

Implementation Guide

Global RFP Best Practices

Version 1.0, November 14 2007

NASPL

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Implementation Guide

Global RFP Best Practices

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Preface

The Global RFP Best Practices represent a joint effort with the North American Association of State and Provincial Lotteries (NASPL) and the World Lottery Association (WLA) in conjunction with The Open Group and QLot Consulting and applies to the lottery industry on a global scale. It has been approved by NASPL and the WLA, and serves as a recommendation for adoption by the lottery industry. These Best Practices are practices that when implemented are intended to improve the quality and integrity of the lottery environment, and to provide increased efficiencies, resulting in reduced costs and increased profit margins for lotteries, vendors, and lottery retailers.

North American Association of State and Provincial Lotteries (NASPL)

The NASPL Standards Initiative (NSI) was approved and funded by NASPL and the vendor community as a collaborative development effort with participation from the lotteries, gaming vendors, and retail associations. Project management and facilitation services for standards development and certification are provided by The Open Group in conjunction with NASPL.

The NSI vision is to provide an interoperable lottery environment that is based on a set of open Technical Standards, approved Best Practices, Certification and Verification programs that, when implemented, will improve the quality and integrity of the lottery environment, and will provide increased efficiencies, resulting in reduced costs and increased profit margins for lotteries, vendors, and lottery retailers.

The NSI mission is to establish a resilient organizational structure, set of processes, and procedures that will engage all constituents (lotteries, vendors, and retail representatives) in an environment of open discussion and cooperative development.

Further information about NASPL is available at www.naspl.org.

World Lottery Association

The World Lottery Association (WLA) is an international member organization representing 144 lotteries from 74 countries on all five continents, with combined annual revenues in excess of US\$120 billion.

The aims and objectives of the WLA are to advance the collective interests of its members and to enhance the capability, common knowledge, and status of individual members by:

- Providing forums for the exchange of experience and information
- The establishment of codes of conduct and certification of standards for lottery operations in order to establish norms to which members may wish to aspire
- The establishment of programs to assist in technical and educational areas to be made available to member organizations who request such assistance

- The establishment of services in educational, statistical, informational, or administrative matters
- The convening of seminars, conventions, conferences, general meetings, special meetings, and working groups to further the aims of the WLA
- If so requested, to provide stimuli and organizational assistance in the establishment of working groups seeking to form multi-jurisdictional lotteries, national or international in scope
- Representing several or all members in conveying positions or opinions to authorities, private or public, wherever such members have authorized the WLA to speak on their behalf

The WLA shall promote alignment and harmonization of its aims and objectives with those of the five Regional Associations – AALE (Africa), APLA (Asia Pacific), CIBELAE (South America), EL (Europe), and NASPL (North America).

The WLA also represents 63 lottery industry suppliers as Associate Members.

In carrying out its aims and objectives, the WLA shall strive for territorial integrity, public order, and morality.

The WLA launched an initiative to standardize lottery procurements, in particular major technology procurements, aiming at lowering the cost of developing RFPs, lowering the cost of developing responses, and increasing transparency of the procurement process. This is to be achieved by establishing recommended formats, languages, and requirements for routine aspects of an RFP and the procurement process, allowing the lotteries and the bidders to focus resources on the products and services sought and offered, respectively.

The WLA vision is to provide the international lottery community with a recommended standard RFP according to which each relevant procurement should be conducted.

More information can be found at www.world-lotteries.org.

The Open Group

The Open Group is a vendor-neutral and technology-neutral consortium, whose vision of Boundaryless Information Flow™ will enable access to integrated information within and between enterprises based on open standards and global interoperability. The Open Group works with customers, suppliers, consortia, and other standards bodies. Its role is to capture, understand, and address current and emerging requirements, establish policies, and share best practices; to facilitate interoperability, develop consensus, and evolve and integrate specifications and Open Source technologies; to offer a comprehensive set of services to enhance the operational efficiency of consortia; and to operate the industry's premier certification service, including UNIX certification. Further information on The Open Group is available at www.opengroup.org.

The Open Group publishes a wide range of technical documentation, the main part of which is focused on development of Technical and Product Standards, Best Practices, and Guides. Full details and a catalog are available at www.opengroup.org/bookstore.

Readers should note that all published NSI Technical Standards and Best Practices, and any updates, in the form of Corrigenda, are available at www.opengroup.org/naspl/published.

QLot Consulting Group

QLot Consulting Group was established in 1998 and its exclusive focus is within the lottery industry. All of QLot's Principal Consultants have prior working experience with various lotteries and/or lottery suppliers. This brings detailed knowledge of literally all major processes, suppliers, technologies, and products applicable to the lottery industry.

QLot provides its clients – whether lotteries, governments, or suppliers – with well-informed, unbiased, and independent consulting and support services in all legislative/regulatory as well as technical and commercial areas, especially where computerized systems and/or agent networks are used.

QLot is strictly supplier-independent. Neither the company nor any of its consultants has any affiliations to any supplier of any products to the lottery industry or elsewhere.

QLot has consultants in Sweden, Germany, Czech Republic, Austria, Switzerland, and in the US. More information about QLot can be found at www.qlot.com.

1 Introduction

1.1 Purpose and Scope

The Global RFP Best Practices were developed within the Joint NASPL Standards Initiative (NSI)–WLA RFP Task Group and were subjected to a wide review open to all NASPL lotteries, NSI vendors and WLA representatives. Following the review, it was approved by the NSI Steering Committee with WLA representation and ratified by the NASPL Executive Committee and the WLA Executive Committee.

This document is the Implementation Guide for the Global RFP Best Practices. It has been developed by The Open Group. It is designed to help lotteries implement the Global RFP Best Practices.

