ADDENDUM 1

DATE:　　　　　　October 20, 2023

RFP NUMBER:　　UTA2024-003

RFP DUE DATE:　November 3, 2023

Answers to all the questions submitted by the question deadline are below. Your proposal must reflect the following:

Q1　　Can you publish a list of attendees' contacts who joined pre-bid meeting?

A1　　See Attachment 1 – contact information for all UTA personnel aside from myself and our HUB Program Manager & HUB Program Associate has been removed as any contact with the university must be addressed to me or, if HUB related, to Mario Ramirez or Rylan Yellman (copying me).

Q2　　What is the budget allocated for this contract prior?

A2　　Not determined.

Q3　　Is there any current incumbent for this project?

A3　　Yes

Q4　　What is the percentage % HUB goal allocated?

A4　　The HUB goal is 26%.

Q5　　Are vendors expected to complete and return Appendix Eight, FERPA? CONFIDENTIALITY AND SECURITY ADDENDUM, as part of the proposal response, or is this simply provided as a sample? If the addendum is required to be submitted with the proposal, could the University please provide a Word version of the document?

A5　　Completion of the FERPA Confidentiality and Security Addendum will be required during contract negotiations with the selected supplier. It does not need to be completed and returned with your proposal. The template was included to make proposers aware of what they will be required to agree to if selected.

Q6　　Should the vendor's completed Hub Subcontracting Plan be embedded in the body of the proposal or uploaded as a separate attachment?

A6　　The HUB Subcontracting Plan needs to be submitted as a separate file in Envelope 1 in BidNet.

Q7 For High School transcripts, please list all data elements the University wishes the tool to extract. We assume the University wishes to extract: year taken, course title, course level (e.g., AP, Honors, etc.), grade earned, and units; do you also wish to extract elements such as graduation date, unweighted or weighted GPA, and/or birthdate?

A7 Our minimum expectation is that you match our current data needs. The XML data sheet that we are currently using is attached below (see Attachment 2).

We also expect some flexibility to add additional fields, ideally with update to a configuration setting and not custom programming. Understanding that asking for additional logic to manipulate or calculate that data would be a customization.

Q8 Besides extracting the raw data that is present on each transcript, does the University need the tool to provide any "calculated" or "derived" values? For example, "core subject areas of Math, Science, etc." for High School, or derived/calculated GPAs that do not appear on the document itself?

A8 We would expect
Overall course calculated GPA, unweighted on a 4.0 scale.

A core subject GPA that could be generated along with the option to provide the subject areas that would be counted/or not counted as core.

We can provide rules for the calculations that we want.

Q9 The requirements seem to suggest that the tool is intended to extract transcript data but is not expected to perform course equivalencies or transfer articulations. Can the University confirm that this is correct?

A9 We do expect that the system would handle course equivalency/articulation for college or international transcripts that involve awarding college credit. Not necessary for high school coursework.

Q10 What does the University anticipate will be the source from which the tool receives transcripts for processing? In other words, will the transcripts be provided from Slate or from a hosted file share such as an S3 bucket or SFTP location?

A10 Current thought is that it would be an SFTP site for handoff to the supplier. Return could be direct to People Soft or back through an SFTP type of exchange. We may want a copy back to our image system. Depending on how that is implemented, we can make our own copy or may ask that the files be delivered to more than one destination.

Q11 Can the University define the targets to which the tool should post the extracted data back? We assume we will be posting the data back to PeopleSoft; are there any other targets where the data would be posted back?

A11 Definitely want the option to go to PeopleSoft and a copy back to imaging system: Perceptive Content.

Q12 Would proposer need to have TX RAMP certified in order to submit for this RFP? If not, at what stage is TX RAMP certified absolutely required?

A12 A supplier must have at least a provisional TX-RAMP certification before entering into a contract.

Q13 Aside from the requirements mentioned in "REQSL1240604-16-image.pdf", are there other qualifications or certifications that proposer would need to have in order to be eligible for bidding / awarded?

A13 No

Q14 What is the timeframe of the evaluation process?

