

STATE OF NEW YORK

JUDICIARY

—REQUEST FOR BID/PROPOSAL—

(This is not an order)  
**BID MUST BE MADE ON THIS SHEET  
 OR AS OTHERWISE SPECIFIED**

Marie-Claude Ceppi  
 NYS Office of Court Administration  
 25 Beaver Street - Room 840  
 New York, NY 10004  
 (Agency Name and Address)

Direct Inquiries to: Marie-Claude Ceppi  
 Telephone No.: 212-428-2727  
 Email: mceppi@courts.state.ny.us

Price to include delivery to (describe exact location and method of delivery)

Per attached RFB/RFP Specifications

<b>Bid Number:</b> OCA/JM-172	<b>Commodity Group:</b>
<b>Issue Date:</b> 04/30/10	
<b>Opening Date:</b> MAY 21, 2010 <b>Time:</b> 2:00 PM	<b>Commodity Name:</b> Address Cleansing, NCOA, Merge/Purge

OFFICE OF GENERAL SERVICES "GENERAL SPECIFICATIONS" ARE FULLY INCORPORATED HEREIN.

Agency's Specification of item(s) Required (include quantities)	Bidder's Quotation and Specific Description of Item Offered
UCS ATTACHMENTS I AND III AND IV INCORPORATED HEREIN.	Respondents are to submit all required documentation and pricing in the format prescribed by the attached RFB/RFP Specifications.

**NOTICE TO BIDDERS**

Pursuant to the Rules and Regulations of the Chief Administrator for the Courts, sealed responses for furnishing the item(s) in this Solicitation will be received at the above address. When submitting a response, you must:

1. Complete this form in its entirety using ink or typewriter and return with all other documents.
2. Explain any deviations or qualifications if your response deviates from the specifications. If necessary, attach a separate sheet setting forth such explanations.

3. Sign the Solicitation Forms. The Bid/Proposal response must be completed in the name of the respondent (corporate or other) and must be fully and properly executed by an authorized person.
4. INDICATE THE SOLICITATION NUMBER, THE OPENING DATE AND TIME ON THE ENVELOPE CONTAINING THE SEALED RESPONSE.
5. Mail the bid/proposal response to the above agency address in sufficient time for it to be received before the specified bid opening. LATE RESPONSES WILL BE REJECTED.

BIDDER HEREBY CERTIFIES THAT THE ABOVE QUOTED (OR OTHERWISE NOTED) PRICES ARE APPLICABLE TO ALL CUSTOMERS FOR COMPARABLE QUANTITIES, QUALITY, STYLES OR SERVICES.

**RESPONSES MUST BE SIGNED**

Bidder's Firm Name		Employer's Federal Identification Number	
Address Street	City	State	Zip
Bidder's Signature		Official Title	
Printed or Typed Copy of Signature		Area Code/ Telephone Number Email Address	

### DOCUMENTS ENCLOSURE CHECKLIST

\_\_\_ Bid Response Sheets (6 pages) must be included in bidder's proposal. Failure to do so will immediately disqualify bidder's response.

The following documents must be fully executed and included in bidder's proposal. Failure to do so may disqualify bidder's response:

- \_\_\_ UCS Request for Bid Form with original signature
- \_\_\_ Attachment I, p.3 - Non-Collusive Bidding Certificate
- \_\_\_ Attachment I, p.4 - Corporate Acknowledgment
- \_\_\_ Attachment III - Vendor Responsibility Questionnaire
  - paper questionnaire or
  - questionnaire file online via OSC VendRep System
- \_\_\_ Attachment IV - Procurement Lobbying Forms
  - Disclosure of Prior Non-Responsibility Determination (UCS 420)
  - Affirmation of Understanding and Agreement (UCS 421)
  - Termination Clause (UCS 423)
- \_\_\_ List of at least three (3) references (names, contacts, addresses, phone numbers, emails)
- \_\_\_ Copy of the United States Postal Service vendor license
- \_\_\_ Copies of bidder's certificate(s) of insurance or other adequate proof evidencing the insurance coverages required by the bid specifications
- \_\_\_ Organizational chart and copies of diplomas/certifications
- \_\_\_ Complete and **notarized** description of procedures followed to ensure security and confidentiality of records (see General Specifications, page 4)
- \_\_\_ Description of bidder's rules for each duplicate identified
- \_\_\_ Six (6) complete copy-sets of above
- \_\_\_ Signed Documents Enclosure Checklist

NB: There is no Attachment II

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Documents Enclosure Checklist (cont.)

**To be complete, a bidder's bid response must include ALL the above documents. All documents requiring an original signature must bear the BLUE INK signature of the same authorized individual. Signatory notarization must be that of the person whose signature is affixed to all required documents.**

Company Name: \_\_\_\_\_

Authorized Officer's Name and Title:

\_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## GENERAL SPECIFICATIONS

### I. The RFB/RFP Process

#### Note to Bidders

#### **1. Attachment I - Standard Request for Bid Clauses & Forms and Attachment IV - Procurement Lobbying Law required forms**

In addition to such other specifications and criteria as are presented herein, the NYS Unified Court System Attachment I - Standard Request for Bid Clauses & Forms, and Attachment IV - Disclosure of Prior Non-Responsibility Determination (UCS 420) as well as Affirmation of Understanding and Agreement (UCS 421) and Termination Clause (UCS 423) pursuant to the Procurement Lobbying Act, which must be downloaded or printed from the UCS Contract & Procurement website under "Addenda" for the appropriate solicitation, are incorporated and made a part of this solicitation.

