FRMS management of equipment needing to be repaired or replaced. Notification from the Agency may take place via phone call/SMS Message or email. |

**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. 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 have a customer care team that is shared with other clients. There are two team members who will be assigned to assist with the State of Indiana contract and a third will be assigned if necessary. If quantity dictates additional team members need to be added, FRMS will hire additional employees to assist with our other customers and the current customer care team will be solely devoted to the State of Indiana contract. The team will be located at the office of FRMS in Fort Wayne, IN. |

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

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| If the team is unable to resolve an issue for the State of Indiana contract, the escalation process would involve the President/Owner of FRMS being notified. |

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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| In the event that FRMS would need to cancel or reschedule a pick-up the Agency will be notified via their preferred method of communication whether that be by phone call or email. At the time of this notification, a new date of service will be given to the 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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| When an Agency expresses interest in using our service, we will work with that Agency to determine the expiration date of their current contract, when their current equipment will be picked up, and what their preference is for delivery of new equipment.  The Agency’s preference will dictate our implementation process to ensure a smooth transition.  We also plan to utilize our outside Marketing firm to promote the contract to Agencies by email blast, phone call, and/or mailings. |