

RFP 14-02
Amendment 1
Questions and Answers

Q1: Is there any type of pre-qualification required to respond to this RFP?

A1: The most low-level requirement is that a business be registered to conduct business in the state of Washington. Other requirements are spelled out in the RFP. This is not an ITPS work request and does not require an ITPS pre-qualification. It is an RFP, open to bid to any vendor who meets the requirements described within the RFP itself. License to do business in Washington will be required in order to enter into a contract.

Q2: How does a vendor become pre-qualified?

A2: ITPS program information can be found at <http://des.wa.gov/services/IT/ITContracts/ITMasterContract/ITPS/Pages/default.aspx>. Further questions regarding the program can be directed to itps@des.wa.gov. However, pre-qualification is not required for this RFP.

Q3: Is there a pre-proposal conference call and is it mandatory?

A3: There is a pre-proposal conference call on 01/28/2014. It is not mandatory. During the call we will review the questions asked by all vendors and the answers provided. There will be an amendment posted within five business days of the conference call that will contain a complete list of Q&A in the case that you are unable to attend the call.

Q4: Is there a requirement for a letter of intent?

A4: No.

Q5: We saw your selective solicitation on WEBS today. In case you need to broaden your search, we have included a copy of our capabilities statement to this email.

A5: The only pre-qualification for our RFP is that you be licensed to conduct business in the state of Washington and meet the qualifications specified in the RFP. If you are interested in the project, I suggest you provide a proposal response as only RFP responses will be considered for the project.

Q6: We would like to ask if the OSOS would accept "alternative" proposals from vendors that believe a proven COTS solution meets the Business Requirements in Appendix D by at least 80% out-of-the-box and is highly configurable to meet the gap within minimized timelines.

A6: Yes. Per section 3.2, responding consultants are asked to propose a plan of approach to this work effort; proposals should include a timeline and description of deliverables necessary in order to complete items A – D in section 1.1. Per section 4.1, proposals will be evaluated strictly in accordance with the requirements stated in this solicitation and any amendments issued. We will not disqualify a proposal on the grounds that it came from a vendor supporting a COTS (commercial off the shelf solution).

Q7: Can you briefly explain about the existing imaging and filing system? Is it an application with existing data? The proposed new system is online services in a website? The old system will be replaced with the new one? What are the objectives for developing the new system in the agency?

A7: The existing system was implemented in December of 2003. It is a first-generation system whose processes and procedures were modeled after manual equivalents in place at that time. It includes web filing for corporation and charity formations, a database, imaging of documents, and interfaces with a revenue system that was built in-house.

Yes, it contains existing data.

Yes, the new system will be online and accessed via the Secretary of State Corporations and Charities Division webpages.

Yes, the new system will replace the existing system.

Objectives:

- 90% plus of Corporations and Charities OSOS filings completed without OSOS staff intervention.
- Resulting system will handoff customer directly to the DOR-BLS interface when appropriate.
- Our data will be available from the system in a format consumable to DOR-BLS.
- Resulting system will allow real time synchronization with DOR-BLS to the extent BLS system supports it.

Q8: I am wondering about the preproposal conference. What is that? If I am attending, can I ask questions?

A8: The preproposal conference call is an opportunity for vendors to hear the questions asked by and answers given to other prospective proposers. Written questions may be submitted in advance. OSOS shall be bound only to written answers to questions.

Yes, questions can also be asked live during the call. Any oral responses given at the preproposal conference shall be considered unofficial. Within five business days of the preproposal conference, a copy of the questions and answers from the preproposal conference will be placed on OSOS web site as follows: <http://www.sos.wa.gov/office/procurements.aspx>.

Q9: Can you expand on what type of system you're currently using?

A9: We're using a canned system that was developed by Optica. It's since then changed hands many times and is currently owned by Oracle. It's a system that allows you to create business rules and processes within a set framework. It has a workflow component and document management.

Q10: Are you presently using any automated or electronic workflow?

A10: Yes we use the workflow engine at a very basic level.

Q11: Does this RFP involve work with any other vendors?

A11: No. The vendor who performed the preceding work request, the business analysis, was Semantic Arts. Their contract work concluded 12/2013. A few of their deliverables are what you find as exhibits C, D and E. The user interface design produced as a result of this contract will be used in later phases of the project. At this point in time, however, we do not expect the selected vendor of this phase to work with other vendors.

Q12: Will Semantic Arts be involved with this RFP?

