



STATE OF TENNESSEE
DEPARTMENT OF REVENUE

**REQUEST FOR INFORMATION # DOR2020.10
AMENDMENT # 1
FOR IMAGING AND DATA CAPTURE SYSTEM**

DATE: November 5, 2020

RFI # DOR2020.10 IS AMENDED AS FOLLOWS:

1. This RFI Schedule of Events updates and confirms scheduled RFI dates. Any event, time, or date containing revised or new text is highlighted.

	EVENT	TIME (Central Time Zone)	DATE (all dates are State business days)
1.	Release of RFI		October 9, 2020
2.	Deadline for Written Questions from Vendors	05:00 PM CST	October 30,2020
3.	Pre-Response Conference call bridge	11:00 AM CST	November 3, 2020
4.	Deadline for Submitting Responses	02:00 PM CST	November 13, 2020

2. State responses to questions and comments in the table below amend and clarify this RFI.

Any restatement of RFI text in the Question/Comment column shall NOT be construed as a change in the actual wording of the RFI document.

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1.	Is TN DOR open to an improved workflow that combines the mail opening, prep, and scanning steps into one processing step (or "one touch" processing)?	We are open to proposals that include new scanning equipment and data entry software to replace our current processes.
2.	Would DOR consider outsourcing mailroom and scanning activities to an external provider?	No plans currently for outsourcing any scanning or data entry from our department. Also, we take contracts for work outsourced from other departments.
3.	How many total end users will be using this solution?	The processing division and users' licenses needed would fall generally between 50-150 internal employees.
4.	Are the tax returns your teams handle individual, or also returns for LLC and Corp.?	Individuals, small companies, and large corporations all file returns and documents with our department. However, Tennessee does not have a

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		state income tax with a large volume of individual filers currently.
5.	Can DOR provide a monthly breakdown of annual volumes per tax form? Can DOR breakdown the 1-2M documents by month? What is your average daily scanning page count volume? How many total documents (i.e. not pages) do you anticipate scanning per year?	Unfortunately, our current systems and equipment do not provide the types of metrics and statistical reports we would like to have in a new system. Also, with mail volumes that are not the same daily, providing more specific averages are therefore not easily quantified. Our volumes are met by two large-scale high-speed scanners.
6.	What is the anticipated growth rate in documents scanned per year over the next 3 years (e.g. 5% growth in each of years 2 and 3)?	We do not have an estimate for an anticipated growth rate. As we continue to provide new portals and processes for online interaction with taxpayers for our department, we will reduce paper scanned. However, we do scan and complete data entry processes for other departments and we may add more internal clients which could increase our growth at a currently unknowable rate. We need to be prepared for all scenarios.
7.	How much time does your team spend resolving errors with manual work? For	For scanning we resolve errors manually with re-batching items for rescan which is a small volume. Finding paper after documents are scanned does take more time if needed to resolve an error after the day it was originally processed. In data entry we expect teams to "key what they see" and not change the data sent by taxpayers even if there are math errors. However, we hope your proposals will include a data entry system robust enough to create flags and error messages to prevent as many data entry error scenarios as possible.
8.	What percentage of manual work do you feel is involved in your current process; 25%, 50%, more?	We receive a large volume of forms completed by hand and not typed so 50% or more of our data entry is keyed by a team member rather than OCR. Both keyed and OCR read data scanned in for checks currently create more manual processes in deposit to reverify that MICR and payment information is correct for every item scanned.
9.	What is the desired implementation period from contract signing to project completion? Do you have a target timeframe or quarter for release of a potential solicitation, or	Currently, we are seeking information and options available to replace our large scanners and data entry system. We do not have a set timeline however with aging systems and equipment we are

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	will any timeline depend more upon the responses received?	hopeful to move forward quickly and are very interested in a pay by phase(s) approach for implementation. We are interested in what each of you have to offer by way of information on the timelines involved with your proposed solutions.
10.	Is the intent of this project to replace only software?	No. Two large-scale ScanOptics SO300 high speed scanners are intended to be replaced as well.
11.	Are you looking to replace both of your large-scale scanners?	Yes, we want to replace our two large-scale ScanOptics SO300 high speed scanners.
12.	Can you please indicate the (mail opening / scanning) equipment that you plan to keep and the (mail opening / scanning) hardware that you are open to replacing? If hardware is to be replaced, does that include scanning equipment, as well as the mail sorters/mail extractors? Is TN DOR looking to replace all scanners currently in use with the solution or only the two (2) SO 300 scanners?	We will keep the mail sorter and continue to use all smaller scanning equipment. We are hoping to replace our two large-scale ScanOptics SO300 high speed scanners.
13.	How many desktop scanners are you looking to replace?	None.
14.	Do you require a desktop scanner at each one of your locations? Do you perform all mail opening and/or scanning in one centralized location or do you perform scanning at each of your locations? Does all of your scanning take place in one centralized location or are their multiple locations that would need the ability to scan into the system? If multiple locations, how many?	Currently over 95% of the mail received by the department is handled in one centralized location. This includes opening the mail and scanning the documents. The equipment we are replacing is for this one location. The data entry software is for one team but would be used in both in office and AWS (Alternative work solutions/remotely outside the office) locations ideally.
15.	Are there any documents (and/or envelopes) that TN DOR cannot scan in the current system that TN would like to capture moving forward?	Currently we are working to move more of our mail correspondence to scan verse hand delivered solutions given the current world circumstances and the increased number of people working AWS (Alternative work solutions/remotely outside the office). So, we do not have items we are incapable of scanning however we are constantly adding new

