



29 July 2025

[REDACTED]  
[REDACTED]

Dear [REDACTED]

Thank you for your request made under the Official Information Act 1982 (OIA), received on 3 July 2025. You requested the following:

*Please can you provide a copy of tender documentation for Cloud hosting arrangement referenced in this linked in post by Team IM.*

[https://www.linkedin.com/posts/teamim-nz\\_teamcloud-inlandrevenue-oraclealloy-activity-7345580351366250496--](https://www.linkedin.com/posts/teamim-nz_teamcloud-inlandrevenue-oraclealloy-activity-7345580351366250496--)

[QHI?utm\\_source=share&utm\\_medium=member\\_desktop&rcm=ACoAAAKBmjoBGxE0ZhJyRfKU0ba0XTB8tGft7Nw](https://www.linkedin.com/posts/teamim-nz_teamcloud-inlandrevenue-oraclealloy-activity-7345580351366250496--QHI?utm_source=share&utm_medium=member_desktop&rcm=ACoAAAKBmjoBGxE0ZhJyRfKU0ba0XTB8tGft7Nw)

*Seeking a copy of the GETS notice (initial and update following closure), RFP and write-up of successful tender documentation.*

Please find attached copy of the 2016 Request for Proposal (RFP).

There was no tender process for Inland Revenue's Cloud hosting arrangements. In February 2016, Inland Revenue went to the market for an Information Knowledge Management Solution and Related Services. Inland Revenue had a stated preference in the RFP for the appointment of a single partner to provide a solution "as a service".

TeamIM (Team Asparona at the time of appointment) was the successful respondent and as such they were appointed to provide a fully outsourced, cloud based, managed service. This partnership has been in place since then.

The engagement included the hosting of the solution in TeamIM's Amazon Web Service (AWS) instance however the agreement provided for TeamIM to move the service to an alternate third-party cloud service with Inland Revenue's consent. In 2023, TeamIM advised Inland Revenue that it was establishing an Oracle Cloud Service in New Zealand and that the new cloud service would deliver equivalent or better service levels at a lower cost if Inland Revenue consented to TeamIM migrating the hosted service from AWS to Oracle Cloud with TeamIM.

Following due diligence on the proposed service, Inland Revenue agreed to migrate the service due to the demonstrable benefits both financially and in terms of the service offering. Inland Revenue also completed an independent Certification and Accreditation of the service prior to the migration to validate the security of the new cloud service. Given the cloud service sits within the scope of the original RFP, Inland Revenue has not taken the cloud hosting to market

independently. The outsourced managed service provided by TeamIM is reviewed regularly, and continues to be fit for purpose, as such Inland Revenue does not intend to approach the market for alternatives services at this time.

Accordingly, there was no tender made on the Government Electronic Tender Service (GETS) and no subsequent GETS award notice. As such, your request for copies of the tender documentation and GETS documentation is refused under section 18(e) of the OIA, the document alleged to contain the information requested does not exist.

### **Right of review**

If you disagree with my decision on your OIA request, you have the right to ask the Ombudsman to investigate and review my decision under section 28(3) of the OIA. You can contact the office of the Ombudsman by email at: [info@ombudsman.parliament.nz](mailto:info@ombudsman.parliament.nz).

### **Publishing of OIA response**

We intend to publish our response to your request on Inland Revenue's website ([ird.govt.nz](http://ird.govt.nz)) as this information may be of interest to other members of the public. This letter, with your personal details removed, may be published in its entirety. Publishing responses increases the availability of information to the public and is consistent with the OIA's purpose of enabling more effective participation in the making and administration of laws and policies and promoting the accountability of officials.

Thank you again for your request.

Yours sincerely



Juliet Glass

**Service Leader – Commercial Services & Strategic Property**



# Inland Revenue

## REQUEST FOR PROPOSAL

for the provision of an

# Information and Knowledge Management Solution and Associated Services

**Release Date:** Monday 29 February 2016

**Responses Due:** Monday 4 April 2016, 5pm NZST

**Reference number:** PRO-SRFx-00000210

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# Part 1: Introduction



## 1. Purpose of this RFP

1.1 The purpose of this Request for Proposal (RFP) is to seek Proposals from Participants so that Inland Revenue can identify:

- A preferred Information and Knowledge Management Solution (Solution or IKM Solution).
- A preferred provider(s) of the IKM Solution, including associated design, implementation, testing, training, product maintenance and application management services.

1.2 The IKM Solution sought by Inland Revenue is the combination of the following capabilities, able to operate as an integrated platform in satisfaction of the Requirements set out in this RFP:

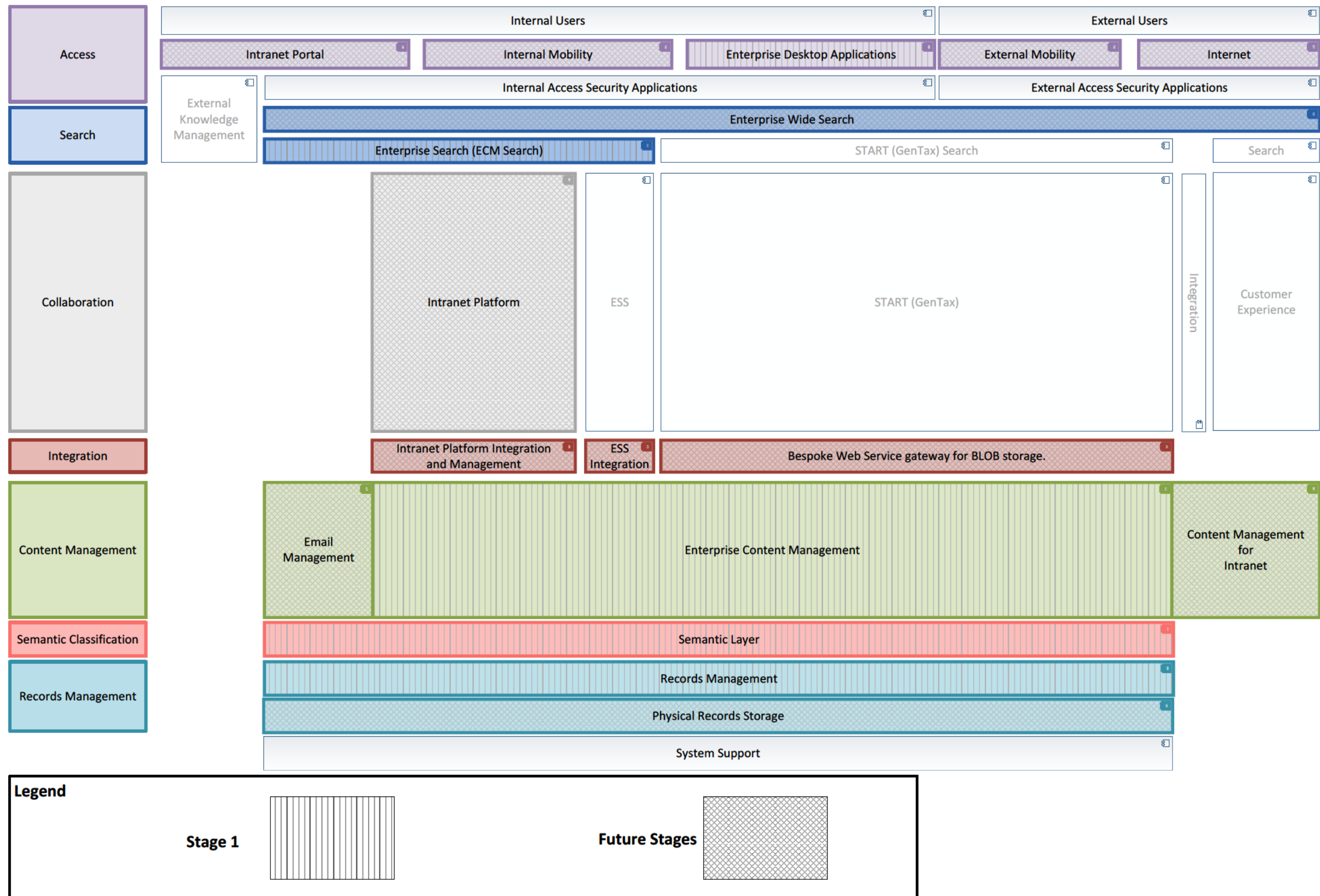
- **Core Enterprise Content Management (Core ECM) comprises:**
  - Enterprise Repository – i.e. a single enterprise database for all semi-structured and unstructured content.
  - Document Management – i.e. the process of managing and tracking all electronic documents and electronic images across Inland Revenue.
  - Records Management – i.e. the management of records for an organisation throughout the record's lifecycle.
  - Enterprise Repository Search – i.e. the ability for Inland Revenue users to search for content across the Enterprise Repository based on a defined set of criteria.
  - Semantic Domain – i.e. management of ontology and auto-classification of content.
  - Integration of the Enterprise Repository with the START Case Management module. START is the new processing platform from FAST Enterprises, which is being implemented through the BT Programme to replace the FIRST platform.
- **Broader Information and Knowledge Management (Broader IKM) comprises:**
  - Enterprise-Wide Search – i.e. the ability for authorised staff to search for content from multiple sources across the enterprise, such as databases and intranets and including other application databases. This must be achieved while always maintaining the access restrictions of the source systems.
  - Collaboration – i.e. will provide a collaboration platform for sharing content between staff and authorised external parties through workspaces and discussion groups/forums.
  - Intranet platform integration and management – i.e. all content authored, sourced and shared through the intranet platform will be stored and managed in the Enterprise Repository.

- External web channel integration and management – i.e. the availability of content sourced from the Enterprise Repository and made available to Inland Revenue’s unauthenticated web channels – e.g. IR’s website and social media channels.
  - Mobility – i.e. access to the Enterprise Repository via a range of technologies and devices.
  - Email Management – i.e. the ingestion and auto-classification of business-related emails (including attachments as required), within the Enterprise Repository.
  - Archiving – i.e. an archive store (near line or offline) and appropriate management to ensure integrity of the content, security, retention and disposal.
  - Integration of the Enterprise Repository with the Enterprise Support Services Platform (ESS), which is currently SAP.
- 1.3 Inland Revenue requires a single lead organisation with appropriate experience to provide the IKM Solution and the associated services. Proposals from consortia are acceptable, provided that there is one single, responsible lead. Within this ‘single lead’ structure, it is still important to Inland Revenue that we retain relationships with all members of any consortium and, in particular, with all providers of the underlying technology. This is principally to make sure that Inland Revenue’s future requirements align with the providers’ technology roadmaps.
- 1.4 The proposed IKM Solution could be:
- A combination of the lead organisation’s own and/or third party commercial-off-the-shelf technology, or its own or a third party ‘single-brand’ integrated platform.
  - Delivered under an as-a-service model or an on-premise model.
- 1.5 Inland Revenue is open to current All-of-Government Common Capability ECMaaS solutions being leveraged as part of a Participant’s proposal.

## 2. IKM Solution Summary

- 2.1 The scope of the entire IKM Solution is illustrated in *Figure 1: IKM Solution Scope* on Page 6. It is more fully described in **Part 3: Solution and Services Scope** and in **Appendix B6: IKM Specification**.

Figure 1: IKM Solution Scope



2.2 Please note:

- (a) Inland Revenue is seeking your input as experts in the provision of IKM solutions. **Throughout this RFP, if you have a different view from Inland Revenue or you think there is a better way to satisfy Inland Revenue's requirements, or you think we are missing any particular opportunity to innovate, please present your ideas in your Proposal.**
- (b) The IKM Solution is not just intended to satisfy compliance, regulatory and information management requirements. When constructing your Proposal, keep at the forefront of your thinking that the IKM Solution must:
  - Be simple, pragmatic, and easy to use.
  - Help our people have a better, more productive working day.
- (c) Inland Revenue requires the selected Solution Provider to be flexible, so that Inland Revenue can scale user numbers and licensing to match a four-stage rollout, in conjunction with the BT Programme plan.
- (d) Inland Revenue expects the Solution components to deliver Inland Revenue's Requirements predominantly out-of-the-box, with minimal customisation.
- (e) Integration must be configurable and must not constrain the future upgrade paths of any individual component products.
- (f) If your Solution can be provided under more than one delivery model, you are encouraged to include all models in your Proposal, and include associated pricing. You should, however, identify your preferred model and give supporting reasoning. In particular:
  - If you are proposing an as-a-service model, Inland Revenue's first preference is for content to be held in New Zealand. Inland Revenue has a rigorous offshore/cloud hosting policy, which requires us to be absolutely confident as to content classification and security of service, among other things.
  - If you are proposing an on-premise model, Inland Revenue is interested to understand how you would work with our principal IaaS provider, Revera Limited.
  - If you are proposing an as-a-service model, Inland Revenue needs to understand where the content will be stored.
- (g) Within the required 'single lead' structure, it is still important to Inland Revenue that we retain relationships with all members of any consortium and, in particular, with all providers of the underlying technology. This is principally to make sure that Inland Revenue's future requirements align with the providers' technology roadmaps.

- (h) Inland Revenue intends to contract with the successful Solution Provider under discrete Statements of Work – for example, the first Statement of Work will be for Onboarding and Design of the components required for Stage 1. The second will likely be for deployment of all components required to deliver the agreed design to, initially, a small target audience, etc.
- 2.3 This RFP is an open RFP process, released via the Government tender website [www.gets.govt.nz](http://www.gets.govt.nz) on **29 February 2016**.
- 2.4 On receipt of the Proposals, and in conjunction with the wider Procurement Process, Inland Revenue will evaluate and select one or more Participants to invite to the negotiation stage.
- 2.5 Upon the successful conclusion of the Procurement Process, including the negotiation phase, Inland Revenue intends to select a preferred Solution and a preferred provider (Solution Provider), on the understanding that any commitment to purchase is subject to Inland Revenue's approval process.
- 2.6 The contractual framework governing the purchase of services and deliverables relating to the Solution will comprise the Master Services Agreement and relevant Statements of Work and Software Usage Agreements (e.g. licences or subscription agreements).
- 2.7 Participants should read and understand **Part 5: RFP Rules** before proceeding further and have familiarised themselves with the Glossary in **Appendix B1**.

### **3. RFP Structure**

<b>Part</b>	<b>Section</b>	<b>Description</b>
<b>Part 1</b>	Introduction	Overview of procurement context and communication channels relating to this RFP.
<b>Part 2</b>	IR and the BT Programme	Background information.
<b>Part 3</b>	Solution and Services Scope	Scope of the IKM Solution required by Inland Revenue.
<b>Part 4</b>	Procurement Process	Information on the end-to-end Procurement Process.
<b>Part 5</b>	RFP Rules	The terms and conditions governing this RFP and the Procurement Process.
<b>App. A</b>	Requirements	A1. Business Requirements A2. Solution and Services Requirements <ul style="list-style-type: none"> <li>- Overarching Requirements</li> <li>- Solution Functional Capabilities</li> <li>- Solution Functional and Non-Functional Requirements</li> <li>- General Services Requirements</li> <li>- Design Services Requirements</li> <li>- Implementation Services Requirements</li> <li>- Support Requirements (covers Product Maintenance, Application Management Services and Training)</li> </ul> A3. Commercial and Legal Requirements A4. Pricing Requirements
<b>App. B</b>	Other Information	B1. Glossary B2. Test Exit and Business Readiness Criteria B3. Inland Revenue Fit/Gap Guidelines B4. Draft MSA B5. IR822 Tax-Check Form B6. Information and Knowledge Management Specification B7. IKM User Ecosystem
<b>App. C</b>	Response Templates	

## 4. Communication Channels

- 4.1 **Inland Revenue's Contact Officer.** All communication from Participants to Inland Revenue must be directed in writing to the Contact Officer, **Kath Speedy**, via email at [bttenders@ird.govt.nz](mailto:bttenders@ird.govt.nz). Inland Revenue reserves the right, in its sole discretion, not to consider any communication that does not conform to these instructions.
- 4.2 **Notification of Intent to Respond.** For the purposes of evaluation planning, if you intend to respond to this RFP, please email [bttenders@ird.govt.nz](mailto:bttenders@ird.govt.nz) by **5pm on Monday 14 March 2016**.
- 4.3 **Participants Requesting Clarification from Inland Revenue.** All requests for clarification in relation to this RFP or any other aspect of the Procurement Process must be directed to the Contact Officer in accordance with the instructions above. Both the request and Inland Revenue's response may be shared by Inland Revenue with all Participants unless Inland Revenue, in its sole discretion, decides otherwise. The closing date for all requests for clarification is **5pm on Wednesday 23 March 2016**.
- 4.4 **Inland Revenue Requesting Clarification from Participants.** Inland Revenue may make requests for clarification and/or additional information from Participants. Inland Revenue's requests will be directed to a Participant's nominated contact person. Inland Revenue expects Participants to provide a written response within two business days of the request. If this is not achievable, the Participant should advise the Contact Officer in writing of the expected date of response and the reason for the delay.

## 5. NZ Government Procurement

- 5.1 New Zealand Government procurement is based on principles set out in the New Zealand Government Rules of Sourcing and good practice guidance. Collectively, these provide a broad framework that supports accountability, sound practice and successful procurement outcomes. For more information about Government procurement, see [www.procurement.govt.nz](http://www.procurement.govt.nz).

## 6. Previous Engagements

- 6.1 Inland Revenue has received and continues to receive assistance from various third party service providers during the course of the Programme. Those service providers are not excluded from participating in this Procurement Process. Any service provider who chooses to participate cannot be involved in any way in the evaluation of Proposals.
- 6.2 If you are a member of the All-of-Government ECMaaS panel, you are welcome to re-use information previously provided to Inland Revenue or DIA. If you wish to re-use existing or past information, we would ask that you copy & paste it into

your Proposal so that we can evaluate it. Note, however, that Inland Revenue requires the Pricing Response Spreadsheet to be completed specifically for this RFP response.

# Part 2: IR and the BT Programme



## 7. About Inland Revenue

- 7.1 Inland Revenue's mission is to contribute to the economic and social wellbeing of New Zealand by collecting and distributing money. Our success in achieving this mission is reflected in two outcomes:
- a) Revenue is available to fund Government programmes through people meeting payment obligations of their own accord.
  - b) People receive payments they are entitled to, enabling them to participate in society.
- 7.2 Inland Revenue's vision is to be a world-class revenue organisation recognised for service and excellence.
- 7.3 Inland Revenue works with customers and other organisations to:
- a) Make compliance easy.
  - b) Give New Zealanders confidence that everyone pays and receives the right amount.
- 7.4 In a Government context, Inland Revenue contributes to the four priorities of the New Zealand Government's 'Better Public Services' programme to create a public sector that is more innovative, efficient and focused on delivering what New Zealanders want and expect.
- 7.5 Further information on the Government's 'Better Public Services' programme can be viewed online at <http://www.treasury.govt.nz/statesector/betterpublicservices>.

## 8. Inland Revenue at a Glance

- 8.1 Inland Revenue interacts with many different entities and individuals, and administers a variety of tax and social policy products. According to our latest annual statistics:

<b>Child Support</b>	<ul style="list-style-type: none"><li>• 174,000 liable parents</li></ul>
<b>Companies</b>	<ul style="list-style-type: none"><li>• Over 390,000 company returns</li></ul>
<b>Employers</b>	<ul style="list-style-type: none"><li>• About 196,000 employers file over 2 million Employer Monthly Schedules</li><li>• 60% of Employer Monthly Schedules received electronically</li></ul>
<b>GST</b>	<ul style="list-style-type: none"><li>• About 630,000 registered customers filing around 3 million GST returns</li><li>• 64% returns received electronically</li></ul>
<b>Inbound Calls Answered</b>	<ul style="list-style-type: none"><li>• 3.24 million</li></ul>
<b>KiwiSaver Membership</b>	<ul style="list-style-type: none"><li>• 2.5 million customers enrolled</li></ul>

<b>Paid Parental Leave</b>	<ul style="list-style-type: none"> <li>• 27,500 parent customers</li> </ul>
<b>Revenue</b>	<ul style="list-style-type: none"> <li>• \$59.7 billion collected</li> <li>• About 1.08 million individuals file annual tax returns</li> <li>• 88% individual returns received electronically</li> <li>• 82.5% individual payments received electronically</li> </ul>
<b>Student Loans</b>	<ul style="list-style-type: none"> <li>• 728,000 Student Loan borrowers</li> </ul>
<b>Working for Families Tax Credits</b>	<ul style="list-style-type: none"> <li>• \$2.4 billion distributed in entitlements</li> </ul>

8.2 In addition to tax and income-related social policy products, Inland Revenue administers a range of other products including:

- **Unclaimed Monies.**
- **Reserve Schemes.**
- **Duties.**

8.3 **Application and Technology Environment.** Inland Revenue operates a mixed information technology model, combining internally-owned and supported services along with managed and leased services from third-party providers. A summary of key applications and technology infrastructure is set out below:

- FIRST – the heritage mainframe processing environment based on Unisys COBOL 74/ALGOL/LINC and Unisys DMSII, with Oracle Fusion Middleware.
- Heritage – the remaining heritage systems outside of FIRST such as Oracle Fusion Middleware, Siebel, MAASI, SUSI, Portal, etc.
- START – the new processing platform from FAST Enterprises to replace FIRST, which is currently being implemented as part of Business Transformation. START is Inland Revenue’s implementation of FAST Enterprises’ GenTax solution. It is architected on Microsoft’s SQL Server platform using .NET architecture.
- Note that as a result of Business Transformation, Inland Revenue will have a more simplified technology landscape. Integration between the small number of core applications is anticipated to be performed using point-to-point integration, i.e. assume that there is no dedicated enterprise integration platform or ESB.
- Content management for customer records – currently IBM (Document Manager, Workflow and Xpress Client), with the intention of migrating customers records into START.
- Electronic Document Storage and Retrieval (EDSR) – an IBM OnDemand solution that holds customer correspondence, inbound and outbound. It contains approximately 300 million pieces of correspondence. By exception,

inactive records from this repository may need to be ingested, stored and managed in the IKM Solution.