A12: No. Per the requirements of the business analysis work request and work order, the business analysis vendor is not permitted to bid or be awarded any future RFPs or work requests associated with this project.

Q13: Per section 1.1, Purpose item "A", can you elaborate on what are considered requirements that exist outside of legislation and policy?

A13: Exhibit E, Super User Focus Group Notes, include items that might be requirements that exist outside of legislation and policy. A specific example is the Super Users use track that is specific to their unique needs and volume of filings that might be different than a use track designed for a less familiar, non-professional user.

Q14: Can you describe the composition of the OSOS team?

A14: The core project team are those participating in this call:

- o Michael Huntley, Chief Information Officer
- o Pam Floyd, Director of the Corporations and Charities Division
- o Dan Speigle, Deputy Director of the Corporations and Charities Division
- o Bill Teed, Manager of the Applications Team
- o Scott Cooper, Sr. Developer and Technical Lead for Corporations and Charities
- o Matthew Edwards, Webmaster
- o Bill Fieber, Contracts Administrator
- o Stephanie Goebel, Project Manager

The selected vendor will likely spend the majority of their OSOS-interface time working with Stephanie and Matthew. There will likely be regular meetings scheduled with the rest of the core project team as well. To expand on the answer given during the preproposal conference, it is also expected that the user interface designer will interface with various members of the OSOS staff and external stakeholders during their interviews and design reviews.

Q15: Would you expand on the timeline for the balance of the system replacement project?

A15: Our tentative high-level project timeline, by way of our procurement timeline, is as follows:

Task Name	Start	Finish
UI Design & Documentation - procurement	Fri 1/3/14	Thu 4/3/14
UI Design contract work	Thu 4/3/14	Mon 6/30/14
System Design - procurement	Thu 4/10/14	Tue 7/1/14
System Design contract work	Tue 7/1/14	Tue 9/30/14
Hardware/Licensing specified by System Designer	Wed 7/29/14	Tue 7/29/14
Hardware and Licensing – procurement and installation	Fri 7/30/14	Tue 10/15/14
QA/IV&V - procurement	Mon 7/28/14	Thu 10/16/14
QA/IV&V contract work	Thu 10/17/14	Thu 9/17/15
Development - procurement	Mon 7/28/14	Thu 10/16/14
Development contract work	Thu 10/17/14	Thu 9/17/15
Data migration – staggered	Fri 9/18/15	Thu 12/24/15
Live all fronts	Fri 1/1/16	Fri 1/1/16

Q16: Will the vendor for this RFP be precluded from bidding on or being awarded future project-related RFPs or work requests?

A16: No. The User Interface Design vendor will be welcome to bid on the future RFPs/work requests. However, OSOS will require that a different vendor be signed for the QA/IV&V contract and the Development contract: two separate vendors will be required for these work efforts.

Q17: On page 2, you mention that QA is to be provided, but it also shows up as a separate RFP. Please clarify. (Referring to section 1.2 Objective, second paragraph, first sentence.)

A17: The deliverables resulting from the User Interface Design work effort will be used by subsequent vendors and will be the basis of work performed during System Design, QA testing and System Development. They will use the UI Design, Use Cases and Business Rules to develop the System Design.. The QA/IV&V vendor will use the updated/finalized use cases and user interface design from this RFP 14-02 to guide their work effort. The System Developer will use all products produced by previous RFP's (Business Rules, Use Cases, UI Design, System Design and QA requirements) to create the new system.

The intention of the future QA/IV&V work request or RFP is to aid OSOS Corporations and Charities team in implementing and developing internal best practices around QA and to perform IV&V on the work of the system development contractor.

Q18: Super User Focus Group notes that smaller states have some better systems. Was there a formal assessment of the state systems that lead to this statement or was this an independent observation from the super users?

A18: This was a comment made by the super users and not a result of a formal system comparison. In the opinion of the super users, there are some aspects of other states' systems that they liked. However, our analysis vendor, Semantic Arts, did assess the various state systems that might be considered as system transfer options. The results are attached as Amendment 2.

Q19: Are you able to provide any additional information on budget?

A19: No. Additional information regarding the budget for this RFP is not available.

Q20: Do you expect separate use tracks for each of the 5 user groups?

A20: We do not necessarily expect each user group to have their own screen flow. However, we expect the answer to this question to be found as a result of the vendor's work on this RFP. We expect the selected vendor to reach a recommendation for us based upon their interviews and assessment of our various user groups and their respective needs.