A14 First round evaluation period is November 6, 2023, through November 24, 2023

Q15 What is the timeframe for the live demo (start/end date)?

A15 December 11, 2023, through December 18, 2023

Q16 What is the timeframe for the live pilot (start/end date)?

A16 December 18, 2023, through January 8, 2024

Q17 Besides meeting the requirements, what is the definition of success or KPIs used to measure success?

A17 Overall value to the university both short term and long term

Q18 Could UTA share timeframe for when responses to questions will be provided?

A18 As soon as possible once the deadline for questions has been reached.

Q19 Will the UTA have preferences for a vendor that is certified as DVBE/SBE/MBE/LBE/MWBE, etc.?

A19 UTA cannot give a preference to proposers carrying any of the above-mentioned certifications.

Q20 Approximately how many unique transcript formats could proposer expect for US high schools and colleges?

A20 This is almost unlimited because there are no standards for high school transcripts.

Q21 Approximately how many unique transcript formats could proposer expect for international schools?

A21 150+

Q22   Please confirm if there will be any handwritten transcripts?

A22   No

Q23   Please confirm if there will be transcripts from home schools?

A23   Yes

Q24   What's the average volume of transcripts per day, week, month, year that are expected to be processed?

A24   This is dependent on peak seasons throughout the year. January is a high-volume month with the receipt of over 18,000 transcripts, whereas July is the lowest volume month with the receipt of around 7,000 transcripts.

Q25   Are there historical transcripts that need to be processed? If so, what is the estimated volume?

A25   No

Q26   Is it possible to provide an estimated percentage of new transcript formats that are not known to UTA?

A26   Not with any degree of accuracy

Q27   What is the maximum size (in MB) of a transcript?

A27   12000KB are the largest, 2000ish KB is much more typical.

Q28   What's the maximum number of pages each transcript may have?

A28   Not system limited; Domestic 4-5 Pages; International 8-10 is more typical.

Q29   In addition to GPA, class rank, and course work, what are all of the expected data fields that need to be captured from each transcript?

A29   See Q8/A8

Q30   Besides EDI, PDF, TIFF, CSV formats, are there other formats proposer needs to handle? If so, what are they?

A30   Currently those are the expected formats.

Q31   REQ 006 states that system should be able to read the certificates. Please clarify the type of certificates and the format.

A31   Considering as "nice to have" for processing, no specific requirement at this time. This is bonus functionality thus its designation as Low priority on the Requirements Matrix.

Q32 REQ 007 states that system should return the transcripts in the same order. Could UTA please elaborate on this requirement and the business impact?

A32 Where the transcript is displayed for verification it should be in the same order of the original image.

Q33 What are some of the top languages that must be translated to English?

A33 Requirement does not require translation. Student is expected to submit an English copy. May still be in a foreign format.

Q34 In addition to the countries mentioned in 5.4.2.2, what are the other anticipated countries?

A34 Unknown, could be any country.

Q35 Will there be any calculations, conversions, transformation of data required (i.e., grade calculation)? If so, what are they?

A35 See Q8/A8

Q36 What is the mechanism in which transcripts are provided for ingestion? Physical copies, electronic copies, etc.? If electronic copies, how many source systems will transcripts come from and is it pulled or pushed from source systems?

A36 All of the transcripts for this solution will come from UTA even though they will originate from different providers coming into UTA. We are not opposed to different sources.

Q37 Will UTA provide any training data?

A37 If training data is sample transcripts from various existing schools, then yes actual samples will be provided.

Q38 REQ 018 states system should train itself. Is UTA open to building the training function as an additional component to the solution?

A38 Possibly, but we are interested in the self-training capability of the system. We are not very interested in the idea that we will be required to do the training. That's the AI part.

Q39 Assuming transcripts can have multiple pages, is the 10 second processing time expected per page?

A39 Demos that we have seen have demonstrated that 10 seconds per transcript is within normal capabilities.

Q40 System availability expected is daily 7 am - 7 pm CT, does this include weekend and major US holidays? Can the system be shutdown the rest of the time?

A40 Could typically be shut down "after hours" but would need to be agreed upon schedule with option to keep active for peak periods or with coordination with the vendor.

