CONTRACT #C001204

ELECTRONIC FILLABLE FORM CREATION & HOSTING SERVICES

OFFICE OF THE STATE COMPTROLLER

RESPONSES TO QUESTIONS

The official responses to questions submitted pursuant to the above-captioned procurement are listed below. Responses are in **bold blue type.**

Question #1: Does OSC have a forecast of how many additional licenses (beyond the initial 25) may be needed within the first two years?

Response: No.

Question #2: Should pricing proposals include tiered cost scenarios (e.g., 25, 50, 100 users)?

Response: Using the format provided on Attachment B-2 (Bid Page), pricing proposals should include:
- **An annual fee for a base license package of 25 users,**
- **An annual fee for additional user licenses (each bundle being 5 users).**

For example, an annual fee of $100 for a base license (for up to 25 users), and an annual fee of $20 for 5 more licenses. Under this structure, if OSC had 45 users, it would pay $100 + $20 + $20 + $20 +$20 = $180 per year.

Question #3: Beyond HIPAA, does OSC require adherence to specific NYS Information Security Policy standards (e.g., NIST 800-53, ISO 27001)?

Response: While New York State uses the NIST cybersecurity framework as a foundation for its own security requirements, OSC does not require that the selected Proposer adhere to a specific framework, but it must be compliant with some current industry- or government accepted security framework. In addition, the selected Proposer must comply with applicable laws, rules, and regulations regarding confidentiality and security, and be compliant with applicable industry standards concerning data protection, confidentiality and information security.

Question #4: Is U.S.-based hosting sufficient, or must data reside within New York State data centers?

Response: Per Section XI.E (Confidentiality and Security, CONUS) of the Draft Contract, all data must reside and be hosted within the contiguous United States, including the District of Columbia.

Question #5: Would OSC prefer annual SOC 2 Type II audit reports or a completed CAIQ questionnaire for security validation?

Response: Either annual completion of a SOC 2 Type II audit report or CAIQ questionnaire is acceptable.

Question #6: The RFP requires that any customization must become a supported configuration at no additional cost. Does this apply strictly to form templates, or also to workflow automation and AI integration?

Response: This requirement applies to form templates, workflow automation, and AI.

Question #7: What level of branding customization does OSC anticipate (logos/colors only vs. full white-label domain/subdomain)?

Response: OSC requires full white label customization for branding purposes.

Question #8: Beyond Microsoft Office and Adobe, does OSC anticipate integration with other platforms (e.g., case management, ERP, document management)?

Response: It is possible that OSC may want the solution to integrate with ServiceNow, Active Directory, or other database platforms.

Question #9: Is file-level import/export sufficient, or does OSC require API-level integration with Office 365 and Adobe?

Response: OSC requires API-level integration.

Question #10: What reporting formats are expected (Excel, CSV, PDF dashboards)?

Response: Excel, CSV and PDF reporting formats are required.

Question #11: Should the solution include real-time dashboards for OSC management, or are static scheduled reports sufficient?

Response: OSC requires real-time dashboards.

Question #12: Would OSC like AI-driven predictive analytics (e.g., error trends, forecasting anomalies) included?

Response: OSC would like AI-driven analytics included in the solution.

Question #13: The RFP prohibits use of OSC data to train external AI models. Would OSC allow private, agency-specific AI models hosted in OSC's secure tenant?

Response: OSC may allow private, OSC-specific AI models hosted in OSC's secure tenant to be trained using OSC data, but only after appropriate review.

Question #14: Should AI be limited to form creation automation, or expanded to workflow optimization, compliance scoring, and anomaly detection?

Response: OSC prefers AI to include all capabilities.

Question #15: Does OSC require explainable AI (audit logs for AI decisions)?

Response: OSC requires Explainable AI. This is needed so that OSC can understand how the AI is making the decision when there is a question on the results.

Question #16: How many OSC staff members are expected to attend live training sessions?

Response: All OSC licensed users will be expected to attend live training sessions.

Question #17: Should we plan for train-the-trainer sessions to create OSC super-users?

Response: Yes, plan for train-the-trainer sessions.

Question #18: Does OSC prefer training to be delivered on-site in Albany or primarily virtual?

Response: OSC prefers live virtual training with an option to watch a recording of the training.

Question #19: Does OSC envision simple workflows (1–2 approvals) or complex, multi-step workflows with SLA escalation?

Response: Simple workflows are sufficient.

Question #20: Should workflows be role-based (e.g., HR vs. Finance vs. IT routing)?

