**Request for Proposal (RFP)**

DS01-213 - Legalisation

CUSTOMER REQUIREMENTS

# OVERVIEW:

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| Project Lead: | Lucy McCormack |
| Customer: | FCO Consular Directorate |
| Delivery Location: | UKFCO Consular Directorate is open to proposals from suppliers about how they might combine on- and off-site work |
| Phases:  | Alpha, Beta and Live |
| Project:  | DS01- 213 - Legalisation |
| Required Capabilities: |  Software engineering and On-going Support Agile Delivery Management |
| Subcontracting Permitted? | [x] Yes [ ] No |
| Supplier Partnering Permitted? | ☐Yes [x] No |
| Contract Charging Mechanism (Alpha Phase): | Capped Time and Materials |
| Contract Charging Mechanism (Beta Phase): | Capped Time and Materials |
| Contract Charging Mechanism (Live Phase): | Time and Materials |
| RFP Start Date:  | 24/04/2015 |
| RFP Response Deadline | 11/05/2015 |
| Proposed Commencement Date of Project: | 08/06/2015 |

# WHATS INCLUDED

Appendix A – Customer Requirements (this document)

Appendix B – Pricing Matrix (template to be completed)

Appendix C – Award Questionnaire (template to be completed)

Appendix D – Order Form and Call-Off Contract (Customer specific)

# LOTTING STRUCTURE

## The Customer has structured this procurement as follows:

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| **Lot 1**  | Software Engineering and Ongoing Support Agile Delivery Management  |

# TIMESCALES

The Customer or CCS may change this timetable at any time. The Potential Provider will be informed by email if there are any changes to this timetable.

## It is the Potential Provider’s responsibility to monitor the online messaging facility (e-Sourcing).

# KEY DELIVERY DATES

The following dates for phases are **indicative not prescriptive** and we welcome your interpretation of how and when you could deliver the requirements. For example, the alpha may prove to be shorter if we are able to move from prototype and planning to build sooner. Also please note that the exact start date is **not confirmed** as there are several dependencies which will influence that date.

Please note also that we would expect team makeup to vary at different stages as required, and we do not necessarily anticipate 100% resource utilisation for each team member throughout the periods below, especially given several dependencies and integration points. Our view is that this project suits a relatively small sprint team.

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| PROJECT PHASES | START DATE | COMPLETION DATE |
| [Discovery](https://www.gov.uk/service-manual/phases/discovery.html)  | 17/11/14 | 30/04/15 |
| [Alpha](https://www.gov.uk/service-manual/phases/alpha.html) | 08/06/15 | 31/07/15 |
| Private [Beta](https://www.gov.uk/service-manual/phases/Beta.html) | 03/08/15 | 09/10/15 |
| Public Beta | 12/10/15  | 18/12/15 |
| Live  | 21/12/15 | 01/01/16 |