Q41   What is the level of support needed from UTA outside the system availability window?

A41   Contact and escalation method of processes that are having problems, so they can be looked into and resolved.

Q42   What is the XML schema that is required for data import and export?

A42   All we are providing at this time is the XML data sheet attached to this addendum. As our intent is to procure a product off the shelf the thought is all of this will be pre-configured.

Q43   What is the estimated growth rate and what are the peak periods?

A43   Estimated growth rate is dependent on enrollment goals and strategies. Peak periods are almost year-round. October to March is typically the peak for freshman December through April is typically the peak for international. Transfer in general is year-round.

Q44   Does a formal data governance organization exist within UTA? If yes, what is the maturity level from 1-5, 5 being highest maturity. And what are the roles?

A44   Unknown

Q45   Are there existing staff dedicated as owners for the governance process? If not, will there be in order to support this RFP?

A45   Unknown

Q46   Please elaborate on 95% accuracy. How is this metric defined, measured and evaluated?

A46   From demo systems this is basically an application generated score based on the ability to read all the fields. Expectation is that this is built-in and is common in OCR systems.

Q47   What is the governance process if accuracy rate does not meet the threshold after three times? Will the transcript get rejected and manually reviewed/processed?

A47   Yes, that's the general idea. If the threshold is not met, then a manual review will be required. The threshold should be configurable.

Q48   Are there any specific metadata management requirements such as run-time stats, date/time stamps, volume metrics, log information, data dictionary, etc.?

A48   Once again, as our intent is to procure a product off the shelf the thought is all of this will be pre-configured.

Q49   Are there any data quality/data standards or rules (cleansing, deduplication, etc.) that need to be implemented as part of this RFP?

A49   There may be some relative to how grades are scored, e.g., letter grades converted to numeric grades or vice versa.

Q50 Does UTA have a preferred training method or approach (i.e., in-person, remote, self-pace, etc.) proposer needs to follow?

A50 Training transcripts is currently not done. User training for the application is done by departmental staff. If this is for users, then it would be train-the-trainer arrangement. This may change based on implementation. May ask vendor to train entire staff for initial implementation.

Q51 How many UTA personnel are expected to be trained? What are their roles?

A51 Depends on implementation and product capabilities.

Q52 Are there any requirements for integration with Master Data Management systems (i.e., Applicants, Student Records, Courses)?

A52 Yes this would include update into our Student Information System (SIS) which is currently PeopleSoft and potentially Articulation.

Q53 Does UTA have a mature change management process in place?

A53 Yes, handled through our Project Management Office (PMO).

Q54 What is the turnaround time expected for low, medium, high complexity changes?

A54
1. **Critical Defects**:
   - **SLA**: Critical defects are those that render the system unusable or severely impact critical functionality. The SLA for critical defects is typically the shortest to ensure rapid response and resolution.
   - **SLA Target**: 24 to 48 hours. Critical defects should be acknowledged and resolved within 24 to 48 hours of reporting, ensuring minimal downtime and disruption to the system.
2. **High-Priority Defects**:
   - **SLA**: High-priority defects are issues that significantly impact system functionality but may not render it completely unusable. They have a substantial business impact.
   - **SLA Target**: 3 to 5 business days. High-priority defects should be addressed and resolved within 3 to 5 business days to minimize disruptions and maintain system performance.
3. **Medium-Priority Defects**:
   - **SLA**: Medium-priority defects are problems that affect specific functionalities but do not have an immediate, critical impact on the overall system.
   - **SLA Target**: 7 to 10 business days. Medium-priority defects should be resolved within 7 to 10 business days to ensure a reasonable balance between issue resolution and resources.
4. **Low-Priority Defects**:
   - **SLA**: Low-priority defects are generally minor issues that have minimal impact on system functionality and may be more of an inconvenience than a critical problem.
   - **SLA Target**: 14 to 21 business days. Low-priority defects should be addressed within 14 to 21 business days, allowing time for thorough investigation and resolution while prioritizing higher-impact issues.

