



OHIO DEFERRED COMPENSATION

OHIO PUBLIC EMPLOYEES DEFERRED COMPENSATION PROGRAM

#	RFP Section	RFP Page	Questions
Q1	7	6	It states 'Currently, over 1,800 different public employers throughout Ohio participate in Ohio DC. Total Program assets exceed \$10.5 billion.' - Can you provide the participant volume as well, with a breakup on low, medium and high on employer basis? Also the volume of data/file transmitted per day will be helpful.
A1			State of Ohio employees make up 27% of the total participants with the next 10 largest employers making up an additional 20%.
Q2	A.1.2	6	It states 'Currently, over 1,800 different public employers throughout Ohio participate in Ohio DC. Total Program assets exceed \$10.5 billion.' - How different are the file layouts from these employers? If they vary drastically, is there a plan to optimize to use only from a certain standard layout sets? If so, is it in scope of this project?
A2			Deferral data is received from the employer either electronically through the Ohio Business Gateway (OBG) or hardcopy via the US Mail. Employers that use the OBG have the option of updating deferral information on line or uploading a file. Employers that upload electronic data to the OBG must use a standard file layout. All data collected by the OBG is sent to our system in a standard format. The State of Ohio is the only exception. They send their data in a separate file format.
Q3	A.3.3.4	16	Office Equipment - It states that vendor is responsible for providing personal computers. Will Ohio DC provide necessary software's which are to be installed on the PC which are required for this engagement?
A3			The vendor will required to provide their own PC software. Ohio DC will provide the terminal emulation software, if needed, to access the current recordkeeping system on the IBM iSeries,
Q4	A.4	16-21	Project Timetable - Major Deliverables: Are there any existing standard templates available for deliverables which can be used for this engagement. Please provide Quality Review procedure/steps to be followed for review of deliverables to acquire approvals and adherence to SOX compliance.
A4			There are no standard templates. Ohio DC will look to the selected vendor for a recommended quality review methodology.
Q5	General	18	Please provide data mapping documents at field level for tables, files and online screens
A5			This information is not available at this time. Ohio DC staff will work with the vendor to document this information.
Q6	General	18	Is there any existing tool (Remedy or HP Service Manager and etc..) to track problems/incidents
A6			No. The selected vendor can choose any incident management tool, but the appropriate costs for installation and on-going maintenance/support should be indicated and included in the selected vendor's pricing.
Q7	A.4.18	19	Unit Testing by the vendor - It is assumed that Ohio DC will provide the necessary test data by masking data from current Ohio DC's production database for the most relevant testing. Please confirm.
A7			Confirmed
Q8	B.2.1.1	24	Code Inventory and Metrics: Listed code inventory of Record Keeping system in a table. Does this system has any sub applications? If so, please provide the list and complexity of each sub application.
A8			No, we determined that the recordkeeping system is one integrated application which is included in the code inventory in the RFP.
Q9	B.2.1.1	24	Code Inventory and Metrics:
Q9.1			1)Please provide Batch jobs inventory, Batch production cycle window and complex jobs which has SLA's
A9.1			A detailed inventory of the application's programs has not been developed. The batch production window is between 4:00 PM EST (at the close of the NYSE) and must be completed by 3:30 AM the next calendar day. There are no SLAs involved.
Q9.2			2) Are there any online green screens which are being used for real time transaction processing. If so, how many?
A9.2			There are no online screens used for real time transaction processing
Q10	B.2.1.4	27	Current process flow: It's mentioned that modernization is only for Record keeping system.
Q10.1			1) Assuming that impact analysis/risks& mitigation have been identified with external applications due to modernization project (as part of roadmap exercise). Please confirm.
A10.1			The recordkeeping system is the only internal application involved in the project. Interfaces with external partners have been identified and partner testing concerns have been identified.
Q10.2			2) Assuming that Ohio DC does the co-ordination with external vendors for any project needs with external applications. Please confirm.
A10.2			Ohio DC will work with its external partners along with the consultant to coordinate project needs.
Q11	C.1.1	29	Roadmap Validation - Cognizant plans to the project in two phases, 1. A couple of months of due diligence to validate the requirements for its completeness/coverage, analyze, assess and recommend the best implementation approach, and 2. The actual Implementation phase. Do you agree to this approach?
A11			Yes, as long as the basic two wave approach is maintained.



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Q12	C.1.1	29	During the due diligence phase, we plan to have 2 tracks - a) Modernization of Current Application b) COTS implementation. At the end of the assessment phase we will recommend which option will address your needs. Do you agree to this approach? Or a decision is already taken towards a Microsoft based custom built solution as per the Roadmap created so far?
A12			As a part of the roadmap, the decision was made to move forward with a Microsoft based custom build application.
Q13	C.1.3	29	IT Staff Mentoring and Training: Assuming that Programming language (C#, Microsoft, ETL and Etc..) training will be provided by Ohio DC for Ohio DC staff and it's not part of RFP. Please confirm.