The Global RFP Best Practices consist of two Best Practices, as follows:

1. First, the Best Practice for the RFP Process recommends the practices that should take place in the lottery environment, and around which the RFP is developed and published, proposals are evaluated, and a contract awarded.
2. Second, the Best Practice for the Standard RFP Template (SRT) recommends the content, format, and policies that should be part of the published RFP. This Best Practice itself consists of two separate documents, as follows:
 - Standard RFP Template (SRT)
(The SRT consists of two separate Parts as described below.)
 - Guide to the Standard RFP Template (SRT Guide)

The applicability of these Best Practices may generally extend to all areas of procurement for the lottery industry, for which an RFP is issued, including but not limited to:

- Acquisition of a new lottery gaming system(s)
- Creation of new software and/or hardware components for use in an existing lottery environment
- Updates or extensions to existing lottery gaming system(s) components
- Provision of new services associated with the operation of a lottery
- Instant ticket products or related services

1.2 About This Document

The structure of this document is as follows:

- Chapter 1: Introduction
This section introduces the document and describes the purpose and scope of the Implementation Guide.
- Chapter 2: Why Implement the Best Practices?
This section addresses the business rationale and operational issues that are driving the implementation of the Best Practices.
- Chapter 3: How to Implement the Best Practices
This section provides a guide to implementing the Best Practices.
- Chapter 4: Certification/Verification Process
This section looks at what comes after the implementation of the Best Practices, with a focus on moving toward formal verification; that is, NSI Verification for lotteries.
- Chapter 5: Contact Information

2 Why Implement the Best Practices?

This section sets the operational context and describes the business drivers and objectives for implementing the Global RFP Best Practices. Lack of approved best practices for RFP processes and procedures and lack of standard templates all impose a cost burden on lotteries when creating an RFP and more significantly on vendors who are regularly responding to RFPs on an ongoing basis. Some of the major benefits are highlighted here.

Reduced Costs to Lotteries in Developing RFPs

Developing an RFP is very costly to all constituents. There is a significant amount of time and resources spent in creating and publishing the RFP. Cost and resources involved in the creation of the RFP are reduced significantly through the use of a common template, standard terminology, standard RFP text where appropriate, a common set of best practices to be followed when creating the RFP, and where appropriate a common and standard set of requirements to be included in the RFP itself (e.g., requirements for proposal submission, bidder certification, communication during the RFP process, etc.).

Reduced Vendor Cost in Responding to RFPs

Responding to an RFP, as vendors do on a regular basis, is a risky financial investment for vendors. If a vendor wins the contract, that investment can be recouped; if not, it is extremely costly. RFPs based on a standard template with standard text where applicable reduce the time and resources spent by vendors on understanding the RFP and interpreting its requirements. This also enables vendors to more easily convert the RFP for one jurisdiction to another and allows the vendor instead to focus on understanding and responding to the portion of the RFP that deals with the new functionality, innovation, and value-add.

Reduced Cost to Lotteries in Evaluation of Proposals

Currently, lotteries spend a great deal of time, resources, and a significant investment in independent third-party consultants for the interpretation and evaluation of Bidder Proposals. Requiring the vendors to use the prescribed standard response method defined within the Standard RFP Template reduces the time spent by lotteries in interpreting the response components, and instead allows them to focus on evaluating the merits of the proposed technology and related services, and the proposed price of each Bidder's Proposal.

3 How to Implement the Best Practices

3.1 Read the Best Practices

In order to implement the Best Practices, you must read the Best Practices, which can be found at www.opengroup.org/naspl/published. In particular, you should become very familiar with the following:

1. **The Global RFP Process**

The best practice requirements specified in the “Best Practice Requirements” sections and subsections of Chapters 4 through 9 must be adhered to as part of conformance to the Best Practice. It is important to note that all of the prescriptive terms (e.g. “must”, “should”, “may”) found in the Global RFP Process Best Practice document sections and subsections labeled “Best Practice Requirements” must be interpreted according to the definitions in Section 1.3 (Terminology) of the Global RFP Process Best Practice. Appendix A contains a Best Practice Requirements Checklist.

2. **The Global Standard RFP Template**

There are three documents associated with the Best Practice for the Global Standard RFP Template, which are briefly described below:

- a. **The Standard RFP Template Best Practice**, which comprises two parts:

Part I: Introduction and Best Practice Requirements, which provides an introduction to the Best Practice, and contains the entire set of best practice requirements that must be adhered to as part of conformance in the use of the Standard RFP Template. **The best practice requirements can be found in Part I: Chapter 4. There is also a Best Practice Requirements Checklist that can be found in Part I: Appendix A.** It is important to note that all of the prescriptive terms (e.g., “must”, “should”, “may”) found in Chapter 4 must be interpreted according to the definitions in Section 4.1 (Terminology) of that chapter.

Part II: The Standard RFP Template, which provides a PDF version of the Standard RFP Template and contains all chapters, sections, subsections, and appendices that should appear in a published RFP, along with compliance boxes and recommended standard text where applicable. **Part II: Section 1.1 (Terminology) specifies how to use Compliances Boxes, the meaning of Compliance Box fields, and the definitions for the field value options. This is a critical reference section and must not be altered in any way by the lottery.**

- b. **The Standard RFP Template in Microsoft Word® Format**, which is a replica of the PDF version of the Standard RFP Template (i.e., Part II of the Standard RFP

Template Best Practice in Microsoft Word[®] format), so that lotteries can download it and use it as a base for their RFP.

- c. **The SRT Guide**, which provides lotteries with a set of guidelines and recommendations when deriving RFP text for instances where either standard text does not exist or when deviation from the standard text is necessary due to jurisdictional variances.

For quick reference purposes, the Best Practice Requirements Checklists contain all of the requirements listed in the Best Practice, each with a reference to the specific section in the Best Practice where the requirement is specified in greater detail, and each indicating which constituent is responsible for meeting the requirement as well as the level of prescription associated with the requirement.

Note: Since each jurisdiction has laws, rules, regulations, and orders (“laws”) that control what the lottery is required to do in that jurisdiction, instances will occur where these laws do not provide the lottery with an option in handling the process of the procurement and will take precedence over these recommended best practices.

