



## Solicitation Addendum #2.

**Solicitation Number:** RFP-07-2022-IT004

**Solicitation Description:** Integrated Document Management System

**Solicitation Opening Date and Time:** December 19, 2023  
@2:00p.m. ET

**Addendum Number:** #2.

**Addendum Date:** 11/22/2023

**Contract Specialist or Purchasing Agent:** Jessica Herrmann, Director, Procurement and Contracting, NC  
Department of State Treasurer  
[jessica.herrmann@nctreasurer.com](mailto:jessica.herrmann@nctreasurer.com) (919) 814-3913

- 
1. This addendum does not need to be returned.
  2. Following are questions received about the solicitation and the State's answers to the questions. Questions and Answers are in the attached document.
-

**RFP 07-2022-IT004 IDMS Questions and Answers Addendum #2.**

Questions	Answers
1. Can Companies from outside of the USA apply? (Section 7.0 and Attachment E.)	Yes.
2. Do Vendors need to be in person for meetings? (General)	No.
3. Can the tasks within the RFP be performed outside of the USA? (General)	Yes.
4. Can the proposals be submitted via email? (General)	No, they will need to be submitted via the Ariba Sourcing Tool. For instructions, please see Section 6.3.3 of the posted RFP. 07-2022-IT004 IDMS.
5. The RFP Stated that the current system is licensed for 150 Concurrent users. Our proposed Solution is licensed by named user (each user has a license). Can you tell us how many total users will need to access the system so that we can determine the correct number of licenses for our response. (Section 3.4.2. Business Requirements)	Total users 200.
6. Are all users employees of the State of NC? (General)	Yes.
7. Do any external users need to access the images? If yes, how many? (General)	No, N/A.
8. Why is RSD seeking an on-premises solution vs a hosted solution? (RFP Section 2.5, Page Number 8)	On-premises solution, because of our storage limitation which is stored on-premise (ECS Storage).
9. Would RSD consider hosted solutions that meet and exceed the other functional requirements of this RFP? (General)	No.
10. What is the RSD's budget for the project? (RFP Section 2.5, Page Number 8)	Funding will be made public upon award of the contract.
11. What technology is ORBIT? (General)	Microsoft.net
12. Where is ORBIT hosted? (General)	On - premises.
13. When does the RSD anticipate to begin project implementation? (General)	When the contract is awarded.
14. When does the RSD anticipate to go live with the new solution? (General)	No later than 12/2/2024.
15. Can you please provide the titles of the members of the proposal evaluation team? (General)	No, this information is not public during the silent period until after award. You may reach out to the Procurement and Contracting Director for the- Department of State Treasurer, Jessica Herrmann (919) 814-3913 jessica.herrmann@nctreasurer.com with any questions.
16. Will IT be involved in this purchase, and if not, what level of involvement does IT assume for the project? (General)	The North Carolina Department of Information Technology is involved and must approve an award recommendation and has an assigned Project Officer in the Enterprise Project Management Office.