- Intranet – Perl and Drupal, with open source search capability.
- Approximately 380 physical servers and over 1,600 virtual servers.
- Oracle/Linux environment (Server OS, RDBMS, Data Warehouse, Middleware and Integration).
- Over 7,000 thin clients and a smaller number of thick clients provided through a managed service, used by staff for access to Inland Revenue's systems.
- Lotus Notes knowledge-base containing a mix of FIRST technical and business guidance.
- Corporate back-end environment – SAP ERP ECC 6, PSCD, Finance, HR, Portal, Business Warehouse (Enterprise Support Services Platform or ESS).
- Case management - Oracle/Siebel (Public Sector Suite), with the intention that case management functionality will ultimately be provided through START. Note that there will be a need for the Core ECM component of the IKM Solution to integrate with START – i.e. to allow links to be provided to enterprise content associated with cases.
- API – delivered using Mulesoft as-a-service, for IR interfaces with accounting and payroll system providers. B2B provided by Oracle Fusion Middleware.
- Government Infrastructure-as-a-Service, with Revera as principal provider.
- Government Telecommunications-as-a-Service, with Vodafone as principal provider.
- Inland Revenue's Identity and Access Management solution is currently a combination of both commercial and in-house developed solutions. This includes products from RSA and Oracle, with a combination of bespoke solutions. In parallel, Inland Revenue are looking at updating this landscape and consolidating on a solution based on the Oracle Identity & Access Management toolset, e.g. Oracle Identity Manager and Oracle Access Manager.

## **9. Key Metrics**

- 9.1 The table below outlines out the IR-specific information that we believe will assist Participants in sizing their proposed Solutions, including the extent of the associated services. Participants are encouraged to submit questions through the process set out in Paragraph 4.3 if they need more information.

<b>Shared Drive</b>	<p>All IR-related work not held in line-of-business systems is held in the shared drive.</p> <p>This has recently been structured into an enterprise folder structure based around business units.</p> <p>A Standard Team Administration &amp; Management Pattern has been</p>	Approx. 11 TB
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	adopted for administration and management documentation. Staff also have access to a personal drive for documents of personal professional value.		
<b>File Types and Numbers</b>	MS Office – Word, Excel, Project, PowerPoint, etc, and increasingly various formats of image and video files.	Approx. 25m	
<b>Folders</b>	Enterprise Folder Structure	Approx. 3m	
<b>Employee Numbers</b>	There will be a significant percentage of staff that will only require limited functionality from Core ECM – e.g. email management. Actual figures are still to be determined.	Approx. 6,000 employees	
<b>Target Audience #1</b>	Office of The Chief Tax Counsel and relevant project and support users	<ul style="list-style-type: none"><li>• Approx. 100 users</li><li>• Size: 220GB (approx.)</li><li>• Files: 410,000 (approx.)</li><li>• Folders: 39,000 folders (approx.)</li></ul>	
<b>Target Audience #2 (includes Users of START Case Management Functionality)</b>	Rest of Tax Technical Community (including Litigation Management, Investigations & Advice, Policy & Strategy, Collections)	• Approx. 1,300 users	
		Policy & Strategy	<ul style="list-style-type: none"><li>• Size: 270GB (approx.)</li><li>• Files: 590,000 (approx.)</li><li>• Folders: 54,000 (approx.)</li></ul>
		Investigations & Advice	<ul style="list-style-type: none"><li>• Size: 2TB (approx.)</li><li>• Files: 1.95m (approx.)</li><li>• Folders: 250,000 (approx.)</li></ul>
		Litigation Management	<ul style="list-style-type: none"><li>• Size: 205GB (approx.)</li><li>• Files: 345,000 (approx.)</li><li>• Folders: 28,000 (approx.)</li></ul>

## 10. Transformation Background

- 10.1 The BT Programme was established in 2013. It is a business-led, technology-enabled change programme to implement the infrastructure and capability that will enable Inland Revenue to deliver a modern tax and social policy system as represented by '[IR for the future](#)'.
- 10.2 FAST Enterprises has been selected to provide software, design and implementation services for delivering New Zealand's new revenue system. The new system (START) will run the core tax and social policy administration including security, data management, customer relationship management and transactions. For a period of time during transition, it will operate alongside the existing tax processing system, FIRST, and will progressively replace FIRST.

## 11. Business Transformation Programme Investment Objectives

- 11.1 Through the BT Programme, Inland Revenue aims to achieve the following Investment Objectives:
- a) Improving agility so that policy changes can be made in a timely and cost-effective manner.
  - b) Delivering more effective services to improve customer compliance and help support the outcomes of social policies.
  - c) Improving productivity and reducing the cost of providing our services.
  - d) Improving the customer experience by making it easier and simpler for our taxation and social policy customers.
  - e) Increasing the secure sharing of intelligence and information across government to improve delivery of services to New Zealanders and improve public sector performance.
  - f) Minimising the risk of protracted system outages and intermittent systems failure.
- 11.2 These objectives are aligned to the Government's Better Public Services Programme. The BT Programme will particularly support the achievement of the Better Public Services Result Areas 7, 9 and 10.

## 12. Business Transformation Stages

- 12.1 The BT Programme will be delivered in four customer-focused stages over a period of approximately 6-8 years, as summarised below:
- **Stage 1.** Enabling secure digital services to allow the majority of customers to self-manage and to reduce businesses' compliance burden in fulfilling their obligations.

- **Stage 2.** Streamlining income and business tax processes to leverage the foundations delivered in the previous stage and further reduce businesses' compliance burden to fulfil their tax obligations.
- **Stage 3.** Streamlining social policy delivery will improve the delivery of the social policies that Inland Revenue administers.
- **Stage 4.** Completing the delivery of the future revenue system will include transitioning any remaining tax and social policy functions to a new platform and decommission technical platforms that are no longer required.

# Part 3: Solution and Services Scope

## 13. Current State

- 13.1 A key goal of the BT Programme is the establishment of a mature, enterprise-grade IKM capability. Improvements in IKM capability will ensure that the right information is available to the right people at the right time.
- 13.2 Inland Revenue currently manages its unstructured and semi-structured content using shared drives and associated applications. This approach to content management has created a highly-siloed environment, based on business units and functions, and has resulted in a number of challenges:
- a) Information is spread throughout the organisation and can be hard to access quickly.
  - b) It is difficult to capture, retain and share tacit knowledge.
  - c) It is difficult to achieve a predictable, complete view of information.
  - d) Information is duplicated across fragmented siloes.
  - e) It is difficult to identify the extent of available information and its currency.
  - f) Inland Revenue does not have all the tools needed to efficiently embed its security standards, categorisations, metadata and governance into its information.
  - g) Collaboration both within Inland Revenue and with other agencies is not as efficient as we would like.
  - h) People do not have the tools to manage the information lifecycle, and information has no clear owner.
  - i) Current systems and processes are complex and pose data governance challenges.

## 14. Future State

- 14.1 To help achieve our desired future state, Inland Revenue requires an IKM Solution that will:
- a) Allow business areas, owners and users to manage Inland Revenue's knowledge and content in a highly-usable, secure, centralised and enterprise-wide environment, so that:
    - The number of information and knowledge silos is significantly reduced.
    - There is a dramatic reduction in duplication of effort.
    - Each information asset managed through the IKM Solution is consistent within a given business context and time period, has a defined lineage and quality, and is held only once.
    - An enterprise-wide metadata schema, thesaurus, taxonomy and ontology will be established and maintained.

- Staff are able to find relevant information quickly.
  - b) Integrate with all transactional systems, including our core Enterprise Support Services Platform (currently SAP) and START.
  - c) Enable data and document archiving, imaging, document management, collaboration, records management.
  - d) Ensure that all unstructured and semi-structured content will be captured, managed, stored, preserved and delivered to the right user, at the right time and in the right place.
  - e) Reduce resource consumption through, for example, automated archiving, de-duplication and regular managed disposal (destruction or transfer).
  - f) Provide the necessary tools to implement and ensure compliance with Inland Revenue's information governance policies (derived from standards and guidance published by Archives New Zealand) and also relevant legislative obligations under acts such as the Public Records Act 2005, Official Information Act 1982, Privacy Act 1993, Tax Administration Act 1994 and the Electronic Transactions Act 2002.
- 14.2 While this RFP lays out a vision for the future state of an IKM Solution, Inland Revenue is seeking suggestions from Participants on how this vision might be realised. The following technology constraints are anticipated for the future state vision:
- a) Content associated with active cases will be captured by Inland Revenue staff in START (the new transactional system). Certain case content will be stored in the Enterprise Repository, while a link (or equivalent) will be provided to the case record provided in START. When a case is completed, START will submit certain case content (including associated metadata) to the IKM Solution, where it will be ingested into the Enterprise Repository. The interface and process for content push will be determined in conjunction with the START implementation project.
  - b) It is expected that the desktop environment for Inland Revenue staff will continue to be predominantly virtualised. At present, staff are provided with Windows 7 virtualised desktops, but Inland Revenue anticipates that 500 users will be operating in a virtualised Windows 10 trial by mid-2017, with the remainder transitioned during 2018. These timeframes are subject to confirmation.
  - c) Alongside the Windows-based desktop infrastructure, it is expected that Inland Revenue staff will also make use of mobile devices, including notebooks, tablets and smartphones. It is anticipated that there will be greater variety of the operating environment for these devices, including Windows, IOS and Android.

- d) The current virtualised desktop environment makes use of Microsoft Office 2010. It is anticipated that Inland Revenue's virtualised desktops will be migrated to the latest version of Microsoft Office (Office 2016) starting in mid-2017, with a completion in 2018. Concurrently, it is possible that existing on-premise Microsoft Exchange environments will be replaced and upgraded to the latest version. An option under consideration is to deploy both Office and Email solutions through Office 365. This direction should be considered throughout your response. These technology directions and timeframes are subject to confirmation.

## 15. IKM Solution Overview

- 15.1 Inland Revenue's view of the IKM Solution scope is set out in *Figure 1: IKM Solution Scope* on Page 6. Additionally, an IKM Specification has been provided in **Appendix B6**. This has been provided principally to give Participants information about our current state environment and a view of the outcomes we would like to achieve.

- 15.2 **Core ECM.** Core ECM components are briefly described in Section 3 of the IKM Specification (**Appendix B6**). Core ECM will provide:

- a) Access to content stored in the IKM Solution. Access will be secured through IR's Identity and Access Management Systems.
- b) Full-featured search within the IKM Solution, respecting user authorisations.
- c) Integration between the IKM Solution and Inland Revenue systems. Integration standards will differ between applications, including:
  - START – RESTful and SOAP-based web services. START is a .NET application that makes use of SQL Server database engines. The interface and process for content push will be determined in conjunction with the START implementation project.
  - SAP – connectors to SAP-defined APIs.
  - Intranet – integration with Inland Revenue's existing intranet sites will be required during the early stages of the project. The intranet is built upon a combination of Drupal 6 and 7.
- d) Content and Records Management, including the abilities to:
  - Manage the lifecycle of content as records from capture to disposal, in a manner compliant with the Public Records Act and standards issued by the Chief Archivist.
  - Capture content into the Enterprise Repository, using existing desktop tools.
  - Classify content, including auto-classification using the Semantic Platform.
  - Manage versions.
  - Support ingestion of email content (including, where appropriate, attachments) from Microsoft Exchange server and Outlook clients. While

Inland Revenue expects that the ingestion will be user-initiated, we are interested in other options available for email ingestion. The email ingestion process (whether user or system-initiated) will provide automated classification of ingested content.

- e) Semantic Domain Management. The Semantic Domain, through the use of an ontology and auto-classification, will provide a business representation of the data in the Enterprise Repository to support improved information discovery and quality of search results, and could drive lifecycle management.

15.3 **Broader IKM.** In our current view, Broader IKM includes:

- a) Enterprise-Wide Search, including the ability to search for content stored in multiple repositories outside of the Enterprise Repository, while taking into account the security and access requirements of those systems.
- b) Knowledge-centric collaboration and content creation.
- c) Portal or other presentation mechanism that gives internal audiences a simple view of information relevant to their work.
- d) Intranet platform, Intranet platform integration and management, ESS integration to the Enterprise Repository.
- e) Content Management for internal audiences (Intranet), including content authoring, workflow and publishing.
- f) Extended integration with enterprise applications e.g. START and ESS core applications.
- g) Integration with Customer Experience Applications. While the Solution does not need to include WCM for our external (customer-facing) Internet sites, it is expected that the IKM Solution will support publishing content from the Enterprise Repository to these sites.
- h) Mobility – i.e. access to the Enterprise Repository via a range of technologies and devices.

## 16. Deployment Approach

16.1 Inland Revenue intends to build both the user population and user capabilities over time. For example: Core ECM may be delivered to a limited group of users (Target Audience) in one 'wave', and we would return later to expand the user group and/or overlay additional functionality in later waves.

16.2 The IKM Solution will be implemented alongside the four-stage delivery of tax and social policy transformation:

- a) **Stage 1:** Implementation of Core ECM to the Tax Technical Community and integration with START Case Management. Core ECM comprises:
  - Enterprise Repository – i.e. a single enterprise database for all semi-structured and unstructured content.

- Document Management – i.e. the process of managing and tracking all electronic documents and electronic images across Inland Revenue.
  - Records Management – i.e. the management of records for Inland Revenue throughout the record's life-cycle.
  - Enterprise Repository Search – i.e. the ability for Inland Revenue users to search for content across the Enterprise Repository based on a defined set of criteria.
  - Semantic Domain – i.e. management of ontology and auto-classification.
- b) **Stages 2 – 4:** Deployment of Core ECM to the rest of Inland Revenue, together with progressive deployment of Broader IKM. Broader IKM comprises:
- Enterprise-Wide Search – i.e. the ability for authorised staff to search for content from multiple sources across the enterprise, such as databases and intranets and including other application databases. This must be achieved while always maintaining the access restrictions of the source systems.
  - Collaboration – i.e. will provide a collaboration platform for sharing content between staff and authorised external parties through workspaces and discussion groups/forums.
  - Intranet platform integration and management – i.e. all content authored, sourced and shared through the intranet platform will be stored and managed in the Enterprise Repository.
  - External web channel integration and management – i.e. the availability of content sourced from the Enterprise Repository and made available to Inland Revenue's unauthenticated web channels – e.g. Inland Revenue's website and social media channels.
  - Mobility – i.e. access to the Enterprise Repository via a range of technologies and devices.
  - Email Management – i.e. the ingestion and auto-classification of business related emails (including attachments as required), within the Enterprise Repository.
  - Archiving – i.e. an archive store (near line or off line) and appropriate management to ensure integrity of the content, security, retention and disposal.
  - Integration of the Enterprise Repository with the Enterprise Support Services Platform (ESS), which is currently SAP).
- c) The exact timing and scope for Stages 2 – 4 have yet to be decided. Inland Revenue expects to work with the Solution Provider to agree an appropriate approach.

16.3 There are two Target Audiences for Core ECM during Stage 1 (see Paragraph 9 for approximate user numbers):

- a) **Target Audience #1.** The foundation user group, which comprises:
- The Office of the Chief Tax Counsel (OCTC), which sits within Inland Revenue's Tax Technical Community. This group provides advice to internal and external customers about the interpretation and application of taxation law. Also included in this audience will be the IKM project team.
  - Note: In preparation for the deployment of Core ECM to Target Audience #1, Inland Revenue has already conducted a content review. This has identified the processes by which information is created, shared, maintained, stored, and destroyed within the target community.
- b) **Target Audience # 2** – i.e. the rest of the Tax Technical Community. This audience includes those users of case management in START that will require content to be managed in the IKM Solution. The Tax Technical Community comprises:
- Investigations and Advice. This group focuses on developing and implementing Inland Revenue's technical and operational policies, as well as undertaking investigations and audit activity, and providing technical advice and tailored services to customers. The group has many staff based in the main centres, but is also dispersed through offices across the country. They frequently work in virtual teams where the team members are working on the same cases but from different offices.
  - Litigation Management Unit. This unit's primary role is to manage Inland Revenue's litigation effort. This includes actively managing complex litigation and appeals and working with internal business partners as well as the Crown Law Office.
  - Policy and Strategy. The Policy unit is responsible for providing policy advice to the Government on tax and social policy issues and developing and implementing legislation. The Strategy unit leads the development and implementation of Inland Revenue's strategy. Both groups work closely with both internal and external stakeholders.

16.4 We are looking to the successful Solution Provider to assist with planning the sequencing of deployment for Target Audience #1 and beyond, based on the Solution Provider's experience and knowledge. To prepare for deployment, the Solution Provider is expected to work with Inland Revenue to confirm the specific user groups, document their content management needs and establish protocols for maintaining information integrity where usage is distributed across the new and the heritage environments.

16.5 Electronic document types and images to be stored in the Enterprise Repository include (but are not limited to) content created using:

- Microsoft Office Productivity (Word, Excel, PowerPoint, Project and Visio).
- Email (including Microsoft Exchange).
- Portable Document Formats (PDF, XPS).
- Text Files (TXT, HTML, XML, RTF).
- Images (PNG, BMP, JPG, GIF, TIFF).
- Video content (MPEG-1, MPEG-2, MPEG-4, WMV, GIF, FLV).
- Audio content (MP3, WAV, FLAC).
- Adobe (PS, AI).
- Compressed Archives (ZIP).

16.6 **START Case Management.** In addition to providing Core ECM to the two Target Audiences during Stage 1, the IKM Solution must include an integration point to receive content and metadata from START. The IKM Solution will be implemented in alignment with the implementation of Case Management in START, through the Business Transformation Programme Stage 1. The selected Solution Provider must support the START Case Management implementation project with regard to this integration point, including delivering integration specifications, establishing a development environment, and providing suitable testing support.

## 17. Timelines and Key Dates

17.1 The overall Programme Release Plan is set out in *Figure 2: BT Programme Release Plan*. The current view of IKM Solution Deployment aligned to the staged Programme releases is set out in *Figure 3: Inland Revenue Current View of IKM Solution Deployment* on Page 29.

17.2 The following are the key dates driving the proposed plan for IKM Stage 1. Each participant is required to provide their own project plan based on their ability to meet these key dates.

Activity	Start	Completion
Solution Provider Onboarding	27-Jun-16	08-Jul-16
Design - Stage 1: <ul style="list-style-type: none"> <li>• Core ECM for OCTC &amp; Tax Technical community (Target Audiences 1 &amp; 2)</li> <li>• Integration with START to support Case Management</li> </ul>	27-Jun-16	26 Aug -16
Development Environment Build	01-Jul-16	29-Jul-16
Build, (including Unit & System test) – Stage 1	29-Aug-16	30-Sep-16
Integration Test – START Case Management	03-Oct-16	10-Oct-16
User Acceptance Testing – Stage 1:		
<ul style="list-style-type: none"> <li>• Core ECM for OCTC &amp; Tax Technical community(Target Audiences 1 &amp; 2)</li> </ul>		TBD
<ul style="list-style-type: none"> <li>• Case Management – START Integration</li> </ul>		TBD

Go-Live:		
• OCTC – Pilot (Target Audience 1)		28-Oct-16*
• Remainder of Tax Technical Target Audience 2)		TBD**
• Case Management – START Integration		TBD**

\* The go-live date for the Pilot deployment to OCTC (Target Audience #1) is indicative and will be confirmed with the successful provider.

\*\* Subsequent deployments to the broader Tax Technical community (Target Audience #2) including the Case Management integration with START will be planned with the successful provider, taking in to account the change impact of the broader BT Stage 1 deployment schedule. It is anticipated functionality will be **progressively** rolled out to the impacted user groups over time, i.e. not a 'big bang' cutover.

- 17.3 Inland Revenue expects the successful Solution Provider to provide advice and guidance about the optimal deployment approach.

*Figure 2: BT Programme Release Plan*

The Programme will be delivered over four stages incorporating progressive release of capabilities over a 7 year period. It is noted that key dates are indicative based on our high-level design findings, and will be re-affirmed once the design phase has been completed.