Q55   Aside from REQ 030, 031 & 048, are there any other data purge, archival and retention policies or requirements proposer must follow?

A55   Yes, this process should not have the vendor retaining any data except for the duration of the processing. Record retention rules will be handled by UTA.

Q56   Does UTA have any requirements for streaming solutions and near real-time reporting?

A56   We are interested in the capability to do this interactively so this is bonus functionality, but the current thought process is that it will be handled batch for the back and forth. Show us what you can do.

Q57   How many downstream systems need to consume the data? Is it expected that this solution pushes the data into the downstream systems or publish the data and downstream system can pull the needed data?

A57   Needs to come back to the SIS system and then potentially two additional targets: imaging system and Customer Relationship Management (CRM) system.

Q58   Aside from Admissions Department and Testing Services, please provide more details on specifically who the end users of the solution are?

A58   The Admissions processing staff are primary end users but other departments, I.e., Office of the Registrar, may have some use.

Q59   How will end users of this solution be using the data?

A59   The purpose of this solution is to have the ability to capture academic credentials from transcripts, whether it be high school, college or international. The data is used for admissions decisions, course evaluations and equivalency, etc.

Q60   Can UTA provide details on the types of reporting capabilities and metrics needed?

A60   Currently, there are no automated reporting capabilities that allows UTA to capture the specific volume of transcripts and types of transcripts. To have the ability to report is a bonus.

Q61   Can UTA provide some top exceptions that need to be reported?

A61   System outages, upgrade messages, security, etc.

Q62   Are there any email alerts that need to be sent? If so, please provide details on the type of alerts, frequency and audience.

A62   Yes, regarding system outages, upgrade messages, security, etc.; Frequency may depend on the type of alert and audience will be designated internal staff.

Q63   Define output formats required, output schema from the transcript processing system.

A63   See Attachment 2, XML Data Sheet.

Q64   What is the location of the work to be performed?

A64   The State of Texas requires cloud-based services to be TX-RAMP compliant. Texas Department of Information Resources (TX DIR) TX-RAMP Information: https://dir.texas.gov/texas-risk-and-authorization-management-program-tx-ramp

Q65   Is UTA open to utilizing a phased release approach or have a particular release approach proposer must follow?

A65   Yes, UTA is open to a phased release approach.

Q66   Does UTA have any predefined timeline to implement the solution?

A66   Yes, there is a preferred timeline.

Q67   Are there any specific reference projects that UTA considers particularly relevant to this RFP?

A67   SRAR: Student Reported Transcripts

Q68   Does UTA support Agile methodology?

A68   UTA can operate in an agile environment.

Q69   Are there any specific tools or technologies preferred by UTA? If so, can UTA please share?

A69   Desire is for cloud solution no requirement for specific technology other than established integrations with existing Perceptive Content. Access to admin portal should be handled by SSO (preferably Azure Active Directory) rather than locally defined users. All transmission of FERPA data must be handled via encrypted channels (such as SSL)

Q70   What tools, technologies, applications will end users leverage to consume the data?

Q70   Currently PeopleSoft, Perceptive Content, Slate including potential reporting from Enterprise Data repository.

Q71   Does UTA have any business and/or regulatory limitations for a cloud-based solution?

A71   The State of Texas requires cloud-based services to be TX-RAMP compliant. Texas Department of Information Resources (TX DIR) TX-RAMP Information: https://dir.texas.gov/texas-risk-and-authorization-management-program-tx-ramp

Q72   Does UTA have a preferred cloud services vendor (for example, Amazon Web Services, Google Cloud Platform, Microsoft Azure, etc.)?

A72   Azure, AWS

Q73   Aside from the requirements in "REQSL1240604-16-image.pdf" are there any other data security and privacy standards proposer needs to adhere to when handling Data?

A73   Besides the FERPA and GLBA standards mentioned in the RFP Documentation, it is also mentioned that the State of Texas requires cloud services to be TX-RAMP Compliant. For Security controls we use the Texas Cybersecurity Framework (CSF). This framework and the TX-RAMP requirements are based on NIST 800-53 r5 Moderate controls.