A13			Ohio DC does not expect the vendor to provide training as a part of this RFP. We will find suitable training for the IT staff and expect the vendor to provide staff mentoring as they become proficient in their newly learned skills.
Q14	C.2.1	30	New Environment - Is there some detailed documentation/requirements on the needs of the new environment based on the points mentioned here?
A14			All information regarding the new environment has been provided within the RFP, this Q&A document and the addendum to the RFP.
Q15	C.2.5	33	Two-Wave Approach - Does Ohio DC expect any POC to be done at the beginning of the implementation phase, as part of the two-wave approach?
A15			It was determined during the development of the roadmap that that a POC would not be needed.
Q16	C.3	34	Potential New Functionality - Are the in-scope functionalities documented in details, and those documents readily available? If not, does Ohio DC expect the vendor to work with Ohio DC staff for the requirement preparation and evaluation?
A16			The in-scope future functionalities have not been documented in detail at this time. Potentially, policies and procedures may be documented prior to the start of the project for some of the items listed in section C.3.1 on page 34 of the RFP. Ohio DC will work with the vendor in identifying the detailed requirements for the new functionality.
Q17	D.1.2	46	D.1.2 Cost Proposal Format: It states "Include all licenses, fees, and other costs for all proposed hardware, software, and any other cost components". Assuming cost associated with this does not include in total Vendor cost of this engagement. Please confirm.
A17			Clarified Question: D.1.2 Cost Proposal Format: It states "Include all licenses, fees, and other costs for all proposed hardware, software, and any other cost components". We wanted to better understand what specific Hardware/Software is expected to be acquired directly by the vendor. We do not expect there to be any additional specific hardware / software required. However, if the vendor's proposal includes anything additional (outside of what will be provided by Ohio DC as stated in the RFP, Addendum, and the document) they will be responsible for its purchase.
Q18	D.1.2	46	D.1.2 Cost Proposal Format: It states "It is expected that the contract will be awarded on a time and materials basis with an agreed to "not to exceed" amount. And although the contract will not be based on a fixed cost, the Vendor must agree to maintain a fixed hourly rate for each resource for the length of the contract".
Q18.1			1) Assuming that this is Time and Materials basis engagement with fixed rate card for projected resources & duration. Invoice to be billed to Ohio DC monthly based on number hours submitted in the time sheet by resources. Please Confirm.
A18.1			Please see item # 2 under section D.1.2 on page 46 of the RFP
Q18.2			2) Does the payment to vendor will be released by quarterly?
A18.2			Ohio DC will make its best effort to pay correctly submitted invoices within 30 days of receipt.
Q19	General	NA	Are there any known pain areas that Ohio DC is already aware of - related to a) Data Integrity Issues, b) Performance Issues, etc.?
A19			There are some limited data integrity issues that have been identified. This information will be shared with the selected vendor but they should not have a significant impact on the project. There are no performance issues.
Q20	General	NA	Is there any real time processing that happens? Does the batch cycle run only overnight or there are some day-cycles as well?
A20			All participant transaction process occurs in the afternoon and evening. This batch processing starts shortly after the close of the NYSE (4:00 EST)
Q21	General	NA	Does the retirement of the existing application also fall in scope of this project Or the current system retiring is out of scope?
A21			In scope
Q22	General	NA	Please mention the file reconciliation process that happen - like payroll reconciliation and cash reconciliation
A22			Clarified Question: On page 60, it has been mentioned "All billings must be reconciled with the actual deductions". Is this a file-based reconciliation processing? Or there is any other manual process performed? If manual, does it need to be automated? Also, other than this payroll recon, are there any other reconciliation processed that exist currently? Deferral data is received from the employer as discussed in the answer to question 2. Once that data is received, it is programmatically matched to the bill for that employer and specific pay date. Any discrepancies between the original bill and the actual deferral data are manually reconciled and the deferral and/or billing data updated via a data entry screen.



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Q23	General	NA	SME availability: Assuming that SME will be available throughout this engagement as and when needed.
A23			This assumption is correct.
Q24	General	NA	How many different environment / test regions are available currently? What is the frequency of job runs in test region?
			Clarified Question: Please provide us the details of different development/testing environments that are available. Is the environment/data set up and maintenance of those environments within the scope of the engagement.
A24			We would expect that the infrastructure for all environments will be set up by the cloud services vendor. The vendor will be responsible for configuring and maintaining the software and data.
Q25	General	NA	What is the expected peak concurrent user load in the system?
A25			There could potentially be as many as 50 users accessing the system concurrently.
Q26	General	NA	Is there any existing Performance baseline of the current version of the application?
A26			No, although the current system has the ability to collect performance data if required.
Q27	General	NA	Assuming that any existing security policies and procedures will continue to be in force between partners and Ohio DC. Please confirm
A27			Confirmed
Q28	General	NA	Please indicate if specific needs such as regulatory compliance requirements?
			Clarified Question: Are there any Federal (such as Sarbanes Oxley, Dodd Frank etc.) or Ohio-state specific regulatory requirements that the proposed solution is required to comply with?