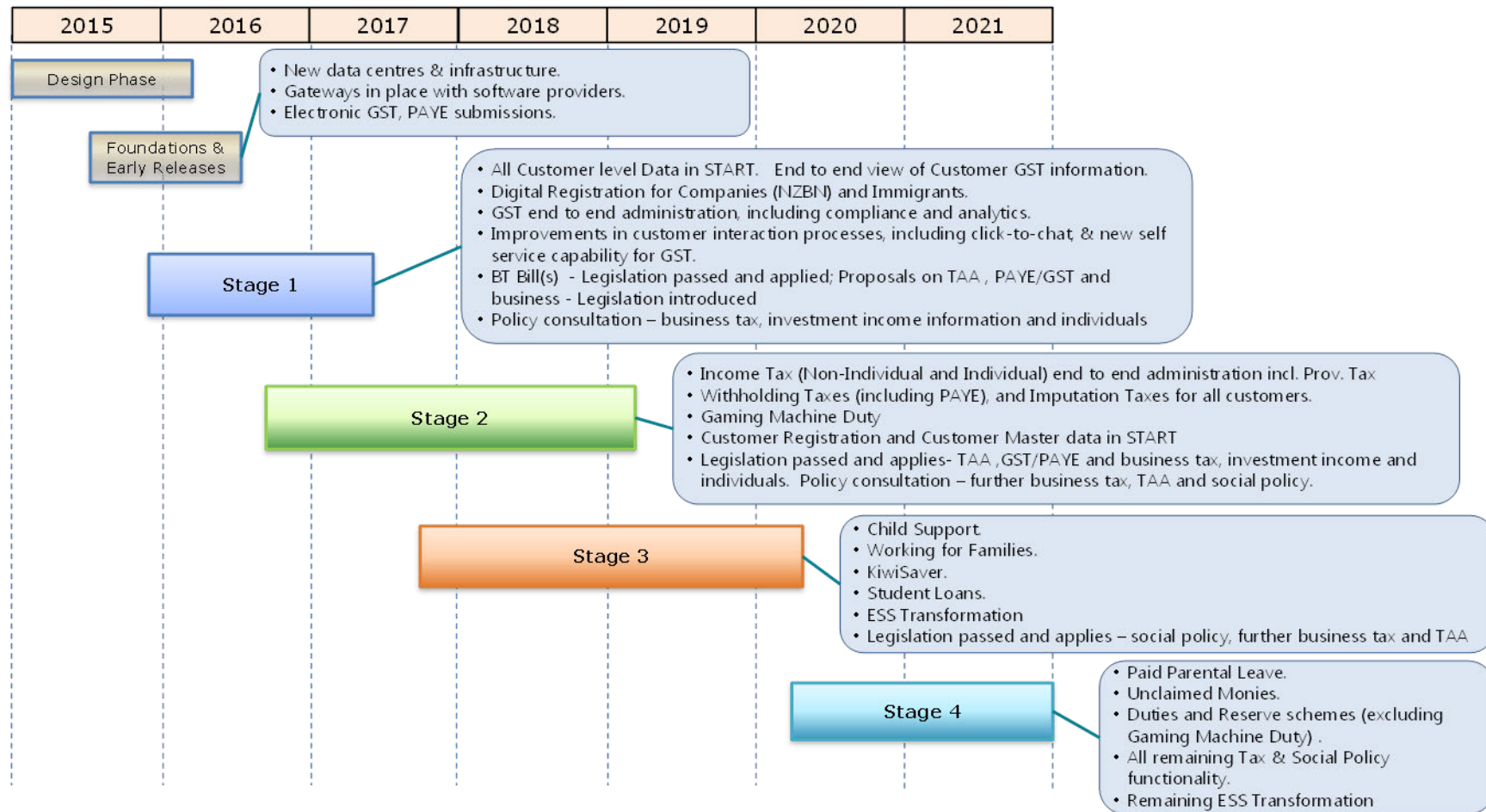
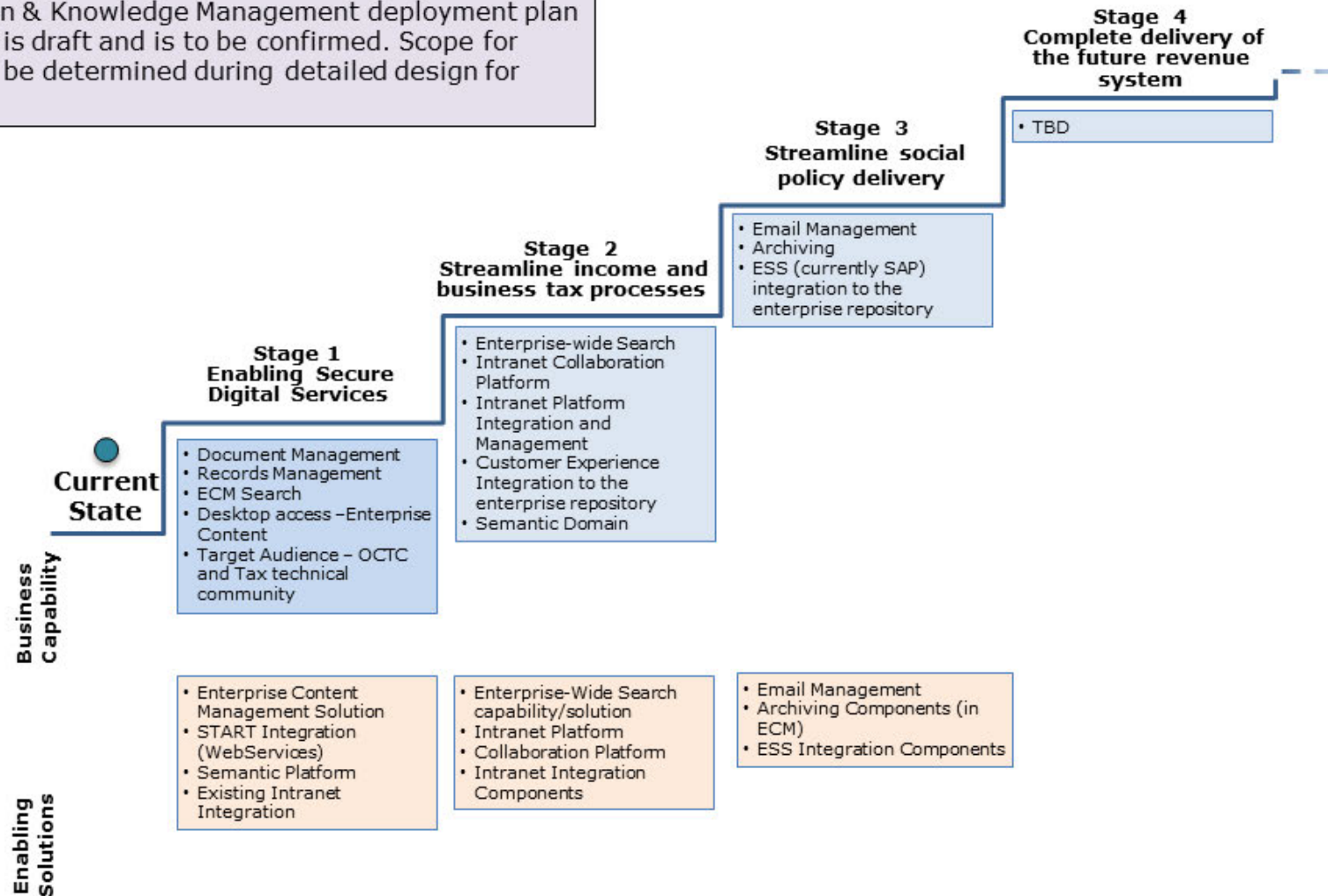


Figure 3: Inland Revenue Current View of IKM Solution Deployment

The Information & Knowledge Management deployment plan detailed below is draft and is to be confirmed. Scope for stages 2-4 will be determined during detailed design for each stage.



## 18. Solution and Services Requirements

- 18.1 The selected Solution Provider will be expected to:
- a) Provide all products and services required to deliver the IKM Solution.
  - b) Warrant that the IKM Solution will satisfy Inland Revenue's requirements set out in this RFP.
- 18.2 **Solution.** The selected Solution Provider must provide all software necessary for the provision of an IKM Solution that will satisfy the requirements set out in this RFP.
- 18.3 **Design.** The Solution Provider must provide all services necessary for completing the detailed design of an IKM Solution that will operate in satisfaction of the Solution Requirements. Design Services Requirements are detailed in **Appendix A2**, and include the following broad areas:
- a) Reviewing and updating the technology-agnostic IKM Specification to ensure relevance and completeness based on the proposed IKM Solution.
  - b) A detailed design based on the specific IKM Solution components to be implemented confirming that the design will deliver to the Inland Revenue Requirements.
  - c) Solution architecture services associated with design, including assistance with problem solving in relation to key design decisions.
  - d) Completion of a Fit/Gap Analysis of the proposed IKM Solution, detailing the level of Configuration, Customisation and Enhancement that may be required.
  - e) Create and design a content migration plan for all content in scope.
  - f) Associated project management services for all components that are the responsibility of the Solution Provider.
  - g) All associated documentation management services.
  - h) Any progress and programme reporting as required by Inland Revenue from time to time.
- 18.4 **Implementation.** The selected Solution Provider must provide services necessary for the successful implementation of the IKM Solution. The scope of Implementation Services for the IKM Solution will include:
- a) Implementation management, based on a suitable implementation methodology (including quality and stage gate management).
  - b) Development of a detailed implementation plan specifically for Stage 1 deliverables, to include detailed resource estimates.
  - c) Development of a detailed test strategy and plan to ensure the Solution functions as required.

- d) Development and execution of a coexistence plan – i.e. to ensure that the IKM Solution can be implemented in a coordinated manner and with minimal disruption, despite other parts of Inland Revenue working in a heritage IKM environment.
- e) Functional design of all required customisations.
- f) Configuration management and development.
- g) Customisation and Enhancement management and development.
- h) Implementation of all integration between the IKM Solution and Inland Revenue's specified transactional systems, including START and the Enterprise Support Services Platform (SAP).
- i) Implementing the agreed approach to content migration.
- j) If relevant, infrastructure, build and test environment management.
- k) Testing management and execution, covering all test aspects, such as Unit, System, Integration, User Acceptance, Performance, Security, etc.
- l) Delivery of a detailed Training Plan.
- m) Providing and refreshing Inland Revenue training environments.
- n) Providing and keeping current content for training, user procedures and online help.
- o) Early Life Support (refer to **Appendix A2**).

18.5 **Product Maintenance Services.** The Requirements for Product Maintenance Services are set out in **Appendix A2**. They cover the following broad areas:

- a) All services required to provide product support for the IKM Solution including second level (diagnostics) and third level (defect resolution).
- b) Access to product upgrades, enhancement packs, and maintenance releases based on a published product development roadmap.

18.6 **Application Management Services.** Application Management Services for the configured and implemented IKM Solution is an optional component that Inland Revenue would like to consider sourcing from the successful Solution Provider.

18.7 The Requirements for Application Management Services are set out in **Appendix A2**. They include all services required to deliver the full suite of support services for the day-to-day management and support of the delivered IKM Solution. This covers Level 1, Level 2, and Level 3 support.

18.8 **Other Services.** In addition to the services already referenced in this **Part 3**, the following services will also form part of the scope of services to be provided by the Solution Provider over the term of any contract, or for any other term as agreed:

- a) Provision of advice and ad hoc assistance.
- b) The sharing of information relating to business processes contained within the IKM Solution and its integration capability.
- c) Collaboration with Inland Revenue, its Programme partners and any other service provider engaged by Inland Revenue.

18.9 **Co-existence.** The selected Solution Provider will be expected to ensure that the IKM Solution will be implemented in a coordinated manner and with minimal disruption, despite other parts of Inland Revenue working in a heritage IKM environment.

18.10 **Release Management and Deployment.** Inland Revenue intends to adopt an enterprise release management approach to deploying all new and enhanced capability. This will be based on a decision-making framework that considers all potential constraints, including business and technology considerations. The framework, which includes governance, will be adopted to ensure changes are appropriately grouped and are sequenced in the most effective and efficient manner while maintaining the integrity of the tax and social policy environment.

18.11 **Methodology.** Inland Revenue uses the Business Transformation Methodology (BTM). The BTM supports both agile and waterfall approaches and is aligned with other comparable Programme delivery methods.

18.12 *Figure 4: Services and Deliverables Description* on Page 33 sets out Inland Revenue's view of the activities each party is responsible for during the course of the engagement. Note:

- SP = Solution Provider
- LM = Lead & Manage
- MC = Materially Contribute

Figure 4: Services and Deliverables Description

Key Activity	Description	SP	IR
<b>Design: Onboarding</b>	The Solution Provider will participate in an induction and familiarisation period, which includes reading and understanding all technology agnostic design artefacts and decisions reached to date.	MC	LM
<b>Design: Discovery</b>	Understanding and gathering information about the current and desired future state of IKM within Inland Revenue, and researching the initial Target Audiences – e.g.: <ul style="list-style-type: none"> <li>Processes</li> <li>Content</li> <li>Relationships</li> <li>Personas</li> <li>Requirements</li> <li>Stakeholders</li> </ul>	LM	MC
<b>Design: Detailed Design</b>	<p>Note: Elements of the design will have greater priority than others in terms of satisfying timelines. Confirming the physical design and initiating the build of development environments is likely to be one of the higher priority tasks.</p> <p><b>Solution Specific Detailed Design.</b> Inland Revenue has completed a solution-agnostic specification document. The Solution Provider will be required to complete a Solution-specific Detailed Design to reflect the proposed IKM Solution, and the Detailed Design will address the following design elements for all recommended environments:</p> <ul style="list-style-type: none"> <li>Physical</li> <li>Network</li> <li>Security</li> <li>Metadata</li> <li>Information Structural</li> <li>Integration</li> </ul> <p><b>IKM Roadmap.</b> The Solution Provider will be required to deliver a high-level roadmap, prepared in close consultation with Inland Revenue, for the implementation of both Core ECM and Broader IKM.</p> <p><b>Migration Strategy and Planning.</b> Inland Revenue requires the Solution Provider to develop an end-to-end Content Migration Strategy and Plan.</p> <p><b>Fit/Gap Analysis.</b> Inland Revenue requires the Solution Provider to complete a Fit/Gap Analysis of the proposed IKM Solution, detailing the level of Configuration, Customisation and Enhancement that may be required for each stage.</p>	LM	MC
<b>Design: Set Up Development Environment</b>	<b>Development Environment.</b> The Solution Provider will be required to build and support a development environment for the IKM Solution. This environment is expected to accommodate development requirements for the Target Audiences, and also the requirements relating to the START Case Management capability (e.g. audit, legal case).	LM	MC

Key Activity	Description	SP	IR
<b>Implementation</b>	<b>Implementation Management and Execution.</b> Required for all deployments of the IKM Solution based on a suitable implementation methodology and aligning to the BTM, including quality and stage gate management.	LM	
	<b>Implementation Plans.</b> The Solution Provider will be required to create detailed implementation plans for all components that are part of Stage 1. This includes Case Management integration with START and the migration strategy and plan, to support the IKM Roadmap, covering all Quality and Stage Gates. The Solution Provider is expected to confirm the specific user groups, document their content management needs and establish protocols for maintaining information integrity where usage is distributed across the new and the heritage environments.	LM	MC
	<b>Content Plans.</b> The Solution Provider will be required to create content plans for the first two Target Audiences, aligned to the IKM Roadmap and the Implementation Plans.	LM	MC
	<b>Content Migration.</b> The Solution Provider will be responsible for content migration.	LM	MC
	<b>Stage 1 Build.</b> All activities required to build and unit test the Solution required for stage 1. This includes the required functionality that will be deployed to OCTC (Target Audience 1), and the broader Tax Technical Community across IR (Target Audience 2). This includes integration with START to support the Case Management functionality required.	LM	MC
	<b>Test Strategy &amp; Plan.</b> Detailed strategy and associated plan that covers all testing to be carried out on the IKM Solution prior to Go-Live. At a minimum this is expected to cover the approach to Unit Test, System Test, Integration Test, Performance Test, and Security testing. This includes specifics around entry and exit criteria for each test phase, as well as any innovative approaches to testing, e.g. continuous testing.	LM	MC
	<b>Stage 1 Deployment.</b> All activities to deploy the fully built and tested Solution to the entire audience for Stage 1. This is expected to be a progressive staged deployment starting with the OCTC area (Target Audience 1).	LM	MC
	<b>Stage 1 Training Plan.</b> Details the approach to training the impacted users for Stage 1 on the new IKM Solution.	LM	MC
	<b>Coexistence Plan.</b> Detailed plan to ensure that the IKM Solution can be implemented in a coordinated manner and with minimal disruption, despite other parts of Inland Revenue working in a heritage IKM environment.	LM	MC
	<b>Functional Design.</b> Development and execution of a functional design – i.e. associated with any required customisations.	LM	
	<b>Configuration management and development.</b>	LM	
	<b>Customisation and enhancement management and development.</b>	LM	
	<b>Integration.</b> All integration required between the Solution and specified transactional or collaboration systems.	LM	MC

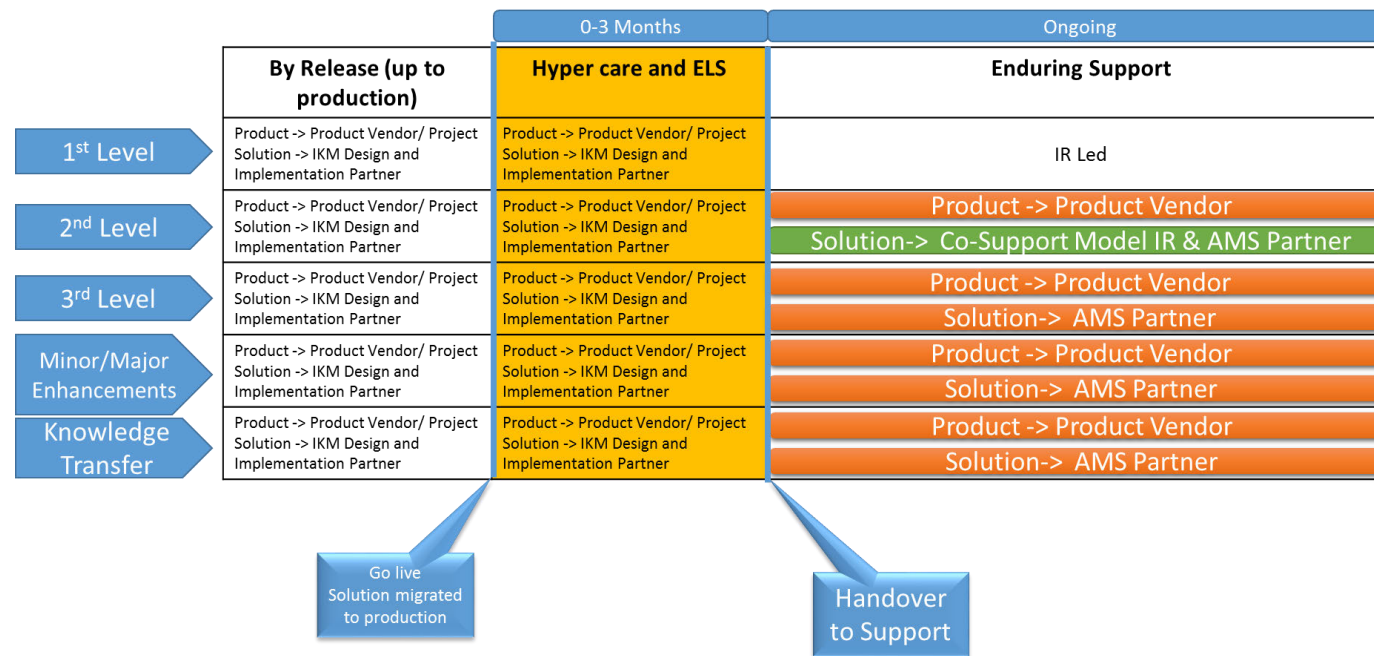
Key Activity	Description	SP	IR
<b>Testing</b> (refer App. B2 for detail)	<ul style="list-style-type: none"> <li>• Providing test environments.</li> <li>• Test planning and execution across Unit, System, Integration, Regression, Performance and Security (access controls for the IKM Solution and associated content repositories).</li> <li>• Test Phase Exit Criteria</li> <li>• Support for User Acceptance Testing.</li> <li>• Defect Management.</li> <li>• Test Exit Reports</li> <li>• Handover to Support – Testing.</li> </ul>	LM	MC
<b>Testing: Security</b>	Penetration testing and vulnerability assessment	MC	LM
<b>Testing: UAT</b>	<ul style="list-style-type: none"> <li>• Test planning and execution across Business, Functional and Non-Functional Requirements.</li> <li>• Test Phase Exit Criteria.</li> </ul>	MC	LM
<b>Training</b>	<ul style="list-style-type: none"> <li>• Providing and refreshing IKM Solution training environments.</li> <li>• Providing and keeping current content for training, user procedures and online help, all linked to current business processes.</li> </ul>	LM	MC
<b>Early Life Support</b>	<ul style="list-style-type: none"> <li>• A period of support after go-live of every deployment, including a minimum four-week period of intensive support (Hypercare).</li> <li>• Incident Management.</li> </ul>	LM	
<b>Application Management Services</b>	<p>Inland Revenue has yet to determine its preferred application management model for the IKM Solution, but asks Participants to include their recommendations for Application Management Services (AMS) in their Proposals. AMS includes all services required to deliver the full suite of support services for the day-to-day management and support of the delivered IKM solution, covering Level 1, Level 2, and Level 3 support. A proposed support model is set out in <i>Figure 5: Proposed IKM Support Model</i> overleaf.</p> <p>The table in <i>Figure 6: Proposed Incident Service Levels</i> on Page 38 sets out the Service Levels to be met by the Solution Provider in responding to and resolving different types of incidents. Note that, under the current Inland Revenue model, initial calls are received and logged by the Inland Revenue service desk. Again, however, Inland Revenue is open to your comments and recommendations.</p>		
<b>Other</b>	<ul style="list-style-type: none"> <li>• All associated project management services.</li> <li>• Any progress and programme reporting as required by Inland Revenue from time to time.</li> <li>• Solution architecture services associated with Design, including assistance with problem solving in relation to key design decisions.</li> <li>• Functional consulting where required.</li> <li>• Sharing of information relating to business processes contained within the IKM solution and its integration with other Inland Revenue systems and processes.</li> </ul>	LM	

	<ul style="list-style-type: none"><li>• Collaboration and cooperation with other service providers engaged within the BT Programme, including provision of skilled resources if required.</li></ul>		
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Application Management Services include all services required to deliver the full suite of support services for the day-to-day management and support of the delivered IKM solution, covering Level 1, Level 2, and Level 3 support. A proposed support model is set out below.