Response: Workflows should be role-based.

Question #21: Should the cost proposal include implementation and training services in addition to SaaS licensing?

Response: The cost proposal should use the format provided in Attachment B-2 (Bid Page), which includes fields for implementation, SaaS licensing, and additional fees (if any). Costs of training should be included within the SaaS licensing pricing.

Question #22: Does OSC prefer flat-rate annual pricing or a time-and-materials model for services?

Response: Flat rate pricing is required. Additional services, if proposed, should also use a flat-rate pricing structure (see Attachment B-2 Bid Page).

Question #23: Will OSC request multi-year pricing (e.g., 3–5 years) for budgeting purposes?

Response:
- All pricing must be firm for the first year of the contract.
- SaaS licensing fees must be firm for the first year of the contract, and then are subject to the escalation clause in Section IV.B (Compensation and Payment) of the Draft Contract.
- Additional fees, if any, and if charged beyond the first year, must remain firm for the entire five-year term.

Question #24: How often does OSC expect system upgrades (quarterly, annually)?

Response: OSC expects quarterly system upgrades.

Question #25: Will OSC require vendors to provide a product roadmap with future AI and compliance features?

Response: OSC prefers that vendors provide a product roadmap with future AI and compliance features, but this is not required.

Question #26: Should vendors commit to ensuring feature parity with evolving state/federal compliance standards?

Response: Yes, vendors must commit to ensuring feature parity with evolving state/federal compliance standards.

Question #27: Approximately how many forms does OSC anticipate needing?

Response: OSC anticipates needing 500-1000 forms.

Question #28: What is the number and complexity of workflows required?

Response: Any one form will have a 5-step or less workflow, but workflows will be different depending on which OSC division requires the form. In total, OSC could have 20-30 different approval points for a form.

Question #29: Are there any specific systems OSC expects the solution to integrate with beyond Microsoft Office/Adobe?

Response: See response to Question #8.

Question #30: When does OSC expect to make an award and/or complete contracting with the selected vendor?

Response: OSC expects to have a contract in place with the awardee approximately three to six months after the submission due date. The timing of the award and finalization of the contract will occur at OSC's discretion.

Question #31: When does OSC anticipate to begin project implementation?

Response: OSC expects project implementation to begin shortly after a contract is executed and approved. See response to Question #30.

Question #32: When does OSC anticipate to go live with the new solution?

Response: OSC is unable to answer this question as different solutions may require more or less effort to implement.

Question #33: Can you please provide the titles of the members of the proposal evaluation team?

Response: OSC staff from the Bureau of Finance, Office of the Chief Information Officer (CIO), and Bureau of Emergency Preparedness and Internal Communication will evaluate proposals.

Question #34: Will IT be involved in this purchase, and if not, what level of involvement does IT assume for the project?

Response: OSC CIO staff will be involved with the purchase, technical support and administration of this Solution.

Question #35: What forms solution(s) are currently in use that the new solution would be replacing (please include versions)?

Response: OSC currently uses Adobe Acrobat forms, Microsoft forms and Chrono forms in Joomla, as well as others.

Question #36: Which department(s) are using the current solution(s)? Which department(s) will use the new forms solution.

Response: Initially the new solution will be used by units within OSC's Bureau of Finance and Administration. Other OSC bureaus may choose to use the solution during the term and OSC will purchase additional licensing as needed.

Question #37: Why is OSC seeking a new forms solution?

Response: OSC's current solutions have functionality limitations. For example, OSC wants drag and drop templates for ease of use, dynamic text box options, flexible drop down design, and one solution rather than mixed solutions (e.g., InDesign and pdf).

Question #38: What functional/operational issues are there with the current solution and what is OSC seeking to improve with a new system?

Response: See response to Question #37.

Question #39: When does the current contract(s) for the current solution(s) expire (if any)?

Response: OSC does not currently have a contract for an electronic fillable form creation and hosting solution.

Question #40: What is OSC's annual spend for the current solution(s) (if any)?

Response: OSC declines to respond.

Question #41: Has OSC purchased the current solution directly or via a reseller? If reseller, which one?

Response: See response to Question #39.

Question #42: What Document Repository(ies) are currently in use ? ECM, SharePoint, Shared Drives, etc.

Response: OSC currently uses SharePoint and shared drives.

Question #43: If no central, single document repository exists, is OSC open to a document repository?

Response: A central depository already exists.

Question #44: If open to Central document repository, how many individuals will need to be logged in and view documents stored in the repository at the same time?