Q74   Does UTA have a ballpark estimate of the budget available for the implementation of this solution?

A74   See Q2/A2

Q75   Will UTA procure required software licenses or does vendor need to include the costs of proposed software licensing as part of our costs?

A75   Please use pricing document and provide licensing cost, support/maintenance, and implementation cost broken down by year.

Q76   Can UTA provide details on what the current end-to-end process used today to extract, analyze, and publish transcript data?

A76   Primarily this is done manually, as the current OCR is inconsistent with results.

Q77   Can UTA provide more details about the specific challenges faced with the current process?

A77   UTA's specific challenges include manual labor with transcript review and evaluation. Systems and processes are somewhat outdated in regard to advanced technology.

Q78   Can UTA share who will be on the evaluation committee for this RFP?

A78   The evaluation team will be made up of campus subject matter experts.

Q79   Can UTA please clarify if is it allowed to use digital signatures?

A79   Yes, UTA does allow digital signatures.

Q80   Does UTA expect the solution to be a product offering or can it be a custom solution that proposer builds specifically for UTA?

A80   UTA is looking for a product offering with limited customization.

Q81   What are the documentation requirements for the system?

A81   Training that is available to all users that may include online resources and help. A community of current users is a bonus.

Q82   The scope of work only includes the Live Demo and Live Pilot phases. Should the proposal pricing only reflect the completion cost of the defined scope, Live Demo, and Live Pilot? Or should the pricing reflect a production solution, including loading data into the SIS (Peoplesoft)?

A82   The pricing should reflect a production solution including loading data into the SIS.

Q83   How many transcripts does UTA process annually?

A83   Estimated 140,000 – 150,000

Q84   How much growth in transcript processing volume is anticipated over the next three years?

A84   Enrollment growth does lead to increased transcript volume. However, advanced technology with systems and strategic management may increase the annual volume at a minimum rate.

Q85   How many users currently participate in the transcript processing keying and validation process?

A85   25 full-time employees

Q86   What is the preferred data format for the SIS load process?

A86   XML

PLEASE SUBMIT WITH YOUR PROPOSAL

Nancy Czarowitz   Contract Specialist   czarowitz@uta.edu

SIGNED: _____

COMPANY NAME: _____

11

Attachment 1

PRE-PROPOSAL MEETING SIGN-IN SHEET

RFP #UTA2024-005

TRANSCRIPT DATA CAPTURE SOFTWARE

Date September 29, 2023 @ 10:05 a.m. CDT

NAME	COMPANY	EMAIL	PHONE
Nancy Czarowitz	UTA – Procurement	czarowitz@uta.edu	817-272-7146
Denelle Rodriguez	UTA – Enrollment Mgmt		
Tom George	UTA -OIT		
Phil Gilmore	UTA – OIT		
Patricia Gullatte	UTA – OIT		
Mario Ramirez	UTA – HUB	Mario.ramirez@uta.edu	217-272-2039
Amar Gadala	UTA – OIT		
Rylan Yellman	UTA – HUB	Rylan.yellman@uta.edu	817-272-3097
James Payne	UTA - OIT		
Kim Ketelsen	UTA – Enrollment Mgmt		
Jackie Webster	UTA - Procurement		
Kimberly Tate	UTA - Registrar		
Janet Wehner	UTA – Enrollment Mgmt		
Randy Morgan	UTA - ISO		
Bijith Moopen	PriceSenz	bijith@pricesenz.com	817-983-3492
Alaina Symanovich	Parchment	Alaina.symanovich@parchment.com	480-867-0126
Paul Rhinehart	Smart Panda	Paul.rhinehart@thesmartpanda.com	
Mehendra Kumar	PriceSenz		
Dan Goddi	IBM		
John Piper	Shamrock Solutions		785-554-1776
Alan Howard	IBM		770-417-7572
Ruben Quinones	Cypresbit	ruben@cypressbit.com	210-840-1196