*Figure 5: Proposed IKM Support Model*

## Proposed IKM Support Model



The following table sets out the Service Levels to be met by the Solution Provider in responding to and resolving different types of incidents. Note that, under the current Inland Revenue model, initial calls are received and logged by the Inland Revenue service desk.

*Figure 6: Proposed Incident Service Levels*

<b>Priority:</b>	<b>Description:</b>	<b>Response time:</b>	<b>Update schedule:</b>	<b>Comms issued:</b>	<b>Resolution:</b>	<b>Post Incident Report:</b>
<b>Severity 1 – Critical</b>	<ul style="list-style-type: none"> <li>- A Service on the Mission Critical Service list is unavailable to 25 or more customer-facing staff;</li> <li>- There is a significant increase to the Service Risk Profile</li> <li>- All services unavailable at an Inland Revenue location with 25 or more staff;</li> <li>- An Incident that would normally be Priority 2 but that occurs at a critical time;</li> <li>- All security breaches.</li> <li>- Issue in development that prevents all project progress.</li> </ul>	30 minutes	Every 30 minutes*	60 minutes	4 hours	2 days
<b>Severity 2 – High</b>	<ul style="list-style-type: none"> <li>- A Service on the Mission Critical Service list is unavailable that doesn't meet the criteria for Priority 1;</li> <li>- A Service on the Mission Critical Service list which is bordering on becoming a P1 and requires management through to resolution. (This is considered to be a Managed P2 and will be run by the Incident Resolution Lead).</li> <li>- A Service on the Business Critical Service list is unavailable, e.g. Email, MIRI or File &amp; Print;</li> </ul>	1 Hour	Daily	-	24 Hours	-
<b>Severity 3 – Medium</b>	<ul style="list-style-type: none"> <li>- A Service on the Non-critical Service list is not available; or</li> <li>- Any Service not available to 5 or fewer individuals.</li> </ul>	1 Hour	Daily	-	48 Hours	-
<b>Severity 4 – Low</b>	<ul style="list-style-type: none"> <li>- A request for information;</li> <li>- An Incident that impacts an individual, as such it has few or no effects on normal business; or</li> <li>- A second or subsequent report of an existing open Incident.</li> </ul>	1 Day	-	-	10 Days	-

# Part 4: Procurement Process



## 19. The Procurement Process

19.1 Inland Revenue intends to select a preferred Provider to provide and implement the selected Solution at the completion of this Procurement Process.

19.2 This Procurement Process is a multi-part process that will include:

**Part 1: RFP.** Participants are invited to submit a written Proposal addressing the RFP Requirements and fulfilling the other requirements of the RFP. Inland Revenue will evaluate the Proposals and identify a shortlist of Participants to be invited to participate in Part 2.

**Part 2: Solution Presentations.** The purpose of the Solution Presentations is to give **shortlisted** Participants the opportunity to demonstrate their Solutions individually to Inland Revenue. To help frame the Solution Presentations, Inland Revenue will give shortlisted Participants a documented set of Personas and scenarios – i.e. typical user groups and tasks. Through the Solution Presentations, Inland Revenue is seeking a better understanding of how each Solution will meet the needs of the Personas.

**Please note that only shortlisted Participants will be asked to present their Solutions. Inland Revenue has released example personas and a description of possible scenarios with this RFP for information purposes (see Appendix B7: IKM User Ecosystem).**

**Part 3: Negotiation.** Inland Revenue will invite one or more Participants to negotiation for the provision of the IKM Solution.

## 20. RFP Closing Date

20.1 Participants will have 23 working days to complete and submit a Proposal. During this time, Participants may seek clarification on any part of the RFP Process (refer Paragraph 4.3). The closing date for Proposals is **Monday 4 April at 5pm**.

## 21. Key Dates

21.1 The table below sets out the key dates for the Procurement Process.

Activity	Date
RFP Released	Monday 29 February 2016
Vendor Briefing	Monday 7 March 2016
Notification of Intent to Respond Due	Monday 14 March 2016
Closing date for questions	Wednesday 23 March 2016
Closing date for submission of Proposals	Monday 4 April 2016, 5pm
Participants advised of shortlisting outcome	Friday 22 April 2016
Reference Calls or Visits	Thursday 28 April to 6 May 2016

Solution Presentations	Week beg. Monday 9 May 2016
Shortlisted Participants notified of outcome	Friday 27 May 2016
Negotiations commence	Monday 30 May 2016

## 22. Evaluation Overview

22.1 The table below sets out the categories of evaluation, including criteria and their weightings, which will be used in the evaluation process.

Evaluation Category	RFP Section	Weighting
<b>Business Requirements.</b>		
<ul style="list-style-type: none"> <li>BR 1 -3</li> </ul>	Evaluated but not weighted	n/a
<ul style="list-style-type: none"> <li>BR 4 (Client References) Reference client feedback including feedback on IKM Solution and Services capability, user uptake, engagement, service quality, etc.</li> </ul>		15%
<b>Solution and Services Requirements.</b> Evaluation criteria include: <ul style="list-style-type: none"> <li>The ability of the IKM Solution as a whole to deliver the required capabilities.</li> <li>The Participant's capability, capacity and prior experience in the design, implementation, delivery and support of the IKM Solution.</li> <li>The level of innovation and future-proofing offered by the IKM Solution.</li> <li>The significance of partial and non- compliance with the Requirements.</li> <li>The ability of the IKM Solution to assist Inland Revenue in satisfying its obligations under the Public Records Act 2005 and other legislation identified in this RFP (see OR4 on Page 60).</li> </ul>	Overarching Requirements	10%
	Functional Capabilities, informed by FRs and NFRs	25%
	Services Requirements: General, Design, Implementation	15%
	Support Requirements (covers Product Maintenance, Application Management Services and Training)	10%
<b>Solution Presentations.</b> An assessment of the suitability of the Solution to satisfy Inland Revenue's Requirements, including: <ul style="list-style-type: none"> <li>Simplicity, practicality, usability.</li> <li>Functionality.</li> <li>User experience.</li> <li>End-to-end integration.</li> <li>Validation of IKM Solution's fit with future vision and with Requirements.</li> </ul>		25%
<b>Pricing.</b> <ul style="list-style-type: none"> <li>The affordability of the Solution for Inland Revenue.</li> <li>The simplicity of the pricing model.</li> <li>A value-for-money assessment.</li> </ul>	Evaluated but not weighted	n/a
<b>Commercial and Legal.</b> Criteria include extent of compliance and approach to Partial or Non-Compliance.	Evaluated but not weighted	n/a

22.2 In assessing Participants' responses to Pricing and Commercial and Legal Requirements, Inland Revenue will consider whether Proposals are affordable and have an acceptable level of adherence to the terms and conditions specified.

22.3 Inland Revenue reserves the right, in its sole discretion, to take into account any information provided in response to the Requirements set out in **Appendix A: Requirements**. The final decision will take account of the weighted criteria, pricing (including the value for money assessment), and adherence to the terms and conditions. Consequently, and without limiting **Part 5 - RFP Rules**, a selected Solution Provider (if any) may not necessarily have obtained the highest weighted score.

#### 22.4 **Commercial and Legal Evaluation**

- a) Participants must respond to all requirements in **Appendix A3: Commercial and Legal Requirements**. Participants must also complete the Response Template to the Draft MSA, which is the template for any proposed changes to any clause in the Draft MSA.
- b) The responses to the Commercial and Legal Requirements, and any proposed amendments to the Draft MSA, will be subject to a risk-based and acceptability evaluation. The purpose of this evaluation is to highlight how each Participant proposes to achieve Inland Revenue's stated commercial and legal objectives.
- c) While the commercial and legal evaluation is not weighted, Inland Revenue reserves the right, at its sole discretion, to take into account the outcome of the evaluation during the evaluation of Proposals.
- d) Non-weighted Requirements will be evaluated concurrently with the evaluation of the weighted Requirements.

#### 22.5 **Pricing Evaluation**

- a) Participants must respond to all requirements in **Appendix A4: Pricing Requirements**. Participants must also complete the Pricing Response Template.
- b) The completed responses will be subject to a value-for-money/affordability assessment. The purpose of this assessment is to highlight how each Participant proposes to achieve a value-for-money outcome that appropriately addresses scope, quality, time, cost, benefits and risk in a manner that is affordable to Inland Revenue.

- c) While pricing is not weighted, Inland Revenue reserves the right, in its sole discretion, to take into account the outcome of this evaluation during the evaluation of Proposals.

## **23. Evaluation Process**

- 23.1 An evaluation panel has been appointed to undertake the evaluation of the IKM Solution Proposals. The evaluation panel includes representatives from the BT Programme, business units across Inland Revenue and a Government representative nominated by the Department of Internal Affairs (DIA).
- 23.2 Not all evaluation panel members will be required to evaluate all elements of a Proposal.

## **24. Notification of Outcomes**

- 24.1 Inland Revenue intends to advise each shortlisted Participant of the Procurement Process outcome via email.
- 24.2 After the conclusion of the Procurement Process, unsuccessful Participant(s) will receive a notification of outcome which will include instructions on how a debrief can be arranged.
- 24.3 Inland Revenue reserves the right to engage with one or more other Participants during the negotiation stage in the event that negotiations with the selected Participant are not proving successful in Inland Revenue's opinion.

## **25. Submission of Proposals for this RFP**

- 25.1 Proposals must be submitted in electronic format, via email to [bttenders@ird.govt.nz](mailto:bttenders@ird.govt.nz) no later than **5pm on Monday 4 April 2016**. Inland Revenue reserves the right, at its sole discretion, to either consider or reject a late Proposal.
- 25.2 In submitting a Proposal, a Participant must adhere to the following general instructions:
- Proposals greater than 10MB in size must be separated into sequentially numbered emails of 10MB or less.
  - Clearly state all assumptions made in the Proposal, what those assumptions relate to, and any potential impact of those assumptions.
  - If an answer to a question in one part of the Proposal is identical to an answer in another part, a Participant must repeat the relevant text - i.e. responses should not refer to an answer provided in another part.

- 25.3 The Requirements will instruct Participants to respond in various ways to a Requirement – including:
- **Confirm** – this is a yes/no answer confirming the Requirement or having provided the necessary information, e.g. tax compliance check.
  - **Comply** – Participants must demonstrate their level of compliance with the Requirement, i.e. Fully Compliant (FC), Partially Compliant (PC) or Non-Compliant (NC), and where requested provide a rationale for the response.
  - **Describe** or **Outline** (or other description) – requiring a full yet concise response covering all aspects of the Requirement. Where it is necessary to provide a separate document(s), Participants must reference this accordingly and specify the Requirement to which it relates.
- 25.4 Inland Revenue intends to send an email confirmation to Participants acknowledging receipt of their Proposal. If a Participant does not receive an acknowledgement, it is their sole responsibility to seek confirmation that Inland Revenue received their Proposal.
- 25.5 Please note that Inland Revenue will treat the PDF copy of a Proposal as the public record for the purposes of the Public Records Act 2005.
- 25.6 **Proposal Format.** Proposals submitted in response to this RFP must include the items listed in the table below in the order prescribed. Proposals that deviate from this structure and/or do not include any of the items listed below may not be considered. **Note:** If you are a member of the All-of-Government ECMaaS panel, you are welcome to re-use information previously provided to Inland Revenue or DIA. If you wish to re-use existing or past information, we would ask that you copy & paste it into your Proposal so that we can evaluate it.

25.7 Proposal Format:

Item	Format / Description
<b>Executive Summary</b>	PDF The Executive Summary is intended to summarise how your Proposal meets the Requirements of Inland Revenue. It should <b>exclude</b> pricing content.
Responses to Tables of Requirements in <b>Appendices A1 to A4</b> <ul style="list-style-type: none"> <li>• A1. Business Requirements</li> <li>• A2. Solution and Services Requirements</li> <li>• A3. Commercial and Legal Requirements</li> <li>• A4. Pricing Requirements</li> </ul>	PDF and MS Word. Separate files for each.
Completed Templates: <ul style="list-style-type: none"> <li>• Draft MSA Response Spreadsheet</li> <li>• Pricing Response Spreadsheet</li> </ul>	MS Excel for each, using Response Templates provided.
<b>IR822 Tax-Check Form</b>	Signed, PDF.

# Part 5: RFP Rules



## **RFP RULES**

### **Definitions**

**Artefact** means any document which a Participant is provided or granted access to by Inland Revenue in accordance with the RFP Process;

**Business Day** means a day on which registered banks are open for ordinary over-the-counter business in Wellington, New Zealand excluding Saturdays, Sundays and statutory public holidays in Wellington, New Zealand;

**Closing Date** means the closing date for the submission of Proposals in response to this RFP;

**Contact Officer** means the person of that title described in Part 1 of this RFP;

**Crown** means Her Majesty the Queen in Right of New Zealand and includes the Ministers of the Crown, a government department, Parliament and an Office of Parliament;

**OIA** means the Official Information Act 1982;

**Meeting** has the meaning given to that term in Rule 58;

**Participant** has the meaning given to that term in Rule 1;

**Procurement Process** means the procurement process relating to the Programme as described in Part 4 of this RFP and includes the RFP Process and the negotiation and execution of any (if any) contract entered into as a result of such procurement process;

**Programme** means Inland Revenue's Business Transformation Programme, as described in this RFP;

**Proposal** means a proposal submitted, to be submitted, or which this RFP contemplates will be submitted, (as applicable) by a Participant to Inland Revenue in response to this RFP, and includes any attachment and addendum, and any information, demonstration or documentation or material submitted by a Participant to Inland Revenue in connection with the RFP Process, whether in written form, verbal or otherwise;

**Representative** means any employee, officer, contractor, subcontractor, consultant, representative, agent or advisor and any public official advising, consulting to, or being consulted or informed by, Inland Revenue in connection with the RFP Process, the Programme and/or the Procurement Process (whether such public official is employed by

Inland Revenue or any other part of the Crown);

**RFP** means this Request for Proposal, and includes any other information (in whatever form) provided to any Participant by, on behalf of, or at the direction of, Inland Revenue in connection with the Procurement Process;

**RFP Process** means the RFP process described in Part 4 of this RFP;

**Rules** has the meaning given to that term in Rule 1 below.

In this Part 5, a reference to a numbered 'Rule' is a reference to the rule contained in the corresponding numbered paragraph in this Part 5: RFP Rules (unless the context requires otherwise).

### **Acceptance of Rules**

1. Each person or entity ('Participant') acknowledges and agrees that, by submitting a Proposal or otherwise participating in the Procurement Process, it is bound by, and will comply with (and procure that their Representatives comply with):
  - a. the terms and conditions set out in this Part 5: RFP Rules; and
  - b. the other terms, rules and requirements set out or referred to in this RFP, as may be amended by Inland Revenue from time to time;(collectively 'Rules').
2. The Rules are binding on each Participant in consideration of Inland Revenue providing the Participant with the opportunity to submit a Proposal (this obligation and the obligation in Rule 13 being Inland Revenue's sole obligations in connection with the Procurement Process, and this RFP and the RFP Process).
3. Without limiting any other right or remedy of Inland Revenue, Inland Revenue reserves the right to refuse to consider, analyse or evaluate a Participant's Proposal, or to allow the Participant to participate (or participate any further) in the RFP Process or any subsequent stage of the Procurement Process, if Inland Revenue determines (at its sole discretion) that the Participant has failed to comply with any of the Rules. Inland Revenue will be entitled to exercise such right at any time.

### **Status of RFP**

4. Neither this RFP, nor the RFP Process and Procurement Process, constitutes an offer by Inland Revenue to acquire goods or services from, negotiate with, or enter into any substantive agreement with, any

Participant. The request for, and receipt of, Proposals and any invitation by Inland Revenue to a Participant to proceed to any subsequent stage of the Procurement Process, does not create or imply any obligation on Inland Revenue to contract for any goods or services set out in any Proposal and should not be relied on as a promise or representation as to Inland Revenue's ultimate decision in relation to the Procurement Process.

5. Except as expressly provided in Rule 2, and regardless of whether or not a Participant is invited to progress to any subsequent stage in the Procurement Process, Inland Revenue will have no legal, equitable, contractual or other obligation whatsoever (including any implied obligation or duty, including as to fairness, good faith or otherwise) to any Participant, and Participants will have no rights enforceable against Inland Revenue in relation to:
  - a. the RFP Process (including its outcome);
  - b. the Procurement Process, or any part of it;
  - c. any Proposal;
  - d. any Artefacts;
  - e. this RFP; or
  - f. any discussions, correspondence or other engagement between Inland Revenue and any Participant at any stage of the Procurement Process.

Participation in the Procurement Process or the RFP Process does not guarantee that a Participant will be invited to participate in any subsequent stage of the Procurement Process. This RFP does not commit Inland Revenue to proceed with, or follow, the process outlined in this RFP, or to evaluate any particular Proposal or to proceed with any subsequent stage of the Procurement Process.

6. If there is any conflict or inconsistency between any of:
  - a. the terms and conditions set out in this Part 5: RFP Rules; and
  - b. any other section or provision of this RFP,the order of priority for the purposes of determining which will prevail will be the order in which they appear above.
7. Inland Revenue makes no representations and gives no warranties, express or implied, in or in relation to the Procurement Process, this RFP or the RFP Process.
8. Participants must not include in any Proposal, any terms or conditions that impose, or purport to impose, any obligation or duty on Inland Revenue or that are inconsistent with or contradictory to this RFP or the RFP Rules.

9. Any communication (if any), whether written, verbal or otherwise, during the Procurement Process, and any terms or conditions contained in any Proposal, will not be binding on Inland Revenue.
10. For the purposes of the Procurement Process, Participants who have previously been engaged by Inland Revenue for the provision of goods or services or otherwise must not rely on anything said or done by Inland Revenue during any such previous engagement.

#### **Confidentiality**

11. Participants' access to and use of the RFP and Artefacts will be governed by Rules 12 and 15.
12. Participants must not use this RFP or any Artefacts except in connection with this RFP Process and except to the extent expressly permitted by Rule 15 below. Participants must keep confidential this RFP and Artefacts and must not disclose the same:
  - a. except to any director, officer, employee, contractor, consultant or advisor of the Participant on a need to know basis for the purpose of preparing and submitting the Participant's Proposal and provided such person has a legally binding confidentiality obligations in favour of the Participant to keep confidential this RFP or any Artefacts; or
  - b. unless required by law to disclose this RFP or any Artefacts to a court of competent jurisdiction, or to any government regulatory agency or financial authority in which case the Participant must immediately tell Inland Revenue about the requirement and follow any reasonable directions of Inland Revenue concerning the disclosure.
13. Each Participant may identify certain parts of its Proposal as being commercially sensitive by marking those parts 'Commercial in Confidence'. It will not be acceptable for a Participant to mark its entire Proposal as such. Subject to its legal obligations (including under the OIA) and its obligations to the Crown and subject to Rule 14, Inland Revenue will treat such commercially sensitive information marked 'Commercial in Confidence' as confidential and will not provide it to any person other than to Representatives who are being informed of or are involved in the RFP, the RFP Process and/or the Procurement Process on a need to know basis, and will procure that its Representatives treat such information as confidential.
14. Nothing in Rule 13 or otherwise will prohibit Inland Revenue's use but not

disclosure other than as specified in Rule 13 of such commercially sensitive information marked 'Commercial in Confidence' for the purposes of considering, analysing and evaluating Proposals, and for any other purpose related to this RFP, the RFP Process or the Procurement Process, or any contract (if any) entered into as a result of the Procurement Process. By submitting a Proposal, each Participant agrees to such use.

15. Each Participant is permitted to use information provided in this RFP and the Artefacts during the Procurement Process for the purposes of developing proposed approaches, solutions, plans and proposals relating to the building, implementation and delivery of technology solutions and services in connection with the Programme.

