



To: RFP Responders
From: Cheryl Greenidge
Date: 11/26/2019
Subject Questions & Answers RFP #12092019-Filenet

1. Are vendors required to submit an intent to bid form or similar? If not, how are vendors included on any addenda or future information on this RFP.

1. [Answer: There is no need to submit an intent to bid form. Any addenda are posted to the City Record.](#)

2. Will there be a physical hardware upgrade as part of this RFP, or is this RFP only in search of services to complete a migration to existing hardware, or hardware that has already been procured?

[Answer: No physical hardware will need to be upgraded as part of this effort.](#)

3. If there is to be a hardware upgrade as part of this RFP, could you share the configuration requirements for this portion of the project?

[Answer: No physical hardware will need to be upgraded as part of this effort.](#)

4. Is there a need to upgrade/procure Microsoft software (or any other software) licenses as a part of this RFP?

[Answer: No](#)

5. If there are software licenses to be upgraded, could you please share the software requirements that need to be upgraded/procured?

[Answer: Refer to the RFP for the list of software from IBM and Microsoft that are in scope of this engagement.](#)

6. If there are other portions (software/hardware) of the RFP that are to be added, are vendors able to respond to the portions relevant to their specialty? IE., could a hardware/software vendor respond to only the hardware/software requirements and not other portions of the RFP and still be considered as a supplier for the relevant portions?

[Answer: No, vendor responses must be all inclusive for the upgrade and ongoing maintenance for products that encompass IBM support.](#)

7. How tightly integrated is IBM Content Navigator (ICN) into your solution? Would you want to consider upgrading the ICN component if it meant that you could move to Windows Service 2016 rather than 2012?

[Answer: We are not currently using ICN. NYCERS does not want to move off of Business Space at this time.](#)

8. Can we assume the following?

a. All components are currently functioning as expected (i.e., there are no open support tickets, either internal or external)

[Answer: Yes](#)

b. No additional functionality is anticipated to be added during the support timeframe

[Answer: Correct](#)

9. Do you have existing architectural diagrams of your existing environments?

[Answer: Platform components were listed in the RFP within the project scope - any additional diagrams will be shared with the chosen vendor.](#)

10. Other than NYCERS custom application, which application is primarily used by end-users - Content Navigator or WorkplaceXT?

[Answer: End users interact directly with the custom application sitting on Business Space. The users don't directly interface with WorkplaceXT, only administrators.](#)

11. Are there any custom plugins or customizations developed using Content Navigator?

[Answer: No](#)

12. Would it be acceptable to use a mixed variety of Windows OS on the servers like Windows 2012, 2016 etc. (based on IBM software compatibility)?

[Answer: Yes](#)

13. How are the case analyzer reports used today? Using excel or Cognos RTM or through any custom developed component?

[Answer: Yes, Excel.](#)

14. Is IBM Content Collector (ICC) for files integrated with FileNet and has its own object store?

[Answer: No, ICC does not have its own object store.](#)

15. Do you have IBM Records Manager installed in your environment? If so, please provide additional details and also is it integrated with ICC?

[Answer: No, but we have a future requirement for Records Manager.](#)

16. In case of an in-place upgrade, is NYCERS responsible for upgrading Windows Operating System on the servers?

Answer: NYCERS is comfortable with the responsibility of upgrading the Operating System, if that is the agreed upon and most appropriate solution.

17. In case of an in-place upgrade, is NYCERS responsible for upgrading SQL Server database?

Answer: NYCERS is comfortable with the responsibility of upgrading the SQL instance, if that is the agreed upon and most appropriate solution.

18. If any mandatory upgrades to the existing software are required, would NYCERS take the responsibility of updating the custom applications if needed?

Answer: Yes

19. Do you currently use any load balancer? If so, please provide details.

Answer: No

20. “In addition, NYCERS is looking for the vendor to be able to provide extended support for the above mentioned IBM products as they roll off of IBM support.” – Can you please validate which products you are requesting extended support on?

Answer: The selected vendor will take over once any of the products roll off of IBM support.

21. What are your top priorities in extended support?

Answer: Having a resource available to assist NYCERS in troubleshooting issues once IBM will no longer provide support.

22. Can you outline the types of applications (custom widgets, etc) that are currently in place?

Answer: There is a single custom application built on top of Business Space. It uses ECM widgets.

23. Can we get some samples of the applications, an outline of how they are used in business processes and some screen shots?

Answer: There is a single custom application built on top of Business Space. The awarded contractor will be given more in-depth information about the application. All other IBM/Microsoft components are listed in the RFP.