#### **2. Attachment III - Vendor Responsibility Questionnaire**

The NYS Unified Court System (UCS) is required to conduct a review of a prospective contractor to provide reasonable assurances that the vendor is responsible. The required Vendor Responsibility Questionnaire is designed to provide information to assist UCS in assessing a vendor's responsibility prior to entering into a contract with the vendor. Vendor responsibility is determined by a review of each prospective contractor's legal authority to do business in New York State, business integrity, financial and organizational resources, and performance history (including references).

Bidders are invited to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll and use the New York State VendRep System, see the VendRep System Instructions available at [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at [helpdesk@osc.state.ny.us](mailto:helpdesk@osc.state.ny.us). Vendors opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or may contact the Unified Court System or the Office of the State Comptroller for a copy of the paper form.

Bidders who file the Vendor Responsibility Questionnaire online via the OSC VendRep System are requested to checkmark the appropriate box on the Document Enclosure Checklist.

Bidders' authorized signature of the RRB/RFP Form will serve as confirmation that bidders have knowingly filed their questionnaire online if paper questionnaire is not included with bidders bid/proposal submission.

**Online RFB/RFP Package : Disclaimer**

Bidders accessing any Unified Court System/Office of Court Administration (hereafter “UCS/OCA”) solicitations and related documents from the New York State UCS website [www.nycourts.gov/admin/bids](http://www.nycourts.gov/admin/bids) under “Current Solicitations” shall remain solely and wholly responsible for reviewing the respective solicitation & bid documents on the internet regularly, up to the scheduled date and time of the bid/proposal due date, to ensure their knowledge of any amendments, addenda, modifications or other information affecting the solicitation or bid documents in question.

**Bid Response/Proposal: Original and Copies**

Bidders shall submit all the following required **original RFB/RFP documents**: Bid/Proposal; Executed RFB/RFP Form; Attachment I - pages 3 and 4 of 10; Attachment III - Vendor Responsibility Questionnaire and its Attachment A; Attachment IV - Disclosure of Prior Non-Responsibility Determinations UCS 420, Affirmation of Understanding and Agreement UCS 421 as well as Termination Clause UCS 423; and any other required documentation, brochures, etc. listed on the Document Enclosure Checklist.

Failure to provide all original documents or the failure to provide the requested number of copies may result in disqualification of a bidder’s response.

**Binding Nature of Bid/Proposal on Bidders**

All bids/proposals shall remain binding on bidders until such time as the Office of Court Administration/Division of Technology - Jury Management (hereafter “OCA/JM) provides written notification of its intent to award the contract to a specific bidder or until the bidder withdraws its bid/proposal in writing, whichever occurs first.

**Packaging, Identifying and Delivering of Bids/Proposals**

Bidders may **not** submit their bid/proposal responses online.  
Bids/Proposals must be **clearly addressed and submitted to**:

Marie-Claude Ceppi  
Management Analyst  
NYS Office of Court Administration  
25 Beaver Street, R-840  
New York, NY 10004

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All envelopes/cartons must also be labeled with the following information on two sides:

“Deliver immediately to Marie-Claude Ceppi R-840”  
“Sealed bid - Do not open”  
”OCA/JM-172 due May 21, 2010 at 2:00 p.m.”.

Failure to seal and mark the bid/proposal as prescribed may result in non-delivery and/or rejection of the bid/proposal. Please note that bids/proposals must be received by the above-named OCA-designated person by May 21, 2010 at 2:00 pm at the latest or bids will be declared a “late bid” and they will be disqualified. It is recommended that bidders allow several extra days for shipping in order to meet the deadline.

### **Questions:**

Any and all questions relating to this RFB must be submitted **by email only** to Anthony Manisero, Chief Management Analyst, at [AMANISER@courts.state.ny.us](mailto:AMANISER@courts.state.ny.us). Please indicate in the subject field: RFB# OCA/JM-172 Question(s).

The **deadline** to submit questions is **May 7, 2010 at 5:00 pm**. No questions will be entertained after this deadline. All questions will be answered individually in writing and a Questions & Answers (Q&A) with all the questions received and their answers will be posted on the UCS website.

**IMPORTANT:** All questions regarding this solicitation must be directed solely to the attention of the above-designated persons. Contact by any prospective bidder, or any representative thereof, with any other personnel of the UCS/OCA in connection with this RFB/RFP may violate the Procurement Lobbying Act of 2005 (see Attachment IV), will jeopardize the respective bidder’s standing and may cause rejection of its proposal.

### **No-Bids**

Bidders are requested to send a no-bid letter to OCA, Attn: Marie-Claude Ceppi, at the above address, should they decide not to answer this solicitation. The envelope shall be clearly marked in the lower left corner as follows: OCA/JM-172.

### **Rejected and Unacceptable Bids/Proposals**

The OCA/JM reserves the right to reject any and all proposals or bids submitted in response to this solicitation. In addition, OCA/JM may reject any bids/proposals from any bidders who are in arrears to the State of New York upon any debt or contract; or who have previously defaulted

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on any contractual obligations, (as surety or otherwise), or on any obligation to the State of New York; or who have been declared not responsible or disqualified by any agency of the State of New York; or who have any proceeding pending against them relating to the responsibility or qualification of the bidders to receive public contracts or who are found to be non-responsible based on any of the criteria specified in the section headed 'Responsible Bidder'.

The OCA/JM also reserves the right to reject any bidder whose resources, in the opinion of OCA/JM are inadequate to render services in a timely manner in accordance with all requirements of this solicitation as well as bidders who do not provide references for comparable work, whose references report significant failure to comply with specifications, and/or who otherwise in the opinion of the UCS are unable to meet specifications.