Response: See response to Question #43. OSC expects a minimum of 25 people to be able to log in and view the documents at the same time.

Question #45: Will OSC be holding demonstrations from shortlisted vendors prior to vendor selection?

Response: During the qualification and evaluation process, proposers may be interviewed in-person or via video conference. OSC reserves the right to request a demonstration of a solution to better understand the solution being proposed. Such demonstration may be conducted in-person in Albany, NY or via video conference.

Question #46: If so, will these demonstrations be remote or in person?

Response: See response to Question #45.

Question #47: How will OSC score/rank submitted proposals?

Response: OSC will first confirm whether each submission meets the requirements identified in Attachment B-1 (Solution Requirements Matrix). Failure to meet these requirements will result in disqualification. Responses that pass this review will be evaluated as to whether the proposed solution meets the Preferred Solution Characteristics identified in Attachment B-1 and the cost proposed on Attachment B-2.

Question #48: Has a scoring matrix for responses been created? If so, could OSC please share. If not, please identify when this will be established and how/if it will be distributed to bidders.

Response: See response to Question #47.

Question #49: Are there any requirements that, if not met, will result in automatic disqualification?

Response: See response to Question #47.

Question #50: Is there a phasing plan for the project to cover different departments and aspects of the solution? If so, can this please be shared?

Response: No, there is not a phasing plan for the project.

Question #51: Are there any 3rd party applications/systems OSC intends to integrate with the forms solution?

Response: See response to Question #8.

Question #52: What staff and resources does OSC have to manage data/system integration?

Response: OSC's CIO staff will manage data/system integration.

Question #53: Is there a preference of the staff to work via API or other approach (e.g. batch file, direct to database)?

Response: No, there is not a preference as to API or other approach.

Question #54: What Agency staff have been/will be assigned to the project for implementation?

Response: See response to Question #52.

Question #55: Have funds already been appropriated for this project, or are they contingent on an upcoming budget cycle or other approval process?

Response: Funds for the first year of the project have been appropriated. Funding for future years will be appropriated through the budget process.

Question #56: If this purchase requires a board, council, legislative, or other similar body to review and approve this purchase, please describe that process?

Response: Any contract resulting from this procurement must be approved by the New York State Attorney General and OSC's Bureau of Contracts. See Section XVII (Entire Agreement/Approval) of the Draft Contract.

Question #57: Is funding tied to any specific grants or other funding source(s)? If yes, which one(s)?

Response: Funding is not tied to grants.

Question #58: If funds have been appropriated, what is OSC's budget for the project?

Response: It is OSC's practice not to disclose the specific budget of a project to encourage competition and better pricing.

Question #59: Which Agency department(s) are funding this project?

Response: OSC is funding this project.

Question #60: Has OSC seen demos of any potential forms solutions or related technologies in the last 12 months? If so, which ones?

Response: OSC researched various industry solutions to identify whether there were solutions that might address our needs. OSC declines to expand further as its research was only preliminary, not exhaustive, and solutions may be proposed that did not come up in OSC's initial research.

Question #61: Has OSC worked or consulted with any vendors and/or external sources in the development of the requirements for this RFP? If so, please identify.

Response: OSC has not worked directly with potentially eligible vendors on requirements development.

Question #62: How will OSC reach out to vendors when award is made, i.e. portal, email?

Response: OSC will send notices of selection or non-selection to all proposers via email, to the contacts identified in Attachment B (Response Form).

Question #63: Other than Adobe and Microsoft Office, are there other 3rd party pre-made forms currently in use? If so, please provide.

Response: See response to Question #35.

Question #64: Allow OSC users to download and distribute forms created from the Solution – Could OSC please clarify what is meant by "distribute forms"?

Response: OSC's reference to "distribute forms" means to distribute forms digitally via email.

Question #65: Is there an electronic signature tool currently in use?

Response: Yes.

Question #66: Is there a preference/requirement for the form solution to support federally compliant eSignatures?

Response: No.

Question #67: Does OSC have a preference for solutions that offer unlimited users, forms, and form submissions?

Response: No.

Question #68: OSC has a "preferred requirement" for Workflow – how is workflow being achieved today?

Response: Today, workflow occurs manually using 1-2 step processes.

Question #69: Allow OSC users to manage and organize data across teams – Could OSC please clarify this requirement?

Response: Microsoft Teams allows OSC to electronically share digital files, therefore OSC can send the form or completed forms through Teams to specific individuals if needed.