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		scan jobs and will need the ability to do that in future solutions.
16.	In the RFI you have the question “Does your system allow for a unique identifier to be added to a transaction both virtually add number to become a part of the image, or a physically inked number on the paper? Would we have the ability to switch between virtual and physical by form? Would we be able to change this within a job without creating a new job?” – In trying to ensure we fully understand the question, could you provide a scenario or describe a use-case?	A mail item is opened which contains the envelope, return document, correspondence document, and a check as payment. When these items are imaged a unique identifier would be used for the set to signify that these item images were received together. We would like the ability for this identifier to be visually on the image stored as well as indexed to the image meta data and placed digitally over the image if not physically printed. Ideally, we would have the option for said identifier to be physically inked on the documents or virtually placed on the images at our discretion by work type.
17.	What is your peak daily scanning page count volume?	During April our volumes can double or triple to what they are in a normal period. However other peaks during weeks and months ebb and flow in less predictable ways.
18.	How much time transpires between the various 5 VISTA capture passes (i.e. do these passes happen at the same time or are they performed over time and if so, how much time)?	These passes are happening in order but by multiple people. They capture the most vital account and all payment information first in order to process payments. This allows for the document information to be entered separately, to keep from slowing the deposit of payments. Most days these steps are completed within the same day. However, in peak season steps 1-3 where (1) account information is entered, (2) payment information is entered, and (3) corrections are made from entries of steps 1&2; are all complete within a few hours of mail being opened batched and scanned. Then steps 4&5 where return information is entered can be completed days after the first steps if needed based on volume and staffing. Our top priority is always to get payments processed and deposited without delay.
19.	Regarding the statement “The fourth and fifth passes are used to enter line item information on return documents”; does this mean that the user explicitly reads the return and manually enters the line item information contained in VISTA?	This refers to data entry of lines on a tax return document. In the first passes account information is entered but not all the tax return data in order to expedite processing the payment and connecting that payment to the account without waiting for all return information to be captured. In the 4-5 passes a data entry team member is looking at primarily

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		handwritten numbers on the image of a return document or the physical paper return document in hand and entering information into the data entry system (VISTA) for that return.
20.	<p>Please provide answers to the following questions regarding VISTA, Check21 and TR3 for each application:</p> <p>VISTA & Check21</p> <ul style="list-style-type: none"> a. Is the intent to replace the application or continue to use it in the new solution? b. Is the application Windows or browser-based? c. Does the application have integration capabilities (i.e. APIs, REST services, etc.) that enable it to interoperate with other systems? <p>TR3</p> <ul style="list-style-type: none"> d. Is the intent to replace the application or continue to use it in the new solution? e. Is the application Windows or browser-based? f. Does the application have integration capabilities (i.e. APIs, REST services, etc.) that enable it to interoperate with other systems? 	<ul style="list-style-type: none"> a. Replace. b. Windows. c. N/A d. Continue Use. e. Browser Based. f. Yes.
21.	Will all documents ultimately be released to the existing FileNet repository?	Yes and no. We are not looking to replace repositories. Most of the tax documents and returns will go to the repository built into our TR3 system. All other correspondence and documents not processed through TR3 will be sent to the state standard repository FileNet.
22.	Do you plan to convert your existing Archive/ Repository to the new system that you select? How many years of archive do you need to maintain?	No, we are not changing our repositories or data archives as a part of this project.
23.	Is it planned to replace the current Check-21 solution?	Yes.
24.	What are the existing desktop Scanners that are being used for check processing? And how many do you have?	Our large-scale ScanOptics SO300 high speed scanners which we are looking to replace scan both documents and checks. We use two types of Fujitsu desktop