### **References**

Each bidder must provide at least three (3) references including the company/agency name, complete address, contact name, title, telephone number and email address, for whom the bidder has provided similar services at any time during the past three (3) years.

### **Responsible Bidder**

A bidder shall be defined as "responsible" in accordance with, but not limited to, references, past performance history, financial stability, the criteria set forth in paragraph 2 of the General Specifications (Attachment III-Vendor Responsibility Questionnaire) and the criteria set forth in the paragraph headed "Rejected and Unacceptable Bids/Proposals" as well as any other criteria necessary and reasonable to establish the bidder's responsibility.

### **Insurance Requirements:**

Bidders shall be required to provide proof of the following insurance coverage, and awarded contractor shall be expected to maintain such coverages at all times during the term of the contract, at its own cost and expense:

Workers' compensation and disability benefit insurance coverage as required under NYS law (see Workers' Compensation Board website at [www.wcb.state.ny.us](http://www.wcb.state.ny.us) for coverage requirements), or, if it is exempt from such coverage, proof of exemption

Commercial General Liability Insurance (bodily injury and property damage on an occurrence basis), contractual and products/completed operations liability coverage, and auto liability with minimum limits as follows:

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Bodily Injury and Property Damage	\$1 million, per occurrence, \$2million, aggregate
Personal Injury and Advertising:	\$1 million aggregate
Products/ Completed Operations	\$2 million aggregate
Auto Liability, Combined single limits	\$1 million

Professional liability insurance in the minimum amount of \$1,000,000.00 per occurrence and \$3,000,000 aggregate coverage, with appropriate tail coverage.

All insurance coverages shall be obtained from commercial insurance carriers admitted to do business in the State of New York and shall name UCS as an additional insured or loss payee as appropriate, and shall provide for at least thirty (30) days advance written notice to UCS of cancellation or non-renewal.

### **Changes**

Under no circumstances should awarded vendor act on any verbal communications of judicial and non judicial personnel. Any and all communications or changes are to be in writing.

Contractor assumes all risks in acting otherwise.

### **Subcontracting**

No subcontracting or outsourcing is permitted.

### **Financial Stability**

Upon request by OCA, bidder shall provide a copy of financial statements as audited by a certified auditing firm for the past three consecutive years and a copy of its last three annual reports.

### **Compliance with the laws:**

Contractors shall be compliant with all applicable federal, state and local laws, rules and regulations. All bidders must be licensed United States Postal Service vendors. Bidder must provide proof of workers compensation and disability benefits insurance coverage under NYS law with its proposal or, if it is exempt from such coverage, proof of exemption.

### **Independent Contractor Status:**

It is expressly understood and agreed that the awarded contractor's status shall be that of an independent provider of services and that no officer, employee, servant or subcontractor of the contractor is an employee of the UCS, OCA or State of New York. The awarded contractor shall be solely responsible for the work, assignment, compensation, benefits and personal conduct and

standards of all such persons assigned to the provision of services. Nothing herein shall be construed to impose any liability or duty on the UCS, OCA or State of New York to persons, firms, consultants or corporations employed or engaged by the awarded contractor either directly or indirectly in any capacity whatsoever, nor shall the UCS, OCA or State of New York be liable for any acts, omissions, liabilities, obligations or taxes of any nature including, but not limited to, unemployment and Workers' Compensation insurance of the awarded contractor or any of its employees or subcontractors.

## **II. RFB# OCA/JM-172**

### **Purpose and Scope**

The NYS Unified Court System (UCS) Office of Court Administration (OCA) is soliciting sealed bids on behalf of the Division of Technology-Jury Management (OCA/JM) for the purpose of awarding a contract to a qualified, licensed vendor to perform the following services: Address Augmentation (Apartment Append), NCOA Link (National Change of Address) with Multiple CASS Engines, NCOA/Nixie Option-48 months, DSF<sup>2</sup> (Delivery Sequence File), LACS (Locatable Address Conversation System), Deceased (file must contain sixty (60) million records), and Multiple Passes, Multiple Criteria Merge/Purge, to cover the State of New York. Bidder must have the ability to affix census county code. The winning vendor must provide proof they can perform the work by using our test data within 5 days of selection.

### **Estimated Quantities**

**Any requirements specified in this solicitation constitute estimates only, and accordingly no commitment or guarantee to reach any specified volume of business is made or implied.**

The award will be for an estimated quantity term contract representing approximately twenty (20) to forty (40) million records per year (Deceased -sixty (60) million records per year).

### **Term of Award**

A single estimated quantity term contract will be awarded for an initial term of three (3) years. OCA/JM shall have the option to renew such contract for two additional one-year renewal terms, and one 180 day extension period after either the initial term or the last renewal term exercised. The renewal and extension terms shall be upon the same terms and conditions as the initial term, including pricing.

The initial contract term, and the renewal and extension terms shall be subject to the approval of the Office of the New York State Comptroller.