#### **Publicity**

16. Participants must not undertake (or permit to be undertaken) at any time (at any stage during or after the Procurement Process or RFP Process) any publicity or activity with any section of the media (including, but not limited to, making any announcements or statements) in relation to the RFP Process other than with the prior written consent of Inland Revenue. In this rule the word 'media' includes (but is not limited to) radio, television, newspapers, trade and specialist press, the internet (including social media sites and services) and email, accessible by the public at large, or the representatives of such media.
17. Each Participant acknowledges and agrees that Inland Revenue may disclose the identity of Participants (including the fact of their participation in the Procurement Process) to third-parties (including other Participants and by way of a public announcement or statement).

#### **Statutory obligations and restrictions**

18. Inland Revenue is subject to a wide range of statutory obligations, including under the OIA, and statutory restrictions, including the Public Finance Act 1989. Each Participant acknowledges and agrees that Inland Revenue has the unfettered right to carry out its statutory obligations and functions in accordance with all relevant legislation, including the OIA, notwithstanding the Procurement Process and the Rules.

#### **Changes to and collection of information**

19. Inland Revenue is relying on information provided by each Participant during the Procurement Process, including but not limited to:

- a. information relating to the Participant's financial and other circumstances; and
- b. information concerning any subcontractor named in the Participant's Proposal.

If at any time during the Procurement Process there are material changes to any information provided by a Participant, the Participant must advise Inland Revenue in writing as soon as it becomes aware of the change by contacting the Contact Officer in writing. Inland Revenue may require ancillary information to be provided by Participants to assist Inland Revenue to evaluate the impact of any such changes, and Inland Revenue reserves the right (at its sole discretion) to refuse to consider, analyse or evaluate a Participant's Proposal, or to allow the Participant to participate in any stage of the Procurement Process if:

- a. the Participant fails to notify Inland Revenue of any such change in accordance with this Rule 19; or
  - b. having notified Inland Revenue of any such change, Inland Revenue considers that the effect of the change is such that the Participant would not have qualified to participate in the Procurement Process.
20. Each Participant authorises Inland Revenue to collect any information from the Participant and relevant third-parties and to use that information as part of the Procurement Process (including in the evaluation of its Proposal). Each Participant acknowledges that Inland Revenue may carry out further investigations and due diligence in respect of Participants (and persons or entities associated with Participants) both in connection with the RFP Process and any subsequent stage of the Procurement Process, including in relation to financial status, history of compliance with applicable laws and any other matter that Inland Revenue determines (at its sole discretion) is appropriate. Inland Revenue reserves the right (at its sole discretion) to refuse to consider, analyse or evaluate a Participant's Proposal, or to allow the Participant to participate in any subsequent stage of the Procurement Process if Inland Revenue is not satisfied (at its sole discretion) with the outcome of such investigations or due diligence.

#### **Ownership of RFP**

21. This RFP is the property of Inland Revenue (or its licensors) and copyright and all other intellectual property rights in this RFP are owned by, and will remain at all times vested in, Inland Revenue (or its licensors, as applicable).

22. Inland Revenue may request the immediate return and/or destruction of this RFP and any other information supplied by Inland Revenue to any Participant at any stage of the Procurement Process, and any copies made of such information, at any time. Each Participant must comply with any such request within the timeframes reasonably required by Inland Revenue.

**Ownership of Proposals**

23. Subject to Rule 24, all Proposals become the property of Inland Revenue on receipt by Inland Revenue and will not be returned to the Participant.
24. Subject to Rule 25, intellectual property in a Participant's Proposal will not pass to Inland Revenue. However, by submitting a Proposal, each Participant grants to Inland Revenue a non-exclusive, irrevocable and perpetual licence to use, copy and modify, and to allow its Representatives to use, copy and modify, all intellectual property (including, without limitation, any copyright and design materials) in its Proposal, for the purposes of considering, analysing and evaluating Proposals, and for any other purpose related to this RFP including seeking advice from Government Chief Information Office (GCIO) in relation to ICT products and services, the RFP Process, the Procurement Process or any contract entered (if any) into as a result of the Procurement Process.
25. Each Participant acknowledges and agrees that Inland Revenue is the owner of all copyright and all other intellectual property rights in all Artefacts, and any updates and amendments to the Artefacts.

**Completeness and accuracy of information**

26. Each Participant warrants that its Proposal is complete and accurate in all material respects, is not misleading by reason of omission of information and Inland Revenue's possession, copying, modification or other use of that information, will not breach any third-party intellectual property rights. Inland Revenue reserves the right (at its sole discretion) to refuse to consider, analyse or evaluate a Participant's Proposal, or to allow the Participant to participate in any subsequent stage of the Procurement Process if the Participant breaches this Rule 26.
27. Inland Revenue may rely upon any statements made by a Participant in its Proposal whether in written form, verbal or otherwise, including in any Meeting or other form of engagement. Where any statement is given verbally, Inland Revenue will be entitled to require the Participant to confirm the statement in writing signed by an authorised representative of the Participant.

28. If any concepts or ideas are presented, or commitments or representations are made, by a Participant in its Proposal, the Participant warrants and confirms that it is capable of building, implementing or delivering upon such concepts and ideas operationally, and meeting and complying with such commitments and representations, and is prepared to and can contract on that basis. Each Participant acknowledges and agrees that Inland Revenue intends to make decisions based, and in reliance, on the Participant's Proposal.
29. Inland Revenue has no obligation to check any Proposal for errors, omissions or inaccuracies. Without limiting Rule 26, each Participant must notify Inland Revenue immediately upon becoming aware of any such errors, omissions or inaccuracies.
30. Each Participant acknowledges and agrees that:
- a. Inland Revenue makes no representations, gives no warranties, and assumes no duty of care as to the accuracy, adequacy or completeness of this RFP or the RFP Process;
  - b. Inland Revenue will have no liability on account of errors or omissions in this RFP, the RFP Process, or the Procurement Process; and
  - c. the invitation to submit a Proposal does not imply that a Participant has satisfied Inland Revenue regarding any matter raised during any previous stage of the Procurement Process and Inland Revenue makes no representations and gives no warranties regarding the Participant's financial status, technical competence, or ability in any way to carry out any contract (if any) that may be entered into with the Participant in connection with the Programme.

**Responsibilities of Participants**

31. Each Participant will:
- a. examine this RFP, any documents referenced by this RFP, and any other information made available by Inland Revenue to the Participant (if any);
  - b. identify and obtain any additional information it may require to meet the requirements of this RFP (including to cost and provide firm pricing in its Proposal) and the RFP Process;
  - c. consider the need to obtain and, if appropriate, obtain independent advice (including legal, tax and accounting advice) before submitting a Proposal;
  - d. undertake its own investigations, research and due diligence, will satisfy itself of all matters relating to the RFP,

and will not submit any Proposal in reliance upon this RFP (or any other information, representation, communication or assumption which may have been made by, on behalf of, or at the direction of, Inland Revenue whether during the Procurement Process or otherwise);

- e. satisfy itself as to the correctness of any Proposal and the sufficiency of the services and deliverables proposed in any Proposal to meet Inland Revenue's requirements;
  - f. consider all the risks, contingencies, impacts and other circumstances having an effect on its submitting a Proposal; and
  - g. ensure that it complies, at all times, with the Rules.
32. If a Participant has any doubts as to the meaning of any part of this RFP it must immediately communicate that doubt to Inland Revenue's Contact Officer. If, for any reason, this is not possible, the Participant should, when submitting its Proposal, set out in a covering notification the interpretation it has used. Any assumption made in the preparation of a Proposal must be documented.

**Cost of responding**

33. All costs incurred by a Participant in connection with:
- a. any aspect of the RFP Process including preparing for and attending any Meeting or other form of engagement including any demonstration;
  - b. any aspect of the Procurement Process; and
  - c. the preparation and submission of a Proposal,
- are the sole responsibility of the Participant.

**Proposals to remain open**

34. Each Proposal, once submitted to Inland Revenue must remain open for consideration by Inland Revenue for a period of 12 months after the due date for Proposals stipulated in this RFP.

**Pricing**

35. Each Participant guarantees that the pricing for services and deliverables it has provided in its Proposal will be valid for the validity period specified in Rule 34. All prices must be in New Zealand dollars and exclusive of GST.
- Note: The level of pricing decomposition specified in the Pricing Response Template represents the minimum level required for Inland Revenue to make a value for money/affordability or risk based decision.

**Evaluation Process**

36. Evaluation criteria are provided in Part 4 of this RFP. This information is provided to assist Participants' understanding of Inland Revenue's requirements.
37. Information relating to the evaluation and comparison of Proposals is confidential to Inland Revenue.
38. To assist in the examination and evaluation of Proposals, Inland Revenue may, at its discretion, seek further details or clarifications from a Participant about any aspect of its Proposal. Inland Revenue will not be obliged to seek the same clarification or additional information from each Participant.

**Exclusion of liability**

39. Each Participant acknowledges and agrees that, to the maximum extent permitted by law, the Crown (including Ministers) and Inland Revenue, and their respective Representatives (and anyone else acting on behalf of, or at the direction of, the Crown or Inland Revenue) will not be directly or indirectly liable (in contract, tort including negligence, or otherwise) to any person or entity for any damages, loss or cost arising from or in connection with:
- a. this RFP;
  - b. any information not given to any Participant;
  - c. any aspect of the RFP Process including any Meeting or other form of engagement, and the evaluation of any Proposal;
  - d. the accuracy, adequacy or completeness of, or any error in, any statements or information within this RFP or provided in the course of the RFP Process whether in written form, verbal or otherwise;
  - e. the preparation and submission of any Proposal;
  - f. any investigations of or by any Participant, including reference checks or due diligence;
  - g. the acceptance or rejection by Inland Revenue of any Proposal;
  - h. the suspension, cancellation or amendment of any aspect of the Procurement Process; or
  - i. or as a result of the participation by any Participant in the RFP Process or the Procurement Process.
40. Notwithstanding any statement or provision in a Proposal to the contrary, by submitting a Proposal or otherwise participating in the Procurement Process, each Participant:
- a. waives any rights it may have to make a claim against the Crown or Inland Revenue, or their respective Representatives arising out of, or in

connection with, this RFP, the RFP Process or the Procurement Process (including that Inland Revenue has failed to comply with any probity requirement in connection with the RFP Process or any earlier stage of the Procurement Process); and

- b. acknowledges and agrees that nothing in this RFP represents any commitment or obligation by any other part of the Crown (including any Crown entity or agency).

**Rights reserved by Inland Revenue**

41. Notwithstanding any other provision in this RFP, Inland Revenue reserves, at its sole discretion, the right to:

- a. accept, reject, consider, analyse or evaluate (or not consider, analyse or evaluate) all or any Proposals, even if it is received after the Closing Date, does not comply with the requirements of this RFP or is non-conforming in any respect with this RFP;
- b. seek further details or clarification from, at its discretion, all Participants or any Participant about any aspect of any Proposal;
- c. amend or extend any date in the RFP Process or any subsequent stage of the Procurement Process for any reason;
- d. amend, suspend or cancel all or any part or aspect of this RFP (including Inland Revenue's requirements and the Rules), the Procurement Process or the RFP Process, for all or any Participants;
- e. exercise its own judgement when considering, analysing or evaluating any matter, requirement or criteria set out in, and/or addressed, in any Proposal;
- f. waive any irregularities, requirements or formalities in the RFP Process or Procurement Process;
- g. not accept or award a contract to the lowest priced or highest scoring Proposal, or any Proposal;
- h. reissue this RFP, in whole or in part, on the same or any alternative basis;
- i. take into account any relevant information when considering, analysing or evaluating any Proposal (including Inland Revenue's assessment of a Participant's pricing proposal, and response to Commercial and Legal requirements), and to make enquiries of any person or entity to assist it in the evaluation process;
- j. have discussions with all or any Participants at any time and upon any terms and conditions;
- k. suspend and/or terminate the participation of any Participant in the

Procurement Process at any time and for any reason or without reason;

- l. not give any reason to all or any Participants for the amendment, suspension or cancellation of all or any aspect of this RFP (including Inland Revenue's requirements and the Rules), the Procurement Process, the RFP Process or any other decision under this RFP;
- m. negotiate (or not negotiate), or enter (or not enter) into any contract, with any Participant at any time;
- n. enter into more than one contract with any Participant or more than one Participant at any time, and accept individual components offered in a Proposal;
- o. invite or allow (or not invite or allow) any Participant, or no Participant, to participate in any subsequent stage of the Procurement Process;
- p. negotiate with any person for the procurement of all or any goods or services to which this RFP relates, including the right to negotiate with a Participant who is not initially selected by Inland Revenue to participate in the negotiation stage of the Procurement Process, but with whom Inland Revenue subsequently decides (at its sole discretion) to negotiate, including in circumstances where Inland Revenue determines (at its sole discretion) that negotiations with any other Participant have been, or are likely to be, unsuccessful;
- q. elect not to proceed with any subsequent stage in the Procurement Process (either at all or in the manner described in this RFP);
- r. not award any contract or part of a contract as a result of this RFP or the Procurement Process;
- s. attend (or not attend) a Meeting or conduct (or not conduct) any other form of engagement, with any Participant, to the exclusion of any other Participant, at any time;
- t. conduct further Meetings if so required;
- u. make whatever changes it sees fit to the timetable, structure, agenda or content of any Meeting or other form of engagement during the RFP Process or Procurement Process, for any reason;
- v. prohibit any representative of any Participant from attending a Meeting as a result of a conflict of interest that cannot otherwise be managed or due to an ongoing breach of the Rules; or
- w. provide to, and discuss with, its Representatives a Proposal

**Governing law**

42. This RFP, the RFP Process and the Procurement Process are governed by New Zealand law and, subject to Rule 43, each Participant submits to the exclusive jurisdiction of the New Zealand courts in relation to all matters relating to, or arising out of, this RFP, the RFP Process and the Procurement Process.
43. Inland Revenue will be entitled, at its sole discretion, to file proceedings (including for urgent interlocutory relief) or to otherwise bring a claim in any court in any jurisdiction in the world in relation to all matters relating to, or arising out of, this RFP, the RFP Process and the Procurement Process.
44. Each Participant acknowledges and agrees that it and its wider corporate group has complied with and will continue to comply with all applicable laws (whether in New Zealand or overseas), including all laws relating to the payment of tax and tax obligations.

**Probity**

45. Each Participant must immediately disclose to Inland Revenue, in any Proposal, and on a continuing basis throughout the Procurement Process, any actual, potential or perceived conflict of interest in relation to any matter covered by this RFP or the RFP Process or Procurement Process, as soon as the Participant becomes aware of the conflict. If a conflict of interest arises and in Inland Revenue's opinion has not been, or cannot be, appropriately managed by the Participant, Inland Revenue may (at its sole discretion) refuse to consider, analyse or evaluate a Participant's Proposal, and/or terminate the participation of the Participant in any subsequent stage of the Procurement Process.
46. Each Participant must not, directly or indirectly, provide any form of personal inducement or reward, approach, lobby, threaten or otherwise attempt to influence or obtain improper assistance from any Representative of Inland Revenue or any other person who is directly or indirectly involved in the Procurement Process.
47. The RFP Process is intended to promote fair competition between Participants. Participants must not engage in collusive, deceptive, anti-competitive, improper conduct, or unethical behaviour, whether in breach of the Commerce Act 1986 and/or the Fair Trading Act 1986 or otherwise, during or following the RFP Process or otherwise. If in Inland Revenue's opinion any Participant has engaged in such conduct, Inland Revenue may (at its sole discretion) refuse to consider, analyse or

- evaluate a Participant's Proposal, and/or terminate the participation of the Participant in the Procurement Process.
48. For the purposes of Rule 47, collusive tendering, anti-competitive conduct, or any other similar conduct may include the disclosure, exchange and clarification of information (in any form) between Participants, whether or not such information is confidential information belonging to Inland Revenue or any other Participant or any other person or entity.
49. In addition to any other remedies available under any law, deed or contract, Inland Revenue may, at its discretion, immediately terminate participation of any Participant that, in Inland Revenue's reasonable opinion, has engaged in any collusive tendering, anti-competitive conduct, or any other similar conduct with any other Participant or any other person in relation to the preparation or lodgement of a Proposal whether in respect of this RFP Process or any other part of the Procurement Process being conducted by Inland Revenue.
50. Inland Revenue may require a Participant to, and require a Participant to procure its subcontractors to:
- a. supply Inland Revenue with statutory declarations and other documents, and such evidence as Inland Revenue sees fit; and/or
  - b. comply with any probity requirements notified in writing by Inland Revenue to the Participant from time to time, in each case throughout the Procurement Process, and in relation to any future procurement in connection with the Programme, in pursuing Inland Revenue's probity requirements or objectives, and the Participant must comply with any such requirement.
51. Participants must not, without prior written approval from Inland Revenue, permit a person to contribute to any Proposal or otherwise participate in the RFP Process if:
- a. the person was involved at any time in the planning for, or preparation of, this RFP, or the management of any aspect of the Procurement Process; or
  - b. the person is currently or was employed by Inland Revenue within the six months preceding the date of this RFP.
52. Failure by the Participant to obtain approval from Inland Revenue in accordance with Rule 51 may result in the Participant's participation in the Procurement Process being terminated.
53. Participants that, in the opinion of Inland Revenue:
- a. have been improperly assisted by individuals employed or engaged by

- Inland Revenue or associated with Inland Revenue;
- b. use or have used information unlawfully or unethically obtained from Inland Revenue; or
  - c. breach an obligation of confidentiality to Inland Revenue or otherwise act contrary to the Rules,
- may have their participation in the Procurement Process terminated.
54. By submitting a Proposal or otherwise participating in the Procurement Process, a Participant confirms that it does not have any claim against Inland Revenue in respect of any probity requirement or matter.
- particular timeframe. Inland Revenue will meet with Participants during the RFP Process or Procurement Process at such frequency and such number of times as Inland Revenue considers, in its sole discretion, appropriate.
60. Participants are not permitted to record Meetings by means of audio or visual devices, unless prior written approval is given by Inland Revenue.
61. Inland Revenue may decline to answer specific questions from a Participant which Inland Revenue, in its sole discretion, deems inappropriate.

#### **Tax Compliance and Criminal Checks**

55. In recognition of the unique requirements of doing business with Inland Revenue, a Participant and/or any of its Representatives may be required to undergo a tax compliance and/or criminal check. Participation in the Procurement Process by a Participant authorises Inland Revenue to undertake such tax compliance and/or criminal checks. This requirement includes any subcontractors (and their Representatives) nominated by the Participant. Inland Revenue reserves the right to refuse to consider, analyse or evaluate a Participant's Proposal, or to allow a Participant to participate in any stage of the Procurement Process if Inland Revenue is not satisfied (at its sole discretion) with the outcome of any check.

#### **References to Inland Revenue**

56. A reference in this RFP to 'Inland Revenue' or 'IR' is a reference to Her Majesty the Queen in right of New Zealand acting by and through the Commissioner of Inland Revenue or her or his authorised delegate.

#### **Severance**

57. If any provision of the Rules is or becomes invalid or unenforceable, that provision will be deemed deleted from the Rules. The invalidity or unenforceability of that provision will not affect the other provisions of the Rules, all of which will remain in full force and effect to the extent permitted by law, subject to any modifications made necessary by the deletion of the invalid or unenforceable provision.

#### **Meeting Rules**

58. During the RFP Process or Procurement Process, Inland Revenue may meet with individual Participants ('Meeting') to consider a Participant's Proposal.
59. Each Participant acknowledges that Inland Revenue does not guarantee that it will be able to meet with Participants within any

# Appendix A

## Requirements

Requirements Structure	
<b>A1: Business Requirements (BR)</b>	
<b>A2: Solution and Services Requirements</b>	<ul style="list-style-type: none"><li>• Overarching Requirements (OR)</li><li>• Functional Capabilities (FC)</li><li>• Functional and Non-Functional Requirements (FR and NFR)</li><li>• General Services Requirements (GS)</li><li>• Design Services Requirements (DS)</li><li>• Implementation Services Requirements (IS)</li><li>• Support Services Requirements (S)</li></ul>
<b>A3: Commercial and Legal Requirements (CL)</b>	
<b>A4: Pricing Requirements (P)</b>	

## Appendix A1 – Business Requirements

Please respond to each Requirement, following this table format if this is suitable for you. If you would prefer to use your own format, please make sure that you include the full Requirement and Reference at the top of each Requirement response. **If responding in a consortium, please complete BRs 1 -3 for each consortium member.**

Ref.	Business Requirements
BR 1.	<p><b>Declarations.</b> Please advise whether or not any of the following applies to your company/organisation, any of its directors (or equivalent), or any of its senior officers (e.g. CFO). If any of the following circumstances do apply, please provide full details:</p> <ul style="list-style-type: none"> <li>a) A state of bankruptcy, insolvency, administration, statutory management, liquidation, winding up, or receivership, or similar insolvency process.</li> <li>b) Is/are subject to legal proceedings, or any government or regulatory investigation or inquiry, or</li> <li>c) Has been convicted of a criminal offence related to business or professional conduct.</li> <li>d) Has outstanding tax obligations, in New Zealand, including obligations related to the payment of taxes (Participants are required to complete an IR822 Tax-Check Form – <b>Appendix B5</b>).</li> </ul>
	Advise/provide details.
BR 2.	<p><b>Tax Compliance General Expectations.</b> Inland Revenue expects the Participant and its wider corporate group to be mindful that Inland Revenue is New Zealand's Crown tax authority and as such Inland Revenue has an obligation to protect the integrity of New Zealand's tax system. Inland Revenue requires confirmation that the Participant and its wider corporate group comply with their tax obligations in New Zealand and in other relevant tax jurisdictions and also are seen to comply with their tax obligations in an appropriate manner.</p>
	Confirm.
BR 3.	<p><b>Financial Statements.</b> The Participant must provide audited financial statements for its past three financial years.</p>
	Provide.