3.2 Implement the Best Practices

The following is a roadmap on how to implement the Best Practices. It is a guide and not necessarily mandatory, but will help with correct implementation of Best Practices within your organization. Practitioners should refer to the Best Practices to understand what the mandatory requirements are. Practitioners may choose to explicitly follow the steps as outlined in this guide, or they may choose to combine them or do them in a different order, depending on their particular circumstances. For example, some practitioners will already have in place procedures, working methods, and templates (where appropriate) that will merely need to be updated to reflect the Best Practices; others may need to create these from scratch. The approach to implementing the Best Practices may also be influenced by where an organization currently is in the lifecycle of activities defined by the Best Practices. Regardless of a practitioner’s current state of readiness, following all the steps as written in their entirety in the order stated will provide a deterministic roadmap to successful implementation of the Best Practices.

3.2.1 Familiarization and Commitment

This is the starting point to implementation. It is very difficult to implement requirements that are not understood or to which staff may object on the basis of “that’s not how we do things here”.

All staff that will be responsible for operating under the Best Practices should familiarize themselves with the content of the Best Practices. It is unlikely that each individual will understand every requirement initially. There are recourses that can help with this. Team meetings will help to ensure common understanding and it is possible that a requirement which may appear obscure to one individual is clear to another. A group discussion at this stage can help to establish common ground for the changes that will need to be made to implement the Best Practices and can feed into the next stage in the process – the Gap Analysis.

Most importantly, the familiarization exercise should be used to identify any requirements that need explanation or clarification. The first resource to be consulted should be the Best Practices FAQ (see Section 3.3). If an issue remains, then the next resource is the Best Practices support contact at nsi-specifications@opengroup.org. Spending the time to fully understand the Best Practices before starting to implement them is likely to save time overall by avoiding the need for rework.

Finally, at a team meeting it will be necessary to remove roadblocks to implementation. Many of us become fixed in the way we approach our work and can be resistant to change. For the implementation to be a success, everyone responsible for operating in accordance with the Best Practices needs to be committed to it. This may mean certain customs and practices or technical approaches have to be abandoned or modified. It is the business practice or technical manager's duty to ensure all staff affected by the Best Practices are committed to making them work within their organization and in their day-to-day work.

3.2.2 Gap Analysis

The gaps are the differences between the way things are currently done and the requirements of the Best Practices. A gap may be a requirement of the Best Practices which is handled some other way, is only partly met, or may not be addressed at all in the current practice.

Note: It is worth noting that although the gap analysis will be particularly beneficial for the RFP process, it will not be as effective with the Standard RFP Template, unless this is your second time using the SRT, as the SRT represents a paradigm shift, which will require starting afresh, with the new template.

It is recommended that, in the case of a Best Practice, an RFP under development or a recently completed RFP be used as the basis for the gap analysis. The gap analysis is an internal informal method to establish to what extent the Best Practices are currently applied, and to what extent existing custom and practice and/or technology must change to implement all the requirements of the Best Practices.

Requirements Checklist as a Tool for Gap Analysis

Gap analysis is most readily approached by a compliance matrix between each best practice requirement on the one hand and the way things are currently done on the other.

In the case of a Best Practice, this would be a comparison of the requirements with the current methodology including the supporting documentation such as RFP project or evaluation plans and procedures, previously issued RFPs, historical and other documentation that may be used in conjunction with current or previously executed RFP processes.

Fortunately, the Best Practice Requirements Checklist, found in Appendix A of the Best Practices, can form the basis of this matrix and has already done the job of deconstructing the Best Practices into a set of discrete stand-alone requirements.

For each requirement listed in the Best Practice Requirements Checklist, the practitioners should determine which of the following categorizations apply. At this point in time it is not necessary to consider whether the requirement is categorized as “must”, “should”, or “may” in the Best Practices; that will come later in the process.

- **Compliant:** The practitioners believe that the processes or technical approach they normally use comply with the Best Practices requirement and they have documents, records, or technology in which the requirement is instantiated.
- **Partly-compliant:** The practitioners believe they meet the spirit of the requirement but they omit some of the detail or they do it in a slightly different way.
- **Non-compliant:** They do not do it.

In addition, for every requirement the practitioner should determine if (as applicable):

1. It is realized in planning documentation and/or standard templates.
2. It is realized in project records or previously issued RFPs.
3. It is realized in technology.

Finally, the practitioner or technical manager should note the status of each requirement marked partly-compliant or non-compliant.

- If its status is “must”, then this is a deficiency that has to be corrected for the organization’s implementation of the Best Practices to be compliant.
- If the status is “should”, then the practitioner or technical manager should treat this as a strong recommendation to implement; however, if the practitioner or technical manager has a compelling reason to use an alternative method of meeting the requirement, this will not necessarily be a barrier to compliance in the future. It should be noted, though, that rationale such as “at the moment that requirement may just not be the way it is done in custom and practice” is not in itself a compelling reason to depart from the Best Practices.
- If the status is “may”, then implementation is optional and the practitioner or technical manager might want to decide whether implementation is desirable or not.

By methodically going through each requirement in this way, it should be possible to identify the areas where the Best Practices are not currently followed and what would need to be changed in order to ensure that the Best Practices are followed in future projects.

3.2.3 Implementation of the Best Practices

This section focuses on how to implement the best practice requirements with an eye to being ready to apply to the formal verification program. It will cover the implementation of both Best Practices:

- The Global RFP Process
- The Global Standard RFP Template

3.2.3.1 *The Global RFP Process Best Practice*

The practices utilized by the lotteries during their RFP process should address the best practice requirements in all of the major areas of the Global RFP Process as listed below:

- RFP Development

- RFP Format, Content, Policy, and Process
(These requirements are outside the scope of this document, but are addressed in the Standard RFP Template (SRT) and SRT Guide.)
- Communication during the RFP Process (including RFP Publication)
(Some of these requirements are also captured in the SRT and SRT Guide and are cross-referenced here for convenience.)
- Proposal Evaluation (including Site Visits/Demonstrations)
- Notification of Successful Bidder and Contract Award
- Establishing Global RFP Requirements

3.2.3.1.1 RFP Development

Prior to publishing an RFP, the Lottery undertakes a Business Requirements Definition process, during which it typically defines the business drivers, strategic considerations, and objectives that are motivating its request for new products and/or services. The definition of these requirements ensures that the resulting RFP contains lottery-defined requirements that are in support of their current and future goals and objectives. These requirements are used to solicit the broadest range of relevant vendor solutions to the lottery's business challenges and goals.

