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**Addendum**

<b>SOLICITATION NAME</b>	Electronic Document Management System Q1617	<b>ADDENDUM NUMBER</b>	3	<b>DATE</b>	12-31-15
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KCDC is using this addendum to answer the questions raised about this solicitation. To aid in readability, the questions are in black, the answers are in **bold**, and the answers follow immediately below.

1.	I noticed you all currently have “Application Xtender” which we resell. Are you all getting away from this and replacing? Just curious since you already have a system in place.
	<b>KCDC wants to explore what today’s marketplace has to offer in functionality.</b>
2.	Are you moving to a cloud environment or on premise?
	<b>KCDC wishes to explore both options.</b>
3.	Either way, do you have a rough estimate of # of documents or total storage in GB needed?
	<b>Documents = 10 million = 2.5TB storage currently.</b>
4.	Does your current ERP system (Emphasys) have a built-in API that can generate a .csv or Excel spreadsheet with the metadata?
	<b>Yes</b>
5.	How many users needed for this?
	<b>90</b>
6.	Also for an on premise solution how many total concurrent users would need access? For a hosted solution we sell both named user and concurrent. Based on your required we would recommended a Hybrid solution because of all your scan locations that would sync to our cloud.
	<b>Concurrent users: 20</b>
7.	<i>1. Background and Intent, b.16.</i> (RFP page 2): KCDC cites “cloud storage” as an objective. Is KCDC’s object intent that the EDMS has shared access to content, or do you want an EDMS solution that is cloud based, as opposed to hosted on premise in KCDC’s IT environment? Please explain.
	<b>KCDC is exploring both options based on cost and functionality. A hybrid is acceptable with EDMS on premise but the document storage in the cloud.</b>
8.	<i>Submittal Document G – Costs, 1.a.</i> (RFP page 20): KCDC states a concurrent licensing requirement for at least 20 users. Does this mean that KCDC has a larger population of users which will need access but you want 20 licenses to accommodate up to 20 users concurrently accessing the system maximum at any given time? If this is the case, how may total potential EDMS users will you have? If this is not the case, and you have just 20 users, would 20 “named” licenses better achieve your need? Please explain.
	<b>Correct. 20 concurrent with 90 total users.</b>

9.	<p><i>Submittal Document G – Costs, 1.b.</i> (RFP page 20): KCDC states that the Vendor shall convert and/or import approximately 30,000 electronic documents from the current database (Application Extender) to the new EDMS. In <b>1. Background and Intent, h.</b> (RFP page 3), you state there are over 10,000,000 documents currently stored in Application Extender. Do you require conversion of only a small subset of the electronic content in App Extender into the new system? Please explain.</p>
	<p><b>KCDC will attempt to purge some data, in compliance with our retention policy before migrating the data to a new system. The 30,000 electronic documents note is erroneous. KCDC has a total of 10 million image files in AX to migrate.</b></p>
10.	<p><i>Background and Intent, h.</i> (RFP page 3): KCDC states that there are about 4 million archived documents without electronic record or backup. Can you confirm if conversion of the 4 million paper (hard copy) documents are within the scope of requirements or are these archived documents slated for conversion at a later time under a separate project? Please explain.</p>
	<p><b>If this occurs at all, it will be after the new system is in place. This is why KCDC is asking for a scanning price on an as needed basis.</b></p>
11.	<p><i>Scope of Work, 1. KCDC Technical Requirements</i> (RFP page 7): KCDC lists scanners as Fujitsu 4000, 5000, and 7000 series. How many scanners does KCDC have of each type? Does KCDC have need for additional scanners and/or scanner replacement? If so, please state your scanner requirements and list scanner numbers by high, medium, and low capacity.</p>
	<p><b>KCDC has 4 of the 4000 series, 2 of the 5000 series and 12 of the 7000 series. KCDC does not see a need for additional units at this time.</b></p>
12.	<p>What do you consider to be the top three critical success factors for this project? i.e., at the end of project delivery, how will we know that we've jointly delivered success to your constituents?</p>
	<p><b>Migration accuracy of existing documents Reliability and performance stability of the system Having an easy and intuitive product for client usage</b></p>
13.	<p>What qualifications are you looking for in an implementation partner? For example, we have multiple Microsoft Gold and Silver Competencies, Certified Masters and MVPs, etc.; will the proposal scoring take our credentials into account?</p>
	<p><b>The evaluation team may consider such credentials on your response to Submittal Document C-Vendor Capability.</b></p>
14.	<p>The implementation of software solutions can vary widely depending on project budget. Our firm has successfully delivered projects across various budget ranges. To help us best meet the goals of your solicitation, can you please approximate a budget range for this project? For example is the anticipated budget range:</p> <ol style="list-style-type: none"> <li>Less than \$75,000</li> <li>\$75,000 – \$100,000</li> <li>\$100,000 – \$150,000</li> <li>\$150,000 – \$250,000</li> <li>\$250,000 – \$350,000</li> <li>\$350,000 – \$500,000</li> <li>\$500,000+</li> </ol>
	<p><b>KCDC does not release this information at this stage of the process.</b></p>
15.	<p>Do you have any Microsoft Software Assurance vouchers that might be applied to the planning phase of the project?</p>