Ref.	Business Requirements
BR 4.	<p><b>Client References.</b> Inland Revenue requests at least two client references where, for each client, the Participant has implemented all the components of the proposed IKM Solution, and where the active solution user-base exceeds 500.</p> <p>If it is not possible to provide a single reference site for all components of the IKM Solution, it is acceptable to propose references from a combination of clients, provided that at least one of those references includes an implemented version of the Core ECM component with an active solution user-base exceeding 500.</p> <p>At least one of the client references should be from an organisation in New Zealand or Australia that operates within a highly-regulated environment (e.g. local or central Government, financial institution, etc.).</p>
	<p>For each client reference, please provide:</p> <ul style="list-style-type: none"> <li>a) Full legal name of the client reference site, including location and organisation size.</li> <li>b) Commencement date of implementation and project duration.</li> <li>c) Scope of the solution, and overview of your role and responsibilities, including the role of any third parties.</li> <li>d) Products and/or modules deployed, including versions.</li> <li>e) A summary of challenges faced during the implementation and how these were mitigated.</li> </ul> <p>Client references may be completed by telephone or in person. If possible, New Zealand references should be provided, to keep the reference process simple and cost-effective.</p>

## Appendix A2 – Solution and Services Requirements

**Please ensure that you have thoroughly reviewed Part 3 – Solution and Services Scope.**

Please respond to each Requirement, following this table format if this is suitable for you. If you would prefer to use your own format, please make sure that you include the full Requirement and Reference at the top of each Requirement response.

If you are a member of the all-of-government ECMAaaS panel, you are welcome to re-use information previously provided to Inland Revenue or DIA. If you wish to re-use existing or past information, we would ask that you copy & paste it into your Proposal so that we can evaluate it.

Ref.	Overarching Requirements
OR 1.	<p><b>Key IKM Outcomes.</b> The Solution must support achievement of the following Key IKM Outcomes:</p> <ul style="list-style-type: none"> <li>a) There is a significant improvement in Inland Revenue’s overall IKM maturity level so that information is managed as a corporate asset.</li> <li>b) Each information asset managed through the IKM Solution: <ul style="list-style-type: none"> <li>○ Is consistent within a given business context and time period.</li> <li>○ Has a defined lineage and quality.</li> <li>○ Is held only once.</li> </ul> </li> <li>c) Is contextually current and accurate for every stage of its lifecycle.</li> <li>d) Has traceable lineage throughout its lifecycle.</li> <li>e) The right information is available at the right time to the right people (i.e. there is a dramatic improvement in access and retrieval of information across the enterprise).</li> <li>f) It is easier for Inland Revenue to collaborate internally and with external partners.</li> <li>g) The IKM Solution must minimise technology resource consumption (e.g. storage) without compromising Functional and Non-Functional Requirements.</li> </ul>
	Please explain how your Solution will support Inland Revenue’s achievement of the Key IKM Outcomes.
OR 2.	<p><b>Solution.</b> The IKM Solution:</p> <ul style="list-style-type: none"> <li>a) May comprise one or more commercial-off-the-shelf products. If the IKM Solution is made up of multiple commercial off-the-shelf products: <ul style="list-style-type: none"> <li>○ All components must be proven to integrate with each other and be capable of being managed as a single end-to-end solution. The Participant must demonstrate, by providing client references, that the components have actually been integrated successfully – i.e. it is not sufficient that the components are simply capable of being integrated.</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>o Inland Revenue reserves the right to 'swap out' any component for one that it considers to be better suited to Inland Revenue's requirements, in consultation with the selected Solution Provider.</li> <li>b) Must deliver Inland Revenue's Requirements predominantly out-of-the-box, with no customisation beyond what is required for the Solution to be integrated within Inland Revenue's technology environment. Please refer to <b>Appendix B3</b>.</li> <li>c) Must enable users to access Inland Revenue information regardless of the system of origin of that information, in accordance with required security and access privileges.</li> <li>d) Must be implemented by a single lead vendor who can ensure ongoing access to local support, both of the product(s) and the end-to-end solution.</li> <li>e) Must be able to adapt easily to changes in IKM best practice and must not lock Inland Revenue to 'point-in-time' technology.</li> <li>f) Must provide the necessary tools to implement and ensure compliance with Inland Revenue's information governance policies (derived from standards and guidance published by Archives New Zealand) and also relevant legislative obligations under acts such as the Public Records Act 2005, Official Information Act 1982, Privacy Act 1993, Tax Administration Act 1994 and the Electronic Transactions Act 2002.</li> </ul>
	<p>Please support your response with:</p> <ul style="list-style-type: none"> <li>a) A description of your proposed Solution in overview, including a solution diagram, showing all software components/modules, and accompanied by a full Bill of Materials showing the items that you will provide and the items or services that are required to be provided by Inland Revenue (e.g. underlying infrastructure, third party products, networking).</li> <li>b) Commentary on your Solution roadmap, covering matters such as vision, planned R&amp;D activity, a 3/5/10 year view of Solution evolution, your approach to industry engagement, and how you will ensure future-proofing in constantly evolving area.</li> <li>c) A description of how you would approach integration within Inland Revenue's technology environment, drawing on your experience of recent implementations.</li> </ul>
OR 3.	<p><b>Usability.</b> The Solution must:</p> <ul style="list-style-type: none"> <li>a) Be simple, pragmatic, and easy to use – i.e. it is not solely intended to satisfy compliance, regulatory and information governance requirements.</li> <li>b) Help users have a better, more productive working day.</li> <li>c) Allow users to interact with it using their channels and devices of choice – e.g. tablet, mobile device, etc.</li> <li>d) Allow users to move between channels of interaction seamlessly.</li> </ul>
	<p>Describe how your Solution will meet this Requirement.</p> <p>Drawing on your recent implementation experience, explain how your Solution has delivered strong user uptake and demonstrable productivity improvements for clients</p>

	<p>with similar IKM requirements.</p> <p>Describe how users will interact with the solution, using their channel of preference – e.g., how will users who spend most of their time working in ESS access content without having to leave ESS?</p>
OR 4.	<p><b>Compliance.</b> The proposed solution must support and enhance IR's compliance with a range of information governance policies. These include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Public Records Act 2005.</li> <li>• Official Information Act 1982.</li> <li>• Privacy Act 1993.</li> <li>• Tax Administration Act 1994.</li> </ul>
	<p>Describe where your proposed solution has been deployed in support of these various NZ Government and Archives New Zealand requirements.</p>
OR 5.	<p><b>Unified Presentation of Information.</b> The Solution must enable users to access Inland Revenue information regardless of system of origin, in compliance with the security and access privileges of these systems.</p>
	<p>Describe how your Solution will meet this Requirement, providing details as to your approach and any challenges that may be encountered, including with integration either inside or outside your solution. In particular, please describe how security of information is maintained.</p>
OR 6.	<p><b>Delivery Models.</b> Participants must identify the delivery models they are proposing. If a Participant proposes an as-a-service model, Inland Revenue's first preference is for content to be held in New Zealand, with Australia our second preference.</p>
	<p>Please identify the delivery models you are proposing, and confirm the location of the content under any as –a-service model.</p> <p>Any Participant who has completed the DIA Cloud Risk Assessment should provide this in its response.</p> <p>If you are proposing an on-premise model, Inland Revenue please explain how you would work with our principal IaaS provider, Revera Limited.</p>

Ref.	Solution Functional Capabilities
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**Response Instructions:** Please provide a 1-2 page response to each Functional Capability set out below. In your response, please ensure you address the following points:

- The extent to which your proposed Solution can deliver the Functional Capability.
- How this Capability is proposed to be delivered through your IKM Solution, i.e.:
  - through your own or a third party product or a combination of products,
  - through a separate component, hardware or software, that needs to be

procured separate to the proposed Solution,

- Whether or not you have implemented the relevant products before, clearly describing where these have been implemented.
- If a particular Functional Capability is not provided by your IKM Solution, an explanation of how you propose to deliver it.

FC 1.	<p><b>Access.</b> The Solution must provide intuitive and easy to use interfaces for staff and other parties to access information and services. This includes the ability to:</p> <ul style="list-style-type: none"> <li>a) Allow users to access content managed by the Solution directly from enterprise applications, such as START, ESS, etc.</li> <li>b) Allow users to access content managed by the Solution directly from desktop applications (e.g. Microsoft Word).</li> <li>c) Allow Inland Revenue to expose information in support of interactions with external parties.</li> <li>d) Integrate with Inland Revenue’s Identity and Access Management platforms.</li> <li>e) Allow authorised users to access content managed by the Solution from any location within Inland Revenue or offsite, in compliance with required security and access requirements.</li> <li>f) Provide a single user interface (portal) for direct access to content held in the Enterprise Repository.</li> <li>g) Provide the ability for content to be accessed offline when not connected to the Inland Revenue network.</li> <li>h) Allow users to access content managed by the Solution directly from mainstream cloud-based desktop applications (e.g. MS Office 2016).</li> </ul>
FC 2.	<p><b>Capture.</b> The Solution must enable the ingestion of content into the Enterprise Repository. This must include the ability to:</p> <ul style="list-style-type: none"> <li>a) Capture different types of digital content, such as Word documents or PDFs, originating from different source devices, such as Apple, Android or Windows-based devices.</li> <li>b) Aggregate content and combine documents from different applications - the goal being to unify data from different sources, forwarding them to storage and processing systems in a uniform structure and format.</li> <li>c) Provide system-driven classification based on predefined criteria.</li> <li>d) Create and leverage an ontology for classification purposes.</li> <li>e) Retain document integrity throughout the process of capture, storing and classification of content.</li> <li>f) Import a large volume of content with a single action.</li> <li>g) Capture email from within MS Outlook (user initiated), with metadata unique to emails.</li> <li>h) Provide integration with MS Office, multiple versions.</li> <li>i) Capture information about physical documents and associated entities (e.g.</li> </ul>

	<p>locations, containers, offsite providers), including use of barcode scanning.</p> <p>j) Store images from multiple sources.</p> <p>k) Ingest scanned content – this includes integration with Inland Revenue’s existing bulk scanning solution, based on Exigen.</p> <p>l) Ingest instant messages from a messaging application, currently Skype for Business.</p> <p>m) Ingest social media interactions from social media applications.</p> <p>n) Capture and surface knowledge – e.g. wikis, blogs.</p> <p>o) Capture content from scanned websites, based on predefined criteria.</p>
FC 3.	<p><b>Content Management.</b> The Solution must manage the content stored in the Enterprise Repository and the users of the Solution from a Document Management perspective. This must include the ability to:</p> <p>a) Provide automation, where possible, to minimise manual entry - e.g. metadata classifications.</p> <p>b) Enable exportation of a large volume of contents with a single action.</p> <p>c) Provide interfaces to enable Document Management/Records Management functions.</p> <p>d) Enable structured metadata that describes and/or allows users to find, manage, control, understand or preserve information over time.</p> <p>e) Store reference information - e.g. metadata, for physical items in the Enterprise Repository.</p> <p>f) Enable reporting on metadata for content.</p> <p>g) Provide an industry standard, good practice, taxonomy/ontology structure for storing content.</p> <p>h) Version content.</p> <p>i) Assign correct information security classification (including Inland Revenue-specific classifications) and apply controls based on user clearance.</p> <p>j) Provide templates – e.g. folder or Workspace structures, workflows and documents.</p> <p>k) Provide the ability to advise nominated users when content is changed.</p> <p>l) Provide a system-initiated ability to resolve any duplication identified.</p>
FC 4.	<p><b>Search.</b> The Solution must provide comprehensive search capability so that it is possible to find content using a range of techniques and criteria. Inland Revenue is open to your ideas about what is required to address this Requirement.</p> <p>As described in <b>Part 3 – Solution and Services Scope</b>, for Stage 1 we are seeking a full-featured search within the Core ECM, always respecting user authorisations.</p> <p>In your proposal, please be clear whether you propose the same technology for Stage 1 and future stages.</p> <p>In our view, a search capability includes the ability to:</p>

	<ul style="list-style-type: none"> <li>a) Search the Enterprise Repository to retrieve any one or more pieces of content across the entire Repository based on a defined set of criteria.</li> <li>b) Enable the definition and retention of key attributes of search criteria to be used on a regular basis.</li> <li>c) Expose returned search results only for those pieces of content which the user is authorised to view.</li> <li>d) Save a set of combined search criteria so that the search can easily be executed in the future.</li> <li>e) Save search results (the snapshot of results that match the search criteria at the time it was executed).</li> <li>f) Retrieve content that is an inexact match to the criteria specified but that has a resemblance based on predefined logic.</li> <li>g) Retrieve content that not only matches the criteria specified but also content that is linked - e.g. a search on a person may also return results related to a company to which the person is associated.</li> <li>h) Provide predefined sets of search criteria available to all users.</li> <li>i) Enable the use of a hierarchical structure (taxonomy) to enable users to browse information by choosing from a pre-determined set of categories.</li> <li>j) Allow search for content using criteria (specific words) that will be found in the body of the content.</li> </ul>
FC 5.	<p><b>Publication.</b> The Solution must enable Information and Knowledge distribution and usage, including publishing content to intranet and internet sites, email distribution through notifications and digital rights management. This includes the ability to:</p> <ul style="list-style-type: none"> <li>a) Email IKM content out, either as an attachment or via a link.</li> <li>b) Distribute knowledge about people, skills and availability, via the intranet.</li> <li>c) Enable the process by which content reaches an agreed state, e.g. version 1.0, that can be made available to a defined audience.</li> <li>d) Enable published content to be simultaneously available on multiple channels.</li> <li>e) Render content, creating a copy of an original document in a different format such as PDF, HTML, ASCII, TEXT, etc.</li> <li>f) Redact content, permanently removing part(s) of a text for legal or security purposes. This should be possible regardless of channel of publication – e.g. a public-facing internet site may have different redaction requirements from an internal-facing intranet site.</li> <li>g) Annotate content using a wide range of elements.</li> </ul>
FC 6.	<p><b>Records Management.</b> The Solution must provide all tools needed to control the lifecycle of content managed in the Enterprise Repository, digital and physical. This includes the ability to:</p> <ul style="list-style-type: none"> <li>a) Provide a hierarchy of classifications.</li> <li>b) Allow the categorisation of types of content.</li> </ul>

	<ul style="list-style-type: none"> <li>c) Prevent the deletion of content that may be related to legal proceedings.</li> <li>d) Provide lifecycle management – i.e. the sequence of stages that a record goes through from its initial capture to its eventual disposal from Inland Revenue’s custody (whether by transfer outside the organisation or destruction).</li> <li>e) Allow the conversion of content to a record so that content and metadata cannot be modified or deleted beyond this point.</li> <li>f) Enable reporting of records management functions.</li> </ul>
FC 7.	<p><b>Collaboration.</b> The Solution must enable collaboration between users of the system. This includes the ability to:</p> <ul style="list-style-type: none"> <li>a) Provide a collaboration platform for sharing content between IR staff and authorised external parties.</li> <li>b) Provide a discussion capability, not necessarily related to content.</li> <li>c) Provide a Workspace for a formal initiative with a predefined goal.</li> <li>d) Potentially, allow multiple people to edit the same content simultaneously.</li> </ul>
FC 8.	<p><b>Workflow Management.</b> The Solution must provide automated workflows determined by the nature of the content, including the ability to:</p> <ul style="list-style-type: none"> <li>a) Select the path a piece of content will follow based on a pre-defined set of attributes that the content has.</li> </ul>
FC 9.	<p><b>Content Management for Intranet.</b> Inland Revenue is seeking a solution that can manage content and meet the needs currently addressed by Inland Revenue’s existing internal-facing intranet sites. The Solution must enable content authoring, workflow and publishing for internal user consumption. Consider this capability in conjunction with FC5, where the intranet is a single publishing channel. This includes the ability to:</p> <ul style="list-style-type: none"> <li>a) Store intranet presentation templates within the Solution.</li> <li>b) Store intranet content within the Solution.</li> <li>c) Publish content from the Enterprise Repository to an intranet platform.</li> </ul>
FC 10.	<p><b>Solution and Content Reporting.</b> The Solution must provide reporting of usage and content analytics, so that Inland Revenue has a clear view of how we use both the Solution and our information assets. This includes:</p> <ul style="list-style-type: none"> <li>a) Content reporting (statistical information).</li> <li>b) Reporting on search metrics - e.g. performance, trends.</li> <li>c) System metrics (usage and performance).</li> <li>d) Reporting on semantic classifications.</li> </ul>
FC 11.	<p><b>Integration - ESS.</b> The Solution must integrate with Inland Revenue’s Enterprise Support Services platform (SAP). ESS currently supports core finance, HR and payroll functions. Integration must be configurable and must not constrain the ability of the Solution to adapt to future requirements. In your response, please outline the options for achieving the desired integration and the standards your proposed</p>

	<p>Solution would use to achieve integration.</p> <p>Please note that as a result of Business Transformation, Inland Revenue will have a more simplified technology landscape. Integration between the small number of core applications is anticipated to be performed using point to point integration, i.e. assume that there is no dedicated enterprise integration platform or ESB.</p>
FC 12.	<p><b>Integration - START.</b> The Solution must integrate with Inland Revenue's new solution for managing core Tax and Social Policy, START. This solution is based on the GenTax solution from FAST Enterprises. RESTful and SOAP-based web services are currently the preferred mechanisms for integrating with START. START is a .NET application that makes use of SQL Server database engines. The interface and process for content push will be determined in conjunction with the START implementation project.</p> <p>In your response, please outline the options for achieving the desired integration and the standards your proposed Solution would use.</p>

**FC = Fully Compliant**

**PC = Partially Compliant**

**NC = Non-Compliant**

Ref.	Solution Functional and Non-Functional Requirements
FR 0.	Please review the attached Functional Requirements and complete the related Response Template.
	Respond: <b>FC</b>
NFR 0.	Please review the attached Non-Functional Requirements and complete the related Response Template.
	Respond: <b>FC</b>

Ref.	General Services Requirements
GS 1.	<p><b>Services Lead.</b> The Participant must:</p> <ul style="list-style-type: none"> <li>• Confirm that it intends to act as design and implementation lead, being responsible for providing all design and implementation services required to implement the IKM Solution that will satisfy the Requirements.</li> <li>• Provide assurance, supported by references, that it has the experience, expertise and availability to design and implement an IKM Solution that satisfies the Requirements.</li> <li>• Have the capacity and capability to design and deliver an IKM Solution that will satisfy the Requirements in this RFP.</li> </ul>
	<p>Confirm, and:</p> <ol style="list-style-type: none"> <li>a) Describe how your design and implementation teams are structured and where they will be located.</li> <li>b) Identify the members of your proposed teams, summarising their relevant skill and experience.</li> <li>c) If you are proposing third party organisations to deliver components of the design and implementation services, please explain who they are, what components they will deliver and how you will ensure cohesion within your delivery team.</li> <li>d) Explain how you will ensure you have the right people at the right time to deliver in a time-constrained environment, confirming your readiness to begin the onboarding phase on Monday 27 June 2016 and your ability to be ready for the remaining phases and activities set out in <i>Figure 4: Services and Deliverables Description</i>.</li> <li>e) Support your response with example deliverable documents (e.g. content plans, migration approach).</li> </ol>
GS 2.	<p><b>Account Management.</b> Implementation of the IKM Solution is an important part of the nationally-significant BT Programme. Inland Revenue requires the Solution Provider to be committed and dedicated to the project, and the project must be given the appropriate priority within your organisation.</p>
	<p>Describe your approach to Account Management across this engagement. Clearly outline the status that you will assign the Inland Revenue account and the implications of this in terms of resourcing, planning and service provision.</p>
GS 3.	<p><b>Collaborative Approach.</b> Inland Revenue is delivering the BT Programme within a Service Aggregation Model where Inland Revenue works with multiple providers. You will be expected to work collaboratively with Inland Revenue and its other providers during the course of any engagement.</p>

	Describe your approach to meet the above requirement. Provide examples where you have worked collaboratively with an organisation of similar size, complexity and culture. Outline the collaboration challenges you faced and how they were addressed.
GS 4.	<b>Partner Engagement.</b> Inland Revenue wants to ensure that it has access to innovation and thought leadership from the partners you will be working with to provide the Solution, throughout your engagement with Inland Revenue.
	Please identify the partners, including software manufacturers, whom you will be working with in providing the IKM Solution.  Please explain how you will satisfy the Requirement.
GS 5.	<b>Solution Provider Capability.</b> It is critical to the achievement of the Key IKM Outcomes that the Solution Provider has: <ul style="list-style-type: none"> <li>• Deep expertise and experience in designing, implementing and supporting the proposed IKM Solution.</li> <li>• Appropriately skilled resources available to deliver the services needed to establish and support the IKM Solution in satisfaction of the Requirements.</li> <li>• Experience in contributing to the desired outcomes of large change programmes.</li> </ul>
	Drawing on your recent experience with clients of similar size and with similar requirements, please provide assurance that you satisfy the above requirements.  Please identify the risks to project success and your recommendations for managing and mitigating those risks.
GS 6.	<b>Project Governance, Delivery Methodology, Quality Management.</b> The Solution Provider will be expected to manage the contracted services: <ul style="list-style-type: none"> <li>• Within rigorous project governance and quality management frameworks.</li> <li>• According to design and implementation methodologies that ensure efficient 'no surprises' delivery.</li> </ul>
	a) Please describe your recommended approaches to Project Governance, Delivery Methodology and Quality Management. b) Identify and describe key governance roles and responsibilities for both your team and Inland Revenue. c) Describe your escalation model and communication plan for a successfully delivery, including risk and issue management. Inland Revenue/ d) Identify the accelerators you offer (e.g. prebuilt or preconfigured elements of your proposed IKM Solution) to ensure effective design and implementation.
GS 7.	<b>Documentation.</b> The Solution Provider must produce high quality, complete and accurate documentation at all key stages of design, implementation and support.
	Describe your recommended documentation set to ensure appropriate quality measures are maintained from design through to support.