The development requirements cover several areas that require best practices, which are organized as follows in the RFP Development section (Chapter 4) of the Global RFP Process Best Practice document:

- Business Considerations
- Strategic Considerations
- Request for Information (Optional)
- Issuing a Draft RFP (Optional)
- Procurement Schedule
- Official RFP Web-Site

Each of the above areas contains a section or subsection entitled "Best Practice Requirements", which defines the best practice requirements for that particular area and which should be followed and interpreted according to the Terminology in Section 1.4 of the Global RFP Process Best Practice document.

3.2.3.1.2 RFP Format, Content, Policy, and Process

After the RFP pre-development work has been completed, the lottery will create its RFP.

There are best practice requirements for format, content, policy, and process associated with every section of a published RFP. Since those requirements are so extensive, the best practice requirements associated with format, content, policy, and process of the RFP itself have been converted to a separate Best Practice – the Global Standard RFP Template (SRT) – which

contains an RFP template with standard text and includes a Guide for jurisdictional variances and additional guidelines – see Section 3.2.3.2 of this Implementation Guide.

3.2.3.1.3 *Communication during the RFP Process (including RFP Publication)*

During the RFP process, further clarification or information on the RFP and the submitted proposals may be needed. It is important to the integrity of the procurement process that all such communications are conducted in accordance with jurisdictional law and/or lottery requirements for confidentiality, and that they ensure essential fairness for all bidders.

The communication requirements cover several areas that require best practices, which are organized as follows in the Communications section (Chapter 6) of the Global RFP Process Best Practice document:

- RFP Pre-Publication
- RFP Publication
- General Communication Policies for the RFP Process
- RFP Clarifications
- Pre-Proposal Conference
- Modification/Withdrawal of Proposals
- Amendments to the RFP
- Proposal Clarifications

Each of the above areas contains a section or subsection entitled “Best Practice Requirements”, which defines the best practice requirements for that particular area and which should be followed and interpreted according to the Terminology in Section 1.4 of the Global RFP Process Best Practice document.

3.2.3.1.4 *Proposal Evaluation (including Site Visits/Demonstrations)*

The proposal evaluation phase begins with planning for the evaluation and will be completed after the proposals have been submitted and evaluated. This proposal evaluation section prescribes a process to be followed before and during evaluation; it does not recommend any particular evaluation methodology as a best practice. A set of possible evaluation methods are included in Chapter 6.6 of the SRT Guide, but these are not best practice requirements, only a repository for a subset of possible methodologies. There are, however, several areas in the evaluation process that do require best practices, which are organized as follows in the Proposal Evaluation section (Chapter 7) of the Global RFP Process Best Practice document:

- Detailed Constituents and Roles for Lottery Staff
- Proposal Evaluation Process and Criteria, including:
 - Evaluation Planning
 - Evaluation Phases and Procedures

The evaluation phases and procedures are presented in logical phases and steps as follows:

- Phase 1: Proposal Submission Requirements Review
- Phase 2: Technical Proposal Evaluation:
 - Step 1: Pre-Qualification and Evaluation of Bidder Capability
 - Step 2: Independent Review & Assignment of Individual Technical Evaluation by Technical Proposal Evaluation Team Members
 - Step 3: Technical Proposal Evaluation Team Review & Assignment of Consolidated Technical Evaluation
 - Step 4: Demonstrations
 - Step 5: Site Visits
 - Step 6: Technical Proposal Evaluation Team Review & Assignment of Final Technical Evaluation (Confirmation/Modification of Consolidated Technical Evaluation)
- Phase 3: Price Proposal Evaluation
- Phase 4: Determine the Best Overall Proposal
- Phase 5: Final Decision on Contract Award Recommendation

Each of the above areas contains a section or subsection entitled “Best Practice Requirements”, which defines the best practice requirements for that particular area and which should be followed and interpreted according to the Terminology in Section 1.4 of the Global RFP Process Best Practice document.

3.2.3.1.5 Notification of Successful Bidder and Contract Award

Once the proposal evaluation is complete and the successful bidder selected, it will be necessary to notify all bidders of the evaluation outcome and to enter into a legally binding contract with the successful bidder. There are several areas that will require best practices, which are organized as follows in the Notification of Successful Bidder section (Chapter 8) of the Global RFP Process Best Practice document:

- Notification of Proposal Evaluation Outcome
- Contract Award

Each of the above areas contains a section or subsection entitled “Best Practice Requirements”, which defines the best practice requirements for that particular area and which should be followed and interpreted according to the Terminology in Section 1.4 of the Global RFP Process Best Practice document.

3.2.3.1.6 Establishing Global RFP Requirements

After the RFP process has been completed, it is important to provide feedback to and work with the Global RFP Standards Task Group. This process is a collaborative effort with lotteries, vendors, and retailers working together to establish new and evolve existing common RFP

requirements. Identifying issues and outcomes of each RFP cycle through this channel will ensure ongoing refinement of the Global RFP Best Practices. In particular with respect to the SRT, it provides a method for identifying and including common requirements where feasible – including requirements for supported Technical Standards and Best Practices.

This area, Establishing Global RFP Requirements (Chapter 9) of the Global RFP Process Best Practice document, contains a section entitled “Best Practice Requirements”. The requirements listed there may not become part of the conformance requirements for verification, but it would be very beneficial if lotteries did make it part of their ongoing practices.

3.2.3.2 *The Global Standard RFP Template Best Practice*

There are two components that make up the Best Practice for the Global Standard RFP Template:

- The Standard RFP Template (SRT)
- The Standard RFP Template Guide (SRT Guide)

3.2.3.3 *The Standard RFP Template (SRT)*

The Best Practice for the Standard RFP Template (SRT) is designed to be used as the basis for any lottery procurement and offers a common approach for all lotteries. The SRT is designed to provide lotteries with an approved standard template, which includes standard text where appropriate, and provides a specific format (including the use of Compliance Boxes) to be followed along with a standard set of chapters, sections, and subsections to be included in the sequence specified.