A28			There are no regulatory requirements that will impact the recordkeeping system.
Q29	B.2.1	23-24	It is assumed that there a need to host the business rules in a centralized business rules engine. Is there a preference of tools for BRE? Or is there any criteria which will determine the tool of choice for BRE (e.g. cost, tech stack, support, market leadership etc.)?
A29			We do not use a business rules engine today and the determination was made as a part of the roadmap development that a BRE would not be required for the new system.
Q30	B.2.1	23-24	Will Cognizant be provided with mined business rules or Cognizant will be responsible to mine the rules and ensure its entirety from the legacy system?
A30			Please see Section B.2.1.2 on page 24 of the RFP
Q31	B.2.1	23-24	As per the target technical architecture landscape in the defined road map is there any scope for a BPM tool addressing the process workflow needs or it will be addressed by the to be insurance COTS product itself?
A31			There is no plans for a BPM tool.
Q32	B.2.1	23-24	Is there any Process Map repository to address the BPM specific requirements for the new platform or Cognizant will have to extract/discover the process workflow as part of Business Process definition and implement using a BPM tool
A32			N/A
Q33	B.2.1	23-24	Is there any preference for BPM tools or what criteria will be preferred for the tool of choice in terms of priority (e.g. cost, tech stack, support, market leadership etc.)?
A33			N/A
Q34	C.3.1	34	Will ODC provide complete Requirements and BA assistance for the newly in-scope items or Vendor will have to engage their BAs for requirement gathering?
A34			The vendor will need to provide BAs. Ohio DC staff will work with the selected vendor's BA's to document the complete requirements.
Q35	C.3.1 #3	34	What is the infrastructure and technology planned for e-Delivery?
A35			Nothing has been planned at this point. The reason that this has been included in the RFP is to provide a new functionality that will be included in the new system. The new system needs to have the capability to send reports and letters that are unique to an individual participant to that person via email.
Q36	E.1.4.14 # 5	54	Please clarify what is Primary / Alternative Proposal. Please clarify how vendor can effectively engage offshore resources for the project
A36			See RFP addendum for clarification.
Q37	E.1.4.14 # 18 & 19	54	Is vendor expected to procure required software for the project?
A37			No, although Ohio DC will look to the selected vendor to make recommendations for any required software not already identified in the roadmap.
Q38	Part F: Attachments	58	Archives / File Management: What is the current Archive / File Management methodology? What is the future state methodology? Will the vendor be required to perform any data migration for archived data?
A38			Participant data is archived in the year following the year that their account becomes fully withdrawn (account balance = 0). When this data is archived, it is simply moved from the production data library to an archived participant data library on the iSeries server. Participant data in the archived data library is retained indefinitely. This data will need to be migrated to the new system.
Q39	General	NA	Are there any preferred software product options for document generation for Correspondence such as statements, letters, etc.?



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A39			The roadmap includes Microsoft SQL Server Reporting Services as the recommended software for reporting. Is all generated correspondence imaged and retained for archival? If so, are there any existing archival systems? If yes, then are they planned to be retained or a new archival system is also in scope to be suggested for this RFP?
Q40	General	NA	
A40			System generated correspondence is not imaged or retained.
Q41	General	NA	Will they provide access to the output of the roadmap exercise that was done by HP
A41			We have provided the key components of the roadmap in the RFP.
Q42	General	NA	Did they evaluate off the shelf products during the roadmap exercise done by HP and if yes, then which products were evaluated
A42			No off the shelf products were evaluated as a part of the roadmap development.
Q43	General	NA	Will they be open to deploying an off the shelf product that can be deployed with customization
A43			Yes, if it makes sense to do so from both a cost and functionality standpoint.
Q44	E.1.4.14 (5)	55	We understand that, as it was mentioned during the Bidder's Conference, the Board will allow the use of offshore resources as part of an alternate proposal. Could you please confirm that our understanding is correct?
A44			See RFP addendum for clarification.
Q45	A.4.1	17	Please provide more information on the "initial Sixty-Day Work Plan" that the detailed Project Work Plan is built on. When is the initial Sixty-Day work plan due to the Ohio DC?
A45			As stated in Table three on page 17 of the RFP, the detailed work plan is due 60 days after the contract start (contract start is the date work on the project begins - not the date the contract is signed).
Q46	C.1.2.1 Cloud Services Selection	29	We assume that bidding on this RFP doesn't preclude us from bidding on any future Cloud Services RFP. Can you please confirm this assumption?
A46			Your assumption is correct - vendors who bid on this RFP may also bid on the cloud services RFP.
Q47	D.1.1	Page 1 and page 40	Please clarify if the Transmittal Letter identified on page 1 of the RFP is the same as the Proposal Letter identified on page 40
A47			Yes, the transmittal letter is the same thing as the proposal letter.
Q48	A.1.7;	10,	Please clarify if alternate proposals are indeed allowed and how such alternate proposals are to be submitted. Should the alternate proposal be submitted separately or be included with the primary proposal. Also, should the alternate proposals only include the differences from the primary proposal?