**Method of Award**

A single contract shall be awarded to the vendor scoring the **highest point total** (max. 100) for the specified criteria:

**1. Lowest Total Cost: 30 points**

The method of awarding points will be to award 30 points to the lowest responsible bidder and a percentage of 30 points to each additional responsible bidder equal to the ratio of the lowest bid price to the price of each other bid times 30. For example:

$$(\text{Lowest \$ bidder} / \text{second (third, etc) lowest \$ bidder}) \times 30 = x \text{ points}$$

Lowest bidder = \$100.00 30 points

Second lowest bidder = \$125.00  
 $(100/125) \times 30 =$  24 points

**2. Quality of Software for Duplicate Record Matching, Address Identification and Randomization: 40 points**

**3. Ability to deliver in the time frame specified: 10 points**

**4. Data Security and Confidentiality: 10 points**

**5. A Description of the Merge/purge process 10 point**

**Please note that bidders' responses which fail to comply with any one or all of the following requirements will be disqualified:**

- **Submit the Bid Response Sheets (6 pages)**
- **Comply with the NCOA processing requirements**
- **Attest that bidder has a Deceased file of at least sixty (60) million records**
- **Supply in writing bidder's algorithm(s) for the duplication processes.**

**Pricing**

Pricing shall be net and include all the services requested in this RFB's specifications. Pricing shall be firm for the duration of the contract, including any renewal or extension periods thereof. Bidder shall quote pricing for each of the categories indicated in the Bid Response Sheet. Within each of these categories, bidder shall indicate a rate per thousand records for each subcategory, as defined in this RFB's Detailed Specifications and on the Bid Response Sheet.

### **Evaluation Committee**

A committee consisting of three managerial personnel representing the Division of Technology, the Office of Court Research and the Jury Support Office shall review and analyze the bid responses according to the Method of Award stated above.

### **Qualifications**

Bidder shall provide an organizational chart identifying the names and titles of the Account Manager and team members responsible for the Unified Court System's account. Bidder shall also provide a resume and copies of diplomas/State certifications/other qualifications for each identified team member including the Account Manager. The Account Manager's business address, phone number(s) and E-mail address should be provided.

Bidder shall provide a description of his/her company's technological resources.

Bidder must provide proof that it is a licensed United States Postal Service vendor.

Bidder must document their ongoing current experience in providing the full range of services contained in this RFB's specifications or the response may be rejected.

### **Orders**

Awarded vendor shall accept all orders placed by the UCS during the term of the contract and of any renewal or extension thereof. Awarded vendor shall be solely and completely responsible for the delivery of services according to this RFB's specifications. Vendor shall not proceed with any portion of the requested services without a written order from the UCS.

### **Confidential/Proprietary Information:**

Bidders should specifically identify those portions of the proposal deemed to contain confidential or proprietary information or trade secrets, and must provide justification why such material, upon request, should not be disclosed to parties other than OCA/JM. Such confidential/proprietary information must be easily separable from the non-confidential sections of the proposal

### **Data Security and Confidentiality:**

Bidders and awarded contractor are hereby advised that any and all information, records, files, documents or reports generated by, or contained in, any media format (e.g. print, electronic) provided to contractor by an individual or component of the UCS, or otherwise obtained by contractor in the performance of contractual services, shall be considered confidential and shall be

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treated and maintained accordingly at all times. Neither the contractor nor any of its employees, agents, subcontractors, representatives, interns or volunteers shall at any time be permitted to utilize any such information for any purpose outside the scope of awarded contract without the express written authorization of OCA/JM. Further, any and all material and documents, records and any other data or information developed by contractor, or any person or entity acting on behalf of contractor, remains the sole property of the UCS/OCA/JM. Contractor, or subcontractors, may not make use of such data or information for any purpose outside the scope of awarded contract without the express knowledge and written consent of the UCS/OCA/JM.

Awarded contractor will also be prohibited from maintaining files and records provided to or generated by contractor in a mobile or portable device or capable of being remotely accessed. In addition, awarded contractor will be required to comply with the data security and confidentiality requirements of other government agencies that supply data to UCS/OCA/JM.

**Bidder must provide a complete, notarized statement describing in details the procedures and steps bidder will follow to assure the complete confidentiality of the records.** This notarized description shall include the names and/or titles of the authorized officers within the company who will have access to these records and indicate how the computer records and physical media will be safeguarded. **Failure to submit such notarized statement shall disqualify bidder's proposal.**

**Delivery:**

Awarded vendor must complete services and return files to the UCS **within twenty (20) business days** of the receipt of the files from the UCS and according to the provision of the Detailed Specifications, Step 6.

Files shall be delivered to:

Mr. Edward Spath  
Office of Court Administration  
Division of Technology  
125 Jordan Road  
Troy, NY 12180  
Tel: 518-285-8221  
E-mail: [ESPATH@courts.state.ny.us](mailto:ESPATH@courts.state.ny.us)

or such other person or address as OCA/JM may designate during the term of the awarded contract.

## DETAILED SPECIFICATIONS

### I. **Quality Requirements of Software for Duplicate Record Matching, Address Identification and Randomization**

a. Bidder's software shall provide a comprehensive solution to matching duplicate records. The software should include, but not be limited to, the ability to match records with:

- Differences in name spelling
- Differences in address

b. Bidder's matching software shall have the ability to be modified to include variations specified by the UCS (e.g. some variations in name are acceptable while others are not acceptable)

c. Bidder's matching software shall have the ability to be modified to include additional matching criteria such as date of birth, social security number, etc.

d. Bidder shall provide software to randomize the order of the records and the county prospective files.

e. Bidder shall identify the city, town or village based on the addresses or zip code. Note: Responses from bidders who do not have this capability will be disqualified.

### II. **Services**

#### A. **List Standardization and Address Correction**

The UCS will send four files totaling up to approximately 40 million records to the awarded vendor. These four files are:

1. Two (2) Master Source files (up to approx. 28 million records)
2. Two (2) Mainframe files (approx. up to 12 million records)

They will be sent to the awarded vendor on FTP files. The input record layouts for these files is attached as Appendix I. Please note that the file provided to the vendor will contain a number of packed fields which the vendor must be able to process.