In addition to a PDF version of the Best Practice there is also a Standard RFP Template in Microsoft Word[®] format that a lottery may download, and then edit appropriately (i.e., in keeping with the Best Practice, but customized appropriately for a specific lottery and a specific procurement) for their RFP. In conjunction with reading this Implementation Guide, it is highly recommended that lotteries download the Standard RFP Template Best Practice and the Standard RFP Template Guide so that they have the necessary background and context. All of these documents can be downloaded from www.opengroup.org/naspl/published.

Although this Best Practice does not explicitly apply to bidders, if lotteries use the SRT and meet the best practice requirements when issuing their RFPs, then bidders will be required (via the RFP) to respond in a standard way with a standard format to those RFPs. In fact, bidders will respond using the same outline and format as the SRT so that every vendor response will be similar in terms of structure.

In order to understand how to implement the Best Practice (i.e., use the SRT correctly) and what should be expected from bidders in their responses, practitioners must refer to Chapter 4 of the Standard RFP Template Best Practice. This section provides a brief overview of some of the main areas of the Best Practice:

- Best Practice Requirements
- Compliance Boxes and Terminology
- Standard Text

- Bidder’s Responses
- Compliance Table

3.2.3.3.1 Best Practice Requirements

The best practice requirements are found in Part I: Chapter 4 of the Global Standard RFP Template Best Practice document. The best practice requirements are primarily centered on the structure of the RFP, and while there is standard text provided in the SRT, the lottery is in no way required to use the standard text – they are, as you will see from Chapter 4 of the Best Practice, required to use Compliances Boxes and to indicate whether or not they have used the standard text. In addition, the lotteries are required to maintain the sequencing of the sections and subsections of the SRT. It is worth noting that even though best practice requirements may be referenced from time-to-time in this Implementation Guide, it is the best practice requirements in the then current version of the Best Practice published on the web site that takes precedence.

3.2.3.3.2 Compliance Boxes and Terminology

The inclusion of Compliance Boxes in each section and subsection of the RFP is a best practice requirement and an integral part of the Best Practice. These boxes indicate to the bidder:

- The significance of the section or subsection
- The type of response that is required from the bidder
- Whether the text in the section or subsection is standard text from the SRT or whether it has been altered when issuing the actual RFP

Each numbered section and subsection in the RFP is immediately followed by an RFP Standard Compliance Box, as follows:

Significance	Response Type	Standard Text
[MANDATORY/IMPORTANT...]	[NONE/ACCEPTANCE...]	[YES/NO]

As you can see, there are three different sections of the Compliance Box, as follows:

- Significance – indicates to the bidder the significance of the information in the section or subsection of the published RFP.
- Response-Type – specifies the type of response that is required by the bidder in the section or subsection of the published RFP.
- Standard Text – indicates whether or not the lottery has used the standard text recommendation in the section or subsection of the RFP.

The SRT comes with values assigned to these fields. If the lottery wants to change the value of the significance, response-type, or the standard text they may do so, but in changing the significance and the response type in particular they should be aware of the terminology section, as the meaning of each term is critically important.

The terminology section of the Global Standard RFP Template (Section 1.1) contains the definitions for each of the Compliance Box fields and values. It is also important to reiterate that the Terminology section may not be changed by the lottery. The lottery may change the values in the Compliance Boxes within each section or subsection to meet their particular RFP requirements, but they must choose from the existing set of terms and must not alter the definitions of the terms in Section 1.1.

3.2.3.3.3 Standard Text

As indicated in the previous section, the SRT establishes the order in which the RFP should be structured and establishes the use of the Compliance Box to denote variations from the SRT standard text.

The SRT does not dictate the language that must be used; rather it defines recommended standard text, but each jurisdiction is free to add or change requirements in the standard text. When changing text, the Compliance Box alerts the vendor to changes from the standard text.

The concept of standard text has been introduced to encourage the use of standard text in those sections and subsections of the RFP that typically do not change from procurement to procurement. So that although the Technical Specifications section of the RFP (Appendix A of the SRT) is expected to change from procurement to procurement, most of the other aspects of the RFP are expected to be fairly common across jurisdictions and across various procurements within single jurisdictions, with the exception of obvious variables such as contact names, procurement schedule, etc.

It is important to reiterate that using the standard text is not a requirement. Indicating whether you are using standard text is a requirement, but you do not have to use the standard text as provided in the SRT.

Within the SRT there are some sections and subsections where standard text is provided in full, there are other sections and subsections where standard text is provided, but where variable tags also exist and are used to indicate where the lottery should supply customized information, and there are some sections and subsections that have no standard text provided. In the instances where a lottery does not alter the standard text or where they only supply customized information within a variable tag, the lotteries would indicate this by providing a YES in the Standard Text box of the Compliance Box. Below is an example of each.

In the instance below it is quite conceivable that the lottery would not need to change the text in any way and could use the standard text as-is and consequently leave the Standard Text box as-is with a YES value.

Example of no change to standard text:

Bidder Contact with the Lottery

Significance	Response Type	Standard Text
MANDATORY	ACCEPTANCE	YES

Upon RFP Publication, the restrictions on Bidder communications described in this section are instituted to protect the integrity of the procurement process.

Other than the Procurement Officer, as specified in Section 1.7 (Procurement Officer and Point of Contact), Bidders and their agents must not make unsolicited contact with any Lottery personnel or Proposal Evaluation Committee member, to the Lottery or public official of the jurisdiction regarding the RFP or the Proposals.

Bidders should not represent themselves to Lottery staff or Lottery retailers as having the endorsement of the Lottery, nor as the Lottery's next supplier of gaming system products and/or related services.

Bidders who are currently doing business with the Lottery may continue to do so; however, any communication regarding the RFP, not otherwise permitted in the RFP, is prohibited.

The Lottery will disqualify Bidders for intentionally causing a material violation or circumvention of the requirements of this section.

