Request for Quote – Security Investigation Report Management System Q&A

July 14, 2023

1. **Section: 3.3, What are the different case types? Please provide more details on case types for contractors to better estimate the efforts.**
   a. Teams at the North Carolina State Lottery Commission d/b/a the NC Education Lottery ("NCEL" or "Lottery") use the term "case" to refer to a numbered investigation or a security-related casefile that is reviewed, tracked, and resolved. As the examples in the Request for Quote show, Lottery cases vary by subject matter. When a Lottery security staff member opens a new case, they generally open either a "criminal" case or an "administrative" case. Within these primary categories of cases, investigations generally follow one of many standard paths or workflows based on the nature of the investigation. See subsection (b) below. The Lottery requires the selected solution to be flexible and configurable such that the security administrators can create new primary categories of cases and subcategories without contractor support.
   b. While not an exhaustive list of primary case types and related subcategories, the following are some examples of current case types and related hierarchies:
      i. Criminal Casefiles (arising from crimes occurring at independent businesses that operate as NCEL retailers)
         1. Larceny by Retailer Employee
         2. Breaking and Entering
         3. Robbery
            a. Armed
            b. Strong-arm
         4. Larceny from Retailer
         5. Larceny from Person
         6. Fraud
            a. Counterfeit currency
            b. Stolen Credit Card
      ii. Administrative Casefiles
         1. Complaint
         2. Missing Tickets
         3. Retailer Security Review
         4. 911 Call
         5. Alarm
         6. Security Equipment Test
         7. Threshold/Override
         8. Assist Law Enforcement
         9. Notification of Alcohol Law Enforcement Violation
         10. Lost/Damaged Lottery Property

2. **Section: 3.3, What are the channels through which cases would be registered?**
   a. This question seeks information about how NCEL security cases are initiated. Typically, a member of the security staff will open a new case manually, assign a tracking number, select a case type, and begin to input relevant case information.
   b. The NCEL favors a case management solution that also has the capability to open new cases automatically based on the contents entered into a webform by a third-party (e.g., a consumer complaint, report from a lottery retailer).

3. **Section: 3.3, Please confirm if State requires mobile app for external users like the Licensee, applicant?**
   a. Only NCEL licensed users require the ability to access and use the full functionality of the solution via mobile devices. At this time only NCEL staff will have access to the solution; third-parties will not be provided access.

4. **Section: 3.3, What is the GIS system that state currently uses?**
   a. The security department does not currently utilize a geographic information system(GIS) system. The agency manages a database of all the retailers that includes the latitude and longitude coordinates (e.g. Latitude: 35.031484; Longitude: -79.094668). This geographic data is within the scope of the retailer information integration discussed in the RFQ, Section 3.1.5.

5. **Section: 3.3, What are the different types of forms/templates/letters that needs to be built?**
   a. We understand this question to seek information about the types of forms, templates, and letters that the security department utilizes and how the process for creating such documents may impact the configuration and usability of the required solution.
   b. The NCEL will draft multiple form letters, routine reports, and template correspondence. Contractor does not provide the text for these agency communications. The required solution will be capable of importing certain specified data points (e.g., address, name, ticket information, assigned case number, etc.) into template documents suitable for official agency correspondence and collected in individual casefiles.
   c. The required solution will need to support and accommodate additional forms/templates/letters to be created and modified as needed by the NCEL system administrator for the solution – without contractor support. In addition to populating the forms/templates/letters with designated data from cases or case types, the solution must support the Lottery's ability to design and create template documents for official NCEL correspondence that integrate agency letterhead, contact information, and design elements, as needed.
   d. Examples:
      i. "Missing ticket" letter, which will need to extract the addressee, address, and ticket information from the associated report within the solution.
      ii. Formal letter from the agency requesting a return phone call , the text of which will need to extract the addressee, address, and ticket information from the associated report.

6. **Section: 3.3, Please confirm the total number of forms/templates/letters that has to be built?**
   a. Currently, NCEL security utilizes two (2) template letters, which are described in the preceding Q+A response. The NCEL will soon be adding new lines of business, which will require additional forms and letters. The desire is for NCEL employees to create new forms, templates, and letters in the system without contractor support and to leverage the system to further enhance productivity and uniformity in official correspondence.

7. **Section: 3.3, Please confirm the average number of pages each application/form has.**
   a. Currently, each letter is typically only one (1) page.

8. **Section: 3.3 What are the different letters that the system needs to generate which will shared with the case creator**
   a. See Q+A responses 5, 6, and 7.

