

# **APPENDIX B TO REQUEST FOR PROPOSALS**

## **Overview and Instructions**

The service provider's responsibilities will include the following:

- (A) Processing of ESI produced to CTAG in a variety of file formats;
- (B) Hosting ESI produced to CTAG on secure, remotely located servers that are backed-up on a regular basis;
- (C) Implementing a web based document review platform that provides robust document search and organization functions;
- (D) Collecting ESI from state agencies and preparing it for review by CTAG on the same web based document review platform;
- (E) Organizing and preparing for production the ESI and other documents reviewed by CTAG that are deemed responsive to defendant's discovery requests;
- (F) Providing 24 hour access to consulting staff who are familiar with CTAG's project(s) and are capable of providing technical and other support that may be needed during the document review process;
- (G) Providing access to staff who are capable of coordinating with e-discovery consultants retained by opposing parties to resolve any technical issues with documents produced to CTAG;
- (H) Assisting with the organization and presentation of documents to be entered into evidence as exhibits at trial;
- (I) Providing general advice and consultation on e-discovery and litigation support issues to CTAG during the litigation.
- (J) Loading productions from other parties and load-ready files currently hosted by CTAG into the web-based platform.

## **Assumptions**

1. It is not known at this time the volume of documents and ESI that must be collected, analyzed or hosted. Please provide unit pricing for the hosting of 1, 2 and 3 TB.
2. If collections are required, it is not known how many custodians or the specific file types that must be collected. Most collections will take place at state agencies in and around Hartford, CT. It is anticipated that e-mail and office

documents will be collected, and it is possible that structured data must be collected, although it is not known at this time what applications will be involved. If structured data must be collected, state-employed IT professionals will act as subject matter experts and provide support.

3. Forms of production may vary. Please assume that the Connecticut Office of the Attorney General will consult with you regarding any required form of production.
4. Assume that contract attorney review services will not be required.

## **1. Company Background**

- 1) Provide a brief history of your company including the number of years your company has been in business and has performed e-discovery services.
- 2) Please describe your company's experience with:
  - a. E-discovery and litigation support services.
  - b. Digital forensics.
  - c. ESI processing.
  - d. Web-hosted review platforms.
  - e. Advanced analytics, such as predictive coding.
- 3) Please state the locations of:
  - a. Your headquarters.
  - b. Your data center.
  - c. Your locations, including the locations of your project managers and any work-at-home employees.
- 4) Please give a short narrative description of your case approach and workflow, from case intake through production.
- 5) Please state how you ensure the confidentiality and integrity of hosted data, including the safeguards you employ and any standards to which you adhere.
- 6) Describe your media handling and chain of custody processes.
- 7) State and describe whether within the past three years you or a subcontractor has caused or experienced a breach of security, confidentiality or integrity of a customer's data.
- 8) Please describe the options you offer for database handling at the close of a case, including whether you supply a certificate of destruction.

## **2. Functional Requirements**

Please indicate within the spaces provided whether you provide, do not provide, or provide through a third party, the services and capabilities listed below. Where requested, please provide the additional information requested in **bold**. If additional space is needed, please use a separate sheet and indicate the item being supplemented, i.e. A1, B3, etc.

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Row	Services	Provide	Do Not Provide	Provided by 3 <sup>rd</sup> Party (identify)
<b>A</b>	<b><u>Collection (Onsite &amp; Remote)</u></b>			
1	Onsite live data collection			
2	Remote live data collection			
3	Non-traditional collection (social networking, databases, mobile devices)— <b>please list collection tools</b>			
4	Complete documentation of collection including chain of custody			
5	Testimony of collection process			
6	Back up tape restoration			
<b>B</b>	<b><u>Processing</u></b>			
1	Data reduction and culling (De-NIST; custodial and global deduplication; filtering by custodian, file type, date; keyword searching)			
2	Full ESI processing (extraction of text and metadata, load file creation)			
3	Processing errors tracked/logs maintained			
4	Support average processing speeds of at least 10 GB per hour, if higher or lower, <b>please specify</b>			
5	Keep e-mails and families together			
6	Support extraction and processing of files within container files such as zip and rar and support the processing of files in nested containers			
7	Ability to preview search result metrics prior to actually running searches to remove obvious false positives			
8	Ability to report on processing statistics such as file exceptions/errors, de-duplication rates, number of documents, average size of documents, etc.			
<b>C</b>	<b><u>Review</u></b>			
1	Web-based hosting— <b>list applications</b>			

