Responses to Inquiries
RFP 18-08
Research Management System

December 20, 2018

1. How many users do you expect to require access to the RMS tool(s)? Will all users require read and write access?

   Answer: We anticipate between 15 and 25 INPRS internal users. All users will require read and write access.

2. Section 1.9 discusses confidentiality—if we claim statutory exception to APRA and include information we deem confidential, do we need to include a second version of the CD-ROM form of submission which also includes this confidential information?

   Answer: Confidential information may be provided on a separate CD-ROM or all documents may be provided on one CD-ROM with the confidential information labeled as such in the file name or within the documents.

3. In Appendix E, General System, G7, can you provide more detail on "Ability to support real time and batch update processing."?

   Answer: As examples, real time processing such as a web service or API call to update fund price information or the ability to transfer or import a file or document on demand, and batch update processing such as scheduling fund information updates to occur at the close of business, or a scheduled job to import one or more files/documents overnight.

4. In Appendix E, A17, can you please provide more detail on "Ability to define criteria for child or sibling or companion service requests."?

   Answer: This should read "Ability to define criteria for child or sibling or companion *search* requests."

5. In Appendix E, can you please provide more detail on R1, "Ensure that the software integrates with and operates properly in the INPRS's environment"?

   Answer: INPRS leverages Indiana Office of Technology to provide workplace (desktop) services including but not limited to Windows 10, Microsoft Office 2013, Adobe Acrobat, Internet

Explorer, Edge, Chrome, and Firefox. The software should operate properly and securely with these and other standard business software packages and platforms.

6. In Appendix E, G2, what key functionality/workflows are required in the browser-based client?

    Answer: Investment due diligence, cash flow transactions, monitoring, operational and compliance workflow process. Ability to manage and assign tasks with flexible deadline management. Ability to produce various reports as a result of a scheduled, periodic basis, an event trigger and/or on request, including, but not limited to: workflow audits, contact lists or fund lists.

7. Page 12, *Ability to encrypt user IDs and passwords and impose minimum password lengths (8 characters).* Passwords are hashed not encrypted. We assume this will meet the State's requirements. Therefore, can the State adjust this requirement accordingly?

    Answer: Yes, hashed is acceptable.

8. Page 12, *Vendor employees are required to sign a non-disclosure agreement.* We believe that this only applies to contractor personnel that are performing the solution implementation services and not the Cloud Services Provider (CSP) personnel that are hosting the solution. CSP personnel are required to sign an NDA that covers all customer data, not specifically the data belonging to a single tenant of the system. Additionally, we assume that the NDA language that is incorporated as part of the overall cloud/SaaS subscription agreement will meet this requirement. Therefore, can the State modify this requirement to reflect that this is not required for CSP employees hosting the solution?

    Answer: When a vendor is awarded a contract, the contract will include language stating that the vendor will ensure that subcontractors have executed confidentiality agreements with subcontractors' personnel.

9. Page 18*, Contractor agrees to conduct or cause to have conducted a background check of any employee of Contractor or of any vendor, service provider or subcontractor of Contractor who has been or will be given access unsupervised by Contractor or System to any office, room, or floor space of the property occupied by the System*. We assume this only applies to contractor personnel that are performing the solution implementation services and not the Cloud Service Provider (CSP) personnel that are hosting the solution. For example, CSP engages the services of a background screening vendor to conduct background checks on employees at the time of hire in the United States. CSP also performs background investigations in certain foreign countries. The scope of these checks is subject to local laws in the jurisdictions in which the employee is hired. Can the State please modify this requirement accordingly?

    Answer: When a vendor is awarded a contract, the contract will include language stating that the vendor will ensure that subcontractors have conducted background checks of subcontractors' personnel.

10. Page 39, *System will be accessible 99% of the time (~88 hours of downtime per year), including all planned and unplanned downtime. Planned downtime must be coordinated.* Cloud Services Provider (CSP) uses commercially reasonable efforts to make its on-demand services available to its customers 24/7, except for planned downtime, for which the CSP gives customers prior notice,

and force majeure events. While availability SLAs can be negotiated in a contract, the calculation is measured quarterly and not monthly. Can the State please adjust this requirement and specify that the SLA requirements can be negotiated based on the Service provider chosen?

Answer: SLA requirements can be negotiated based on the Service provider chosen.

11. In order to derive at a licensing cost estimate we are seeking the total number of named users that will access the solution. What are the anticipated total number of internal users that will require access to the solution? What is the volume of external users (constituent/customer) that will be accessing the solution on a monthly basis? For each of these user counts, please provide total number of users, and not just number of users accessing the system at any one time.

Answer: We anticipate between 15 and 25 INPRS internal users. All users will require read and write access. We would like to learn about capabilities for external users, but do not anticipate any at the outset.