Many of the actions described in these Detailed Specifications require the awarded vendor to examine and modify the data provided by the UCS. The vendor should place this modified data in fields appended to each record. The original data should not be modified. The format of the appended fields should be similar to that of the format of the original data. Should the data supplied by the vendor contain a code or abbreviation (such as a state code), the vendor must provide the OCA/JM with a fixed-field text file associating the code with its description.

Address correction software has the capability of using a variety of matching criteria (more or less strict) to match records with potential address corrections. Before any address correction is performed by the vendor, the OCA/JM will review and select the appropriate matching criteria with the assistance of the vendor. The vendor will standardize and provide corrected address as follows:

1. Using multiple engine processing vendor applies CASS-certified address formatting to all records and overlays fields in each record to contain the reformatted address. The vendor will provide the OCA/DJM with a report showing results of this process for each county.
2. The vendor must have USPS Licenses to perform NCOA Link (48 Month Full Services) DSF<sup>2</sup>, and LACS Processes in house. The vendor must process each record (up to approx. 60 million records) through NCOA Link, LACS, and DSF<sup>2</sup> and Deceased processes in house. The Deceased database must have a minimum of forty (60) million records containing full names and addresses. The vendor must apply all changes according to OCA/JM specifications. The vendor must provide the OCA/JM with reports showing results of these processes for each county. This report must show the details by county and statewide (see samples attached).
3. The vendor uses the reformatted and corrected address to add or update country, state and county to each record. This information will be contained in fields appended to each record by the vendor. The OCA/JM is seeking a vendor with software capable of also identifying city, town or village based on the address or zip code. This information should be placed in fields appended to each record by the vendor. The vendor will provide the OCA/JM with a report showing the results of this process. At a minimum this report should indicate the number of records with country, state, county, city, town and village information added and the number of records for which this information could not be added.
4. Vendors who maintain any additional change of address files other than NCOA, NIXIE, DSF, DECEASED and LACS may include, as an option, pricing for using these files. The OCA/JM will determine the need for additional change of address files. The vendor will provide the OCA/JM with a report showing the results of this process. This report must show details by county and statewide (see example attached).
5. The NCOA process: After the initial processing, the following NCOA processes must be run an additional three (3) times per year, every ninety days, with a twenty-four (24) hour turnaround time:
  - NCOA/Nixie Processing
  - Apply NCOA Processing Results
  - Detailed NCOA Reporting by County
  - Provide NCOA Results to UCS

After the initial processing, records quantities are as follows:

2 <sup>nd</sup> run:	15 million to 19,999,999 million
3 <sup>rd</sup> run:	10 million to 14,999,999 million
4 <sup>th</sup> run:	5 million to 9,999,999 million

6. The NCOA link (48 months full service) must be run every eighty-five (85) days as per USPS requirements.

7. After address hygiene processing assign new Census County Codes to two files (Source and Mainframe). Convert Census County Codes to UCS Format. Redistribute records to appropriate counties.

8. Vendor must have the ability to suppress correctional institutions.

### **B. Duplicate Detection and List Merge**

#### **Matching Criteria:**

The vendor is to identify and eliminate duplicates in the manner described in this section. The vendor's duplicate detection software must be capable of identifying duplicate records based on a wide variety of matching criteria. The vendor must be capable of modifying its matching criteria to conform with OCA/JM requirements. In addition to using name and address, the OCA/JM requires the use of DOB (date of birth), Gender, and Social Security Number as part of the record matching criteria. The OCA/JM determined that multiple passes are required in order to accomplish the above requirements. The final matching criteria used in this process must be approved by the OCA/JM. The OCA/JM may require that the vendor modify the matching criteria in each year of the contract. The vendor must explain in writing the rules for each duplicate identified and attach this written description to its bid response.

#### **Definitions:**

The following definitions are necessary in order to understand the OCA/JM requirements with regards to the matching process and elimination of duplicates within the Master Source Files:

##### Duplicate Group

All records from any and all sources that are recognized by the matching criteria as identifying the same individual. Note: to ensure that the maximum number of duplicates are identified, all records in a duplicate group should be gathered before any duplicates are eliminated.

Unique Records

The records that remain on a file after duplicate records are eliminated.

**Use of Original and Corrected Addresses for Matching:**

The address correction process described in Section IIa of the Detailed Specification requires a corrected address be appended to some records. The matching and duplicate elimination steps described below require the use of both the original and the corrected addresses for the purpose of matching duplicate records. The vendor must be able to identify all records which match the original or corrected addresses as part of the same Duplicate Group.

**C. Duplicate Elimination and Marking Steps**

This section describes how duplicate records are to be eliminated.

Step 1 - Matching Records and Eliminating Duplicate Records Within the Master Source File

The vendor must identify and eliminate potential duplicate records within each county on the Master Source file.

The matching process must temporarily retain all records within a Duplicate Group. The records within a group must be prioritized based on the original source of each record. The priority scheme is shown below.