A48	A.3.2;	15	See RFP addendum for clarification.
Q49	D.2, Table 5 Proposal Evaluation Criteria	47	Please clarify the difference between the Offeror Qualifications (including experience and references), weighted 5% vs Offeror References and Experience, weighted 10%
A49			Offer Qualifications are defined in section A.2. Offeror References are defined in Section D.1.1.
Q50	D.1 Format of Offeror Proposals	38	Four (4) color copies and One (1) copy marked as original of the Technical Proposal. Please clarify if a total of 5 hardcopies are required (1 original and 4 copies) or only 4 hardcopies (1 original copy and 3 copies)
A50			A total of 5 copies are required.
Q51	A.1.4	8	Are there more details regarding anticipated workflow requirements?
A51			There are no additional details at this time. All of the bullets listed in this section are general objectives that will be given consideration during the design of the new system.
Q52	A.4.7	18	Is there an existing authentication/authorization provider such as Active Directory that can be utilized as part of this solution? If so, please provide some details of the technology solution.
A52			We currently use native authentication on the iSeries server. We do use Microsoft Active Directory for controlling access to our internal network. However, Nationwide employees currently do not have access to our internal network - only the iSeries. Future authentication strategy will be developed as a part of the design of the new system
Q53	A.4.14	19	How many users will require training on the new system?
A53			There are approximately 50 users including NRS. However, there will be different levels of training required based on the user roles. For example, the NRS customer service role has inquiry only access to the system so training will be more limited. The Ohio DC data entry role will require more extensive training.
Q54	A.4.14	19	Please provide a consolidated list of user roles to be enforced through security?
A54			NRS customer service role NRS super-user role Ohio DC data entry role Ohio DC IT role Ohio DC executive role
Q55	A.4.15	19	Please confirm that this section is requesting five unique separate environments.
A55			Confirmed
Q56	A.4.15	19	Can the development and test environments be located off-site?
A56			Yes, it is expected that these environments will reside with the selected cloud services provider.



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Q57	A.4.15	19	Should the bidder's response include the cost to procure all the hardware, software and maintenance of the five environments for the duration of the development project?
A57			No, these environments will reside with the cloud services provider - see RFP addendum for additional clarification.
Q58	A.4.15	19	What is the purpose of the "Query" environment?
A58			Ohio DC staff currently run a significant amount of ad hoc database queries, principally for the reporting of various statistics requested by the management team. Assuming that a significant number of ad hoc queries are executed in the future, a query environment would provide the ability to do this without significant impact on the performance of the production environment.
Q59	A.4.19	19	What are the average and peak user loads expected?
A59			These numbers are small and will probably have little impact on the project. On average there are approximately 25 - 30 concurrent users and a peak of 50 users.
Q60	A.4.12	19	Will the project team be provided access to a dev. or test AS400 environment (or some other suitable dataset) containing redacted/anonymous test data?
A60			Yes
Q61	B.2.1.4	27	Can you provide more specifics on the protocols (i.e. TCP/IP, SOAP, etc.), mechanisms (i.e. file drop, web service), and type (i.e. batch, real-time) for the different integration points illustrated on the current process flow diagram?
A61			Today, the NRS service center has access to the recordkeeping system via terminal emulation software (that uses telnet behind the scenes). All other ongoing data exchange uses some form of FTP (sftp, etc.) along with PGP encryption. There are no other mechanisms used at this time.
Q62	C.1.3	29	What roles will each of the existing Ohio DC staff be expected to perform in the project? At what percentage will they be allocated?
A62			We expect that the IT staff will initially serve as SMEs. After they have received training in the new technologies, they will progressively assume additional development rolls. We expect them to be able to spend about 50% of their time in a development role.
Q63	C.2.1	30	How frequently will changes need to be incorporated in the new system?
A63			The recordkeeping system is fairly stable, so ongoing maintenance should be limited. Management understands that requests for new functionality (other than the items listed in section C.3.1) will need to be kept to a minimum. Any changes in laws and statutes that impact the system will need to be addressed.
Q64	C.2.4	32	Is there an anticipated edition and sku planned for SQL Server (such as SQL Server 2012 Enterprise Edition)?
A64			Yes - see RFP addendum for clarification.
Q65	C.2.4	32	Will Ohio DC be purchasing all software licenses for Windows, SQL Server, and System Center?
A65			Yes
Q66	C.2.4	33	Will Ohio DC have a Team Foundation Service installation in place for this project, or would the vendor need to implement this or provide as a service?
A66			Ohio DC will purchase Microsoft Team Foundation Server 2012 at the beginning of the project and work with the selected vendor to properly implement and configure the environment.
Q67	C.2.5	33	Please confirm the assumption that the two-wave approach is for parallelization of the development work, and that the outputs of the first wave would not be implemented in production without the second wave being completed.
A67			Confirmed
Q68			Given that the expected answers to submitted questions won't be available till 09-Jun-2014, and given that it takes vendors time to incorporate and adjust the proposed solution, we request an extension of three weeks to the current due date of 30-Jun-2014.
