



October 17, 2016

To: All Potential Bidders

From: Ken Discher, Issuing Officer

Subject: RFP1217542003 – Electronic application system for DNR Air Quality permits

Amendment One

NOTE: The following date concerning the RFP for an Electronic Application System has been extended. Please make note as you prepare and respond to the RFP.

The deadline to receive timely Vendor RFP proposal responses to RFP1217542003 has been extended and changed to MONDAY, NOVEMBER 7, 2016 AT 3PM CENTRAL TIME.

Please amend the subject RFP to include answers to the following timely received questions. This Amendment shall supersede, modify and/or change all requirements to the contrary in the RFP and associated documents.

1. **Question 1 (Q1):** The administrative portion of the RFP stipulates the DNR would like to license a software package. The Software Requirements Specification document is written in a manner that indicates the DNR seeks to develop a custom software package (for example, modules are identified and highly detailed requirements are defined). The DNR staff has indicated that at the time the requirements document was created, the DNR intended that a custom application would be developed. Is a new requirements document being created that will align with the methodology of licensing a package instead of developing a custom application? Is it correct that the DNR seeks to purchase an existing software package?

Answer 1 (A1): a) No

b) Yes. Please refer to RFP Section 1.4.1 pages 8 and 9.

In addition, the DNR would like to clarify that the Attachment 6 “Software Requirements Specs-SRS” document did not necessarily contemplate the development of a custom application, but rather was offered to potential vendors to share the DNR’s findings that could help inform various potential solutions.

2. **Q2:** (RE: RFP Attachment #10-General T&Cs, Section 12.4) Does the DNR require that the DNR take full legal ownership of the system with the Contractor giving up all rights associated with the system? See section 12.4 of the General Conditions of the required Contract (page 8).

A2: Depending upon the nature of the vendor’s proposal, a Service Level Agreement (SLA) may be appropriate for all or part of the system.

3. **Q3:** Does the DNR require that the DNR has the right to give the code base to other government organizations for their use, without incurring additional costs?
A3: Depending upon the nature of the vendor's proposal, a Service Level Agreement (SLA) may be appropriate for all or part of the system.
4. **Q4:** Is the vendor required to deliver a full copy of the source code to the DNR?
A4: DNR's access to the source code will depend on the nature of the vendor's proposal.
5. **Q5:** What are the application and database hosting requirements?
A5: Please refer to Attachment 17 "StandardsForThirdPartyApplications." The DNR does not expect vendors to rewrite an application to follow our standards/naming conventions. The DNR does want to ensure we receive a quality product.
6. **Q6:** At the end of the contract period, may the DNR continue to utilize the system without incurring licensing fees?
A6: Depending upon the nature of the vendor's proposal, a Service Level Agreement (SLA) may be appropriate for all or part of the system.
7. **Q7:** (RE: RFP Section 4.3.14) Please provide detailed technical information about the required integration to the system currently used to accept online payments.
A7: Please refer to Attachment 12 "1 ePayment_USBank". Unless the vendor is paying for all of the costs of accepting credit cards, and those fees are not being passed on to the consumer as a convenience fee, the DNR prefers to use its own ePay application and merchant account.
8. **Q8:** (RE: RFP Section 4.3.14) How will the DNR determine if the software package conforms to PCI DSS rules?
A8: The DNR invites vendors to propose Payment Card Industry Data Security Standard (PCI DSS) compliance assurance plans.
9. **Q9:** (RE: RFP Section 4.3.14) Must the software package be certified as PCI compliant?
A9: The DNR invites vendors to propose Payment Card Industry Data Security Standard (PCI DSS) compliance assurance plans.
10. **Q10:** (RE: RFP Section 4.3.27) Please provide detailed information about the structure of the databases from which data must be migrated.
A10: Please see Attachment 15 "SPARS_DataModel" and updated Attachment 9 REVISED – Data Flow Module. Also, please see Attachment 13 "Construction Project Tracker" and Attachment 18 "Title V Permit Database" for example project tracking information maintained in the DNR's Title V Permit and Construction Permit Microsoft Access Databases.