	<b>No.</b>
16.	We are a California Certified Small Businesses; will Certified Small Businesses (from any state) receive any special consideration in this procurement?
	<b>No.</b>
17.	Will preference be given to vendors in Tennessee?
	<b>No. HUD regulations (HUD is our major funder) do not permit preference.</b>
18.	Do you anticipate a mix of on-site and remote project delivery? In our experience, we generally find it useful to be onsite during discovery meetings, installations, etc. however, we can keep project expenses down by utilizing remote delivery for parts of the project.
	<b>Either approach is fine. IT staff have a slight preference for remote.</b>
19.	Has any contractor or vendor assisted KCDC with the development of this solicitation or provided KCDC with an initial evaluation, proof of concept, demonstration, or any other analysis related to this procurement? If so: a. Please provide the name of all contractors and vendors b. Are these contractors and/or vendors eligible to bid on this project?
	<b>No.</b>
20.	On a scale from 1 to 5 where 1 represents a COTS solution (e.g. less than 40 hours of customization) and 5 represents a custom-built solution using SharePoint (100% services and development), what is acceptable with respect to the solution you are looking for on this continuum?
	<b>1</b>
21.	We are a SharePoint-focused consultancy and have successfully combined SharePoint with various third party software products to create comprehensive document, content and records management solutions. Do you see this as a viable option for your needs?
	<b>Possibly. Detail this approach thoroughly. KCDC may request a demonstration of the suggested product.</b>
22.	Regarding SharePoint as a possible solution; if you currently own/use SharePoint: a. How are you currently using SharePoint (e.g. collaboration portals, document management, intranet/extranet, ECM or ERM workloads, workflow/process automation, BI, etc.)? <b>Not used</b> b. What version of SharePoint are you currently using? (e.g. SharePoint 2013 Enterprise, Office 365 G3, etc.) <b>NA</b> c. Do you already own the requisite SharePoint licensing for the number of anticipated users of the new system? <b>No</b> d. What is the current breath of SharePoint usage at KCDC in terms of number of departments, users and Site Collections. <b>NA</b>