A68			A one week extension has been provided.
Q69	A-1.5	42	On page 42 – Section A-1.5, Ohio DC states that “Offerors are cautioned that any exception submitted that will give the Offeror a competitive advantage over another offeror or that will cause a failure to meet a mandatory requirement of the RFP will not be accepted.” Considering that the RFP is clear that exceptions may be taken, and all Offerors are aware of this, given that any Offeror may use their own judgment regarding what they want to take exception to, would Ohio DC be willing to waive this caution, and ultimately freely negotiate with the successful Offeror, based on the specific exceptions and assumptions provided in the proposal?
A69			The purpose of section A-1.5 in Section D.1.1 of the technical format is for the vendor to propose exceptions to the requirements, approach, expectations, etc. Ohio DC will evaluate responses and exceptions by each vendor in accordance with the evaluation criteria.
Q70	E.1.4.14	54	On page 54, section E.1.4.14, there is a warning regarding the “Additional Provisions” that “A Vendor taking exception to any provision below may be rejected as non-responsive.” In some cases the provisions would be acceptable with some modification or clarification, in order to allow for negotiation of these provisions, would Ohio DC be willing to waive this warning, and allow exceptions regarding the “Additional Provisions”?
A70			Ohio DC will evaluate responses and exceptions by each vendor in accordance with the evaluation criteria.



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Q71	A.1.7	10	The RFP states: "The proposal must also include sample copies of any agreements to be executed between the prime contractor and any subcontractors in the event of contract award." Please confirm that Ohio DC is only requesting just a template subcontracting agreement, that is not adapted for this specific project.
A71			A standard template is acceptable as long as it is representative of the subcontracting agreements that the vendor has executed in the recent past.
Q72	A.1.7	10	The RFP states: "All subcontracting agreements must be signed at the time of contract award and executed copies provided to Ohio DC for review prior to the execution of a contract with the prime contractor." As any subcontracts will very likely necessarily include "flow downs" from the prime contract, in order to help ensure compliance with the prime contract, which flow downs will not be certain until the prime contract has been completed, please confirm that the intent of this provision is to have subcontracts negotiated except for any flow downs from the prime contract by a specific point in time after the contract award, and that Ohio DC will review the final version of these subcontracts, with any confidential information redacted, before a final version is signed between the prime contractor and the subcontractor, which will necessarily have to occur after a prime contract is agreed and signed. Please confirm that Ohio DC does not expect Offerors to enter into subcontracts for a project before it has been awarded to them. If this is not the case, please explain how Ohio DC envisions these processes proceeding, and the timeline.
A72			Subcontractor agreements, definitions of responsibilities, and definitions of working relationships, and other stipulations regarding sub-contracted arrangements should be completed at contract award. Agreements between sub-contractors and prime offeror are the responsibility of the prime offeror to facilitate. The prime offeror will have ultimate responsibility to fulfill the contract as defined at contract award between Ohio DC and the selected vendor.
Q73	A.1.7	10	The RFP states that "Proposals must include a signed, written statement from any proposed subcontractors verifying their commitment to perform the services indicated to be completed by them." Please confirm that this statement can be subject to the subcontractor reaching a mutually agreeable subcontract with the prime contractor.
A73			Agreements between sub-contractors and prime offeror are the responsibility of the prime offeror to facilitate. The prime offeror will have ultimate responsibility to fulfill the contract as defined at contract award between Ohio DC and the selected vendor.
Q74	A.1.1	40	The RFP says that in the Proposal Letter we include: "A statement affirming the offeror's commitment to develop a full set of all of the rules, regulations, procedures, and practices that need to be accommodated in the new solution." Please confirm that the reference to "regulations" here is not requiring the Offeror to provide any legal advice or opinions.
A74			Confirmed
Q75	E.1.4.10	54	Please confirm that this provision "Negotiations with Subcontractor" would exclude any confidential matters in dispute between the Offeror or subcontractor.
A75			Confirmed
Q76	E.1.4.13	54	Regarding the "Declaration of Material Assistance", the provided link to the Homeland Security website is not working. Please provide the link or the document to allow Offeror to review the declaration required.
A76			See RFP addendum
Q77	E.1.4.14 (s.12)	56	Please confirm Ohio DC's specific requirements for Vendor accreditation, and any other standard of quality referenced in this provision.
A77			Accreditation can include PMP certification for PM's, IIBA certification for BA's, Microsoft Certifications for developers, although not a requirement for any defined resources.
Q78	C1	29	Hewlett Packard Enterprise Services (HPES) developed the Recordkeeping System Modernization Roadmap with Ohio DC. Will Knowledge Transfer sessions with HPES be provided before / during the Roadmap Verification stage?
A78			Ohio DC staff will share all of the information provided to HPES during the development of the roadmap as well as any detailed information provided by HPES that is not already included in the RFP. HPES will not be providing any knowledge transfer.
