

**ATTACHMENT 1 -**  
**QUESTIONS AND ANSWERS**  
**VA101V-17-Q-0068**

**NOTE: All answers are in bold**

1. How many total concurrent users will be accessing the system?

**Estimated 200-300 employees.**

2. Please define the frequency of "continuously" in regards to this statement: "Batch alerts shall continuously check for updates on the list of people or companies submitted and alert to new or changed records associated with those topics." Is once a day sufficient to check for updates? Once a week? Many court record systems are updated daily at best and multiple checks per day or per hour will needlessly load the system to retrieve data that hasn't changed.

**As a department, we would like continuous updates but we would only like them submitted monthly as one attachment. We do not need notification as each instance occurs. In addition, we only require notifications on adverse reporting's to include items such as bankruptcies etc.**

3. How should the "Batch Alerts" be delivered besides being incorporated within the web-based portal for monthly review? Email, SMS Text Message, or Fax?

**Email.**

4. Will there be a distribution list of users to be updated when changes are noted for each of the Individuals being tracked and reported on?

**Yes, if requested this could be provided.**

5. As this system is reporting sensitive and confidential information should the email being sent per the Reporting Capability and Batch Reporting sections be encrypted? If so, what level of encryption is sufficient? Is Pretty Good Protection (PGP) enough? If not, please specify?

**A password encrypted email is sufficient. Our current contractor provides us with an excel spreadsheet encrypted with a password. The encrypted password is sent in a separate email.**

6. Will a history of monthly reports need to be maintained and presented for comparison of changes? For how many months?

**Monthly batch reports will be reviewed and analyzed on a monthly basis within our office to determine if action is required.**

7. How many total individuals requiring background checks and "continuous" monitoring will the system need to be designed to handle? How many new requests should be expected daily / monthly?

**This number varies monthly depending on need and fiduciary appointment, but for estimation purposes, the total number of reports pulled in calendar year 2016 was 53,035.**

8. Is it sufficient to deliver printed reports via a service like FedEx, UPS, or USPS with tracking numbers and tamper proof envelopes or would secure courier services be required

**For security purposes we would like reports submitted electronically via email with password protection or document protection.**

9. The requirements for Batch alerts on adverse changes on a fiduciary's credit and or criminal background, read: *"the contractor shall provide batch alerts on adverse changes noted on a fiduciary's credit and or criminal background. Batch alerts shall continuously check for updates on the list of people or companies submitted and alert to new or changed records associated with those topics. Batch alerts shall be incorporated within the web-based portal for monthly review."*

*"Batch Reporting: The contractor shall provide ongoing monitoring by the web-based portal to alert VBA administration of adverse changes noted on a fiduciary's credit and or criminal background. Batch alerts shall work as an ongoing monitoring of an individual as opposed to a one-time search. Batch alerts shall continuously check for updates on the list of people or companies submitted and alert to new or changed records associated with those topics. Batch alerts shall be presented monthly in an output file or via email to a document viewer within the web-based portal."*

Does your notification to the potential employee state that you intend to run the credit and criminal background check state clearly and conspicuously that you intend to run reports throughout the term of the person's employment?

**Yes, notification is provided per regulations. In regards to the batch reporting for changes to an individual's credit, the VA only requires that the contractor run "soft" reports, so as not to negatively affect the proposed fiduciaries' credit.**

10. Can we assume that you are accepting bids that include a transaction pricing model with volume discounts?

**No, a single unit price should be submitted for each CLIN as outlined in the schedule of line items. Any offered discounts should be applied within the line item pricing.**

11. The requirement for a scoring mechanism to assign risk if appointed to manage financial assets requires a quantifiable scale of the level of risk to manage financial assets based on the elements identified below:

- Low-risk and identifying factors that contributed to risk
- Medium-risk and identifying factors that contributed to risk
- High- risk and identifying factors that contributed to risk

What are the factors that will be used to determine where fiduciaries fall within each quantifiable scale of; Low-risk, Medium-risk and High-risk?

**We would like the selected vendor to provide us with this information based on subject matter expertise as a guideline.**

12. Is there an incumbent party that provides or provided credit and background reports previously to the VBA?

**Award for these services was made on May 22, 2012 to West Publishing Corporation, 610 Opperman Dr., Saint Paul, MN 55123.**

**END**