In the next instance (below) it is conceivable that the lottery would only need to change the variable tags and leave the rest of the standard text as-is – in which case they would also leave the Standard Text box as-is with a YES value.

Example of changed variables:

Procurement Officer and Point of Contact

Significance	Response Type	Standard Text
MANDATORY	ACCEPTANCE	YES

The Procurement Officer, acting on the Lottery's behalf, is the sole point of contact with respect to all contractual matters relating to the procurement of the products and/or services described in this RFP.

All communications concerning this RFP, including but not limited to submission of questions, requesting copies of amendments or answers, and submission of Proposals, must be addressed to the Procurement Officer at the address identified in Section 1.6 (Issuing Office):

*Name <variable>
Title <variable>
Telephone <variable>
Fax <variable>
Email <variable>*

In case the Procurement Officer cannot be reached and urgent contact needs to be made with the Lottery, the following secondary Point of Contact may be used:

*Name <variable>
Title <variable>
Telephone <variable>*

Fax <variable>
Email <variable>

In other instances where there is no standard text provided, the SRT will indicate this with a NO in the Standard Text box with text that says “Please refer to the SRT Guide” for recommendations on the type of information that should be provided. The lottery would then furnish their own text in the section or subsection and retain the NO value within the Standard Text box.

In all other instances, if the lottery changes the standard text provided (outside of variable tags) they should include their own text or changes to the standard text and should then change the value within the Standard Text box to NO.

Note: It is most often the case with the sections in Appendix A, Technical Specifications, that no standard text is provided. This is a logical approach since generally each lottery and often each RFP will have unique and specific technical requirements.

Note that regardless of whether YES or NO is used in the box marked “Standard Text”, the requirements contained in the main text of the section will always prevail.

3.2.3.3.4 Bidder’s Responses

One of the major benefits to using the SRT is that it puts a requirement on bidders to respond in a way that mirrors the RFP, including using the Compliance Box scheme to indicate whether their proposal response complies with the RFP requirements specified in each section or subsection. As you will see, the Proposal Compliance Box (as opposed to the RFP Compliance Box) scheme is similar, but the Proposal Compliance Box that will appear in the bidder’s proposal is slightly different, and maps in the following ways:

- The Significance field is retained and the value that was in the issued RFP for Significance should also be retained as it was in the RFP.
- The Response-Type field will have been replaced with the “Compliance” field in the bidder’s proposal, and this field will be filled in by the bidder to indicate to what extent they have complied with the requirements in that section or subsection.
- The Standard Text field will have been replaced with the “Comment” field in the bidder’s proposal, and will be used to expand briefly on the Compliance field if necessary.

Each section and subsection heading in the Proposal must be immediately followed by the Proposal Standard Compliance Box below:

Significance	Compliance	Comments
[MANDATORY/IMPORTANT...]	[FULL/MODIFIED/N/C]	[Free text...]

See Part II: Section 1.1 of the Global Standard RFP Template Best Practice for a complete description of the Compliance Tables. Note that this Section 1.1 can also be found in the replicated Section 1.1 of the Microsoft Word[®] format template, but the PDF version Part II: Section 1.1 always takes precedence.

3.2.3.3.5 Compliance Table

In addition to including the RFP and Proposal Compliance Boxes in each section or subsection, the bidder must also complete the Compliance Table in Appendix C of the RFP. The Compliance Table will have had the first two columns completed by the lottery when they issue the RFP, with the Significance and the section or subsection heading number for each section or subsection in the RFP filled in. It is then left to the bidder to complete all of the other fields according to their Proposal Compliance Boxes, so that the lottery has a summary of the bidder's submission and compliance for all sections and subsections of the RFP.

Below is the template for the Compliance Table as it appears in Appendix C of the Global Standard RFP Template Best Practice document.

		Compliance			
Section	Significance	FULL	MODIFIED	N/C	Comments
[number]	[Mandatory...]	[X]			[text]

3.2.3.4 Standard RFP Template Guide (SRT Guide)

The SRT Guide provides lotteries with a set of guidelines that should be followed when deriving RFP text for those instances where either standard text was not provided in the SRT or when a deviation from the standard text is necessary due to jurisdictional variances or legislative requirements.

For every chapter, section, and subsection in the SRT there is a corresponding chapter, section, and subsection in the SRT Guide. Each section and subsection of the SRT Guide contains the following two areas:

- **Recommendations for RFP Content:** These recommendations specify in a general sense what should be included and/or addressed in the content of the corresponding section in a published RFP.
- **Recommendations for RFP Policy and Process:** Where standard text is provided in the SRT, these sections of the SRT Guide will specify that the standard text of the SRT is the recommended text to be used in the corresponding section of the published RFP. If there is no standard text provided in the SRT, these sections of the SRT Guide may provide a set of policy and processes associated with the subject of the section, which may be included in the published RFP, depending on jurisdictional requirements.

Each section and subsection of the SRT Guide may also contain the following areas, if applicable:

- **Jurisdictional Variances:** These sections of the SRT Guide address major jurisdictional variances in best practices, typically representing differences among countries. In some cases, these sections of the SRT Guide provide suggested standard text that may be applicable in those jurisdictions where the variance applies. In other cases, these sections offer additional guidance or clarification for terms or best practices that may only apply to a subset of jurisdictions. Since each jurisdiction has laws, rules, regulations, and orders that control what the lottery is required to do in that jurisdiction, instances will occur where these laws do not provide the lottery with an option in handling the process of the procurement and the text of the RFP.

- **Additional Best Practice Guidelines:** These sections of the SRT Guide identify other recommendations associated with the subject of the section and which in general contain examples of text or guidelines for the creation of text pertaining to the section. These sections may also contain references to related best practices from the Global RFP Process Best Practice document.

It is beneficial to consult the SRT Guide as needed, but there are some instances in particular where it is very important and valuable to use the SRT Guide as a reference, and which are summarized below:

- When there is no standard text provided in the SRT and you want to understand what should be covered in those sections or subsections.
- To familiarize yourself with the jurisdictional variances.