Q79	A-1.6	42	Regarding warranty limitations, please confirm that this information is only required regarding any software or hardware provided by the Offeror, and not 3rd parties warranty information.
A79			Confirmed
Q80			Please confirm whether there are any legal restrictions, such as citizenship requirements, on any of the personnel who will be staffed to this project, including all employees and contractors of the Offeror, the Offeror's Affiliates, and the Offeror's subcontractors.
A80			All personnel must be able to work legally in the United States. The only exception would be if we were to agree to the use of near shore or offshore resources.
Q81	B.1	23	Can you provide wireframes for the screens? If the wireframes are not available can you provide the screenshots from the current application? How many screens do we have per functional area?
A81			Wireframes and screen shots are not available at this time. Ohio DC staff will be working later this year to collect example screen shots as time permits but they will not be available before the completion of the RFP process.



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Q82	B.2.1.4	27	In the current process flow, which integration points will require changes to accommodate the new recordkeeping section? Which integration points will not require changes?
A82			We want to keep these changes to a minimum by designing the system in a way that allows us to exchange data with our external partners much the same as we do today.
Q83	C.2.1	30	In "Data at rest in encrypted," does the data across the wire need to be encrypted as well (in other words, is SSL required?)?
A83			SSL will be required.
Q84	C.2.4	32	Can you provide a copy of the current logical and physical data model? What is the DB2 database size? Can you provide the count of tables and number of active accounts?
A84			The current system has approximately 400 physical tables with 6,600 fields and a total size of about 104 GB. No other related documentation is available at this time.
Q85	C.2.4	32	Is Microsoft Internet Explorer the only browser that needs to be supported? What is the minimum version to support?
A85			Since this isn't a public facing component to this application, we can control which browser is being used. At this time we plan to use IE 9 or greater but that will certainly change over the life of the project.
Q86	C.2.4	32	The table calls out MS Systems Center Operations Manager for performance and operations management. However, no application performance requirements, or Quality of Service (QoS) requirements appear to be listed. Are there any QoS requirements and if not is it the expectation that in the process of Work Plan/System Design phase of the project that these will be defined?
A86			We plan to work with the vendor to define this during the Work Plan / System Design phase.
Q87	C.2.5	33	The first wave will include development of all of the outputs (reports, letters, etc.), and the second wave will include all of the inputs (data entry screens, interfaces with outside entities, etc.). Is there a reason to stay with this sequencing?
A87			This approach was developed to potentially shorten the overall timeframe of the project by providing a way for some development to occur before all design was completed. See RFP addendum for more information.
Q88	C.2.4	33	SQL Server Integration Services (SSIS) is called out as the expected tool to be used for integration in the application. What are the known possible transport types and security requirements for the integration points of the system? It seems clear that there will be file uploads/downloads as one mechanism of communication. Will there be other mechanisms such as Web Service calls?
A88			See the answer to question 61.
Q89	Attachment A	58	What is the data retention policy for the archived data?
A89			See the answer to question #38.
Q90	Attachment A	58	For "over-deferral prevented by investment processing," is this intended based on a rule that must be periodically updated? Do such rules require a rules engine? If so, does a rules engine require a user interface so that non-technical end-users can make changes?
A90			Deferral limits change once a year at most. Currently, a change in deferral limits requires three records to be updated in an existing table. A rules engine has not been implemented and the need for one in the future is not anticipated.
Q91	Attachment A	58	For "Participants with fully withdrawn accounts are archived and removed from the production data on an annual basis," where is the archived information stored? Is this a manual or automated process? Does this process require change?
A91			This is an automated process that is typically run once a year.
Q92	Attachment A	58	For "Daily NAVs are received electronically from investment providers for all other funds," what system does the recordkeeping system connect to? How does the interface work?
A92			The daily NAVs are collected via an ftp connection to the various investment provider's servers.
Q93	Attachment A	59	For "Daily trade instructions are sent to each investment provider either electronically or via automated fax," what is the electronic method? What is the automated fax platform? Does the process require any changes in order to work with the new system?
A93			Trade instructions are sent directly from the iSeries system using either native FTP (electronic method) or IBM iSeries automated fax software. The new system will need to provide the same functionality.
Q94	Attachment A	59	For A calendar system has been developed that tracks the pay dates by employer," can this system be reused, or does it need to be ported or re-implemented in the new recordkeeping system?
A94			The current system has been developed using custom written software and the iSeries database. This functionality will need to be recreated in the new system.
Q95	Attachment A	59	For "The employer has the option to receive a copy of the billing (prebill) either electronically or on paper," what are the modules and integration interfaces used to generate and send the billing? Are these all manual or automated processes?
A95			Paper billings are printed and mailed from our office. Electronically delivered billings are sent as a PDF attachment using a product (Catapult - see www.bcdsoftware.com/iseries400solutions/catapult for more information) that can email reports generated by the recordkeeping system.



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#	RFP Section	RFP Page	Questions
Q96 A96	Attachment A	60	For "New participant accounts are created either by data entry from a paper form or via the website," are the paper forms then entered via data entry through the web site later? Or is there an optical scanning process? If so, will the new recordkeeping system need to support OCR or other scanning? There is no requirements for an optical scanning process.