24. How many applications use workflows? How many workflows are there in total? Can you provide all or a sampling of the common workflows in place in your current environment?

Answer: The NYCERS custom application does not currently use workflows, and in NYCERS’ FileNet CPE there are 9 workflows. The primary function of the workflows is to transfer work items between queues, some launch work items. There is one workflow that does automated updates to our mainframe.

25. Is there an opportunity to move the current applications to IBM Content Navigator to reduce/eliminate the need to continue use of unsupported products?
 Answer: No
26. Will you allow remote access into your environment?
 Answer: The upgrade should be primarily done on site, the support can be remote.
27. How many support tickets does NYCERS typically open with IBM (or your other FileNet support provider) in a given year?
 Answer: On average 10-20 a year.
28. Can services be provided using a global delivery team (onshore (US)/Offshore (India)) or it has to be strictly onshore (US based)?
 Answer: Any offshore work is subject to the approval of NYCERS' Executive Director. If a vendor proposes offshoring any of their staff as part of the solution, it must be limited to no more than 33% of the employees working on the transition/implementation, and any portion of the work that will be completed by offshore staff must be very specifically detailed in the proposal. Additionally, all support staff (post implementation) must be onshore and available during NYCERS' typical work hours (see response #44).
29. Can the target platform be more recent than Server 2012 and SQL 2012?
 Answer: As long as it falls within the compatibility matrix from IBM.
30. Will Functional Testing (QA) and UAT Testing activities, strategy, planning and execution be performed by NYCERS or it should be part of the scope of work of the services provider?
 Answer: Yes, NYCERS will perform the testing mentioned above.
31. Should Automated Infrastructure build be included in the proposal or Manual Infrastructure build for all environments is sufficient?
 Answer: Manual is sufficient.
32. Should DevOps/ Automated application build/deploy and configuration be part of the proposal or a manual approach is sufficient?
 Answer: Manual is sufficient.
33. What is the user repository being used to store users and roles for the document workflow? (LDAP, File based ...etc)?
 Answer: A combination of Active Directory Groups and assignments to queues in FileNet.
34. How many users currently use the system in the PROD environment?
 Answer: 400

35. During peak times, how many concurrent users can concurrently use the system in the PROD environment?

Answer: 200 (estimate)

36. How long does it take to complete a workflow from start to finish (age of the workflow instance)?

Answer: This varies by business process, but it should be assumed that there will be items in an Active and Pended state as of cut over day.

37. Currently the the FileNet document repository consists of roughly 50 million documents, roughly 100,000 Active/pended work items and roughly 54 million records in the custom objects table. What is the expected growth over the next 5 years?

Answer: On average 2 million documents a year, custom objects about 3 million. With the launch of CRM in 2020, we are expecting this number to increase.

38. Is Content Navigator integrated with any NYCERS single sign on based application?

Answer: We do not currently use Content Navigator.

39. What do you consider a major change and does this statement span the five years of requested support, if it does not span the term then what major changes might be needed?

Answer: NYCERS is in the process of procuring a new pension administration system. The roadmap for FileNet is unclear at this time and NYCERS is seeking to ensure it is supported in its current state till the end of that project.

40. What are your current SLA's for sev 3, sev 2, sev 1 incidents?

Answer:

- **Severity 1 SLA:** Restoration of services does NOT exceed 2 hours from the time the incident is reported.
- **Severity 2 SLA:** Restoration of services does NOT exceed 4 hours from the time the incident is reported.
- **Severity 3 SLA:** Restoration of services does NOT exceed 6 hours from the time the incident is reported.

41. For the last three months, how many sev 3 or lower, sev 2 and sev 1 incidents for the in scope products?

Answer: The current platform has been relatively stable, so no incidents have been raised recently. NYCERS' goal is to continue and maintain this stability throughout the transition to, and during the life of, the updated platform.