<u>Priority</u>	<u>Code</u>	<u>List</u>
1.	B	Board of Elections
2.	M	Motor Vehicle
3.	T	Tax
4.	L	Labor
5.	H	Social Services

The process must retain the record that has the highest priority and this record mark as to the original source or combination of sources by updating a field of one-byte length utilizing the table of source codes included in Appendix II. The remaining duplicate records within the Duplicate Group will be eliminated. If the highest priority record is incomplete, the vendor must use a combination of information from the other records within the duplicate group to fill-in the missing fields. The final record must contain as much of the following information as possible:

- Name
- Address
- City
- State
- Zip Code
- Date of Birth
- SSN

For example, if the highest priority record within a Duplicate Group is from the Motor Vehicle list and this record has no date of birth, but the next record within the group is from the Tax list which has a date of Birth, the vendor would retain the record from the Motor Vehicles list and insert the date of birth from the Tax record. This record will be marked with a source code of "3" indicating that it came from Motor Vehicle and Tax files.

The vendor must provide reports showing the results of the duplicate elimination process as follows for each county and statewide:

1. Number of total records matched, number of unique<sup>1</sup> records and number of duplicate records within each file (master and mainframe).
2. Number of unique records from each source or source combination within the two Master Source files. The 31 possible source list combinations are included in Appendix II.
3. Number of unique records for each county from each source or source combination within the Master Source files. The 31 possible source list combinations are included in Appendix II.

The vendor must also supply the OCA/JM with a sample of 10,000 Duplicate Groups on a computer cartridge (IBM Type #3480 on an FTP file for OCA/JM review).

#### Step 2 - Duplicate Elimination Between Master Source File and Mainframe File

The vendor must compare the Master Source file (after duplicates are eliminated as described in Step 1 with the Mainframe File, eliminating records on Master Source File that are

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<sup>1</sup>Unique Record: Record remaining after duplicates are eliminated

duplicates of records found on the Mainframe File.

Note: Mainframe records are not edited in any way during this matching process.

The file that results from this process is called the Prospective File.

The vendor must provide reports showing the results of the process as follows:

1. Number of duplicate records eliminated and the number of unique records remaining on the Prospective File. The number of duplicate records resulting from the matching process categorized by the type of duplicate.
2. Number of unique records from each source or source combination within the Master Prospective File. The 31 possible source list combinations are included in Appendix II.
3. Number of unique records for each county from each source or source combination within the Prospective File. The 31 possible source list combinations are included in Appendix II.

### Step 3 - Delete Records of Persons Under 18 Years Old in Prospective File

Vendor deletes or marks for deletion records on the Prospective File where the date of birth indicates a person to be under the age of 18. The vendor must provide a report showing the number of records deleted within each county.

### Step 4 - Randomization of Records Within the Prospective File

The vendor randomizes records in the Prospective File within each county according to randomization criteria provided by either the vendor or the OCA/JM. The OCA/JM will consider permitting use of the vendor's randomization software, if available. The vendor should provide a written description of its randomization software for OCA/JM review. The OCA/JM must approve this software before it is used.

### Step 5 - Marking Duplicate Records on the Mainframe File

The vendor must identify duplicate records within each county on the Mainframe File.

Note: Mainframe records are not edited in any way during this matching process.

The vendor must provide a report showing the number of unique and duplicate records on

OCA/JM-172  
ADDRESS CLEANSING  
NCOA, MERGE/PURGE

BID OPENING: MAY 21, 2010 at 2:00 PM

the Mainframe File and the number of duplicate records resulting from the matching process categorized by type of duplicate.

Step 6 - Vendor delivers records to OCA/JM

The vendor must deliver on Prospective file to OCA/JM on an IBM Type # 3480 data cartridge or cartridges or an FTP file. The file must contain all 62 prospective files merged together in county order and remain randomized within each county. Vendor must return all cartridges to the OCA/JM and delete all internal work files.

**D. The returned files must be broken down by county and sorted on the randomization number. The return file should be in the 142 character record layout with the data applied.**

Attachments:

- Appendix I - Record Layouts
- Sample of Reports

**BID RESPONSE SHEET OCA/JM-172**

20 million records (price shall apply to any submitted quantity between 20 million and 29,999,999 records)

**A. Detailed Specification Section IIA**

<u>PROCESSES</u>		<u>PRICE</u>			<u># OF RECORDS</u>	<u>TOTAL COST</u>
<b>Data Editing Including:</b>						
1	SSN (Social Security Number)	_____	Per Thousand	x	_____	= _____
2	DOB (Date Of Birth)	_____	Per Thousand	x	_____	= _____
<b>File Hygiene Processing, Including:</b>						
1	Apartment Append	_____	Per Thousand	x	_____	= _____
2	Multiengine CASS Processing	_____	Per Thousand	x	_____	= _____
3	NCOA Link (48 Months Full Service)	_____	Per Thousand	x	_____	= _____
4	NCOA/Nixie Processing	_____	Per Thousand	x	_____	= _____
5	Apply NCOA Processing Results	_____	Per Thousand	x	_____	= _____
6	Detailed NCOA Reporting by County	_____	Per Thousand	x	_____	= _____
7	Provide NCOA Results to UCS	_____	Per Thousand	x	_____	= _____
8	LACS	_____	Per Thousand	x	_____	= _____
9	Apply LACS Processing Results	_____	Per Thousand	x	_____	= _____
10	Detailed LACS Reporting	_____	Per Thousand	x	_____	= _____
11	Provide LACS Results to UCS by County	_____	Per Thousand	x	_____	= _____
12	DSF <sup>2</sup>	_____	Per Thousand	x	_____	= _____
13	Apply DSF <sup>2</sup> Processing Results	_____	Per Thousand	x	_____	= _____
14	Detailed DSF <sup>2</sup> Reporting by County	_____	Per Thousand	x	_____	= _____
15	Provide DSF <sup>2</sup> Results to UCS	_____	Per Thousand	x	_____	= _____
16	Deceased Processing - <b>60 million</b>	_____	Per Thousand	x	_____	= _____
17	Assign FIPS County Codes	_____	Per Thousand	x	_____	= _____
18	Convert FIPS County Codes to UCS Format	_____	Per Thousand	x	_____	= _____
<b>Additional Preprocessing</b>						
1	Drop Records per UCS Instructions	_____	Per Thousand	x	_____	= _____
2	Gender Coding	_____	Per Thousand	x	_____	= _____
3*	Additional	_____	Per Thousand	x	_____	= _____
*	Optional - Bidders may submit costs for these items					
					Subtotal A	\$ _____