Q97 A97	Imaging	61	What are your document imaging requirements to store the participant paperwork electronic images? See RFP addendum for clarification.
Q98 A98	Inactive, Suspend	70	What are the different user roles by departments who need access to the recordkeeping system? NRS customer service role NRS super-user role Ohio DC data entry role Ohio DC IT role Ohio DC executive role
Q99 A99 Q100 A100 Q101 A101	Billing	83	Can you provide a sample copy of the following reports: Future Paycheck Deduction Report (PREBILL) Reconciliation Report Reduction Report Quarterly employer statement These reports are not available at this time . They will be provided to the selected vendor.
Q102 A102	Interfaces	87	Can you provide a sample copy of the file formats for the following: interfaces: Accuity Black Rock Dodge & Cox Fidelity First Pacific Hartford Janus JP Morgan Ohio National Life Insurance PIMCO SourceLink State of Ohio – OAKS Templeton USPS Vanguard This information will be provided to the selected vendor and should not be needed for the proposal.
Q103 A103	Participant Accounts	94	Are there real-time service calls needed for variables such as - Maximum deferral amounts set by IRS No
Q104 A104	Deferrals	101	Is the integration with ATS in scope for this project? No, that system is managed and owned by NRS.
Q105 A105	Paperwork Archival	104	Is there a requirement to digitally archive paperwork? If yes how much exiting archived paperwork needs to be converted? This is not a requirement.
Q106 A106	A.4	17	Items 5 and 6 in Table 3 do not match the subsequent text in section A.4.5 and A.4.6; please clarify 60 days after contract start, any updated requirements will be provided to the selected vendor (Line 5 in Table 3 and section A.4.5) 90 days after contract start, the selected vendor will provide an response to the updated requirements (line 6 in Table 3 and section A.4.6)
Q107 A107	A.4.26	21	The first paragraph on p21 is unclear. Please elaborate on whether certain parts of this RFP require contractual deliverables. The deliverables explained in Table 3 are required. Other deliverables as identified by the selected vendor in A-1.2 of Section D.1.1 will be contractual.
Q108 A108	B.1	23	Are you able to commit business subject-matter experts to the engagement full time? If not, please discuss. Based on the size of our staff, this will not be possible. However, we will do what we can to make SMEs available as much as possible.
Q109 A109	B.1	23	Are you able to commit technical subject-matter experts to the project full time? If not, please discuss. No, the technical staff will be involved in training and will also still be responsible for their normal duties. We hope to make them available about 50% of the their time.
Q110 A110	B.2	23	Since Hewlett Packard Enterprise Services (HPES) worked with you to develop the Modernization Roadmap, are they precluded from bidding on the modernization program? No



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#	RFP Section	RFP Page	Questions
Q111	B.2.1.4	27	Please provide details on each interface that will be required between the new system and existing systems, inside the agency and externally.
A111			See the answer to question #82
Q112	B.2.1.4	27	Are the interfaces expected to remain stable throughout the life of this project? (e.g. none are undergoing re-design)
A112			Based on what we know today, we expect the interfaces to remain stable throughout the life of the project.
Q113	C.1.2	29	Are there any process flows and/or use cases that document the current-state system? If so, please provide.
A113			There is nothing additional available.
Q114	C.1.2.1	29	Please elaborate on how you anticipate the cloud provider selection process working in conjunction with this RFP, especially since the timeline shows that the hardware/software environments shall be operational within 120 days of contract start. Is the vendor expected to propose a preferred cloud provider?
A114			See RFP addendum for clarification.
Q115	C.1.2.1	29	Is the vendor expected to include pricing for the cloud environments in the pricing models?
A115			No - see RFP addendum for additional clarification.
Q116	C.1.3	29	Do you expect the vendor to train current COBOL / RPG programming staff on the new technologies?
A116			No - see the answer to question 13.
Q117	C.2.2	30	Are you committed to the Microsoft .Net technology as identified in the RFP or are you open to suggestions?
A117			Yes, we are committed to Microsoft .Net technology. As a part of the roadmap development, we spent a significant amount of time reviewing options and determined that this was the best alternative.
Q118	C.2	30	Are you open to off site but onshore development staff?
A118			Yes. However the Project Manager must be onsite at least 80% of the time as stated in section A-2.3 on page 44 of the RFP.
Q119	C.2.4	33	Is support for web browsers other than IE required (particularly for external users)?
A119			See the answer to question 85.
Q120	C.2.5	33	Are you open to alternative approaches to developing system functionality, besides the two-wave approach described in the RFP?
A120			No - the two wave approach was developed as a part of the roadmap after spending a significant amount of time discussing alternatives.
Q121	C.3	34	Is there an expectation the process flows and/or screen navigation will be redesigned as part of this project?
A121			No significant changes are anticipated.
Q122	C.3	34	Is there an expectation that letters, reports, screens, user roles or interfaces will be redesigned as part of this project?