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# CURRENT SITUATION / BACKGROUND INFORMATION

# STRATEGIC CONTEXT

1. The Legalisation Office (LO) is the FCO’s largest single customer-facing operation. Legalisation is the official confirmation that a signature, seal or stamp on an official document is genuine. Confirmation is given by attaching a certificate (called an apostille) to the original document.
2. The LO is a process-driven operation that resides with the FCO because of a historical decision - the 1961 Hague Convention on International Law designated the FCO as the Competent Authority to carry out Legalisation work. The LO issues around 450,000 apostilles a year. The LO operates out of two locations – one in Milton Keynes and one in London. The Milton Keynes office processes postal applications and operates a counter service for business customers (applications are processed within 24 hours). The London office exclusively provides a ‘same day’ counter service for premium business customers.
3. The LO presents a continual challenge to operate. Volumes are rising at an average of 6% per year, with 10% growth in FY 13-14. Resourcing this growing business from within the FCO is problematic because it means moving more staff away from front line work. Resourcing the business through recruitment is problematic due to headcount caps. We have little reliable data about future trends in volumes, but annual increases have been sustained for the last 15 years, driven by increasing prosperity, increasing migration and increasing requirements from other states for documents to be legalised. A draft EU Directive to remove the requirement for legalisation of EU civil status documents may reduce volumes by up to 15% on implementation, but would have no impact on the volume of other documents, or legalisations of civil status documents for use in other countries.
4. At present, Legalisation work is undertaken by a team of 38 through a labour intensive process. The team deliver an excellent service, processing over 98% of applications within 48 hours with error rates in fractions of one percent. However, many of the business’ processes have a heavy reliance on manual paper based methods and off-line management information reporting tools.
5. The LO sees opportunities to invest in new technologies to make its processes vastly more efficient and to align the LO operation with the Cabinet Office digital by default agenda.
6. A 2014 business and IT review of the LO resulted in a set of recommendations aimed at improving the efficiency of the LO and the customer experience, including:
	1. Digitising the customer application process to improve the customer experience;
	2. Improving integration of LO IT services to reduce data duplication, minimise paper based processes and eliminate the need for resource intensive data rekeying;
	3. Reducing or removing the need for off-line management information reporting by improving the functionality of LO IT systems;

# PROJECT DELIVERY APPROACH

1. The LO and FCO’s Consular Directorate have commissioned a project to support the LO in delivering on the recommendations of the review, with the expected benefits to include:
	* Improving the customer experience through digitising the customer application process;
	* Improving LO efficiency through integration of the customer application process with the Legalisation database;
	* Improving the customer experience by integrating the payments service into the customer application system;
	* Improving management information capability on LO IT systems to minimise inefficient paper based and offline management information reporting processes.

# DIGITISING AND INTEGRATING THE CUSTOMER APPLICATION PROCESS

1. The customer application form is currently downloaded from the Legalisation pages of gov.uk and filled in by the customer, either electronically or by hand, and then posted to the LO with the document(s) to be legalised.
2. Details entered onto the form by the customer have to be rekeyed into the LO database by LO staff, who often have to decipher hard to read hand-written information. A legalisation officer takes an estimated average of 30 seconds to check if the customer’s details already exist on the Legalisation database, and if not there, key in the customer’s details. This equates to over 150 days a year.
3. Digitising the customer application form, using a web based user interface, allows for the integration of customer application and application processing systems (known as the Legalisation database), eliminating the need for LO staff to rekey data and delivering the additional benefit of a digital user interface that conforms to the Cabinet Office digital by default agenda.

# INTEGRATING THE PAYMENTS SERVICE

1. The LO use Barclaycard’s EPDQ payments service, a web based application that has no connectivity to the rest of the LO IT estate. Customers access the payment service from the Legalisation pages of gov.uk. After presenting their payment details they receive a payment reference number which must be submitted with the customer application form and documents to be legalised. The EPDQ application does not take the payment from the customer at this point, but performs a card authorisation process; only when the apostille is produced and ‘shipped’ is the payment actually taken.
2. The customer ‘journey’ is not smooth, and customers have to navigate through several distinct URL’s to complete the payment process and download the application form (further steps are required if the customer needs to review related guidance). Integrating the payments process with the application process, and providing access to online guidance at each step in the process, will provide a more intuitive and streamlined customer experience.
3. Note that EPDQ will be replaced by the Barclaycard SmartPay tool in 2015; integration of the payments service with the customer application process will begin once the SmartPay tool has been introduced.

# IMPROVING MANAGEMENT INFORMATION CAPABILITY

1. Integrating the LO IT services will reduce the amount of off-line data capture as it will be much easier to link application and payment information together, and to view and report on them. The development of a new online application process must include the ability to push reporting data to third party services such as the LO backend tool, the public GOV.UK Performance Platform and potentially an additional third party reporting suite, Mazepoint. It must also have comprehensive instrumentation of customer interactions on the web pages using Piwik Analytics.