**PROCESSES** PRICE

**B. NCOA Processes only (new requirement)**

<b>2nd run</b>	15 million - 19,999,999 records	_____	Per Thousand	x	_____	= _____
<b>3rd run</b>	10 million - 14,999,999 records	_____	Per Thousand	x	_____	= _____
<b>4th run</b>	5 million - 9,999,999 records	_____	Per Thousand	x	_____	= _____
					Subtotal B	\$ _____

20 million records (price shall apply to any submitted quantity between 20 million and 29,999,999 records)

**C. Detailed Specification Section IIB**

<u>PROCESSES</u>	<u>PRICE</u>		<u># OF RECORDS</u>	<u>TOTAL COST</u>
<b>Merge/Purge Including:</b>				
1	Matching Records and Eliminating Duplicate Records <b>Within the Master Source</b>			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
2	Duplicate Elimination <b>Between Master Source and Mainframe File.</b>			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
3	Reporting Processing for Each County (62) _____ Per Thousand x _____ = _____			
4	Rollup Processing to Create Source			
	Combination Codes _____	Per Thousand	x _____	= _____
5	Produce Rollup Reports For Each County _____ Per Thousand x _____ = _____			
6	Randomization Process _____ Per Thousand x _____ = _____			
			Subtotal C	\$ _____

**D. Detailed Specification Section IIC**

<b>Merge/Purge Including:</b>				
1	Mainframe Duplicate Identification Process and Report			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
2	Reporting Processing for Each County (62) _____ Per Thousand x _____ = _____			
3	Provide M/P Results to UCS _____ Per Thousand x _____ = _____			
			Subtotal D	\$ _____

**E. Detailed Specification Section IID**

<b>Post Merge/Purge Processing:</b>				
1	Sort Prospects by Randomization Number			
	Within County _____	Per Thousand	x _____	= _____
2	Convert Prospect File to Specified Format _____ Per Thousand x _____ = _____			
3	Convert Main Frame O/P to Specified Format _____ Per Thousand x _____ = _____			
			Subtotal E	\$ _____
			GRAND TOTAL	\$ _____

30 million records (price shall apply to any submitted quantity between 30 million and 39,999,999 records)

**A. Detailed Specification Section IIA**

<u>PROCESSES</u>		<u>PRICE</u>		<u># OF RECORDS</u>	<u>TOTAL COST</u>
<b>Data Editing Including:</b>					
1	SSN (Social Security Number)	_____	Per Thousand	x _____	= _____
2	DOB (Date Of Birth)	_____	Per Thousand	x _____	= _____
<b>File Hygiene Processing, Including:</b>					
1	Apartment Append	_____	Per Thousand	x _____	= _____
2	Multiengine CASS Processing	_____	Per Thousand	x _____	= _____
3	NCOA Link (48 Months Full Service)	_____	Per Thousand	x _____	= _____
4	NCOA/Nixie Processing	_____	Per Thousand	x _____	= _____
5	Apply NCOA Processing Results	_____	Per Thousand	x _____	= _____
6	Detailed NCOA Reporting by County	_____	Per Thousand	x _____	= _____
7	Provide NCOA Results to UCS	_____	Per Thousand	x _____	= _____
8	LACS	_____	Per Thousand	x _____	= _____
9	Apply LACS Processing Results	_____	Per Thousand	x _____	= _____
10	Detailed LACS Reporting	_____	Per Thousand	x _____	= _____
11	Provide LACS Results to UCS by County	_____	Per Thousand	x _____	= _____
12	DSF <sup>2</sup>	_____	Per Thousand	x _____	= _____
13	Apply DSF <sup>2</sup> Processing Results	_____	Per Thousand	x _____	= _____
14	Detailed DSF <sup>2</sup> Reporting by County	_____	Per Thousand	x _____	= _____
15	Provide DSF <sup>2</sup> Results to UCS	_____	Per Thousand	x _____	= _____
16	Deceased Processing - <b>60 million</b>	_____	Per Thousand	x _____	= _____
17	Assign FIPS County Codes	_____	Per Thousand	x _____	= _____
18	Convert FIPS County Codes to UCS Format	_____	Per Thousand	x _____	= _____
<b>Additional Preprocessing</b>					
1	Drop Records per UCS Instructions	_____	Per Thousand	x _____	= _____
2	Gender Coding	_____	Per Thousand	x _____	= _____
3*	Additional	_____	Per Thousand	x _____	= _____
*	Optional - Bidders may submit costs for these items				
				Subtotal A	\$ _____

30 million records (price shall apply to any submitted quantity between 30 million and 39,999,999 records)

**B. Detailed Specification Section IIB**

<u>PROCESSES</u>	<u>PRICE</u>		<u># OF RECORDS</u>	<u>TOTAL COST</u>
<b>Merge/Purge Including:</b>				
1	Matching Records and Eliminating Duplicate Records <b>Within the Master Source</b>			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
2	Duplicate Elimination <b>Between Master Source and Mainframe File.</b>			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
3	Reporting Processing for Each County (62)	Per Thousand	x _____	= _____
4	Rollup Processing to Create Source			
	Combination Codes _____	Per Thousand	x _____	= _____
5	Produce Rollup Reports For Each County	Per Thousand	x _____	= _____
6	Randomization Process _____	Per Thousand	x _____	= _____
			Subtotal B	\$ _____