There are two types of jurisdictional variance that are included in the SRT Guide: jurisdictional variances within an existing section or subsection of the SRT (as mentioned above), and jurisdictional variances that are not represented as sections of the SRT because they do not represent a global requirement. For example, a requirement may be a requirement for US lotteries, but it may not have been a requirement for the World Lottery Association or the Canadian lotteries.

All jurisdictional variances that do not have corresponding sections in the SRT may be found in Section 1.41 of the SRT Guide. For example, a section on Affirmative Action was not included in the SRT because that requirement is not a global requirement, but recommendations for Affirmative Action can be found in Section 1.41.2 of the SRT Guide. Remember when adding sections or subsections to the RFP that are not included in the SRT, they must be added after the existing sections or subsections so as not to deviate from the current structure.

- When drafting a procurement schedule and looking for guidelines on durations and sequencing, it is helpful to see what other lotteries have done in the past and what was recommended by the working group as a reference. See Section 1.5 of the SRT Guide.
- When looking for possible methods of evaluating proposals.

Section 6.6.1 of the SRT Guide describes suggested evaluation and scoring methods for consideration in support of the Best Practice. No one method is required, but instead the lottery should select the method that best achieves its business objectives.

For the avoidance of doubt, Section 6.6.1 of the SRT Guide contains no formal best practice requirements or recommendations, but instead provides a description of several practices that have been refined and used by the lotteries in evaluating and scoring proposals. There are multiple effective components of different lottery practices in this area, and often a best practice involves a combination of several of those components. This section provides a repository for the various principles, methods, and guidelines in use by different lotteries.

3.2.4 Verification-Ready

In becoming verification-ready, it is helpful for the practitioner to have an understanding of what is required during the verification process as it will help to prepare more effectively for

verification. For the Global RFP Best Practices, there will be two distinct verification processes: one for the Global RFP Process Best Practice and one for the Global Standard RFP Template. An overview of the verification process for the Standard RFP Template is provided in this section. The verification process for the Global RFP Process will be provided at a later date, once implementation for the RFP Process component of the program has been approved.

3.2.4.1 *Verification Process for the Standard RFP Template*

This section covers the major elements of the verification process, which are provided here so that practitioners can have a general idea of the assessment steps. The verification program (policy, conformance requirements, conformance statement questionnaire) was approved and is in the process of being implemented. Implementation includes updating the software, the web-systems, the user documentation, and operational manuals as necessary to support the approved program. Once that implementation is complete, all of the verification documentation and user guides will be available on the NSI verification web site. Please see Chapter 4 of this document for additional information.

3.2.4.1.1 *Submitting Preliminary RFP*

The Organization must submit their RFP for verification. The RFP may be submitted at any time after all sections (other than Appendix A) are complete and in conformance with the Global Standard RFP Template Best Practice. Section A, Technical Specifications, is not the subject of the initial Documentation Assessment, thus it may be in any state of development (e.g., not started, incomplete, complete).

3.2.4.1.2 *Initial Documentation Assessment*

The Assessors will review the information in the Conformance Statement, the preliminary RFP, and any other supporting information submitted. The Assessors will make an initial determination of the areas in which the Organization is demonstrably in conformance with the Global Standard RFP Template Best Practice. This initial assessment will cover both mandatory requirements and optional requirements for which the Organization has claimed support.

The Assessors will provide written feedback to the Organization identifying any areas of non-compliance or general observations with respect to the conformance of the RFP to the Best Practice.

3.2.4.1.3 *Submitting Final RFP*

The Organization should update their RFP to address the feedback provided by the Assessors and finalize the content of the RFP, including Appendix A. The completed RFP that the Organization intends to publish is then submitted to the Certification and Verification Authority.

3.2.4.1.4 *Final Documentation Assessment*

The Assessors will review the final RFP to determine whether it is demonstrably in conformance with the Global Standard RFP Template Best Practice. The focus of the final documentation assessment will be on indeterminate areas identified during the initial documentation assessment and Appendix A.

This Verification-Ready period is, in a sense, preparation for these future assessments, and during that period, practitioners should be attempting to determine whether they have met the best practice requirements and whether they are ready to apply for the formal verification process.

Practitioners need to get started early. In fact, it is advisable to get started well before you are planning your next RFP. It is never too early to start developing your RFP in conformance with the best practice requirements for use of the SRT so that you are prepared when you do start planning your next RFP. The verification process has been constructed to support this type of early adoption by building in a two-step process, which allows an organization to prepare the general part of their RFP – that is, those areas that are typically common to all of the RFPs they issue – and save preparing the specific parts, such as the Technical Specification in Appendix A until they are preparing for an actual RFP.

3.2.4.2 Steps to Becoming Verification-Ready

The most effective way to develop an RFP that conforms to the Best Practice is to download the Global Standard RFP Template in Microsoft Word[®] format. To obtain this document, go to www.opengroup.org/naspl/published. Under the Best Practices heading, go to Global Standard RFP Template and click on the link “available here”.

In addition, you should have Part I: Chapter 4 of the Best Practice and Part II: Section 1.1 (Terminology) at your fingertips for reference.

Note: Section 1.1 of the Microsoft Word[®] document should never be changed so it should be identical to Part II: Section 1.1 of the Best Practice, but for the avoidance of doubt it is the Best Practice version of the Terminology section that takes precedence.

You should then proceed through each section and subsection of the Microsoft Word[®] document in the following manner:

3.2.4.2.1 Read the Standard Text

1. If you agree with the wording as it is, then verify that the Standard Text field in the Compliance Box is set to “YES”. If you do not agree with the wording, then change the text as appropriate and set the Standard Text field in the Compliance Box to “NO”. (It might be worthwhile tracking your changes using the Word[®] facility so that you would have a record of the changes.)
2. If there are any variable tags in the standard text, fill them in with specific information or, if in doubt about what specific information to include, look in the SRT Guide for further information.
3. If the section or subsection is not applicable to your jurisdiction, then indicate that by doing the following:
 - Delete the standard text.
 - Assign the following values to the RFP Standard Compliance Box: Significance: NOT APPLICABLE; Response Type: NONE; Standard Text: NO.
 - Include the following text: “This section is not applicable to this RFP.”.