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		scanners for imagining documents only. For check scanning at desktops we currently use the cannon R-55 check scanners. We have a dozen or more of the check scanners and smallest Fujitsu desktop scanners, and six of the larger Fujitsu desktop scanners.
25.	The checks and tax documents, are all documents scanned to pdf as well as other formats? If so, what formats are utilized?	We expect proposals will include the ability to create images of multiple formats and would like to know what formats your systems will allow for.
26.	Does TN DOR accept foreign checks? Does TN DOR accept Canadian checks?	Yes, to both, but we cannot process these digitally and will require the ability within workflow to route these to a physical deposit process.
27.	Does TN DOR use substitute checks to represent cash?	No, we have cashiering capabilities in our main systems which will handle cash therefore it is not a part of the data capture system requirements.
28.	You mention Cashiering in the RFI, how many Cashier stations do you currently have operating? Are walk-in cashiering payments part of the scope of this RFI?	No, we already have the interface through our systems, outside of data entry systems, that we will use to cashier with walk in customers. However, that cashiered payment information is currently forwarded as a daily file to the CK21 deposit module we would like to replace so we will need a system that can handle payments processed from mail opened as well as those passed as a daily file from the cashiering interfaces.
29.	On the last page of the RFI, #29 – what does E&B stand for in your environment?	E & B detect is the same as E13Bdet.fnt; MICR E13B is a special font that is used on bank checks and drafts in the United States, Canada, and other countries to print E13B characters for magnetic recognition and optical character recognition systems. This MICR font contains 10 specially designed numeric characters 0 through 9, and four special symbols: transit, amount, on-us, and dash.
30.	Which bank(s) are you currently using Check 21 with? a. How long have you been depositing to your current banks? b. Does TN DOR plan on changing their current bank relationship?	We have one bank we send all electronic CK21 deposits to currently, which specific bank is not a part of this RFI information disclosure. a. We maintain the same contracts with banks for several years at a time. b. Not at this time however it is possible contracts will change in the future and deposit modules will need this information to be updated.

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31.	How many different deposit accounts does TN DOR have?	We have several deposit accounts. Currently most payments are deposited to two accounts and dispersed from those accounts to others however we are interested in knowing what is possible with your solutions.
32.	Does DOR anticipate some level of forms redesign within the vendor's scope of work (i.e. updating forms to increase automation - barcodes, dropout colors, field replacements, combs/boxes, etc.) or will this be the responsibility of DOR staff?	We don't need help designing forms. However, our department changes and updates forms frequently through out the year and many forms are updated yearly. Ongoing changes to systems to account for new or removed fields would be necessary in data entry. As new forms are created scanning and data entry workflows would need to be added as well.
33.	Integration requirements are mentioned with respect to TR3 Tax System, IBM FileNet and VTRS/TNState Vehicle Titling system but is not limited to these. Can you provide a list of all integrations that would be necessary? Are there any migration/conversion needs involved in this project?	In general, this includes passing images scanned as well as information that has been captured through data entry in files to another system we are not replacing where it will be examined and added to if needed then saved. The data entry system we are looking for is a pass through for information not a repository. We expect proposals will include the ability to pass information in multiple ways and formats and would like to know about all your systems will allow for. Since the data entry system we want to replace is not a repository conversion/migration is not intended with this project.
34.	What format is required for TR3 integration?	We expect proposals will include the ability to integrate multiple formats and would like to know about all formats your systems will allow for.
35.	Are we replacing both of your servers that are hosting VISATA and GenTax	No, we are not changing anything related to GenTax servers or our data and image repositories. However, the server our data capture software (currently VISTA) is run from might be something we would look at upgrades for please provide the necessary server needs and requirements to run your proposed solution optimally.
36.	Do you have an OCR solutions preference?	We would like to know about all options your systems can provide.
37.	Is a cloud-based solution that can securely integrate with all required on-prem applications an acceptable recommendation or does the entire	We would be open to a private or public cloud solution used in data centers located within the US only. However, we are interested information about all

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	<p>system have to be on-prem? Would DOR be open to a Cloud or Hybrid Cloud solution? Would you be open to a public cloud solution; AWS, Azure? If you are not open to public cloud, would you be interested in a private cloud solution, such as Azure stack; which sits in your datacenter? If you run Azure stack in your datacenter you can utilize a chargeback model to all other departments as they use the host of additional services in the Azure stack.</p>	<p>proposals for cloud and local configurations.</p>
<p>38.</p>	<p>Can DOR provide more information on the mobile client use cases? Feature Matrix item #26 - please clarify this requirement.</p>	<p>It is required that we can access the data entry program in a mobile location via laptop. But desired that we can perform some supervisory or research tasks via other mobile devices so that a person could use a mobile device (tablet, phone) when accessing the software. An example might be to perform a systems admin task or to view a record.</p>
<p>39.</p>	<p>Feature Matrix Item #21 - please clarify this requirement.</p>	<p>Having multiple options of scanning batches by profiles using a mixture of zonal OCR and barcode data. Where separation of the batch can be controlled by various methods examples include an inserted batch header or separator page, a fixed page count or on the change of a variable or form type (determined via barcode recognition or OCR techniques.)</p>

3. **RFI Amendment Effective Date.** The revisions set forth herein shall be effective upon release. All other terms and conditions of this RFI not expressly amended herein shall remain in full force and effect.