17. What solution(s) are currently in use that the new solution would be replacing (please include versions)? (General)	ApplicationXtender (Workflow)16.6, Kofax Export Connector 11.1.
18. Which department(s) are using the current solution(s)? (General)	The North Carolina Department of State Treasurer.
19. If you have an existing solution: What is the total number of documents to be migrated? (General)	We are not migrating documents; storage will stay on-premise. We will only migrate workflows into the proposed solution.
20. If you have an existing solution: What is the total storage size of the documents to be migrated? (General)	No document migration, only Databases (AX/WF and Kofax).
21. If you have an existing solution: For future growth, how much additional storage do you anticipate needing annually? (General)	Storage is on-premise contained within ECS Device. Currently all data on ECS totals 27.5 Terabytes.
22. If you have an existing solution: What is the total number of unique document types? (General)	346 document types.
23. If you have an existing solution: How many unique forms are currently in use? (General)	Less than 200.
24. If you have an existing solution: How many workflow routing rules do you have? Which ones make updates to your business\SIS apps? (General)	There are 9 workflow, 42 route and 91 queue. All updates to the business apps.
25. What functional/operational issues are there with the current solution and what is RSD seeking to improve with a new system? (General)	Refer to RFP Page 8; Section 2.5 Problem Statement.
26. When does the current contract(s) for the current solution(s) expire (if any)? (General)	11/20/2024
27. What is the RSD's annual spend for the current solution(s) (if any)? (General)	Annual spend / cost is not to exceed \$229,046.
28. Has the RSD purchased the current solution directly or via a reseller? If reseller, which one? (General)	Current solution has been purchased directly through DTI Integrated Business Solutions.
29. How many prospective suppliers will be invited to provide demonstrations for this project? (General)	The Evaluation Committee anticipates requesting no more than four and at least two finalists to demonstrate their IDMS solution prior to award.
30. Will shortlisted vendors be invited to provide demos in person? (General)	Yes, refer to Section 1.0 Anticipated Procurement Schedule, "Oral Presentations and/or Product Demonstrations by Finalists."
31. How will the RSD score/rank submitted proposals? (General)	Refer to Section 5.0 "Evaluation" and Section 5.2 "Evaluation Criteria". Qualified offers will be evaluated and acceptance will be made in accordance with Best Value procurement practices as defined by N.C.G.S. § 143-135.9, 9 NCAC 6A and 6B.0302, and N.C.G.S. §143B-1340. A trade-off methodology will be used to evaluate offers based on the evaluation criteria in order of importance.
32. Has a scoring matrix for responses been created? If so, please share. If not, please identify when this will be established and how it will be distributed to bidders. (General)	No, a scoring matrix is not utilized with Best Value procurement practices as defined by N.C.G.S. § 143-135.9, 9 NCAC 6A and 6B.0302, and N.C.G.S. §143B-1340. A trade-off methodology will be used to evaluate offers based on the evaluation criteria in order of importance. A trade-off/ranking method source of selection will be utilized in this procurement, evaluating strengths and weaknesses of responses to evaluation criteria in order of importance. Please reference Section 5.0 Evaluation.
33. Is this the official solicitation for a requirement based on the previous RFI # 07-2022006 which was released in October of 2022? (General)	No, that RFI was for a Microfiche Scanning Project.

34. How many AX Applications need to be migrated? If so, how many documents. (Section 3.4: Page 10; Business and Technical Requirements and Specifications)	One application to be migrated . There are 346 documents in all.
35. How many file objects? Section 3.4.1: Page 13; Current Process (see Reference C, Initial Workflow)	Unsure what the question means. If Vendor means applications, there is one (ApplicationExtender) .
36. File Formats that are stored within ApplicationXtender (.msg, .docx, .xlsx, .ppt, .pdfs, .tiffs) etc. (Section 6.3.3: Page 59; Offer Submittal)	File types are tiff, pdfs and word documents.
37. Is the environment configured using Multi-Indexing? (Section 3.4: Page 11; Business and Technical Requirements and Specifications)	No, Indexing and Reindexing are two different workflow actions.
38. Do the documents contain annotations? (Section 3.4.3: Page 22; Business and Technical Specifications)	Yes.
39. What file format are these files that will be uploaded? (Section 4: Page 16; Uploaded recorded calls)	wav files, MP3, MP4.
40. If the responding vendor can support and upgrade Kofax Capture will NCDST consider keeping it as the capture platform and only migrate away from Opentext ApplicationXtender? (Section 3.4: Page 10; Business and Technical Requirements and Specifications)	Yes.
41. Are both Kofax and Opentext ApplicationXtender under current Maintenance and Support contracts? (Section 2.5: Page 8; Problem Statement)	Yes.
42. Will all of the legacy data and images from the existing system need to be migrated into the new platform or will a retention policy be applied? (Section 3.4.1: Page 13; Current Process) (see Reference C, Initial Workflow)	Yes, only the data has to be migrated, not the images.
43. What all details we are getting from the ORBIT that are used in current set-up? Or ORBIT is used to just for doc upload where the end user can also later view the docs uploaded via his login.ORBIT (Section 2.1 Page no. - 6)	No ORBIT is directly integrated with the current solution and will be with the proposed solution, with updates to WF also updating ORBIT retiree information.
44. Assumption is that there would be only 2 document types applicable i.e. Retirement & Disability. Apart from this there won't be any other doc type. Document Type (Section 3.4 Page no. -11)	All document types are listed in the RFP under Reference A-page 28.
45. How are the different vendors that are part of the current setup involved in this system. Would require example elaborating the same. Currently which part do we need to build, is it the complete ecosystem for retirement or it's just a section in the ecosystem. Other Existing Vendors (Section 2.5 Page no.-8)	Vendors currently support existing software(ApplicationExtender) and Kofax. Complete IDMS proposed solutions and storage will remain on - premises (ECS Storage).
46. Are vendors associated with different department, if yes then, how does it work? Other Existing Vendors (Section 2.5 Page no.-8)	No.
47. In the sample workflow shared there is a mention of Disability re-exam hold, as per initial routing workflow. Need more elaboration and understanding for the same. Initial Routing Workflow (Reference C. Page No. - 37)	The disability re-exam hold queue was designed because the work does not show up in the workflow. The work is released after medical board Review. The disability re-exam hold queue works different from the rest of the workflow.
48. What is the work-flow of Member Service (required brief explanation). RSD Group (Section 3.4.1 Page no. -14)	Member service workflow is outlined in the RFP, Section 3.4.1 Pg 16, under Call Center for RSD workflow processes.
49. If we are to upgrade and propose a new solution, would we be excluding all the existing vendors? Other Existing Vendors (Section 2.3 Page no.-7)	No.