42. Do you require support for Disaster Recovery tests; if so, how often are these test conducted?

Answer: No

43. Do you have a monitoring tool in place for the inscope items and if so how many alerts were generated from that tool in the past three months? (are these alerts included in the incident count provided above?)
 Answer: Only on the servers' general hardware and operating system health via ManageEngine OpManager, not FileNet platform/application specific.
44. What are the support hours of operation needed?
 Answer: 7am-7pm Monday – Friday, with the occasional weekend support for patching/upgrades/etc.
45. Is on-call support acceptable as long as the SLA's are meet?
 Answer: Yes
46. Do to you have an uptime SLA that needs to be meet?
 Answer: Please see answer 40.
47. Is the support for servers currently outsourced for management with another provider?
 Answer: No
48. Is the Operating System managed by the outsourced provider?
 Answer: No
49. Are there special compliance requirements to work with your environments ? (If yes, please provide details)
 Answer: No
50. How long does it take to onboard personnel ?
 Answer: 1 week
51. Is there any customization on ECM Widgets ?
 Answer: Yes
52. Is there any customization on P8 AE ?
 Answer: No
53. Is there any customization in WorkplaceXT ?
 Answer: No
54. Are you using eForms ? Are you using desktop designer for forms and integrated it with workflows ? If not them please explain how e-forms are being used.
 Answer: We are only using eForms for input, not storing of eForms.
55. How many form templates from e-forms are being used?
 Answer: 2

56. What technology yWidgets application is built upon?
 Answer: JAVA
57. How yWidgets is integrated with FileNet P8 content manager?
 Answer: Built on Business Space.
58. Are there 8 servers in all 4 envs ? If not, then please specify the count by each env.
 Answer: The only difference between the number of servers for each environment is the file store servers. Production has 3, each other environment has 1.
59. Is there any customization on IBM content Navigator ?
 Answer: We are not currently using ICN.
60. On page 5: “Work will be done on NYCERS’ premises (Any exception must be explicitly approved by NYCERS)” On all our upgrade projects, the client has allowed VPN access which speeds up the upgrade/migration and keeps costs down to the client. If awarded, will NYCERS permit VPN access?
 Answer: Further discussions will be required with the selected vendor and NYCERS’ Information Security unit.
61. Are the existing server’s virtual machines or physical systems?
 Answer: Virtual
62. If new servers are deployed for a “build and migrate” approach, will they be virtual machines or physical servers?
 Answer: Virtual
63. What functionality do “yWidgets” provide?
 Answer: NYCERS’ custom application known as NYCEwork.
64. Are all four environments configured with the server configuration described in the RFP (CP01, CP02, FS01-FS03, DOC01, CC01, DB01, DB02)? If not, please summarize the differences in each environment.
 Answer: See response 58.
65. Is any of the content stored in FileNet full-text-indexed (CBR)?
 Answer: No
66. Do all servers need to be running the same level of Windows, or can there be a mix of 2012 and 2016, depending on the software requirements?
 Answer: See Response 29.
67. There is a note in the deliverables section that says the vendor will be responsible for the OS upgrade. Does OS mean Operating System or Object Store? Please clarify, as we

typically don't install/upgrade the operating system for customers, their internal IT departments handle this.

Answer: Operating System

68. Who currently supports your system, IBM or IBM Partner?

Answer: IBM

69. Do you have any current outstanding problems with the system / software?

Answer: No

70. Are your servers for the FileNet systems virtual or physical? If they are physical servers, how long would it take to back up and restore OS and data?

Answer: Virtual

71. What processes are you using to scan and or import data into FileNet P8?

Answer: Kofax 10 and ICC

72. Do you have internal developers to support fixes (if any) on the customized yWidgets (NYCERS custom application "NYCEWork" End User workload) or are you looking for a vendor to support this application?

Answer: Yes

73. What is the type of LDAP and Version used for the ECM system?

Answer: For FileNet software, see RFP Technical Section. NYCERS LDAP is Active Directory Schema level 2012.

74. Is the LDAP Server shared with ECM Environments Dev/Test/UAT/Prod.?

Answer: Each environment (domain) has its respective Domain Controller. There is a single AD Forest.

75. Does NYCERS have a plan to move to Cloud setup for DR, Backup, and Archival?

Answer: No

76. Do you currently have any Enterprise architecture diagrams for the current ECM system?

If YES, please share.

Answer: Platform components were listed in the RFP within the project scope - any additional diagrams will be shared with the chosen vendor.

77. What are all of the various input and output streams connecting to the FileNet System?

Answer: ICC for files, Kofax/custom applications using the FileNet API to add documents. Simflofy to sync documents between FileNet and Box.

78. Will there be any workflow changes as part of the upgrade?

a) If YES, what is the total quantity to workflows requiring changes?

Answer: No

- b) What is the complexity of the workflows as per the total?
(Ex : Simple [2-3 steps], Medium [4-7 steps], and Complex [8-15 steps]).

Answer: Medium

79. What level of customization done in ECM Widget? If YES, please share the high-level details of the Business need.

Answer: No further customization is required.

80. Is Business space (Bspace) used for any other functionalities apart from ECM widgets? If YES, please provide the details for the same.

Answer: No

81. Please mention the usage of E-Forms in the current environment.

- a) What are the specific Business requirements for E-Forms

Answer: ODBC lookups during manual work item creations.