## CURRENT ARTIFACTS

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## USER STORIES v2-2



# CURRENT TECHNOLOGIES AND LANGUAGES

The current application process involves downloading and completing a Microsoft Word application form, so there are no current technologies to consider – we expect the customer application system to be built from scratch, making use of established design patterns for GOV.UK.

The customer application system will need to integrate with the Legalisation database, the primary tool for producing apostilles. This is currently a Microsoft IIS/SQL application, cloud hosted on an IL3 platform on the FCO estate in the UK (managed by FCO Services, a trading fund of the FCO). We are reviewing the options for the future of the database in parallel to this procurement, and there is the possibility that the underlying tool may switch to a case management platform provided by Iizuka instead. Regardless, the goal for our supplier will be the same: the project aims to remove the need for legalisation officers to rekey any data provided by the customer – integration between systems means the automated transfer of customer application details to the Legalisation database to enable subsequent creation/amendment of Legalisation database customer transactions.

The customer application system will also have to integrate with the Barclaycard SmartPay solution, through a published API which Barclaycard will supply.

The customer journey begins on the legalisation pages of gov.uk – the customer application system will need to integrate with GOV.UK to ensure a smooth hand-off from gov.uk to the customer application system, and adhere to digital by default service standards.

The FCO uses the hosting provider Skyscape for digital service hosting, in the UK. Unless there is a sound value for money argument to use another provider then we would expect the customer application system to be hosted in this environment – the solution must therefore be compatible with the Skyscape hosting architecture.

# REQUIRED OUTCOMES

The project will deliver the following:

* Digitising the customer application process;
* Integrating the customer application process with a downstream legalisation IT system (the Legalisation database);
* Integrating a payments service with the customer application process;
* Providing management information reporting on the customer application process;

All development work will meet the FCO’s requirements for:

* Performance
* Availability
* Security
* Capacity
* Accessibility
* Reliability
* Standards compliance

# DIGITISING THE CUSTOMER APPLICATION PROCESS

The customer application process currently involves customers downloading a Microsoft Word based application form from the legalisation pages of GOV.UK, filling it in (either by hand or electronically) and then submitting it by post to the legalisation office. The project will replace this method with a digitised customer application process, in accordance with the digital by default service standards, and provide guidance to customers during each step of the process.

A small number of customers use the legalisation service regularly and for those, the application process will provide the capability to store their details so that they can submit applications more quickly. This may need to make use of the [Verify platform](https://www.gov.uk/government/publications/introducing-govuk-verify/introducing-govuk-verify), subject to that platform meeting our needs for business users.

## INTEGRATING THE CUSTOMER APPLICATION SYSTEM WITH DOWNSTREAM LEGALISATION IT

The project will deliver an interface between the customer application system and the primary Legalisation Office IT system, enabling the electronic transfer of data entered by the customer to the Legalisation Office system to support automatic record creation in the downstream system. The supplier will be expected to work with the Legalisation Office IT system’s management team to design and implement an appropriate standards based interface. Successful delivery of this component is expected to save significant time for Legalisation Office staff that currently has to enter customer details manually.

We expect that the customer application system will still need to generate a paper output of the application process to be submitted by customers with the documents they need to have legalised (documents submitted by customers are paper based and are posted to the Legalisation Office), but it doesn’t necessarily have to include all customer details – it will simply be used by Legalisation Officers to link the document set received by post with a customer record submitted online. The supplier will be expected to provide an innovative solution to meet this desired outcome and again will be expected to work with the Legalisation Office IT systems management team to deliver the solution, as it will need to integrate with the Legalisation IT system.

The integrated solution will also allow either a customer or the Legalisation support desk to track the status of an application by querying the customer application system, which in turn will need to query downstream systems to discover the status of the application.

## INTEGRATING THE PAYMENTS SERVICE

We will shortly be moving our customer payments service to Barclaycard SmartPay and it is this service that must be integrated into the customer application system to provide a smooth customer journey. Working with the standard integration interface specification supplied by Barclaycard, the supplier will be expected to deliver a payments process that is similar to typical online payments, therefore making it intuitive to customers. A reference linking each payment to an application must be passed to the downstream Legalisation IT system.