	<p>e. What, if any, problems or dissatisfaction have you experienced with SharePoint? <b>NA</b></p> <p>f. Given your experience with SharePoint, do you feel that SharePoint is well suited to act as the foundation for the desired solution? <b>NA</b></p> <p>g. Does KCDC have a contractor or vendor that it is currently working with on this endeavor or any other SharePoint initiatives? If so, what is the name of the contractor or vendor? <b>NA</b></p> <p>h. On a scale from 1 to 5 where 1 represent “None” and 5 represents “Expert”, can you please indicate what SharePoint skills you currently have in house in terms of SharePoint Infrastructure, Administration and Maintenance, Information Architecture Design and Implementation, Content Owner/Authorship, PowerShell and C# Development. <b>1</b></p>
23.	Do you intend to use the existing Information Architecture (e.g. document types/classes, terms, record series/types, etc.) from Application Extender or otherwise in the new solution.
	<b>Document Type: KCDC only has one application using it.</b>
24.	If so can you please provide listings, and quantify the number, of content or document types/classes, term-sets, record series/types, events/triggers, etc.?
	<b>The types are: SEC 8, PAYROLL, KUB ALLOWANCE, RENTS, RESIDENT ASSOC, MANOR, MISC, ACCT TRANSFERS, WIRE TRANSFERS, AP VENDORS.</b>
25.	<p>The RFP indicates, “KCDC manages a records retention policy for records mandated by the United States Department of Housing and Urban Development (HUD) and the State of Tennessee.” So that we can ascertain the complexity of your records management requirements, can you please provide details about this retention policy and/or provide us a copy of your detailed File Plan?</p> <p>For clarity sake, what we mean by File Plan is a document that lists official record info and includes: Records series title and description; Location and medium (e.g. paper or electronic); and Disposition authority (i.e. legal actions taken when records are no longer needed to conduct agency business.</p>
	<b>KCDC is still editing the records retention policy (based upon federal and state requirements). Generally, the longest retention period is for 10 years from project completion and this covers most records. However, there are some projects with permanent retention requirements.</b>
26.	<p>Regarding the management of paper-based Physical Records:</p> <p>a. What is KCDC currently using to manage Physical Records? <b>Folders and filing cabinets</b></p> <p>b. Is the management of Physical Records within the scope of this RFP? <b>No</b></p>

	<p>c. If so can you please provide details about the storage of Physical Records (e.g. # of locations, cabinets, folders, documents, etc.)? <b>NA</b></p>
27.	<p>The RFP mentions “eSignature”; are Digital Signatures within the scope of this procurement and If so;</p> <p>a. Are all signers internal (i.e. with AD accounts) or is there a requirement for external signers? <b>It is possible for KCDC to desire external signers.</b></p> <p>b. What is the anticipated usage frequency for a given/single external signer (e.g. a few times per year or daily)? <b>Few per year.</b></p> <p>c. Is it anticipated that the external signers will go to a portal to be able to sign documents? <b>Yes</b></p>
28.	<p>The RFP indicates, “the vendor shall convert and/or import approximately 30,000 electronic documents from the current database Application Extender to the new EDMS”; with regard to the migration of documents and associated metadata from Application Extender (AX) to SharePoint:</p> <p>a. What <i>Database</i>, manufacturer and version, is used by AX (e.g. SQL Server 2008 R2)?</p> <p>b. What <i>Operating System</i>, manufacturer and version, is AX installed on (e.g. Windows Server 2008 R2)? <b>Windows Server 2012 R2</b></p> <p>c. Can you please provide a diagram of AX including server and database names? <b>It would be a simple diagram since all AX services are installed on one server. The DB is named OTG which runs under SQL 2012 on a Windows 2008 server.</b></p> <p>d. To ascertain the degree of customization, can you please provide the database schema(s) for all databases utilized in AX? <b>No customization</b></p> <p>e. Where do the documents reside (e.g. on the Windows Server file system)? <b>On a iSCSI volume attached to the AX server stated above</b></p> <p>f. What are the specifications of the current system server hardware (i.e. RAM, CPU, Disk utilization)? <b>8GB RAM, 8 CPU, 2.5TB EDMS storage. CPU utilization &lt;1%, RAM utilization &lt;6%, Disk Average Usage 6KBps</b></p> <p>g. Can the current server hardware be enhanced and to what extent (e.g. 16 GB of RAM can be added to the VM)? <b>Yes, KCDC is all virtual so any number of resources can be used.</b></p>

h. Is the existing system backed up and on what frequency/rotation?

**Yes, incremental dailies, weekly full.**

i. Will the chosen vendor be given **remote and direct** access to the AX database for the purposes of discovery, analysis and to perform the migration?

**Remote**

j. What is the reasoning behind migrating only “approximately 30,000 electronic documents from the current database (Application Extender) to the new EDMS” out of the 10M documents in the repository.

**As noted the 30,000 is an error.**

k. Provide details about any documents or metadata that are not to be migrated including how these can be programmatically identified

**By Date**

l. Approximate percentage of each document type (PDF, TIF, email, Office documents, CAD drawings or other large file-types, etc.)