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Row	Services	Provide	Do Not Provide	Provided by 3 <sup>rd</sup> Party (identify)
2	Training—user and administrative			
3	Native/Near native review			
4	Search hit highlighting			
5	Customization of coding panel			
6	Bulk tagging			
7	Export and creation of privilege log			
8	Searching on all tags and metadata			
9	Image-based review			
10	Assign batches for review			
11	Security structure is configurable down to an individual case or object level.			
12	Reporting on case progress, including the total number of documents reviewed, tagged, marked privilege.			
13	Ability to report details of search and results on a per-search basis			
14	Migration of competitors' data into your review application— <b>please list</b> (1) database formats you have migrated and (2) examples of formats you know you cannot migrate			
15	Early case assessment— <b>list applications</b>			
16	Can your solution log and audit administrative and user actions such as login, logout, search, tag, print, and export?			
<b>D</b>	<b><u>Analysis</u></b>			
1	Content & context analysis (patterns, topics, custodians, discussions, clustering, dates, e-mail threading, near duplicate analysis) <b>Please list applications</b>			
2	Simple and advanced (such as Boolean, wild card, stemming) searches— <b>Please list applications.</b>			

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Row	Services	Provide	Do Not Provide	Provided by 3 <sup>rd</sup> Party (identify)
3	TAR/CAR/Predictive Coding/other analytics – <b>Please list applications.</b>			
<b>E     <u>Production</u></b>				
1	Native production			
2	Image production			
3	Endorsements such as Bates numbering			
4	Multiple export formats			
5	QA/QC process for, e.g., privileged and redacted documents			
<b>F     <u>Paper Services</u></b>				
1	Scanning			
2	OCR			
3	Coding			
4	Unitization			
5	Load file creation			
6	Blowbacks			
<b>G     <u>Professional Services</u></b>				
1	Consulting— <b>Please briefly list consulting capabilities</b>			
<b>H     <u>Presentation</u></b>				
1	Courtroom presentation—please list applications and related services			

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### 3. Technical requirements and security

Question	Service Provider Comments
Is your solution self-contained or does it require additional licenses and software from third parties? Please explain.	
What is your hosting capacity in terms of number of cases and size of each case? How many cases do you currently host and what is the associated volume? Is there a maximum number of users per database? Is there a limit for the number of users who can be logged in concurrently?	
Which types of security certifications do you have (HIPPA, EU, etc.)?	
List the ISO or other similar certifications you have.	
How old is the data center?	
Do you have a disaster recovery plan? If so, please provide or describe it.	
What is your data back -up strategy (including whether you have a separate back up site) and recovery time frame?	
Describe the security of data transferred to and from your solution.	

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Question	Service Provider Comments
State how long it takes to ingest, process and load ESI ((per GB per time period, assuming a mixture of e-mails and office documents) into the review platform.	

### 4. Maintenance, Support, & Training

Questions	Service Provider Comments
Describe your help services and escalation process. (Help desk, project manager, etc.)	
Where is your support located? (time zone)	
Who is authorized to call?	
Is there any charge for new releases and software updates?	

### 5. Pricing

Please use the chart on page 44 to provide pricing information in the format requested. If necessary, please use additional columns, for example, in listing pricing for different volumes of hosted data, you may add columns to denote different unit pricing for higher volumes.

### 6. Customer References

Please provide three customer references in the tabular format below that OAG may contact that have used the solution/services you are proposing for at least 6 months. Ideally, at least one should be a government entity, preferably a state attorney general's office or similar organization.

<b>Reference #</b>	
Company Name	
Contact Name	
Contact Phone	
Contact Email	
Company Address	

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Description of services provided	
Duration of services provided	
<b>Reference #</b>	
Company Name	
Contact Name	
Contact Phone	
Contact Email	
Company Address	
Description of services provided	
Duration of services provided	
<b>Reference #</b>	
Company Name	
Contact Name	
Contact Phone	
Contact Email	
Company Address	
Description of services provided	
Duration of services provided	

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## Pricing Worksheet

<b>Connecticut Attorney General E-Discovery Service Provider RFP Pricing Worksheet</b>			
<b>Category</b>	<b>Service</b>	<b>Preferred Unit</b>	<b>Unit Cost</b>
<b>Collection</b>			
	On site collection	hour	
	Remote collection	hour	
	Consulting about collection or other forensic issue, including preparation of affidavits	hour	
	Testimony at deposition or trial	hour	
<b>Processing</b>			
	Data reduction: deduplication, de-NISTing, date ranges, search terms	GB	
	Processing for native review	GB	
	Full processing with TIFF creation	GB	
	Creation of load file and loading of data into review application		
	Receive load-ready in-bound production and load to review application		included
<b>Hosting</b>			
	Data hosting storage	GB/Month	
	User license	Per user/per month	
	Project management		included
	Training		included
	Loading existing productions into platform		
<b>Production</b>			
	Creating production, including QA/QC		
	Redactions and endorsements		
<b>Presentation</b>	Load documents into presentation software and support courtroom presentations		

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<b>Analytics</b>			
	Near duplication		
	E-mail threading		
	Predictive coding		
	Other analytics		
<b>Early Case Assessment</b>			
<b>Paper</b>			
	Scanning/copying	per page	
	OCR	per page	
	Unitization	per page	
	Blowbacks	per page	
	Load file creation		included
<b>Media</b>			
	DVD		
	Hard drives		
<b>Travel</b>			
	At cost, with prior approval only, and through arrangements made by CTAG.		cost
<b>Professional Services/Consulting</b>			
<b>Storage</b>	near line	GB/Month	
	off line	GB/Month	