50. The tools that are currently used by RSD for imaging process i.e. KOFAX Capture and ApplicationXtender, are we willing to continue with same tools or we are open to look for other alternative as well. RSD Imaging Process (Section 3.4.1 Page No. - 13)	Open to look for other solutions.
51. Quality control step post the document is uploaded and scanned is done by Manual checks. We assume there would be some kind of automated process for the QC. Is our assumption right if yes, then what kind of automation are we looking, and if not 100% automation up to what level of automation are you looking for? Initial Routing Workflow (Section 3.4.1 Page No. -14)	The NC Department of State Treasurer, Retirement Systems Division is not seeking to automate Quality Control (QC).
52. The different groups mentioned within RSD, we assume there will be interlinking processes, if yes can this be shared to understand the workflow better? Different Groups within RSD (Section 3.4.1 Page No. -14)	No interlinking anticipated.
53. The flow that we are expecting in the proposed solution is mentioned below a. The document copy of the public employees will be received to the RSD team via ORBIT, Paper Application Mail, Fax, Email. how the docs are scanned and uploaded? b. This scanned copy will be passed on through certain tools that will help in imagine, indexing, queuing and maintain the metadata about the image which will then further committed to AX for the RSD Staff to review the docs. We assume the electronic format of the doc is available. Is our assumption right? c. Once the docs are ready, based on the type of document, we assume it will have a separate workflow within the System. Is our assumption correct? Initial Routing Workflow (Section 3.4.1 Page No. -14)	a) Refer to the RFP, Section 3.4.1 Pg 14 b) yes c) yes.
54. For different RSD groups would require understanding of their workflow. If we are to maintain the workflows then post the workflow is defined we would also require the steps for the same with example. Group within RSD (Section 3.4.1 Page no. - 14)	Refund workflow diagram is added to the email.
55. For different source from where the documents are received I. Paper Application Mail/Fax, E-Mail, ORBIT need a brief understanding of the flows. Initial Routing Workflow (Section 3.4.1 Page No. -14)	Kofax is used to create images as needed. The documents that are already Images are uploaded through ORBIT.
56. For different type of documents what are the set of documents combination we would be uploading. Document Type (Section 3.4 Page no. -11)	Each document is uploaded individually and may contain multiple pages.
57. How the call center team uses NICE CXone in this existing process. In proposed solution how is the expectation for the same. Call Center (Section 3.4.1 Page no. - 16)	This will not change; it will remain the same (The NICE Cxone, was for information purposes only).
58. We assume there must be a process to fetch the call center call recording in AX and then it is utilized. We need more elaboration on this. Call Center (Section 3.4.1 Page no. - 16)	Yes, we upload the files as MP3 and MP4.
59. In the workflow management section it is mentioned that the system must be able to create reports by reading the data from word, excel and access. Can We assume there must be some kind of automation/ manual effort to use Microsoft office products, can we get elaboration on how through Microsoft products the data is extracted? Work Flow Management System (Section 3.4.2 Page no. - 21)	Current system is OCR (Optical Character Recognition) enabled.
60. As asked at a time minimum of 150 concurrent users should be able to use this system. Is there any possibility that this count can be increased in future. If yes then max up to what number? Support & Maintenance (Section 3.4.2 Page no. - 21)	200 users, could increase. Maximum unknown.
61. In section 3.4.3 Business Requirements, line 3.1.4 it is indicated there are 58 million images – is this 58m documents, individual pages, or objects?	Images of pages.
62. How much consumed storage are the 58M images taking up (GB's)? (Section 3.4.3 Business Requirements)	ECS totals 27.5 Terabytes.
63. Are you storing COLD documents (ERMXTender) as well as images in AX? (General)	No, there are no Computer Outputs to Laser Disk (COLD) documents.