**KCDC does not know since all AX data is stored in a .bin file. Staff cannot determine the source document type. An educated guess would be 95% PDF.**

m. Provide details regarding any Compound Documents that reside in the existing system (documents that have a link embedded in the document that points to another document)

**None**

n. Are there any proprietary file formats utilized in the existing system (e.g. FFL files)?

**None**

o. What is the estimated number of multimedia files (e.g. Pictures and/or Video) and the types of files (e.g. WMV)?

**No video, 3% pictures**

p. What is the size of the largest file(s) in the existing repository (e.g. do any exceed 2GB)?

**None exceed 2GB**

q. Does the existing system use folders and if so, what meaning or organization of content do the folders represent?

**Yes but proprietary to AX. AX does have Applications which are by department/Title by year and KCDC is consolidating these into just departments/Title**

r. Are there any known issues with or corruption of the documents, databases or metadata?

**No**

s. Do you require document conversion or any other processing of documents or metadata during the migration, for example:

	<p>Conversion to PDF/A  Renaming of documents  Metadata cleanup, for example:  Change 2-digit year fields to 4 digit years or remediation of invalid date formats  Break apart multi-valued fields into discrete columns in SharePoint  Combining of individual document pages into a single document/file  How can these related files be identified programmatically (e.g. identical name with page # appended)?  Is the metadata the same for all pages, associated only with the first page or does it need to be combined from all pages?</p> <p><b>No</b></p> <p>t. How is security handled?  <b>AX does application security by users, groups and document types.</b></p> <p>u. Do any documents have document level security?  <b>Yes one application.</b></p> <p>v. Are annotations utilized and if so, do you want them to be migrated to SharePoint?  <b>No</b></p> <p>w. Are annotations applied via overlay (i.e. imposed by the existing application’s document viewer) or burned-in, resulting in a permanent change to the document?  <b>NA</b></p> <p>x. Are versions utilized and if so, are they directly accessible in the repository (e.g. not archived)?  <b>No</b></p> <p>y. How many, if any, versions need to be migrated to SharePoint (e.g. last 3)?  <b>No versioning</b></p>
29.	<p>Are you interested in pricing for auto-classification product(s), which can be used to enhance the IA and significantly contribute to content findability, workflow, retention and disposition, etc.?</p>
	<p><b>Yes and provide an explanation or demonstration of how it works.</b></p>
30.	<p>Is Active Directory properly configured with the fields, users, groups, permissions and roles anticipated to be used in the solution?</p>
	<p><b>Yes</b></p>
31.	<p>The RFP states, “Records are also shared between certain KCDC departments and federal, state and local agencies”; with regard to access to content by external parties:</p> <p>a. What audiences will require external access (e.g. other agencies, vendors, employees accessing the system remotely, the public at large) and how many users comprise each audience?</p> <p><b>It would simply be a request which we would then share via PDF or some other file type.</b></p>

	<p>b. Will audiences that need external access have AD accounts? <b>No</b></p> <p>c. Will all external audiences need to login/authenticate in order to access the system or does anonymous access need to be supported as well? <b>Remote access would only be given if KCDC could group the requested data with read only security under some limited access account.</b></p> <p>d. What features of the system will external access users be permitted to use (e.g. access to certain documents only, all features, etc.)? <b>Review only.</b></p> <p>e. Is mobile support a requirement? <b>Preferred but not required.</b></p>
32.	<p>The RFP mentions scanning and OCR/Full Text indexing; do you desire to obtain information and pricing for a document capture and indexing solution as part of this RFP? If yes:</p> <p>a. What existing Capture Software do you use? Is there a desire to leverage it in the new solution? <b>EMC Application Xtender. No.</b></p> <p>b. Do you currently utilize any barcode printing/scanning software and if so, which ones? <b>ScanWorks.</b></p> <p>c. How many Capture Processes do you anticipate needing for this solution? <b>What is a "process"? KCDC will have 25 users capable of capturing into the EDMS.</b></p> <p>d. How many of each of the following types of devices should we account for with respect to our price proposal:  Single Workstation Scanner  Multifunction Scan/Copy/Fax/Print  Workgroup Scanner  High capacity Scanner  Copiers  Other?  <b>None. KCDC does not wish to purchase more.</b></p> <p>e. How many index-only users do you desire to procure software for? <b>25</b></p> <p>f. Are paper documents:  Always the same, well-defined, standard forms with standard data ("structured")  Mostly similar documents with standard data that may be in different places on the document ("semi-structured")  <b>Yes</b></p>