11. **Q11:** (RE: RFP Section 4.3.28.5) We consider the identity of our private sector clients and our employees to be confidential, as knowing these would provide a competitive advantage to our competitors. If we share the names of private sector clients and indicate this is confidential information, will these be kept confidential by the State of Iowa?
A11: Vendors are to follow the directions in RFP Section 2.20 Public Records and Requests for Confidential Treatment and RFP Attachment #3 Form 22.
12. **Q12:** Are any integrations with the State of Iowa Accounting System used by the DNR required? If so, please detail the integration requirements.
A12: Please refer to Attachment 12 "1 ePayment_USBank" for technical information.
13. **Q13:** What are the general technology requirements? For example, what database and development language technologies are permitted or required?
A13: See answer to question Q5.
14. **Q14:** What system security requirements must be in place? Will the State of Iowa utilize a security scanning tool to identify security vulnerabilities? If so, please detail the process that will be used.
A14: The State uses the following security scanning tool: Open Web Application Security Project (OWASP). Please refer to Attachment 17 "StandardsForThirdPartyApplications."
15. **Q15:** In their preliminary research, what software packages have the DNR staff members identified that may provide a good option for consideration?
A15: State is unable to provide additional information.
16. **Q16:** What software packages have been demonstrated to the DNR staff?
A16: State is unable to provide additional information.
17. **Q17:** What software packages have the DNR staff observed in use by other organizations?
A17: DNR staff is aware that other states may have electronic permit applications available to the public.
18. **Q18:** (RE: RFP Attachment #6-SRS, Section 2, page 23) (reusable code) Will the DNR have the right to reuse the code that makes up the software package?
A18: Depending upon the nature of the vendor's proposal, a Service Level Agreement (SLA) may be appropriate for all or part of the system.

19. **Q19:** Please provide technical details about the required integrations (data components, data validation rules, frequency, technologies, database location):

- a. DNR enterprise wide mapping solution.
- b. Stack Test Database.
- c. Construction Permit Search.
- d. One Stop Data Warehouse.
- e. SLEIS
- f. AQWebApps

A19: Please refer to Attachment 9 REVISED “Data Flow Modules” for specifics about dependent downstream systems.

20. **Q20:** What is the scope of the technical support and maintenance that must be included in the Annual Costs within the Cost Proposal?

A20: The DNR invites vendors to make proposals.

21. **Q21:** (RE: RFP Attachment #11, Section 7) Section 7 allocates all fees to services. Where in any of the agreements are the terms related to the costs and ownership of software licenses?

A21: Depending upon the nature of the vendor’s proposal, a Service Level Agreement (SLA) may be appropriate for all or part of the system.

22. **Q22:** What is the estimated number of years the system will be in use by the Iowa DNR? Why is the DNR requesting license related fees for just a 4-year period?

A22: DNR believes 4 years is a reasonable timeframe for future costs. Estimating future costs of any consumable service or product beyond four years would likely not be reliable.

23. **Q23:** What firm developed the system that is currently being used?

A23: Windsor Technologies developed SPARS desktop client and SciCon developed the SPARS web client.

24. **Q24:** What is the total number of users?

A24: Per RFP Section 4.3.27, pages 28 & 29, the current system has 4,914 facilities with a minimum of one user per facility. The DNR has approximately 100 internal users that will also need access to the system.

25. **Q25:** What is the anticipated budget for this system? Can the state share information regarding any federal funds that will be utilized for the project?

A25: This information is not available at this time.

26. **Q26:** The Software Requirements Specification (SRS) (RFP Attachment #6) was described during the pre-proposal conference call as more of a high-level system overview and it was stated that not all the specifications in the SRS would be considered mandatory requirements. Can the State elaborate on this discussion and how the SRS requirements relate to the scored specifications in RFP Section 4.3?

A26: Vendor’s proposed solution is required to continue to collect the information requested in the current DNR permit application forms (Attachments 7a, 7b, 7c, 8a & 8b). The SRS describes

one way that this could be accomplished in sections 3 and 4. DNR requests Vendor's to propose alternate means where appropriate or necessary.

DNR asks vendors to review the goals of the project that are described in sections 1.2 and 1.3 beginning on page 5 in the SRS. Where Vendor's proposed solution differs from SRS, DNR requests Vendor to describe how the solution meets the desired outcome for the project.

This amendment to the RFP will strike out SRS Section 2.1 line item NF4.3 (page 24) as it is in conflict with the DNR desire to decommission AQWebApps, as stated in SRS Section 2.4 line item Decom4 (page 25).