Ref.	Design Services Requirements
DS 1.	<p><b>COTS Fit/Gap Analysis.</b> As part of its design activities, the Solution Provider will be required to complete a Fit/Gap Analysis of its proposed IKM Solution for all in-scope functions for all Stages. The Fit/Gap Analysis must:</p> <ul style="list-style-type: none"> <li>a) Detail the level of Configuration, Customisation and Enhancement that may be required.</li> <li>b) Be consistent with Inland Revenue’s Fit/Gap Analysis Guidelines in <b>Appendix B3</b>.</li> </ul>
	Describe your approach and strategy to completing a Fit/Gap Analysis for your proposed IKM Solution.
DS 2.	<p><b>IKM Solution Environment Design and Planning.</b> During the Design Phase Solution Provider will be expected to:</p> <ul style="list-style-type: none"> <li>a) Design all environments for the IKM Solution, with commitments to appropriate levels of availability and fault tolerance.</li> <li>b) Complete and warrant an infrastructure recommendation, including details how the environment can scale, up and down, as required.</li> <li>c) Provide a full ‘Bill of Quantities’ of products and services that Inland Revenue will need to provide to support the IKM Solution.</li> <li>d) Materially contribute to the BT Programme’s Environment Management Plan.</li> </ul>
	Confirm that the Design will address the above Requirement, and summarise the environments will be required and for what purpose, noting our requirement for early establishment of a Development Environment.
DS 3.	<p><b>Content Plans.</b> The Solution Provider must advise and assist Inland Revenue in creating, delivering and maintaining content plans for each Target Audience, aligned to the IKM Roadmap and Implementation Plan. The content plans are likely to include:</p> <ul style="list-style-type: none"> <li>• Current issues.</li> <li>• Key relationships.</li> <li>• Content repositories.</li> <li>• Current applications.</li> <li>• Content types.</li> <li>• Metadata</li> <li>• Adoption issues</li> </ul>
	Describe your approach to content planning, with sample documentation.
DS 4.	<p><b>Content Migration Strategy.</b> The Solution Provider will be required to document a recommended strategy for successful content migration.</p>

	Describe your approach, capability, relevant skill-sets and experience in creating a migration strategy.
DS 5.	<p><b>Coexistence.</b> The transition from Inland Revenue’s current environment to the new Solution will include a period of coexistence with current technology (e.g. shared drive) and with heritage users/units. This transition, including any coexistence requirements:</p> <ul style="list-style-type: none"> <li>• Must be carefully planned and executed.</li> <li>• Must not compromise the ability of staff to ‘do their job’.</li> </ul>
	Please describe where you have designed for and managed an implementation requiring a period of coexistence. Please identify the key risks of coexistence, and your approach to managing those risks.
DS 6.	<p><b>Security.</b> Maintaining the integrity of information is of paramount importance to Inland Revenue and the broader New Zealand Government. This includes the security of the information Inland Revenue is entrusted with and uses in its role of administering the tax and social policy environment. In addition, all aspects of information security at Inland Revenue are governed by the New Zealand Information Security Manual (NZISM), issued by the Government Communications Security Bureau (GCSB).</p>
	<p>Please describe:</p> <ul style="list-style-type: none"> <li>a) How your proposed IKM Solution will maintain the security and integrity of Inland Revenue information and ensure that all information contained therein is only accessed by those that are authorised to do so. Include reference to how you will approach ensuring adherence to NZISM.</li> <li>b) How you will ensure that your detailed design reflects the above requirements.</li> <li>c) Your approach to security design of the IKM Solution and in particular integration with enterprise-scale identity and access management solutions, for internal and external users, on a real-time basis.</li> </ul>
DS 7.	<p><b>Data Privacy and Security Standards Compliance</b> The designs produced by the Solution Provider must be consistent with:</p> <ul style="list-style-type: none"> <li>a) The privacy principles set out in the Privacy Act.</li> <li>b) Inland Revenue’s ICT Security Policy, which is available on request.</li> </ul>
	<p>Respond: FC or PC or NC</p> <p>If PC or NC: The Participant must explain why and specify the potential associated impacts.</p>
DS 8.	<p><b>Confidentiality.</b> The Solution Provider will be under a continuing obligation to treat all information, including knowledge of internal systems and processes, gained during its engagement with Inland Revenue in a manner that maintains and aids in maintaining the confidentiality of that information. The Participant must confirm its willingness and ability to comply with this obligation.</p>

	Respond:      Confirm.
DS 9.	<b>Disaster Recovery and Business Continuity.</b> Your Detailed Design must include a provision for Disaster Recovery and Business Continuity in the event of a failure of one or more technology components.
	<ul style="list-style-type: none"> <li>a) Detail the Business Continuity management tools and Disaster Recovery/Fast Failover capabilities provided by your proposed IKM Solution.</li> <li>b) Detail how you plan to test the recovery plan.</li> <li>c) Detail how you would maintain consistency in content between any production and recovery systems;</li> <li>d) Provide anticipated target Recovery Point Objective and Recovery Time Objective.</li> </ul>
DS 10.	<b>High Availability/Zero Downtime.</b> Your Detailed Design must provide a high availability/zero downtime solution.
	<p>Please describe how your proposed IKM Solution will ensure availability of all services when they are needed, and address:</p> <ul style="list-style-type: none"> <li>a) The minimum technology requirements to deliver your high availability/zero downtime strategy, including minimum and optimum bandwidth requirements.</li> <li>b) How periodic maintenance is handled without interrupting system availability.</li> <li>c) How periodic enhancements and bug fixes are deployed without interrupting business continuity.</li> </ul> <p>Provide examples of where you have achieved this in the past.</p>

Ref.	Implementation Services Requirements
IS 1.	<p><b>Approach.</b> Inland Revenue is seeking your recommended approach to end-to-end implementation of the proposed IKM Solution, following an implementation cycle that extends from detailed design, through build and test services, and finally to go-live and Early Life Support.</p>
	<p>Please describe your recommended approach in a 1 – 2 page explanation with an overview diagram of your proposed implementation lifecycle, including key deliverables and activities as required.</p> <p>Please provide an indicative Stage 1 Project Plan, calling out any specific challenges or constraints in meeting the dates specified in Paragraph 17.2.</p> <p>The implementation approach/overview should reflect the stage and release approach proposed in any other sections of this RFP. In your response, please identify any implementation services to be performed by Inland Revenue.</p>
IS 2.	<p><b>Quality and Stage Gate Management.</b> As part of implementation, Inland Revenue will be defining a number of key quality and stage gates, and a complete review will be performed to confirm all required work has been completed to the expected level of quality. Refer to the proposed Test, Hypercare and Early Life Support Exit Criteria in relation to your response.</p>
	<p>In your proposal, identify the key quality and stage gates you recommend, the rationale and impact of including these and how you would plan and prepare for the successful transition through these implementation quality and stage gates.</p>
IS 3.	<p><b>Configuration Management and Development.</b> As part of the implementation lifecycle, there is a need to manage the various configuration changes required to deliver the Solution, against the defined requirements developed as part of Design.</p>
	<p>Explain your method for migrating Configurations, Customisations and Enhancements from one environment to another – e.g. development to test – and confirm that it is possible to granularly select what changes are migrated.</p> <p>Provide at least two examples from programmes of similar complexity and size, where you have undertaken similar work and clearly specify your responsibilities and the programme outcomes achieved.</p>
IS 4.	<p><b>START Case Management.</b> In addition to providing Core ECM to the two Target Audiences during Stage 1, the IKM Solution must include an integration point to receive content and metadata from START.</p>
	<p>Please describe how you will support the START Case Management implementation project, including your approach to delivering integration specifications, establishing a development environment, and providing suitable testing support.</p>
IS 5.	<p><b>Content Migration.</b> The Solution Provider will be responsible for content migration, in line with the agreed content migration strategy.</p>

	<p>Please confirm, and:</p> <ul style="list-style-type: none"> <li>a) Provide examples from implementations of similar complexity and size where you have been responsible for content migration.</li> <li>b) Summarise the split of responsibilities between your organisation and the client.</li> <li>c) Outline key learnings from these experiences as well as the key challenges you faced and how these were addressed.</li> </ul>
IS 6.	<b>Test Cycles.</b> As part of the implementation, there is a need to complete all required testing cycles, which will satisfy Inland Revenue's Quality and Stage Gate Exit Criteria (see <b>Appendix B2</b> ).
	Describe your capability, relevant skill-sets and experience in planning, preparing, executing and reporting on the specified test cycles.
IS 7.	<b>Test Planning and Execution.</b> As part of implementation, there is a need to complete test management including planning and execution.
	Describe your approach to test planning and confirm your capability, relevant skill-sets and experience.
IS 8.	<b>Defect Management.</b> As part of implementation, there is a need to manage the defects raised within the various test cycles across multiple releases and phases.
	<p>Describe your capability and experience in defect management. In your proposal, outline how you will manage the priority of defects across the various test cycles and how you will guarantee that all identified defects are fixed and verified prior to any progression (stage gate). Provide examples of entry and exit criteria for each key testing phase, making reference to your proposed test approach.</p> <p>Provide at least two examples from projects of similar complexity and size where you have undertaken similar work and clearly outline your responsibilities and the programme outcomes achieved.</p>
IS 9.	<b>Business Readiness.</b> This is the final preparation phase where readiness to 'go-live' with business and technology changes is assessed, then confirmed, including sign-off by key stakeholders. The Solution Provider must have a rigorous process for ensuring a successful go-live. This includes the ability to satisfy Inland Revenue's standard Business Readiness Criteria (see <b>Appendix B2</b> ).
	In your response, please refer to any 'go live' lessons learned from your recent experience implementing your Solution for clients of similar size and with similar requirements.

Ref.	Support Requirements
S 1.	<b>Hypercare and Early Life Support.</b> After each major deployment of new functionality or to additional user groups, Inland Revenue requires intensive Solution support for a minimum of four weeks to minimise business disruption and manage

	<p>the risk of issues occurring post go-live (Hypercare).</p> <p>An overall Early Life Support phase, including Hypercare, is expected to be provided for a period of 2-3 months after each major go-live.</p>
	<p>Please describe your approach to providing Early Life Support including a period of high touch Hypercare for a minimum of four weeks after each go-live.</p> <p>Please confirm that you will comply with the proposed entry and exit criteria for the following gates (see <b>Appendix B2</b>).</p> <p>a) Hypercare to Early Life Support.</p> <p>b) Early Life Support to BAU Support.</p>
S 2.	<p><b>Product Maintenance.</b> Inland Revenue expects product maintenance to be provided by the selected Solution Provider or product manufacturer, as appropriate.</p>
	<p>Please describe the product maintenance service you offer, including access to technical assistance, hours of support, and access to product upgrades, enhancement packs, and maintenance releases (based on a published product development roadmap).</p> <p>What formal and informal channels of support are available to Inland Revenue?</p> <p>What other support capabilities are available (e.g. including user communities, Wikis, blogs?)</p>
S 3.	<p><b>Application Management Services.</b> Application Management Services for your configured and implemented Solution is an optional component that Inland Revenue would like to consider.</p>
	<p>Please describe the Application Management Services you offer, including recommended support models, addressing:</p> <ul style="list-style-type: none"> <li>• Scope of application management offering.</li> <li>• Ability to have the application management team physically located in Wellington.</li> <li>• Extent to which application management extends to areas outside of the application software - e.g. access to specialist information management consultancy services.</li> </ul> <p>Please provide examples where this range of services has been delivered and describe the support model options you recommend. Note Inland Revenue's proposed support model in <i>Figure 5: Proposed IKM Support Model</i> and the proposed Service Levels in <i>Figure 6: Proposed Incident Service Levels</i>.</p>
S 4.	<p><b>Application Innovation.</b> In the Inland Revenue setting, Application Innovation means the service you offer to ensure that Inland Revenue can be involved in future product development.</p>

	<p>Please describe your approach to innovation. In particular, if Inland Revenue identifies an opportunity to innovate, how will this be managed and prioritised?</p> <p>Please provide your product roadmap, explaining how we will be kept up-to-date with product developments over a rolling two-year period.</p>
S 5.	<p><b>Training Services.</b> Inland Revenue requires training services from the Solution Provider to ensure that the Solution can be used effectively. This includes advice and guidance around an appropriate training approach, as well as creation of training materials and, where appropriate, delivery of training services</p>
	<p>Please describe the training services that you offer, including:</p> <ul style="list-style-type: none"> <li>• User training (train-the-trainer).</li> <li>• Records administrator training.</li> <li>• Technical Training.</li> </ul> <p>Drawing on your skill and experience, please explain the typical training challenges and risks, and describe how they can be mitigated.</p> <p>Support your response with examples of where you have successfully delivered training for users of your proposed IKM Solution.</p>
S 6.	<p><b>Training Content, User Documentation and Online Help.</b> Please describe the training content, user procedures documentation and online help content that you offer. Inland Revenue requires all such documentation to be:</p> <ul style="list-style-type: none"> <li>• Kept current and linked to current business processes.</li> <li>• Content-rich.</li> <li>• Easily accessible.</li> <li>• Clear and user-friendly.</li> <li>• Customisable by Inland Revenue, with intellectual property vested in Inland Revenue.</li> </ul>
	<p>Please identify the content that will be provided and explain how it will satisfy the Requirement.</p>

## Appendix A3 – Commercial and Legal Requirements

Please respond to each Requirement, following this table format if this is suitable for you. If you would prefer to use your own format, please make sure that you include the full Requirement and Reference at the top of each Requirement response.

If you are a member of the all-of-government ECMaaS panel, you are welcome to re-use information previously provided to Inland Revenue or DIA. If you wish to re-use existing or past information, we would ask that you copy & paste it into your Proposal so that we can evaluate it.

Ref.	Commercial and Legal Requirements
CL 1.	<b>Contract Structure.</b> Inland Revenue is seeking a single lead provider for the IKM Solution, but recognises that the components of the Solution may be from third parties. The Solution Provider must provide a diagram showing its proposed contract structure, including subcontractors and product providers.
	Respond: Provide diagram, with supporting explanation.
CL 2.	<b>Other Products and Services.</b> In the Pricing Response Spreadsheet, the Participant must list any software, hardware, telecommunications services or other items that Inland Revenue will be required to support the Solution, together with pricing. The Solution Provider must acknowledge that Inland Revenue is relying on this information and that the information is full and correct.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 3.	<b>Draft Master ICT Agreement (MSA).</b> The Participant must complete the Draft MSA Response Template, identifying any clauses in the Draft MSA (including the Draft Statement of Work) that the Participant is unable to comply with. A Participant must identify the clause it is unable to comply with, provide reasons for non-compliance and suggested alternative wording.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 4.	<b>Term.</b> Confirm that your proposal is based on initial term of the Draft MSA being a minimum three years.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.

CL 5.	<b>Negotiation Team.</b> The Participant must provide the names and job titles of its proposed negotiation team.
	Respond: Provide.
CL 6.	<b>Liability.</b> As provided in clause 14.2 of the Draft MSA, Inland Revenue requires that the maximum liability of the Solution Provider to Inland Revenue under or in connection with the Agreement, as an aggregate in respect of all events and breaches of the Agreement, is limited to 3 x the Fees paid and payable by Inland Revenue under the Agreement (including all Statements of Work).
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 7.	<b>Governing Law.</b> The Participant must agree that: <ul style="list-style-type: none"> <li>The Draft MSA will be governed by and construed in accordance with the laws of New Zealand.</li> <li>The licensing arrangements for the Solution will be governed by and construed in accordance with the laws of New Zealand.</li> </ul>
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 8.	<b>Precedence.</b> If there is a conflict between any contract negotiated and agreed by Inland Revenue and the Participant with any of the Participant's standard form or other contracts (including click-through, shrink-wrapped contracts), the former prevails.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 9.	<b>Solution and Design Warranty.</b> The Participant will be expected to: <ul style="list-style-type: none"> <li>a) Warrant that the Solution conforms to Inland Revenue's requirements, is of good quality, and is suitable for the use contemplated by Inland Revenue in this RFP.</li> <li>b) Warrant that each component of the Solution will perform in conformity with the requirements for the component agreed between Inland Revenue and the Participant.</li> <li>c) Warrant the reliability of any recommendation it makes in relation to the design, architecture and operating infrastructure necessary to meet the Requirements.</li> </ul>

	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 10.	<b>Services Warranty.</b> The Participant must warrant that it will provide the services and deliverables and perform all of its other obligations: a) In a diligent, efficient and professional manner. b) With due care, skill and diligence, and in accordance with Good Industry Practice. c) In accordance with all applicable timeframes and milestones set by Inland Revenue to deliver the Requirements.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 11.	<b>'Make Good' Period.</b> The Participant must offer a 'make good' period within which it will remedy any defects, at its own cost, to apply to services and deliverables, including the Solution.
	Respond: Describe
CL 12.	<b>Issue Resolution.</b> Inland Revenue seeks to develop and maintain a positive working relationship with the selected Provider.  The Provider(s) will be required to work with Inland Revenue and other third Parties in a manner that promotes a healthy working relationship and cooperative approach to issue resolution at each stage of the Programme.
	Please outline the number of times in the past two years where you have been involved in dispute processes with a client or other organisation. Describe the nature and outcomes of these disputes and any key lessons learned.
CL 13.	<b>List of Subcontractors.</b> The Participant must list all subcontractors through which services/deliverables to Inland Revenue will be provided. Provide the following details of any proposed subcontractors: a) Name and address of organisation. b) Location, including off-shore/onshore. c) Website address of organisation. d) Contact name, role within the organisation, telephone number and email address. e) Relationship with the third-party organisation and what agreements are in place.

	f) Nature of services/deliverables to be provided by the third-party.
	Respond: List (with details) or n/a.
CL 14.	<b>Competence.</b> The Participant must confirm that its proposed subcontractors are qualified and competent to deliver the relevant services and deliverables, and will be subject to Inland Revenue's approval.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 15.	<b>Background Checks.</b> When required by Inland Revenue, any of the Participant's personnel and/or subcontractors must successfully complete a background check, which may include tax compliance and criminal checks, prior to any assignment with Inland Revenue.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 16.	<b>Licence Agreements.</b> The Participant must provide all product licence agreements proposed by your product partners. Each licence agreement must be: a) Complete in itself without reference to separate documents (including hyperlinked information). b) Capable of being physically signed in printed document form.
	Respond: Provide and confirm FC or PC or NC If PC or NC: The Participant must explain why.
CL 17.	<b>Underlying Infrastructure.</b> The Participant's Solution licensing terms must not prevent, restrict or penalise Inland Revenue if it wishes to change or upgrade the infrastructure underlying the Solution.
	Respond: FC or PC or NC If <b>PC</b> or <b>NC</b> : The Participant must explain why and specify the potential associated impacts.
CL 18.	<b>Non-Production Licences.</b> The Participant must not charge any additional licence fee for non-productive use of the Solution, for example: a) Evaluation. b) Development. c) Disaster Recovery. d) Staging.

	e) Testing. f) Trialling.
	Respond: FC or PC or NC If <b>PC</b> or <b>NC</b> : The Participant must explain why and specify the potential associated impacts.
CL 19.	<b>Licence Portability.</b> The Participant's Solution licensing must, at no extra cost, allow access and information exchange across Government organisational boundaries.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 20.	<b>Changes to Licence Terms.</b> Any proposed change to the agreed licence terms must be mutually agreed in writing.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
CL 21.	<b>Compliance with Legislation.</b> The Participant must ensure that: a) Its organisation and any subcontractors will comply with all applicable laws, including the Employment Relations Act 2000, the Official Information Act 1982, the Privacy Act 1993, Tax Administration Act 1994, Commerce Act 1996 and the Public Records Act 2005. b) Subject to applicable laws, the Participant, other members of the Participant's group and the Participant's subcontractors will not use any child labour, prison inmates or criminals, nor shall it contract with any prison system to provide any services and/or deliverables.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.