	<p>A broad array of different documents with different data on them (“unstructured”)          What is the current scanning volume per day/week/month?  <b>10,000 per month is reasonable assumption but KCDC cannot ascertain this with any certainty.</b></p> <p>Are you currently using server-based scanning products to achieve the required throughput?  <b>No, a mix. Some are scanned directly into EDMS others are imported.</b></p> <p>Do you require Bates Stamping/Numbering capability?  <b>KCDC is not sure what this is.</b></p> <p>Do date stamps need to be added to the physical paper of the document or just the digital version?  <b>KCDC assumes digital.</b></p>
33.	<p>With regard to integration:</p> <p>a. Can we assume that the intent is limited to explaining how the system handles integration with external systems such as Emphasys?  <b>Emphasys Elite and Office or other industry standards like Google Apps or Office 365.</b></p> <p>b. If actual integration with Emphasys is in scope:</p> <p>What level of integration is anticipated (e.g. hyperlinks only, document-level integration, unidirectional/read only, bidirectional data updates, functional integration)?  <b>Functional</b></p> <p>Can you please provide the API (web services, object interface, etc.) information as provided by the software vendor, as applicable?  <b>KCDC is not sure of your meaning.</b></p>
34.	<p>The RFP mentions “Enhancing computer assisted workflow management throughout KCDC” as a requirement; is workflow in scope for this procurement and if so can we assume the following:</p> <p>a. The workflows are very simple in nature  <b>KCDC no workflows at this time but could become complex based on business need.</b></p> <p>b. The workflows can be implemented using the out of the box document approval workflows  <b>Yes</b></p> <p>c. No custom code will be required to implement the desired workflows  <b>Correct</b></p> <p>d. Can you please provide flow diagrams for all required workflows?  <b>KCDC does not have workflows or planned flows at this time.</b></p>

	<p>e. Although flow diagrams are strongly preferred, if this is not possible, can you please provide a table of metrics indicating the number of workflows and level of complexity (e.g. 1-5) in your own estimation? Complexity rankings should consider:</p> <ul style="list-style-type: none"> <li>The number of steps in the workflow</li> <li>The number of participants (people or systems) involved in the workflow</li> <li>If it is sequential or parallel</li> <li>The source(s) of data involved in the workflow and the complexity in accessing them</li> <li>Any requirements for long running or cross application workflows</li> <li>Any requirements for callouts to custom code</li> <li>The requirements, rules and policies for the execution of the workflow</li> <li>Escalation and/or remediation requirements</li> <li>Requirements for administration and reporting of workflow performance</li> <li>Any other requirement that may contribute to the complexity of the workflow development, execution, or administration</li> </ul> <p><b>Without planning/discovery this is impossible.</b></p>
35.	<p>With regard to estimating the cost of post-implementation support:</p> <p>a. What days of the week do you require support with the SLA stated in the RFP (e.g. M-F or 7 days)? <b>M-F</b></p> <p>b. Do you have internal resources to handle post-project Level-1 support (e.g. training questions, hardware or network problems, etc.)? <b>Yes</b></p> <p>c. Should we price post-project support into our proposal and what quantity (e.g. 40 hours per month for 6 months)? <b>Annual support 8X5</b></p>
36.	<p>What is the target completion date for the entire project?</p>
	<p><b>2016 with an expectation of third or fourth quarter for completion.</b></p>
37.	<p>As an environmentally friendly / Green company, we strive to reduce our consumption of paper; to that end, can respondents submit proposals electronically via email in lieu of hardcopy proposals?</p>
	<p><b>No that is not feasible for KCDC at this time.</b></p>

**End of Addendum**