**C. Detailed Specification Section IIC**

<b>Merge/Purge Including:</b>				
1	Mainframe Duplicate Identification Process and Report			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
2	Reporting Processing for Each County (62)	Per Thousand	x _____	= _____
3	Provide M/P Results to UCS _____	Per Thousand	x _____	= _____
			Subtotal C	\$ _____

**D. Detailed Specification Section IID**

<b>Post Merge/Purge Processing:</b>				
1	Sort Prospects by Randomization Number			
	Within County _____	Per Thousand	x _____	= _____
2	Convert Prospect File to Specified Format _____	Per Thousand	x _____	= _____
3	Convert Main Frame O/P to Specified Format _____	Per Thousand	x _____	= _____
			Subtotal D	\$ _____
			GRAND TOTAL	\$ _____

40 million records

A. Detailed Specification Section IIA

PROCESSES	PRICE			# OF RECORDS	TOTAL COST
<b>Data Editing Including:</b>					
1 SSN (Social Security Number)	_____	Per Thousand	x	_____	= _____
2 DOB (Date Of Birth)	_____	Per Thousand	x	_____	= _____
<b>File Hygiene Processing, Including:</b>					
1 Apartment Append	_____	Per Thousand	x	_____	= _____
2 Multiengine CASS Processing	_____	Per Thousand	x	_____	= _____
3 NCOA Link (48 Months Full Service)	_____	Per Thousand	x	_____	= _____
4 NCOA/Nixie Processing	_____	Per Thousand	x	_____	= _____
5 Apply NCOA Processing Results	_____	Per Thousand	x	_____	= _____
6 Detailed NCOA Reporting by County	_____	Per Thousand	x	_____	= _____
7 Provide NCOA Results to UCS	_____	Per Thousand	x	_____	= _____
8 LACS	_____	Per Thousand	x	_____	= _____
9 Apply LACS Processing Results	_____	Per Thousand	x	_____	= _____
10 Detailed LACS Reporting	_____	Per Thousand	x	_____	= _____
11 Provide LACS Results to UCS by County	_____	Per Thousand	x	_____	= _____
12 DSF <sup>2</sup>	_____	Per Thousand	x	_____	= _____
13 Apply DSF <sup>2</sup> Processing Results	_____	Per Thousand	x	_____	= _____
14 Detailed DSF <sup>2</sup> Reporting by County	_____	Per Thousand	x	_____	= _____
15 Provide DSF <sup>2</sup> Results to UCS	_____	Per Thousand	x	_____	= _____
16 Deceased Processing - <b>60 million</b>	_____	Per Thousand	x	_____	= _____
17 Assign FIPS County Codes	_____	Per Thousand	x	_____	= _____
18 Convert FIPS County Codes to UCS Format	_____	Per Thousand	x	_____	= _____
<b>Additional Preprocessing</b>					
1 Drop Records per UCS Instructions	_____	Per Thousand	x	_____	= _____
2 Gender Coding	_____	Per Thousand	x	_____	= _____
3* Additional	_____	Per Thousand	x	_____	= _____
* Optional - Bidders may submit costs for these items				Subtotal A	\$ _____

**40 million records**

**B. Detailed Specification Section IIB**

<u>PROCESSES</u>	<u>PRICE</u>		<u># OF RECORDS</u>	<u>TOTAL COST</u>
<b>Merge/Purge Including:</b>				
1	Matching Records and Eliminating Duplicate Records <b>Within the Master Source</b>			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
2	Duplicate Elimination <b>Between Master Source and Mainframe File.</b>			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
3	Reporting Processing for Each County (62)	Per Thousand	x _____	= _____
4	Rollup Processing to Create Source			
	Combination Codes _____	Per Thousand	x _____	= _____
5	Produce Rollup Reports For Each County	Per Thousand	x _____	= _____
6	Randomization Process _____	Per Thousand	x _____	= _____
			Subtotal B	\$ _____

**C. Detailed Specification Section IIC**

<b>Merge/Purge Including:</b>				
1	Mainframe Duplicate Identification Process and Report			
	Multiple Passes to Match Records By:			
	SSN and DOB _____	Per Thousand	x _____	= _____
	ZIP, Address, Name, Gender, and DOB _____	Per Thousand	x _____	= _____
	SCF, Name, Address, Gender, and DOB _____	Per Thousand	x _____	= _____
2	Reporting Processing for Each County (62)	Per Thousand	x _____	= _____
3	Provide M/P Results to UCS _____	Per Thousand	x _____	= _____
			Subtotal C	\$ _____

**D. Detailed Specification Section IID**

<b>Post Merge/Purge Processing:</b>				
1	Sort Prospects by Randomization Number			
	Within County _____	Per Thousand	x _____	= _____
2	Convert Prospect File to Specified Format _____	Per Thousand	x _____	= _____
3	Convert Main Frame O/P to Specified Format _____	Per Thousand	x _____	= _____
			Subtotal D	\$ _____
			GRAND TOTAL	\$ _____

**GRAND TOTAL COST FOR ALL CATEGORIES**

**\$ \_\_\_\_\_**

**Vendor Name:** \_\_\_\_\_

**Signature and date:** \_\_\_\_\_