## MANAGEMENT INFORMATION CAPABILITY

The supplier will integrate Piwik web-analytics service as part of the solution. They will also need to integrate with the GOV.UK performance platform. This is to support end to end transaction analysis and performance monitoring.

The Legalisation Office also maintains a number of off-line management information reports, primarily captured in spreadsheets. A desired outcome from the project is to minimise off-line management information reporting by delivering the capability through the Legalisation Office IT systems, including the customer application system. So the customer solution must be able to push Management Information data to the backend IT system, and potentially also directly to Mazepoint, our third party reporting suite.

## MEETING THE FCO’s NON-FUNCTIONAL REQUIREMENTS

We want the customer application process to be available on all devices (desktops, laptops, tablets smart phones) without any need to configure the end user device. The presentation to the customer must adhere to the digital by default service standards and must adhere to best practice accessibility standards and guidelines.

The solution must be resilient, with a well defined approach to business continuity / disaster recovery. The system must be available 24-7-365.

The solution must be scaled to allow for a throughput of at least 150,000 transactions per year, and must deliver performance reporting to provide evidence of consistent transaction processing times, even at busy times.

The solution must meet HMG and commercial best practice for security and must be successfully accredited by the FCO accreditor.

# CAPABILITIES AND ROLES

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| Current Roles and Responsibilities of the Customer |
| **Role** | **Responsibilities**  |
| **Product Development** | We expect to fill this role using internal expertise from our Digital Transformation Unit with support from Legalisation Office staff |
| **System Administration and Web Operations** | We have security assurance capability within the FCO, who will liaise with the FCO accreditor to ensure the solution meets HMG security standards. The FCO has an existing contract with Kainos to provide systems administration and web operations for the FCO’s digital projects. We expect the chosen supplier to work with Kainos to ensure all software releases align with the Kainos service management approach to ensure a smooth transition of new releases into operational support following go-live. |
| **User Research** | The FCO has a contract with a user research organisation, and we will use this channel to conduct user research as necessary. |
| **Embedding Agile** | We have expertise within our Digital Transformation Unit to provide agile coaching to internal project staff as necessary |
| **Content Design and Development** | The FCO has an existing content resources, which the project will utilise to deliver this capability. |

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| Required Capabilities and Outcomes of the Supplier |
| **Capabilities** | **Outcomes** |
| **Software Engineering and Ongoing Support** | We will need software development resource to design and build the customer application system, and to integrate it into backend systems as described in our requirements.Once we reach the Live phase at present we anticipate a rapid handover of support to our existing maintenance and live ops team. However we welcome information in your proposal about any ongoing contact and/or costs, for example an illustrative sprint cost for future iterations if not readily apparent from your costings for the alpha/beta development phases.Please note that all personnel will require SC clearance to gain access to FCO buildings |
| **Agile Delivery Management** | We need supplier side delivery management to ensure solutions are delivered in an agile way and to the agreed timeframes and quality.  |

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# TEST & DEVELOPMENT REQUIREMENTS

The supplier is expected to deliver all of the environments necessary to deliver a solution that meets the requirements for developing, testing and releasing the solution into production, in accordance with best practice change and release management processes. This is for the supplier to determine but should at the minimum include:

* A development environment to develop prototype solutions for the project team and stakeholders;
* A functional acceptance test environment, which is representative of the production environment, to prove that changes to the system will not negatively impact the production system;
* A user acceptance environment, which is representative of the production environment, to allow the project team and stakeholders to conduct formal usability testing;
* A production environment.

We expect the supplier to use the FCO’s hosting contract with Skyscape to deliver the necessary environments.