64. Are you using AX annotations? If so – do you want these annotations migrated to your new solution? (Section 3.4.1)	Yes we are using annotation, and we want those migrated to the new system.
65. Are the 58m images backed up to another Centera device or something altogether different? If different – please describe. (Section 3.4.3 Business Requirements)	No.
66. Can the Centera Clips be made available on another storage device/platform for the migration? (Reference E.)	No, ECS Centura Storage will remain and on-premise solution must be integrated.
67. Please confirm you intend to replace Kofax Capture as part of the new solution. (Section 3.4.1 Current Process/pg. 13)	That is an option to replace or keep Kofax Capture.
68. Can you provide additional detail on the most complex workflow process? Using Refund Processing as an example: a. What actions do users need to take when working a document in a queue (e.g., update data somewhere, send notifications to members)? b. Do users need to take these actions directly within the new system or are some actions manually in other systems (e.g., ORBIT)? c. What kind of automation is needed as part of the process (e.g., notifications, updates to other systems)? d. What data needs integrated to ORBIT and when? e. Do you have a more detailed process flow diagram or description of the workflow? (Section 3.4.1 Current Process)	a. They need to review , annotate, take an action in the workflow. b. Yes, users take work flow actions in the new system and some actions taken in other systems manually. c. Update to another system(ORBIT) to allow the processing of a refund. d. There is no data integration, its a system integration(web service call). e. Refund workflow added to the email can be used to describe the workflow.
69. Please specify which items in the Specifications and Requirements the NCDST would like the vendor to respond to? (Section 6.3.2, Item d, page 59)	All of them or as many specifications your company can meet.
70. Is there an option to upgrade the existing system to supported versions and provide one support plan for the agency? (General)	Yes.
71. What parts of the current system are not compatible with other parts of the system? (General)	All parts of the system are compatible with each component.
72. How much space do the 58 million documents take up? (Section 3.4.3 Business Requirements)	ECS storage totals 27.5 Terabytes, will not be migrated will stay on-premise.
73. What is the average document size? (General)	Document size can vary depending on the number of pages in it. Average range is from 1KB to a couple of 3MB.
74. Do the in flight workflows need to be migrated? If so, what is the volume of in flight workflows? (Section 2.5 Problem Statement)	If by "in-flight" they mean "Pending" WF, the answer is yes.
75. Are there any peak times during the year? (General)	End of March through May.
76. Are there documents that can not be migrated? (General)	Workflows will be need to migrated into the new proposed solution not documents that are stored using ECS Storage.
77. If you average 400k docs a year, why do you have 58 million documents? Do all 58 million documents need to be migrated? (Section 3.4.3 Business Requirements)	We are not migrating storage, all storage will remain on-premise on the ECS Storage.
78. Is day forward and conversation backward a potential, or does the entire system need to be migrated and converted prior to go-live? (General)	The entire system needs to go live at the same time.
79. Do you have a preference of an on premise solution vs cloud hosted? If it's a cloud, do you have a preferred cloud vendor? (Section 2.5 Problem Statement)	On-premise is what this RFP Details, see Section 2.5 Problem Statement.
80. Are you open to keeping Kofax as the capture solution? If so, what version of Kofax Capture are you on today? (Section 3.4.1 Current Process)	Yes we are open to keep Kofax Capture.
81. How many internal users do you have? How many external users? (Section 3.4.1 Current Process)	Two hundred (200) internal users and no external users.
82. How many users work directly with the Kofax capture solution today? (General)	Seven (7) users work directly with the Kofax Capture solution today.
83. How many scanners and workstations do you have currently? (General)	Two (2) scanners with workstation and seven (7) personal workspaces for indexing and export
84. Are you looking to keep the same scanners? If so, what are the scanners in place today? (General)	Yes, they are two (2) KODAK scanners