Attachment 2

XML Data Sheet

Current Data definition for Transcripts

```xml
<?xml version="1.0" encoding="utf-8"?>
<!-- A sample output file of the Transcript eForm -->
<!-- Perceptive Transcript eForm 2.0.0 -->
<transcript>
        <type/>
  <subtype/>
        <issueDate/>
        <debugTag/>
        <initialized/>
        <mergedTranscript/>

        <studentRecord>
                <firstName/>
                <middleName/>
                <lastName/>
                <streetAddress/>
                <city/>
                <state/>
                <zip/>
                <phoneNumber/>
                <applicantId/>
                <ssn/>
                <dob/>
        </studentRecord>

        <universitySummary>
                <univcumulativeGPA/>
                <degree>
                        <program/>
                        <major/>
                        <awardDate/>
                </degree>
                <totalHours/>
                <totalPoints/>
                <extGPA/>
        </universitySummary>

        <highschoolSummary>
                <cumulativeGPA/>
                <weightedGPA/>
                <classSize/>
```

```
        <classRank/>
        <totalCreditsEarned/>
        <classYear/>
        <graduationDate/>
        <weightedClassRank/>
        <gradepointscale/>
</highschoolSummary>

<universityInstitutionalRecord>
        <issuingSchoolName/>
        <address/>
        <city/>
        <state/>
        <zip/>
        <phoneNumber/>

        <ceeb/>
        <opeid/>
        <act/>
        <fice/>
        <institutionId/>
</universityInstitutionalRecord>

<highschoolInstitutionalRecord>
        <issuingSchoolName/>
        <address/>
        <city/>
        <state/>
        <zip/>
        <phoneNumber/>

        <ceeb/>
        <opeid/>
        <act/>
        <fice/>
        <institutionId/>
</highschoolInstitutionalRecord>

<hssatscorerecords>
        <hssatscoredata>
                <testdate/>
                <criticalreading/>
                <math/>
                <writing/>
                <essay/>
                <multiplechoice/>
```

```xml
<ebrw/>
<total/>
            </hssatscoredata>
        </hssatscorerecords>

        <hsotherscorerecords>
            <hsothercoredata>
                <testid/>
                <othertestdate/>
                <othertestscore/>
            </hsothercoredata>
        </hsotherscorerecords>

        <highschoolCourseRecords>
            <term/>
            <year/>
            <gradelevel/>
            <dateCompleted/>
<hscourse>
                <subject/>
                <number/>
                <title/>
                <repeat/>
                <includeGPA/>
                <gradeValue/>
                <scoreLetter/>
                <scorePoint/>
                <creditsAttempted/>
                <pointsEarned/>
            </hscourse>
        </highschoolCourseRecords>

        <highschoolACTRecords>
            <hsactscoredata>
                <testdate/>
                <english/>
                <math/>
                <reading/>
                <science/>
                <composite/>
                <combinedEnglishWriting/>
                <writing/>
            </hsactscoredata>
        </highschoolACTRecords>

        <universityCourseRecords>
```

```xml
            <term/>
            <year/>
            <dateCompleted/>
            <mergedSubject/>
            <course>
                    <subject/>
                    <number/>
                    <title/>
                    <repeat/>
                    <include>true</include>
                    <scoreLetter/>
                    <scorePoint/>
                    <creditsAttempted/>
                    <pointsEarned/>
                    <transferSubject/>
                    <transferNumber/>
                    <transferTitle/>
                    <transferCredits/>
                    <equivalencydata/>
                    <mergedCourse/>
                    <checkcourse/>
                    <checkCourseReadOnly/>
                    <exportComplete/>
                    <equivalencyComplete/>
    </course>
        </universityCourseRecords>

<militaryCourseRecords>
 <ACEGuideNumber/>
 <courseId/>
 <dateCompleted/>
 <title/>
 <location/>
 <startDate/>
 <CreditDetails>
   <creditArea/>
   <credits/>
   <level/>
 </CreditDetails>
</militaryCourseRecords>
        <customfields>
                <field1/>
                <field2/>
                <field3/>
                <field4/>
                <field5/>
```

```
            <field6/>
            <field7/>
            <field8/>
            <field9/>
            <field10/>
        </customfields>
        <formModification/>
        <selectall/>
</transcript>
```