## Appendix A4 – Pricing Requirements

Please respond to each Requirement, following this table format if this is suitable for you. If you would prefer to use your own format, please make sure that you include the full Requirement and Reference at the top of each Requirement response.

If you are a member of the All-of-Government ECMaaS panel, you are welcome to re-use information previously provided to Inland Revenue or DIA. If you wish to re-use existing or past information, we would ask that you copy & paste it into your Proposal so that we can evaluate it. Note that we do require the Pricing Response Spreadsheet to be completed specifically for this RFP response.

Ref	Pricing Requirements
P 1.	<p><b>Response Template.</b> The Participant must complete the Pricing Response Template in <b>Appendix C</b>, which covers the following pricing categories:</p> <ul style="list-style-type: none"> <li>• Resource Plan (including training).</li> <li>• Training-related deliverables.</li> <li>• Travel and Accommodation Costs and expenses (if any).</li> <li>• Licensing and assumptions.</li> <li>• Product Maintenance and assumptions.</li> <li>• Storage Costs.</li> <li>• Application Management Services and assumptions.</li> <li>• Inland Revenue effort estimates.</li> <li>• Third Party costs and assumptions.</li> <li>• Contingency (transparent, and appropriate to risk).</li> <li>• Any other assumptions.</li> <li>• Comparison pricing (any relevant pricing information from other central Government agencies for whom you have implemented the same or a similar solution).</li> </ul> <p><b>The Participant must ensure that its pricing figures are not included in any other part of its Proposal (including Executive Summary, etc.).</b></p>
	Respond: FC or PC or NC
P 2.	<p><b>Discounts.</b> The Participant must identify any discounts (including whole-of-business, public sector, etc.) that it has applied to its proposed pricing.</p>
	Respond: Identify/Confirm
P 3.	<p><b>Bill of Materials.</b> The Participant must warrant that the Bill of Materials provided under Requirement OR2 is the full and all-inclusive list of Solution components and</p>

	all other items that Inland Revenue is required to provide for the Solution to operate.
	Respond: Confirm, and take particular care to ensure all items required to be provided by Inland Revenue are itemised in the Pricing Response Spreadsheet.
P 4.	<p><b>Existing Licensing</b> The Participant must identify which, if any, of its proposed Solution components is already available to Inland Revenue under a current licensing arrangement. For each component, the Participant must specify:</p> <ul style="list-style-type: none"> <li>a) The date and reference number of its associated licence agreement.</li> <li>b) Its product life and maintenance status.</li> <li>c) Any product upgrade requirements.</li> <li>d) Any current licensing implications.</li> <li>e) Any associated future costs.</li> </ul>
	Respond: Identify, with details.
P 5.	<p><b>Pricing To Be Held.</b> The Participant's pricing must be held and available for acceptance for a minimum period of 12 months from 4 April 2016.</p>
	<p>Respond: FC or PC or NC</p> <p>If PC or NC: The Participant must explain why and specify the potential associated impacts.</p>
P 6.	<p><b>Travel.</b> The Participant must comply with Inland Revenue's Third-Party Travel Guidelines for all personnel deployed, which are available on request.</p>
	Respond: FC
P 7.	<p><b>Billing Agent.</b> The Participant must state if it plans to use a billing agent, identifying if the agent is a New Zealand registered entity and providing legal name and address.</p>
	Respond: Yes (with details) or No
P 8.	<p><b>Fixed Price for Licences or Licensed Services.</b> The Participant must:</p> <ul style="list-style-type: none"> <li>a) Provide a price that is fixed and certain for the duration of any agreement for the licences or licensed services described in the Bill of Materials.</li> <li>b) Confirm that Inland Revenue will be able to drawdown licences or services as required – i.e. 'pay-as-you-go', regardless of delivery model.</li> </ul>
	<p>Respond: FC or PC or NC</p> <p>If PC or NC: The Participant must explain why and specify the potential</p>

	associated impacts.
P 9.	<p><b>'No Surprises'.</b> The licensing regime for the Solution must:</p> <ul style="list-style-type: none"> <li>a) Be predictable, transparent and stable.</li> <li>b) Accommodate developments in technology without exposing Inland Revenue to additional charge. For example, Inland Revenue must not be penalised because users will be interacting with the Solution using a variety of constantly evolving devices and channels. This includes evolutions in hardware that result in the introduction of low cost, multiple CPU processors as cost effective replacements and/or enhancements to dated processors based on fewer CPUs.</li> <li>c) Be able to scale up and down nimbly within a constantly-changing environment.</li> <li>d) Allow Inland Revenue to monitor licensed usage easily – we are expecting the Solution Provider to ensure that there is no risk of underlicensing over the Solution's operational life.</li> </ul>
	<p>Respond: FC or PC or NC, with full supporting explanation. All assumptions must be fully detailed in the Pricing Response Template.</p>
P 10.	<p><b>Changes in Inland Revenue Usage.</b> The Participant must describe in detail how its licence pricing is affected by changes in user type or changes in sizing.</p>
	<p>Respond: Describe</p>
P 11.	<p><b>User Types.</b> The Participant must specify the user definitions it uses to determine pricing and access to functionality – e.g. superuser, administrator, standard user, etc.</p>
	<p>Respond: Describe fully, explaining the licensing and pricing treatment for each type of entity.</p>
P 12.	<p><b>Extensibility.</b> If the Participant releases any new software product or module that replaces the functionality all or part of the Solution, the licence for the Solution must extend to the replacement at no additional charge.</p>
	<p>Respond: FC or PC or NC</p> <p>If PC or NC: The Participant must explain why and specify the potential associated impacts.</p>
P 13.	<p><b>Structured T&amp;M Model.</b> Inland Revenue expects a structured time and materials model, under which Inland Revenue requires:</p> <ul style="list-style-type: none"> <li>a) Full transparency of the Solution Provider's resource estimates, together with all daily rates, plus travel and expenses.</li> <li>b) Full transparency of a reasonable contingency.</li> </ul>

	<p>c) All daily rates to be based on a professional working day, and other than IR-directed travel, travel time will not be billable.</p> <p>d) The Solution Provider to share risk (i.e. have 'skin in the game') through retentions and milestone payments.</p>
	<p>Respond: Confirm, with a particular emphasis on how you proposed to share risk.</p>
P 14.	<p><b>Firm Price: Stage 1 Design.</b> The Participant's pricing set out in the Pricing Response Template for all services and deliverables required to design the Stage 1 Scope must:</p> <p>a) Be a firm, reliable price on a structured time and materials model.</p> <p>b) Be the maximum time and materials price using the proposed rates.</p> <p>c) Include an appropriate contingency, to be calculated on a transparent, risk-based basis.</p>
	<p>Respond: FC or PC or NC</p> <p>If PC or NC: The Participant must explain why and specify the potential associated impacts.</p>
P 15.	<p><b>Firm Price: Stage 1 Implementation.</b> The Participant's pricing set out in the Pricing Response Template for all services and deliverables required to implement the Stage 1 Scope must:</p> <p>a) Be a firm, reliable price on a structured time and materials model.</p> <p>b) Be the maximum time and materials price using the proposed rates.</p> <p>c) Include an appropriate contingency, to be calculated on a transparent, risk-based basis.</p>
	<p>Respond: FC or PC or NC</p> <p>If PC or NC: The Participant must explain why and specify the potential associated impacts.</p>
P 16.	<p><b>Firm Price: Core ECM for Future Stages.</b> The Participant's pricing set out in the Pricing Response Template for all services and deliverables required to design and implement Core ECM after Stage 1 must:</p> <p>a) Be a firm, reliable price on a structured time and materials model.</p> <p>b) Be the maximum time and materials price using the proposed rates.</p> <p>c) Include an appropriate contingency, to be calculated on a transparent, risk-based basis.</p>
	<p>Respond: FC or PC or NC</p> <p>If PC or NC: The Participant must explain why and specify the potential associated impacts.</p>

	associated impacts.
P 17.	<b>Indicative Price: Broader IKM.</b> The Participant must provide an estimate in its Pricing Response Spreadsheet for all services and deliverables required to implement Broader IKM across Inland Revenue. Inland Revenue recognises that the detailed scope and sequencing has not yet settled, but it is important for our budget planning that we have an estimate for budget planning.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
P 18.	<b>Fixed Price for Product Maintenance.</b> The Participant must provide fixed pricing for product maintenance, explaining the basis of its calculation, what it includes, assumptions, service level options, term, any circumstances in which Inland Revenue would need to pay extra, and outline when those costs would be incurred.
	Respond: Provide summary, to be consistent with the information to be provided in the Response Templates.
P 19.	<b>Price Derivation.</b> If the Participant's support/maintenance price is a percentage of licence price, the licence price must be that agreed with Inland Revenue (i.e. not list), and the price must represent good value for money.
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
P 20.	<b>Maintenance Period</b> The Participant must: <ul style="list-style-type: none"> <li>a) Ensure that the chargeable maintenance period does not begin until the 'make good' warranty period for the related Solution component has been completed.</li> <li>b) Hold its maintenance charges for a minimum three years from completion of the 'make good' warranty period for the related software.</li> <li>c) Allow Inland Revenue flexibility to suspend and/or resume (at no additional cost) maintenance charges in specified circumstances – for example, where the licence is not being consumed.</li> <li>d) Allow Inland Revenue to terminate for convenience and without early termination fees on three months' written notice.</li> </ul>
	Respond: FC or PC or NC If PC or NC: The Participant must explain why and specify the potential associated impacts.
P 21.	<b>Maintenance Increases.</b> The Participant must clearly explain how it calculates

	any increases to maintenance charges after the held Maintenance Period.
	Respond: Explain fully.
P 22.	<p><b>Upgrades/Release.</b> The Participant must explain its approach to upgrades and releases, including:</p> <ul style="list-style-type: none"> <li>a) Any costs over and above the annual support and maintenance charge.</li> <li>b) What upgrades or releases are planned over the next three years, what charges do they attract and how complex or labour intensive are they likely to be.</li> <li>c) Whether the upgrades/releases are mandatory.</li> <li>d) The impact of not taking the upgrade/release.</li> </ul>
	Respond: Provide details, to be consistent with the information to be provided in the Pricing Response Template.
P 23.	<p><b>Full Licence Description/Repackaging</b> The Participant must confirm that:</p> <ul style="list-style-type: none"> <li>a) Its licence agreements will fully describe the licensed functionality, not simply the product name.</li> <li>b) Inland Revenue will not be charged for new releases and major upgrades that are predominantly a repackaging of already licensed functionality.</li> </ul>
	Respond: FC or PC or NC
	If PC or NC: The Participant must explain why and specify the potential associated impacts.
P 24.	<p><b>Operational Support</b> The Participant must describe and provide indicative pricing for Inland Revenue’s proposed support model in <i>Figure 5: Proposed IKM Support Model</i> on Page 37. The Participant is also encouraged to present and price its own recommended model(s) (e.g. fully outsourced, fully insourced, mixed).</p> <p>For each approach, please explain the basis of your calculation, what it includes, assumptions, service level options, term and any circumstances in which Inland Revenue would need to pay extra.</p> <p>Inland Revenue requires your proposed support model(s) to be in New Zealand time and to accommodate New Zealand hours of operation.</p>
	Respond: Provide details, to be consistent with the information to be provided in the Response Templates.
	Include the rebates you offer for failure to meet contracted service levels.
P 25.	<p><b>Training Content, User Documentation and Online Help.</b> The Participant must identify and provide pricing for provision of training content, user documentation and technical documentation.</p>

	Respond:	List the items proposed and explain the basis of your pricing calculation (what it includes, assumptions, service level options, term and any circumstances in which IR would need to pay extra).
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# Appendix B Other Information

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B1. Glossary
B2. Test Exit and Business Readiness Criteria
B3. Inland Revenue Fit/Gap Guidelines
B4. Draft Master Services Agreement
B5. IR822 Tax-Check Form
B6. Information and Knowledge Management Specification
B7. IKM User Ecosystem

## Appendix B1: Glossary

Term	Reference or Definition
Broader IKM	See Paragraph 1.2 on Page 4.
Business Transformation (BT) <b>or</b> BT Programme	Means the business-led, technology enabled change programme to implement the infrastructure and capability that will enable Inland Revenue to deliver a modern tax and social policy system as represented by 'IR for the future' (please refer to Part 2 of this RFP).
Configuration	Means making changes to the IKM Solution that do not require the development of functionality by programming in a compiled software language, and where such changes are fully supported via an upgrade path. Examples include configuring drop down lists, localising language and enabling or suppressing components of pre-developed business processes by placing a tick in a box.
Core ECM	See Paragraph 1.2 on Page 4.
Customer Experience	Means Inland Revenue's unauthenticated customer-facing websites, including (but not limited to) the IR website and social media channels.
Customisation	Means changes requiring the writing of code or changes to code. This can include: <ul style="list-style-type: none"> <li>• <u>Site specific customisation</u> that is performed to develop a client or location specific piece of functionality which is generally done as an adjunct to the core system, i.e. it does not impact the upgrade path. This typically includes site specific customisations for reports, forms and interfaces. Site specific customisations include specific additional functionality that can be enabled by Configuration and which can augment the configured functionality; and</li> <li>• <u>Core code modification</u> This is a fundamental change to the underlying code and generally has a major impact on the supportability and upgradeability of the software product.</li> </ul>
ECMaaS	Means the Enterprise Content Management as a Service offerings provided through a panel of providers through DIA.
Enterprise Repository	Means a single enterprise database for all semi-structured and un-structured content.
Enterprise Repository Search	Means the ability to search for content across the Enterprise Repository based on a defined set of criteria.
Enterprise Support Services Platform or ESS	Means technology (currently SAP) that delivers the non-core processing functions that support the broader Inland Revenue organisation (e.g. corporate finance, human resources, payroll, enterprise content management and web content management).
Enterprise Wide Search	Means the ability for authorised staff to search for content from multiple sources across the enterprise, such as

	databases and intranets, always maintaining the access restrictions of the source systems. Enterprise Wide Search must not preclude extensions to other systems in the future, as required. There is no current requirement for Enterprise-Wide Search to extend to START.
FIRST	Means the heritage mainframe processing environment based on Unisys COBOL 74/ALGOL/LINC and Unisys DMSII, with Oracle Fusion Middleware.
IaaS or Infrastructure as a Service	Means the mandated 'infrastructure as a service' sourced by the New Zealand Government (via DIA) for a vendor hosted and managed solution that allows agencies to buy their ICT infrastructure on demand.
IKM Solution or Solution	An integrated technology solution or combination of solutions that satisfy Inland Revenue's requirements, comprising Core ECM and Broader IKM.
New Service Platform (NSP)	Means the new technology platform that is being implemented by the Business Transformation Programme that IKM Solution will utilise.
Requirements	Means the requirements set out in <b>Appendix A</b> and elsewhere in this RFP.
START	Means Inland Revenue's implementation of FAST Enterprises' GenTax solution. It is architected on Microsoft's SQL Server platform using .NET architecture. START is the new processing platform to replace FIRST. The acronym stands for Simplified Tax and Revenue Technology.

## Appendix B2: Test Exit and Business Readiness Criteria

### Severity Levels During Testing

Severity Levels for Incidents/Defects During Testing	
1–Critical	A mandatory function is affected for process or data integrity and the impact is major. No further testing is possible until the severity 1 defect is corrected.
2–High	A significant function is affected and implications to the process of data integrity are major. Testing of the impacted module or system is prevented, but testing in other systems/modules is possible. No acceptable workaround exists.
3–Med	A function is affected but the process impact or data implications are minor, e.g. cosmetic errors on screen or a business function is affected but the implications to the process or data integrity are minor.
4– Low	Inconvenience factors such as minor layout error(s), misspelling in documentation or omissions.

### Proposed Test Execution and Test Phase Exit Criteria

Proposed Test Execution and Test Phase Exit Criteria	
<b>Test Execution</b>	<ul style="list-style-type: none"> <li>100% execution of high priority test cases.</li> <li>No more than 5% outstanding medium priority test cases.</li> <li>Low priority test cases completed on best endeavours (time permitting and as prioritised).</li> </ul>
<b>Incident and Defect Management</b>	<ul style="list-style-type: none"> <li>Each incident/defect will be allocated a severity depending on its impact on the business. These severity levels are from 1 (the most critical) to 4 (the least critical).</li> <li>Acceptable incidents/defects in each severity category have been rated as: <ul style="list-style-type: none"> <li>Severity 1: zero</li> <li>Severity 2: zero</li> <li>Severity 3: maximum of 3 per level 4 process</li> <li>Severity 4: no overall total specified</li> </ul> </li> <li>If any Severity 1 or 2 incidents/defects are outstanding, the exit review meeting will be expected to consider if the provided defect resolution plan and schedule allows for the exit to be met without causing a material impact on the Programme.</li> </ul>

**Business Readiness Criteria**

BRC Topic	Measure	
Site	Documentation	All programme, stage and release documentation is in place and all sites have confirmed readiness.
	Business Benefits	Benefits are clearly documented with measures in place to assess effectiveness of changes post go-live.
Process, Data & Metrics	Business Processes	Business processes are documented and stored in the approved repository and are readily available to support end users.
	Data Management – Data Validation	All go-live data has been verified as ready (conversion and migration activity).
	Data Management – Data Migration	Data migration testing is completed and verified by the business data owners or their delegates.
	Data Management – Tools & Documentation	Data migration tools are in place and all data has been documented.
	Go-live Transition	Data transition plans are in place.
	Quality Assurance	Data QA is complete and approved.
	Business Units	Business approval to commence the go-live has been received.
Business Deployment	Metrics	Metrics are in place to measure performance post go live.
	Business Units confirm readiness	All required stakeholders confirm support for go-live including readiness of their business units.
	Business Unit readiness assessment via Change	Readiness assessed provides the expected results and support the go-live decision.
Organisation & People	OCM - Communications	All communications are ready including contingency communications to all affected stakeholders.
	OCM - People	The people transition plan is being progressed or completed.
	OCM - Training	All teams trained to the agreed level.
	OCM – Documentation	All training documentation is complete and readily available.
	Infrastructure	All required infrastructure is in place and verified during testing.
Technology	Environments	All environments are in place and availability is confirmed.
	Network	As above
	Security	Security testing is complete.
	Build - Other	All planned development is completed.
	Testing – System	All system testing is complete and meets exit criteria.
	Testing – Integration	All integration (end-to-end) testing is complete and meets exit criteria.
	Testing – Regression	All regression testing is complete and meets exit criteria.
	Testing – User Acceptance and Production Verification	All User Acceptance and production verification testing is completed and meets exit criteria.

	Testing – Performance	All performance testing is complete and meets exit criteria.
<b>Support &amp; Service Levels</b>	Business Continuity Plans (BCP)	BCP in place
	Issues Management	Outstanding issues have agreed management plans. No red issues relevant to stage or release are outstanding.
	Support – Hypercare and Early Life Support	Support model in place and confirmed.

***Exit Criteria - ELS to On-going Application Management Services***

<b><i>Severity Rating</i></b>	<b><i>Exit Criteria</i></b>	<b><i>Comments</i></b>
Severity 1	Zero	n/a
Severity 2	Zero	n/a
Severity 3	Less than 3 per Level 4 Business Process	All severity 3 errors must be listed and provided with an acceptable time to resolve
Severity 4	No limit	All severity 4 errors must be listed and provided with an acceptable time to resolve

## Appendix B3: Inland Revenue Fit/Gap Guidelines

Fit to Business Requirements	Level of Effort – Configuration	Level of Effort - Customisation
1 = Good (High) fit to stated business requirements	1 = Exist in the IKM Solution with no change required	A = No customisation or enhancements required
2 = Moderate (Medium) fit to stated requirements	2 = Exist in the IKM Solution but requires moderate configuration	B = Exist in the IKM Solution but requires simple customisation or enhancements such a simple codes changes, interface development, forms, reports etc.
3 = Poor (Low) fit to stated business requirements	3 = Exist in the IKM Solution but requires complex configuration and/or specialist skills	C = Exists in the IKM Solution but requires moderate customisation or enhancements such a moderate codes changes, interface development, forms, reports etc.
		D = Exists in the IKM Solution but requires high customisation or complex enhancements including complex codes changes, interface development, forms, reports etc.
		E = Poor fit and as a result the functionality needs to be added to or removed from the IKM Solution
		F = Core code modification required, third party solution required or change Business Requirement/Policy

**Appendix B4: Draft Master Services Agreement**

Provided as a separate file.

**Appendix B5: IR822 Tax-Check Form**

Provided as separate file.

**Appendix B6: Information and Knowledge Management Specification**

Provided as separate file.

**Appendix B7: IKM User Ecosystem**

Provided as separate file.

# Appendix C

## Response Templates

Response Templates Structure	
<b>Requirements (Appendices A1 to A4)</b>	An MS Word Version of the RFP has been provided to assist in responding to Appendix A.
<b>Functional and Non-Functional Requirements</b>	An MS Excel Spreadsheet has been provided, which lists each FR and NFR, for self-scoring.
<b>Draft MSA</b>	An MS Excel Spreadsheet for capturing your comments and mark-ups.
<b>Pricing</b>	An MS Excel Spreadsheet had been provided, for completion.