Please note that we need to procure the capability to design and build the operating environment(s) required for development, testing and production of the customer application system and its interfaces to backend IT systems. The environments will set up through our hosting supplier Skyscape. The environment(s) will need to be supported during the alpha/beta phases to support the successful delivery of the solution, and the supplier will need to support the transition of service management to Kainos prior to go-live. The supplier must be aware that the solution needs to be meet HMG information assurance standards and be able to be accredited by the FCO accreditor.

# EVALUATION STAGES, MINIMUM PASS MARKS & PRICE EVALUATION

## Evaluation Stages:

## This RFP will be evaluated in the following approach:

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| Technical & Cultural evaluation | This will evaluate the Potential Provider’s proposed technical solution together with the makeup of the proposed team, including number, type and level of role and duration of key personnel including CVs of key personnel; and availability of the delivery team Roles at the Customer’s required location.Potential Providers should include all Roles proposed to deliver the Customer’s required Capabilities over the duration of the Project, as the Price (day rates and travel and subsistence expenses) will be set at Call-Off Contract for any Schedule of Works (SOW) under that Call-Off Contract.Cultural fit will evaluate the Potential Provider’s cultural fit through their proposed approach, working as part of a cross functional, multi-supplier/customer delivery team. 15% will be attributable to the written response and 15% to the presentation to the Customer – see below.All Potential Providers who achieve the required Minimum Pass Mark for the written Technical questions and question AQC1 of the Cultural section will be eligible to continue to the Cultural Presentation . |
| Cultural Presentation Evaluation | All Potential Providers who achieve the required Minimum Pass Mark for the Cultural Presentation Evaluation will be eligible to continue to the Pricing Evaluation.The purpose of the presentation sessions is limited to demonstrating the criteria outlined in Appendix C – Section C.The presentation sessions will not be an opportunity to modify the written tender submission in any way or add any information in regards to the written criteria in Sections A, and B and question AQC1 of Section C.The presentation will be evaluated and scored in isolation to the written submission and in line with the marking scheme outlined in Appendix C – Section C.Each evaluator shall carry out the same process for each presentation in Section C. When this process has been completed the marks awarded by each evaluator will be reviewed in accordance with the Consensus Marking Procedure. The presentations will last 45 minutes: 25 minutes for the presentation and 20 minutes for Q&A regarding the content presented.All Potential Providers who qualify will be given the same opportunity to respond. Details of these presentations will be issued to those who have qualified post evaluation of Sections A and B and question AQC1 of Section C, via the e-sourcing suite. |
| Pricing evaluation | Detailed below within the ‘Price Evaluation’ |

## Minimum Pass Marks:

## In order for Potential Providers to progress within the process, they must achieve or exceed the Minimum Pass Marks, as defined in the Award Questionnaire. In order for Potential Providers to progress beyond the Technical and Cultural evaluation stage of the process, Potential Providers must pass Section A (Availability) and must achieve the minimum pass mark for every criteria in Section B (Technical Solution) and question AQC1 of Section C (Cultural Fit). These Potential Providers will be invited to a presentation. For the avoidance of doubt, any potential supplier who does not pass Section A and does not achieve the minimum pass marks in Section B and question AQC1 of Section C will not be invited to the Supplier Presentations. Pricing will only be evaluated for those suppliers who pass Section A and achieve the minimum pass mark for every criteria in Section B and question AQC1 of Section C and are invited to presentations.

## Price Evaluation:

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|  **“Combined evaluation”:** |
| The Potential Provider’s price mark will be evaluated by comparing the Total Price offered against all other total prices submitted by other Potential Providers.The Potential Provider who offers the lowest Total Price will achieve the maximum score. Every Potential Provider will be awarded a percentage of the maximum score on a reducing basis based on the following formula:

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| --- | --- |
| **Lowest Price Submitted** | **x 100** |
| **Potential Provider’s Price**  |
| **= % of the maximum score, rounded to 2 (two) decimal places.** |

The pricing score, following the price evaluation; will be added to the scores already recorded for Sections A, B and C of the Award Questionnaire (Appendix C) to arrive at a final total score |