3.2.4.2.2 Read the Compliance Box

1. Look at what the SIGNIFICANCE field is set to. Make sure it is set to the value that you intend the significance to have on the bidder. Make sure you understand the meaning and ramifications of each value – by referencing Part II: Section 1.1 of the Global Standard RFP Template Best Practice document as often as needed. This is probably the most important piece for the lottery because these values dictate how a vendor must respond. For example, the MANDATORY value dictates that a bidder will be disqualified for not meeting the requirements in that section or subsection. Therefore, if you do not want to have to disqualify the bidder for not meeting the requirements in that section or subsection, then you would insert a less onerous value such as: IMPORTANT.
2. Look at the RESPONSE field value. Since this value indicates how you want the bidder to respond, verify that it is set to the appropriate value. Make sure you understand the meaning and ramifications of each value – by referencing Part II: Section 1.1 of the Global Standard RFP Template Best Practice document as often as needed.

3.2.4.2.3 Read the Glossary of Terms

Validate that the standard definitions found in the Glossary of Terms in Section 1.4 (Glossary of Terms) of the SRT apply in your jurisdiction and, for those terms that do not apply, insert the applicable definition in the Glossary and mark the definition or term NEW.

3.2.4.2.4 Adding Subsections

If there are additional sections or subsections that are not included in the SRT, but which you want to add to your RFP, then you must add the section or subsection at the end of the appropriate chapter, section, or subsection, thereby preserving the existing outline numbering scheme of the SRT.

3.2.4.2.5 Validate RFP Content with Appropriate Parties

Validate with the appropriate parties (e.g., procurement, legal, technical, business) that the changes you have made to the standard text, compliance boxes, glossary of terms, and to any of the additional sections or subsections that you may have added, have their approval. This is important as this will indicate that the non-technical portion of the RFP (all sections except Appendix A) is internally approved and stable and ready for the next step (below).

3.2.4.2.6 Complete the Compliance Table

This step should be reserved as one of the last, as you will need to provide a completed Compliance Table in Appendix C. This table will contain all section and subsection numbers and their respective Significance. Because you only want to fill in this table once, it should be done after you have agreement from the appropriate parties on the Significance for each section and subsection.

3.2.4.2.7 Review the Best Practice Requirements in Appendix A

Finally, review the best practice requirements in Chapter 4 of the Best Practice as summarized in the Best Practice Requirements Checklist in Appendix A of the Best Practice, so that you can

feel comfortable that you have met all of the “must” and “must not” requirements, and that you will be ready to justify all of the “should” requirements that you have not met.

3.2.4.2.8 Verification-Ready

You are now ready to submit your base RFP to the Verification Process as defined in Section 3.2.4.1. While your base RFP (i.e., everything except Appendix A) is being assessed, you are free to complete the drafting of Appendix A, Technical Specifications. Once that work is completed and you have received feedback from the NSI Certification and Verification Authority on your base RFP, you will submit any recommended corrections to the base RFP and your completed Appendix A for final assessment from the NSI Certification Verification Authority.

3.3 Corrigenda, Interpretations, & Frequently Asked Questions

Often, during implementation, practitioners will have questions that others have asked before them and for which there is already a response in the Frequently Asked Questions (FAQ) document, which can be found at www.opengroup.org/naspl/conformance/docs/faq.html.

If the questions and answers are not in the FAQ, the practitioner should submit their questions as follows:

- For questions about the Best Practice:
nsi-specifications@opengroup.org
- For questions about the certification or verification process:
naspl-cv-auth@opengroup.org

In addition to the FAQ, it is worth noting that once an NSI Best Practice has been published, changes may be needed from time-to-time. Change requests may occur when, for example:

- The relevant Working Group raises issues about the Best Practice.
- An ambiguity or inconsistency is discovered when implementing the Best Practice.
- The certification or verification process results in approved interpretations against the Best Practice.
- Changes in technology or operations at the lottery, vendor, or retail sites affect the Best Practice as it was originally defined.

There is a documented process called the Corrigenda Process for dealing with change requests and updates to the Best Practices. That process can be found at www.opengroup.org/naspl/published.

It is important that practitioners are aware that this process exists so they can check for any existing updates or interpretations they should know about while implementing the Best Practice, and conversely if they have any questions during implementation, they know there is a process in place for resolution.

4 Certification/Verification Process

Once your organization has started implementing the Best Practices, your Business Manager should familiarize him/herself with the verification processes, though of course you will not be able to register for verification until you have completed the implementation and have determined that you are verification-ready. It is far more efficient for all concerned – both the practitioner and the NSI Certification and Verification Authority – when a requirement can be implemented correctly the first time, rather than need corrective action after formal assessment.

The first step in the verification process is for the Business Manager to visit the NSI Verification web site at www.opengroup.org/naspl/conformance/verify.

Note: The RFP Verification program has been defined and approved by the NASPL Steering Committee. The approved program is currently being implemented and is expected to launch in February 2008, at which point the Implementation Guide will be updated and the RFP verification component and associated documents will be accessible from the web site given above.

Additionally, the following documents, accessible from that web site, should be read and understood prior to verification, since you will be required to agree to them during that process:

- The **NSI Verification Policy and Supplements** define the policies that govern the operation of the NSI Verification program. These policies define what can be verified, what it means to be verified, and the process for achieving and maintaining verification.

Note that the general NSI Verification Policy is available on the web site now, but the RFP Policy Supplement will be available once the program is launched in February.

- The **NSI Verification Agreement** covers the terms and conditions of the verification service.

If you have additional questions, please contact the NSI Certification/Verification Authority at naspl-cv-auth@opengroup.org.

5 Contact Information

For further general information on the implementation process, please contact either of the following:

- Andy White (awhite@nasplhq.org)
- Sally Long (s.long@opengroup.org)

For questions about specific requirements of the Best Practices or the verification process, please contact:

- naspl-cv-auth@opengroup.org