85. What fax system are you using? (Section 3.4 Business and Technical Requirements)	RSD currently uses "fax maker".
86. What percentage of documents are handwritten? (General)	Approximately 50% of documents are hand-written.
87. For the seven retirement systems that RSD manages, will integration to the new DMS be a required deliverable? Can you describe what functionality you'd like that integration to include? (Section 2.4 Agency Background, Page 7 and Section 3.4.2 Business Requirements subsection 2, Page 21)	Yes, integration will be required. Each retirement system has a distinct system code that routes down to queue within one application system AX.
88. What is the current annual budget for Imaging & Doc mgmt.? (Page 8, Section 2.5 Problem Statement)	Funding will be made public upon award of the contract.
89. Will the vendor be responsible for creating/replacing the integration with ORBIT as it stands today with ApplicationXtender or will NCDST be creating the integration to the new DMS or will it be a shared responsibility? If shared, can you describe your expectations for vendor involvement so we can properly scope services? (Page 13, Section 3.4.1 Online Retirement Benefits through Integrated Technology (ORBIT))	The vendor is responsible for creating the integration with current ORBIT system.
90. How large is the database in GB, broken down by data volume (case management data, etc.) and document/file volume? (Page 15, Retirement Systems Division Imaging & Process #7)	Workflow - Data(GB) 181.00, Log(GB)89.72, Backup (GB)130.80 ApplicationExtender - Data(GB)38.00,Log(GB) 33.65,Backup (GB)24.60 Kofax - Data(GB)0.07, Log(GB)- 0.26, Backup (GB)0.16.
91. What is total number of documents to be converted? (Page 15, Retirement Systems Division Imaging & Process #1)	Page 15 #1 is the first step in RSD Imaging Process; it details scanning member information from the members. There is no conversion listed here.
92. What are the file types stored, examples (.tif, .pdf, .docx)? (Page 15, Retirement Systems Division Imaging & Process #7)	Page 15 #7 Details, AX/WF database stores the member information, the member information is composed of what is listed Document Type, Member ID, Member Name. In ECS Storage they are .TIFF and .PDF.
93. Does the current system store any documents with a proprietary file format? (Page 15, Retirement Systems Division Imaging & Process #7)	No.
94. How large is the current file store (GB) for all the document files stored in the repository? (Page 15, Retirement Systems Division Imaging & Process #7)	ECS storage totals 27.5 Terabytes.
95. Are file paths stored in clear text in the database or does the database obfuscate or encrypt the file paths? (Page 15, Retirement Systems Division Imaging & Process #7)	Clear Text.
96. Are notes or annotations to be converted? (Page 15, Retirement Systems Division Imaging & Process #1)	If needed for the proposed solution.
97. Do document renditions or versions need to be converted? (Page 15, Retirement Systems Division Imaging & Process #1)	If needed for the proposed solution.
98. Can the document files be opened directly from the file share using standard viewers, examples (MS Word, Adobe PDF Viewer, MS Paint, MS Excel)? (Page 15, Retirement Systems Division Imaging & Process #1)	Yes.
99. Are the document files compressed or zipped? (Page 15, Retirement Systems Division Imaging & Process #1)	No.
100. Are the document files encrypted? (Page 15, Retirement Systems Division Imaging & Process #1)	No.
101. If encrypted, Product Name and version? (Page 15, Retirement Systems Division Imaging & Process #1)	N/A.
102. Who is the Product vendor? (Page 15, Retirement Systems Division Imaging & Process #1)	N/A.
103. What is the Database platform? (Page 15, Retirement Systems Division Imaging & Process #1)	SQL Server 2019 - Latest upgrade since RFP posted.
104. Do any COLD (Computer Output to Laser Disk) documents need to be converted? (Page 15, Retirement Systems Division Imaging & Process #1)	No.

<p>105. Similar to the above integration questions, do you wish all existing workflows to be recreated in the new solution by the vendor or will you be building those workflows over time with your own resources? Again, this is to allow us to properly scope services. (Section 3.4.2 Business Requirements subsection 3, Page 21)</p>	<p>Workflows should be recreated or imported into the new solution.</p>
<p>106. Within Section 3.4.3 Business and Technical Specifications section, on page 23 of the RFP, it appears item # 1.1.30 is missing. Should there be a specification for this item or is this just a misnumbering error?</p>	<p>This was an error in the RFP - a number was missed.</p>
<p>107. Requirement 5.1.18 does not appear to be complete. Would the remainder of the requirement please be provided? "Describe how vendor proposed system will allow the ability to..." (Page 26, Section 3.4.3 Business and Technical Requirements, requirement number 5.1.18)</p>	<p>Requirement 5.1.18 should have been deleted. This was in error, please disregard.</p>
<p>108. Do we need to replace the data in the AX Workflow database or will this data be made available to the new solution. (Page 41, Section 3.5 Architecture)</p>	<p>This data will be available to the new solution; unless you need to migrate to another database version to support your proposed solution.</p>