Q21: For the prototyping and user experience, are you okay with open source or are you looking for a Microsoft solution?

A21: We are open to an open source solution, although historically we have preferred Microsoft. We are not looking for a specific technology solution, but rather for the user interface/experience regardless of the technology used to deliver that. Our base-line interest in regards to prototypes is content, not delivery. This RFP is all about what the screens will look like and what the flow will be.

Q22: Do you anticipate two different types of applications, internal and external facing?

A22: We are not looking for the vendor of this RFP to aid us in designing the system itself, but rather the user interface – for external users and internal users. The next phase, system design, is when we'll determine whether different applications are required to accommodate the variance in user needs. The vendor for this RFP will aid us in determine whether there are different use screens or paths for internal versus external users.

Q23: For the interface design work, how much access will we have to the user groups?

A23: In general, as much as you need. Be advised that this will be something that may affect our selection. If you seek no user input, we would think that amiss; on the other hand, if you state that you'll need hundreds of hours of staff and other users' time, it would add to our effective cost. We are looking for an appropriate balance.

Q24: Are you open to a presentation that shows you the possible user interface rather than us developing it and presenting it to you? Meaning are you open to a collaborative development?

A24: Clarification to answer provided during preproposal conference: we view collaboration as a necessity. A high-degree of collaboration with our project team as well as interviews and review meetings with representation from our various user groups. We do not expect the selected vendor to allow any one stakeholder group to dictate the user interface design, but rather to understand the needs and desires of our stakeholders and their interaction with OSOS Corporations and Charities and what interface would best empower them – under the criteria of our business rules and an implementable system scalable for long-term use.

Q25: Are you looking to expand your scope of platforms for the final solution to include mobile devices in addition to computers?

A25: We're looking for the optimal user interface/experience without specifying particular brands or devices. We would expect that there would be some functionality on smart phones or tablets.

Q26: For our bid proposal work examples, do you have a file size limit?

A26: We can accept email attachments of 30MB max.

Q27: Will the requirements in this bid be used in the back office RFP?

A27: Yes, the UI Design, Use Cases and Business Rules will be used by the vendor awarded the System Design contract.

Q28: In your first phase (Semantic Arts) the successful bidder could not bid on the subsequent phases of the project. Is that the case with this RFP also?

A28: No, the successful bidder on this RFP can bid on the other phases of the project. The only restriction is that the QA and development vendors must be different.

Q29: Who will be the ultimate decision maker on the scope of the features request?

A29: In general, the OSOS project team with oversight by the executive sponsors.

Q30: There is a lot of language in the RFP of what you're hoping to accomplish with the eventual system, can you give us the overall objective?

A30: Currently we have our customers filing some documents online and some via paper submissions. In either case, before the document is "filed" it is reviewed and approved (or rejected) by a staff member. Our goal is to get as many as possible (eventual target: 90%) of filings filed online with no staff interaction. The replacement system is to be built with an easy to use interface, options for super users (attorneys and service companies) and others to upload

documents, and built in edits to derive the information we need so that most documents will be able to be filed immediately, and the customer can print a copy of the filed document and certificate at that time. so that when the customer is done with the filing, they will get a copy of their fully filed document/certificate.

Q31: Is there something in place to get documents into the system?

A31: Document scanning today is done using Kofax. Document scanning in the new system will be at much lower volumes, but we will need to support some manual submissions and document scanning. The majority of documents we hope will be uploaded by customers online.

Q32: Is Kofax or a replacement of that function to be part of this effort?

A32: The UI design for internal staff may include the ability to scan documents individually or work with documents that have been scanned in batch.

Q33: How does this RFP for user interface design differ from the next system design RFP?

A33: The deliverables from this RFP for user interface design and documentation will be used in conjunction with the Business Rules and Use Cases to influence the system design.

Q34: Is there a need for the UI to present existing data or will it support only new filings? Will a user be able to view what is already in the database for them?

A34: Yes. We expect users to be able to view information on record, including data and uploaded documents.

Q35: Is authentication part of this design effort?

A35: The vendor selected for this RFP will need to design user interface screens for authentication. Any other aspects of how authentication will be supported will be determined sometime after the completion of this RFP. We may need to build our system so that it has the capability to interface with SAW (Secure Access Washington) or its successor system.

Q36: Are there payment requirements?

A36: Yes. The system developed will need to collect payments through a variety of methods. The vendor for this RFP will need to consider and recommend an approach on the user interface/experience relating to payment.