Section 2.2 in SRS describes system functions needed in order to provide what DNR considers a positive user experience. Where Vendor's proposed solution differs from the SRS, DNR requests Vendor describe how the solution meets the desired outcome for the project.

27. **Q27:** RFP Section 1.4.1 indicates that "The Participating Agency prefers an Off the Shelf product with minimal customization required that is sharable, configurable, and scalable for other environmental permitting media." The SRS (RFP Attachment #6-Section 2, #1 on page 23) further states that ""Since many of the permitting components across different environmental media are similar, other agencies that have an interest in implementing similar e-Application systems will be able to utilize the framework, modules, system architecture, programming code, documentation, and lessons learned from this project." It is unlikely that vendors will be willing to freely share source code for licensed off-the-shelf products. Can the State clarify the preference for an off-the-shelf product rather than shareable source code?

A27: DNR has a preference to purchase an Off the Shelf product that can be configured to our specific agency use with minimal customization.

28. **Q28:** (RE: RFP Attachment #6 –SRS, page 5) Will there be any data exchange requirement between the e-Application and SLEIS? If yes, please elaborate the requirements.

A28: Yes. Both systems will store equipment and emissions data for facilities that apply for air quality permits (new e-Application system) and that are required to submit emission inventory reports (SLEIS) to the DNR. Therefore both systems must interact and data integrity must be maintained.

29. **Q29:** (RE: RFP Attachment #6 –SRS, page 5) Will there be any data exchange requirement between the e-Application and One Stop Data Warehouse? If yes, please elaborate the requirements.

A29: Yes. The DNR anticipates a one way data flow from the e-Application system to the One Stop Data Warehouse. Refer to Attachment #9 REVISED for additional details.

30. **Q30:** (RE: RFP Attachment #6 –SRS, page 5) Will there be any data exchange requirement between the e-Application and Field Office Compliance Database (FOCD)? If yes, please elaborate the requirements.

A30: Yes. The DNR anticipates a one way data flow from the e-Application system to the Field Office Compliance Database. Refer to Attachment #9 REVISED for additional details.

31. **Q31:** (RE: RFP Attachment #6 –SRS, page 5) Will there be any data exchange requirement between the e-Application and Stack Test Database? If yes, please elaborate the requirements.

A31: Yes. The DNR anticipates a one way data flow from the e-Application system to the Stack Test Database. Refer to Attachment #9 REVISED for additional details.

32. **Q32:** (RE: RFP Attachment #6 –SRS, page 5) Is it correct that the end point of the e-Application system shall be permit issuance? If not, please elaborate functions required to support post permitting activities.

A32: This is not correct. The end point of the e-Application shall be the collection of permit applications, technical review of permit applications, and storing permanent records of permit applications. Please refer to Attachment #6, page 5, Section 1.2.2 Exclusions, “e-Application will not diminish the role of Environmental staff in performing technical review of permit applications or in writing permits.” DNR requires reporting functionality as post permitting activity (refer to RFP 4.3.21 and 4.3.22) as well as providing data to dependent downstream systems to maintain integrity of essential information (refer to RFP 4.3.23).

33. **Q33:** (RE: RFP Attachment #6 –SRS, page 9) On page 9 the SRS states, “All Database tables will continue to follow the DNR C# and SQL database standards...”. Question: COTS product has been built with its own database structure and tables. Please elaborate what should the vendor do to comply with this standard?

A33: See Attachment 17 “StandardsForThirdPartyApplications.”

34. **Q34:** (RE: RFP Attachment #6 –SRS, page 9) On page 9 the SRS states, “Interaction with One Stop Data Warehouse will meet the One Stop Standards (Facility Explorer).” Please elaborate the requirement.

A34: The One Stop Data Warehouse is a Microsoft SQL Server Database. Please refer to Attachment 16 “sql_prog” and Attachment 14 “One Stop Standard Requirements.”

35. **Q35:** (RE: RFP Attachment #6 –SRS, page 9) On page 9 the SRS states, “Interaction with Stack Test Database will meet SQL Standards.” Please elaborate the requirement.

A35: The Stack Test Database is a Microsoft SQL Server Database. Please refer to Attachment 16 “sql_prog.”