- b) Number of E-Forms used.

Answer: 2

82. Please mention technology used for "yWidgets"?

- a) Where are these custom widgets deployed?

Answer: ECM Widgets with Business Space

- b) Please share the high-level details of the Business need?

Answer: GUI for end-users

83. Are there any Custom reports (Cognos, SSRS, PowerBI) generated from Case Analyzer? If yes, please provide further details.

Answer: No

84. What Browser and Version are being used by the end-users to access the current ICN application & custom application?

Answer: Current is IE11

85. Are there any SSO implemented for the current FileNet system? If YES, please share additional detailed information.

Answer: No

86. What is the External Storage being used for FileNet contents? - Such as NAS, Fixed Content Device, etc. Please share the required details.

Answer: SAN disk attached to Windows File Servers

87. Are there any existing testing methods/procedures use - either Manual or Automated / Regression Suite adopted for FileNet ECM Applications.?

Answer: Manual test scripts

88. Please provide the number of concurrent users accessing FileNet direct and indirect mode.
 Answer: 200
89. What level of Integration done between existing Information Management systems and FileNet (NYCEWork)?
 Answer: NYCEwork is NYCERS' only document management system.
90. The Response SLA should be no more than 4 hours –
 a) refers to the SLA mentioned in the RFP document.
 Answer: 4 hours
 b) Please specify high-level expectations for this period.
 Answer: Incident acknowledged and engaged.
91. What is the quantity of Average Incidents and/or Problem Tickets on a Daily Basis?
 Answer: Less than 1
92. What is the significant scope of support expected? FileNet Infrastructure (Administration, Support, Maintenance, Upgrades, Patches), and Application Development support?
 Answer: Platform maintenance – functionality, security, and supportability. There is no additional application development anticipated.
93. Are there any technology or software tools for ECM System monitoring? If YES, please provide details on the tool currently used and any future on your roadmap (along with timeline).
 Answer: ManageEngine OpManager monitors the servers, services, and application availability – no specific ECM monitoring tools.
94. Are there any significant and specific pain points in the current ECM landscape and support process? If YES, please articulate, as it helps the vendor to suggest and align the proposed solution to ensure a better customer experience.
 Answer: Only as they relate to this RFP (i.e., upgrading to a supported Windows platform).
95. Please provide details on expected support level. If you have, please, share your Service Catalogue Document.
 a) Quantity of Applications requiring 24 x 7 Support?
 Answer: None – platform support is generally during NYCERS' normal business hours (and only extends if an open support issue is being addressed).
 b) Quantity of Applications requiring 8 x 5 Support?
 Answer: The entire platform.
 c) Others (Please specify and provide details)
 Answer: Note answer #44.

96. Please specify the level of support required during the weekend and SLA expectations. Which model is being asked for On-Call / Onshore / Offshore / In-Person Support?
 Answer: Onshore weekend support is required for major incidents only (i.e. “Sev 1” instances).
97. Are there any 3rd Party Vendors involvement in Support/Maintenance currently?
 a) If YES, who are they and what services and for which applications?
 Answer: IBM (FileNet platform components) and Microsoft (underlying server OS and DB)
 b) Any changes expected on your future roadmap? If so, please provide timelines.
 Answer: As described in this RFP, some of the platform components are expected to roll off of IBM support, but we will retain them – so we expect our support partner to be able to take over from IBM once we reach end-of-life.
98. What are the tools being used for the production support model for Incident and Change Management?
 Answer: ServiceNow
99. Please list down all the deliverables expected out of vendor for maintenance and support.
 Answer: Please review the details of the RFP.
100. What type of DR (Disaster Recovery) exercise and adherence is currently being done for ECM / Enterprise Level? Answer: Replication to an alternate data center.
 a) Is any Cloud DR adoption enabled or planned /envisioned?
 Answer: No
 b) If yet to be done, what is your future roadmap and timeline?
 Answer:
101. Is there a list of the Application or Modules to be re-engineered or retired part of this upgrade? If YES, please provide overview details on your specific plans and timeline?
 Answer: No
102. Does the RFP scope include ECM Custom Application Support and Maintenance? If YES, please fill in the ECM Application Inventory List attached on the next tab in this Excel Workbook.
 Answer: Only insofar as it relates to functioning within the BusinessSpace/ECM Widgets platform as it currently exists. The custom application itself will continue to be maintained by NYCERS.
103. Please provide details of 3rd Party Tools and Cloud Services being integrated with ECM for support and maintenance.
 Answer: Please see the answer to #76.