12. Of the anticipated number of internal users that need access to the system, please identify any internal users that would only need 'read' access or a more limited access than others. If limited access, please briefly describe what their unique respective role involves and example daily use case(s) of the system.

Answer: We anticipate between 15 and 25 INPRS internal users. All users will require read and write access.

13. Technical Requirements G 10: *Ability to support "mass mailings"; distribution of one email to multiple recipients.* Can you please define the anticipated distribution size for these "mass mailings"?

Answer: Typically less than 100 and up to 500 recipients.

14. Technical Requirements V 43: *All data changes can be tracked by version history.* Is this requirement specific to tracking document version history only? If this includes tracking changes to data input fields as well, can you please define your data retention requirements as well?

Answer: Tracking document version history. Data is required to be retained a minimum of seven years.

15. Is INPRS open to a cloud solution?

Answer: Yes.

16. In order to aid in scoping configuration effort, can INPRS provide any workflow processes documentation such as flow diagrams, process narratives or other applicable resources?

Answer: Example operational workflows include capital calls, fees and invoices, budgeting, compliance, audits, internal projects and request for proposals. Example investment research workflows include new and going manager diligence and performance reporting.

17. Approximately how many users are planned to use the system?

Answer: We anticipate between 15 and 25 INPRS internal users.

18. Regarding technical requirement V 41, is it the expectation of INPRS that data will need to be extracted from Excel, Word and PDF files and input into the system OR is this simply that the documents themselves can be loaded to and extracted from the system?

    Answer: That documents themselves can be loaded to and extracted from the system.

19. Regarding V 51, can INPRS provide any more details on the expectation of functionality of mobile devices? Does the system need to support a native app or will mobile web based access meet this requirement?

    Answer: A native app or mobile web based access will meet this requirement.

20. For estimation purposes, is it the request of INPRS that for any non-native system functionality, the vendor will need to collect detailed functional requirements on each system area listed in the RMS (V) tab of the Technical requirements (Document Management, Workflow Management, etc.) as well as completely configure the system to meet those requirements?

    Answer: Yes.

21. In order to ensure understanding, can INPRS further define the term "document exchange" as it is used in requirement V 4?

    Answer: The exchange of a document via emails and any potential portal.

22. Can INPRS further elaborate on the expectations for integration with Office 365 and its underlying applications? One can make an assumption that Outlook emails, events, and tasks would be integrated and associated data points in the future system. With other Office 365 applications such as Word, Excel and PowerPoint, what is the necessary functionality needed as part of that integration?

    Answer: Desired features would include exporting data to Office 365 products and add-ins to Excel to retrieve data.

23. In order to provide a Proposed Project Approach, please provide additional detail on the scope of the proposed implementation. Any detail on the amount of data and type of data would be much appreciated.

    Answer: No RMS or CRM system is currently in place. Outlook information (emails, contacts, calendars and tasks) from all users, existing documents from file drives into appropriate locations (managers, service providers and internal parties) and bringing in other information into the system via upload templates (such as Excel).

24. What are the requirements on data sharing? Can all users see all data in the system or is it restricted based on Role or Managerial Hierarchy?

    Answer: Restricted based on Role or Managerial Hierarchy.

25. How does data get into the platform? Is there going need to be an integration with another platform to get data into the system? Customer Information or other transactional data?

Answer: See Section 3 – Scope of Services bullet point #4 on Page 12 of the RFP, and Appendix E V31 to V36.

26. What are the training expectations of the new platform? Will there be an on-site admin that will need training and how would you like to run training for end users?

    Answer: There are three different groups that will use the platform. Investments, risk and operations and administrative roles. Training would ideally consist of general and role specific. Onsite training is preferred.

27. How are documents tracked and exchanged between customers and internal users?

    Answer: Via Microsoft Outlook.

28. Do external users need login capabilities to access secure records?

    Answer: This is a desired feature.

29. What are the requirements for integrating MS office Features with Salesforce? What are the use cases? Are you looking for document generation from Salesforce Data?

    Answer: Salesforce is not a current vendor.

30. For Requirement V.41, what systems would we be needing to prepare data for? What format does this data need to be in? csv?

    Answer: V.41 speaks to post-implementation ability to upload documents to the platform.

31. For Requirement V.41, what is meant by "Forms"? Is this Appendix B on the RFP 18-08 Research Management System? So the system would need the ability to delete the Document?

    Answer: It is not in regards to Appendix B – Mandatory Respondent Forms in REQUEST FOR PROPOSALS ("RFP") for RESEARCH MANAGEMENT SYSTEM RFP NUMBER 18-08. V.41 speaks to post-implementation ability to upload documents to the platform.

32. For Requirement V.49 can you provide additional details around this requirement? The statement isn't clear.

    Answer: V.49 should read "Ability to provide *form* information related to the destination." Allowing the form to include information related to the destination on the platform.