36. **Q36:** (RE: RFP Attachment #6 –SRS, page 9) On page 9 the SRS states, “Interaction with Records Center Database will meet SQL Standards.” Please elaborate the requirement.

A36: The Records Center Database is a future project that will conform to DNR SQL Standards. Please refer to Attachment 16 “sql_prog.”

37. **Q37:** (RE: RFP Attachment #6 –SRS, page 9) On page 9 the SRS states, “System will interact with SLEIS without changing user interface.” Please elaborate the requirement.

A37: The DNR is not replacing the current system for emissions inventories. Therefore both systems must interact and data integrity must be maintained. See answer to Q28.

38. Q38: (RE: RFP Attachment #6 –SRS, page 24) On page 24 the SRS states, “System will be built to push data to AQWebApps” and on page 25 the SRS states, “AQWebApps will be archived and removed from Air Quality Employee Manual website”. Will the data push to the AQWebApps be required? If yes, please elaborate the content of data the e-Application shall push to the AQWebApps.

A38: The DNR does not envision the new system will “push data to AQWebApps.” As requirements were gathered, it became evident that AQWebApps can be decommissioned after the new system is in place because the new system will have its own user management interface and reporting features.

39. Q39: (RE: RFP Attachment #6 –SRS, page 24) On page 24 the SRS states, “System will be built to push data to records center database.” Please elaborate the content of data the e-Application shall push to the records center database.

A39: See answer to Q36.

40. Q40: (RE: RFP Attachment #6 –SRS, page 24) On page 24 the SRS states, “System will allow Agency Admin User to add/edit/delete records in data flows to dependent systems as requirements change.” Please provide the nature or examples of add/edit/delete records in data flows to dependent systems as requirements change? What must the e-Application do to meet this requirement?

A40: The vendor solution shall enforce data integrity among related systems concerning record changes such as Facility Name Changes, Facility Contact changes, changes to equipment names & descriptions, changes to emission calculations, etc. The vendor solution shall allow data flows to be modified concurrent with changes in e-Application user interface and form changes.

41. Q41: (RE: RFP Attachment #6 –SRS, page 24) On page 24 the SRS states, “Change control process will allow changes in user interface to be in production within 30 days of start.” Please explain the meaning of 30 days of start.

A41: Changes to user interface shall be able to be initiated, configured, tested, and deployed to production within 30 days of request. This is a benchmark desired by internal and external stakeholders.

42. Q42: (RE: RFP Attachment #6 –SRS, page 24) On page 24 the SRS states, “Change control process will allow changes in application forms to be in production within 15 days of start” Please explain the meaning of 15 days of start.

A42: Changes to online permit application forms shall be able to be initiated, configured, tested, and deployed to production within 15 days of request. This is a benchmark desired by internal and external stakeholders.

43. Q43: (RE: RFP Attachment #6-SRS) Will it be possible for DNR to use the SRS requirement list to flag requirements that are considered “Mandatory”, “Highly Desired”, “Nice to Have”?

A43: See answer to Q26.

44. Q44: (RE: RFP Attachment #6 –SRS, page 29) On page 29 the SRS states, “User can pay invoice for billed hours online using invoice number.” Should the e-Application generate invoice? If yes, please elaborate the DNR procedures to calculate the invoice amount and the data used to generate the invoices.

A44: It is not mandatory; however, if the vendor proposed solution has the built-in capability DNR may be interested in using it.

Permit Application fees depend upon the type of facility applying for an air quality permit and the type of permit in question. Please refer to the Air Quality Fee Schedule available at: <http://www.iowadnr.gov/Environmental-Protection/Air-Quality/Air-Quality-Fees> .

45. Q45: (RE: RFP Attachment #6 –SRS, page 32) On page 32 the SRS states, “Drop Down List: Title V Initial, Title V Renewal, Construction Permit Initial, Title V Supplemental Information, Title V Administrative Amendment, Title V Minor Permit Modification, Title V Significant Permit Modification, Rescission, Variance; CP Other Complex; CP Standard, CP PSD/NA-NSR Complex; Other Complex Type (dependent drop down list): SIP, PSD Synthetic, Title V Synthetic, Greenfield biofuel, Netting, Legal, Compliance, Consent Decree; Type of Application table includes billable rate by type of application for management reports.” The RFP provides Title V permit application forms and Construction permit application forms. Please confirm the scope of e-Application:

- List all applications that must be included
- Provide example application forms required for each application in scope
- Provide workflow description associated with each application
- Provide example final permit documents required for each application

A45: The question references specific information in Attachment 6 “SRS” that lists internal designations for types of applications in order to track a projects’ work effort. These are not additional types of permit applications.