9. **Section: 3.3, Please mention the total number of mathematical formulas that needs to be configured in the system for automated calculations, such as ticket face and/or prize value summed for all tickets entered into a report? What is the complexity of such formulas?**
   a. The mathematical formulas should include basic arithmetic (addition, subtraction, multiplication, and division) as well as formula and logic functionality similar to what is available in MS Excel. The NCEL does not presently have a specific number of mathematical formulas it wishes to have configured; anticipated new lines of business and enhanced capabilities available through the new solution are likely to impact the NCEL's use of such features.
   b. The examples below illustrate a current use case.
      i. By way of background, individual lottery tickets have both face value and a prize value, which may or may not be equivalent. We want the system to use data to calculate total values of ranges of tickets, including both face value and prize values.
      ii. Example 1: A reported theft involves tickets 001 to 015 stolen from a pack where each ticket has a $30 face value; based on inputs available, the software should provide an automated value of $450 to the theft report based on the start/end range and the tickets' face value amount. If there are multiple sets of ranges, the software should be able to sum all the values providing a total dollar amount.
      iii. Example 2: For the tickets stolen above, 001-015, tickets 002 and 003 were $30 winners, 006 was a $40 winner, and 015 was a $100 winner. The software should be able to sum the prizes paid, which would be $200 in this example.

10. **Section: 3.3, Which middleware platform State is currently using? Does State prefer to continue or change to a new platform like Mulesoft?**
    a. There will be no need for any middleware platform; the solution should be a standalone system.

11. **Section: 3.4, Please mention the total number for reports that needs to be built?**
    a. Please see RFQ Section 3.4.The NCEL requires that the solution support our staff's ability to construct and generate reports in-house.
    b. The Security department presently utilizes at least 10 reports on a regular basis that will need to be configured. The NCEL, through its trained in-house staff, will likely generate additional reports from the system in the future using the procured solution's enhanced capabilities.

12. **Section: 3.2, What is the current report management system from which the data needs to be migrated?**
    a. The system currently utilized is APIS by APRISSRETAIL. The legacy data for the migration will be provided in a .csv file.

13. **Section: 3.2, Please confirm if the current report management system (legacy) will be decommissioned or does the new system needs to integrate with it?**
    a. NCEL expects to decommission its current system, and all data in the existing solution shall be migrated to the new solution.

14. **Section: 3.2, Is there any data manipulation that would need to occur as part of the migration? Example: field length, formatting (date formatting), or lookups to supplement data**.
    a. Some data manipulation will be required to complete the data migration; data will have to be normalized and mapped to the new solution.

15. **Section: 3.1, Are there any security needs required to maintain the data? i.e., FEDRAMP and Audit requirements? If so, please describe.**
    a. See requirements at RFQ Section 3.6.

16. **Section: 3.1, What is your current authentication system for external users?**
    a. Consistent with our current practices, only internal staff will use the tool.
    b. For internal users, cloud-based solutions will require Microsoft Azure authentication.

17. **Section: 3.1, We are assuming that State is looking for one External Portal which will serve as the only system for logging cases?**
    a. We understand "external port" to mean an external user interface that would allow users to log cases with the NCEL. No external port is required; only internal, licensed NCEL users will access the system. However, evolving business changes may require the ability to have a webform for external users to initiate complaints.

18. **Section: 3.1, What is the different boundary system that needs to be integrated with the new Report Management Application?**
    a. We understand this question to seek information regarding NCEL's interface requirements for the solution that is sought. The new solution will not integrate with current NCEL systems. The only planned integration is outlined in the RFQ at Section 3.1.5 and concerns data sets generated by or for the Lottery (generally collected in .csv files) sent to a contractor-hosted SFTP.

19. **Section: 3.7, Please confirm the for how many years NC Lottery is looking for Customer Support and System Maintenance?**
    a. The customer support and system maintenance would be for the term of the contract, which will depend on the price and contract terms offered. All proposals must include pricing for a three (3) year term but, depending on cost savings, the NCEL may consider a five (5) or seven (7) year term. The support provided should be a Top Tier SLA.

20. **Section: 3.3 (25), Does "Without an API" here refer to the fact that no API access is allowed into the system?**
    a. Correct. The intent is no API access to be allowed with any of the NCEL's systems.

21. **Section: 3.3 (26), Is the intention to push meetings to an Outlook Calendar through an API that goes out of the system?**
    a. No. The intent is no API access to be allowed with any of the NCEL's systems.