A122			No significant changes are anticipated.
Q123	A.1.5	42	Second paragraph in this section: Is the request that the vendor provide "at least one" or "two" alternative solutions for each exception?
A123			As stated in the RFP, the alternate solutions are to address any exceptions that the vendor has to the RFP "with the technical / functional requirements set forth in the RFP and/or with any terms and conditions contained in the RFP relating to the ensuing contract"
Q124	A.2.3	44	Second paragraph from bottom of the page: Since our offer is required to remain valid for 6 months after delivery, this is a challenging requirement. Does Ohio DC mean resources that are listed as "named" on any open proposals as of the response submission date?
A124			Yes
Q125	A.2.3	45	Last bullet: Please confirm that the \$50,000 penalty does not apply to resources that are removed at Ohio DC's request, only to key staff dedicated more than 50% who the vendor decides to remove. Also, can key staff be removed upon mutual consent without incurring the \$50,000 penalty?
A125			The penalty only applies if the selected vendor replaces a resource without the consent of Ohio DC with the exceptions listed in the RFP (serious illness, death, or termination of employment).
Q126	D.1.2	46	Please confirm that you expect our price proposal rate card to remain valid for 15 quarters (45 months) from the date of submission? Or date of contract?
A126			As stated under section D.1.2 item 1 on page 46 of the RFP "... the Vendor must agree to maintain a fixed hourly rate for each resource for the length of the contract." However, we would not expect there to be any significant difference between the rates in the proposal and the rates agreed to in a contract.
Q127	F	58	Please provide non-functional requirements for the system. For example, system availability, disaster recovery, downtime, response time, transaction volumes, security requirements, data residency requirements



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#	RFP Section	RFP Page	Questions
A127Q			Our current disaster recovery strategy requires a RTO and RPO of 24 hours or less. The only other documented non-functional requirements have been included in the RFP.
Q128	F	58	Please provide details on the estimated amount of data to be converted from the legacy system to the new system (e.g. plan records, images, reference data)
A128			See the answer to question 84.
Q129	F	61	Is the vendor expected to recommend an imaging system, or will this system integrate with an existing imaging system? If the latter, please provide details on this bespoke system
A129			The recordkeeping system will integrate with the existing imaging system as described in the RFP addendum.
Q130	F	74	Are any changes to existing correspondence anticipated as part of this modernization project (e.g., letter design, wording, data)?
A130			See the answer to question #122
Q131	n/a	n/a	Have you considered or evaluated any third party solutions for shareholder record-keeping?
A131			Yes we have considered it but we have not been able to find a third party solution that fits our recordkeeping needs.
Q132	D 1.1	Pg. 39 & 40	The requirements for Part B of the technical proposal format do not align with the instructions to use PART B of the RFP. For example, Part B of the RFP only has sections B.1 and B.2, however, the Offeror Response is for individual functional areas B.1 through B.4. Please clarify.
A132			The table laid out in Section D.1.1 is for example only. There are no "Other Required Services or Deliverables" (D.1.1 - B-3) and no "Project Options" (D1.1. - B-4). <u>Clarification:</u> The text under the heading "PART B OFFEROR RESPONSE TO PROJECT SCOPE" on page 45 of the RFP should read as follows: PART B of the offeror's proposal will contain the offeror's response to the project scope identified in Part C of this RFP. Part B of the offeror's proposal will also contain the offeror's response explaining how the requirements for the current functionality listed in Attachment A of this RFP will be included in scope.
Q133	A.4.2 & A.4.3	Pg. 17	Installation of proposed hardware/software on site implies this is not a Cloud solution. Does Ohio DC plan to implement hardware locally then move to the Cloud later since there will be another RFP issued for Cloud?
A133			Based on the roadmap plan, the first year (2015) of the project will be devoted to project prep and design. The intent is to bring in the cloud provider at the beginning of 2016 - the assumption being that no hardware or software will be required in 2015. A.4.2 and A.4.3 are only included if the vendor proposal includes the need for hardware or software prior to the availability of the cloud services.
Q134	C.2.3	Pg. 32	In the planned Cloud RFP are all of the environments included such as testing and development?
A134			Yes
Q135	A.4.15	Pg. 19	Does Ohio DC want testing and development environments included in this RFP costs? Should the vendor provide hardware pricing for hosting onsite at Ohio DC facilities?
A135			See the answer to question #133.
Q136	A.4	Pg. 17	Per the RFP, the hardware and software is due by 120 days after start of contract. Can you please elaborate on what that means, for example, if application is going to the Cloud, does this mean the Cloud has to be up and running by then for all environments?
A136			Please see the answer to question # 133.
Q137	A.1.4	Pg. 8	Please clarify Workflow management requirements. Is Ohio DC seeking a Customer Relationship Management Solution (COTS) or is this documentation of existing workflows today or another requirement?
A137			Ohio DC is not seeking a CRM solution. However, if the vendor proposes a CRM or other technology as part of their solution, they need to explain that in their proposal.