- All available permit application forms were provided as attachments to the RFP.
- Workflow Description associated with each application is found in Attachment 6 “SRS”, pages 12-22, Section 1.9 Business Process Flow Diagram
- Final Permits are available using information in the RFP page 27, Section 4.3.20

Copies of project tracking databases containing pseudo permit data will be posted for vendors to use when proposing project tracking module.

46. Q46: (RE: RFP Attachment #6–SRS, page 35) Section 3.7.1 Report Module Process states, “Examples of current standard reports are available at [Select DNR-Air Quality Databases](#). “ The RFP example report link is broken. Please provide example standard reports required by the project.

A46: The SRS inadvertently contained a link to an internal resource. On page 35 of SRS, STRIKE following language, “Examples of current standard reports are available at [Select DNR Air Quality Databases](#).” Please use Attachment 6 “SRS”, pages 35-36, Section 3.7.2 Report Module Requirements, as a basis for proposing standard and ad hoc report functions. A sample report, Attachment 19 “TV Potential Emissions,” showing potential emissions for a test Title V facility, is attached.

47. **Q47:** (RE: RFP Attachment #6–SRS, page 40) On page 40 the SRS states, “Data Flow requirements are found in Attachment 9-Data Flow Modules.” Will all the data flows be one directional flow? That is from the e-Application system to each of external systems? If not, please elaborate which system will flow data to the e-Application, processes, and data elements.

A47: All data flows are one directional, with the exception of the emissions inventory reporting system, SLEIS, which will need to be bi-directional. See answers to Q28 and Q37.

48. **Q48:** (RE: RFP Attachment #6–SRS, page 55) Concerning #N3.4 Emission Calculations. Will the e-Application be required to calculate emissions when the emission factor is used?

A48: Yes.

49. **Q49:** (RE: RFP Attachment #6–SRS, page 56) Concerning Section 4.6 Dispersion Modeling Module. Our understanding is that the project scope is to collect data needed by the air dispersion modeling. The dispersion modeling function will not be in the project scope. Is this correct?

A49: We do not expect the new e-Application system to perform any dispersion modeling functions. It should be able to collect the data and have the ability to export the data in a consistent and accurate manner for staff to run the models. Please see the Dispersion Modeling forms in Attachment 7a.

50. **Q50:** (RE: RFP Attachment #6–SRS, page 60) Concerning Section 5.1.1 What to Migrate. It states, “DNR would like to solicit cost estimates to migrate the following sets of data.” Please clarify the type of cost data DNR is looking for.

- Vendor to complete all data migration?
- Vendor to provide data migration based on time & material, including advisory role or script development or data verification?
- If others, please specify.

A50: Within the RFP please refer to page 42 in Attachment #5 Vendor Cost Proposal.

51. **Q51:** (RE: RFP Attachment #6–SRS, page 60) Concerning Section 5.1.2 Migration Source. It states, “DNR has three sources of data for migration

- MS Access
- SLEIS
- SPARS”

Please provide E-R diagrams for the above data sources to allow proper estimate of work scope.

A51: See answer to Q10.

52. **Q52:** Will DNR require a fixed price cost estimate? Or a time-material cost estimate?

A52: Refer to Attachment #5 Vendor Cost Proposal within the RFP for the cost information vendor is required to submit.

53. **Q53:** Does DNR have a desired date for the e-Application system to go live?

A53: Per Attachment #5 Vendor Cost Proposal within the RFP, “go live” target date is January 1, 2018.

54. **Q54:** Will the DNR be willing to share the project budget at this point?

A54: This information is not available at this time.

55. **Q55:** Could DNR please share the proposal scoring matrix and weight factors for each evaluation criteria?

A55: As explained during the pre-proposal conference, vendors that participated in the conference will receive an email just before the proposal due date and time that will outline the points assigned to the technical and cost proposals.

56. **Q56:** Would the DNR please consider to extend the proposal due date for 1 more week?

A56: Yes. See beginning of this Amendment One. The proposal due date has been changed to 3PM Central on November 7, 2016.