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# About your company

A.1 What is your company’s full legal name?

A.2 Is your company a limited company? (If yes, please state whether it is public or private and provide the registered number)

A.3 What is your company’s registered Head Office address and number?

A.4 When did your company commence trading?

A.5 When did your company enter this solution into the market?

A.6 If different to A.3, please provide the address of branch / office from where business with Insight would be administered (if applicable)

A.7 Please outline Insight’s point of contact at your company (Name and position)?

A.8 Please provide the contact details for Insight’s point of contact (Email address and phone number)?

A.9 Please provide a table of financial results?

A.10 Is your company part of a larger group? If yes, please provide the name of your parent company, and explain how your company and associated solution fits into those of your parent and associated companies. Please complete the following table of financial results:

A.11 If your company is yet to make a profit, when do you expect to do so?

A.12 How many development staff does your company have in the UK?

A.13 Please provide details of the major shareholders in your company?

A.14 Please describe your company’s structure, giving the function of each division and the names of key individuals?

A.15 Please describe any third parties that your company uses in relation to your business?

A.16 Does your company have any joint ventures, partnerships or relationships that are relevant to Insight and this response?

A.17 Please provide a breakdown of new customer implementations that you have undertaken over the last two years and the areas in which they operate?

A.18 Please provide a further breakdown of your financial sector customers, e.g. asset managers, fund managers, insurance companies, property managers?

A.19 Please describe three features or service differentiators that you believe provide significant benefits over and above your competitors?

A.20 Please provide two Asset / Investment Manager client references for your solution (Please provide company name, contact name, position in company, email address and confirmation that they can be contacted by Insight)?

A.21 Does your company have any existing contractual relationships with Insight or any other BNY Mellon entity or subsidiary? (If yes, please provide details including contact name and email address).

**A.22** **Please provide a copy of your company’s standard Terms of Business (Please ensure the supporting material is clearly labelled and referenced)?**

**A.23 Has your company or any principal in your company (e.g. director, partner or principal) ever been subject to a bankruptcy or insolvency order either in the UK or outside the UK?**

**A.24 Has your company or any principal in your company (e.g. director, partner or principal) ever been subject to any investigation or disciplinary action taken by the FCA or other regulatory body in the UK or outside the UK?**

**A.25 Has your company or any principal in your company (e.g. director, partner or principal) ever been subject to any litigation within the last ten years (include any pending proceedings)?.**

**A.26 Has your company or any principal in your company (e.g. director, partner or principal) ever been subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?**

**A.27 Has your company or any principal in your company (e.g. director, partner or principal) ever been investigated for or accused of corrupt conduct or bribery?**

**A.28 Has your company or any principal in your company (e.g. director, partner or principal) ever been accused by any government agency or convicted of bribery or fraud in the past ten years (include pending proceedings**

**A.29 Has your company or any principal in your company (e.g. director, partner or principal) ever been disqualified by a court from acting as a director of a company or from acting in a management capacity or conducting the affairs of any company, partnership or unincorporated association?**

**A.30 Right to Audit - Does your company agree to comply with this requirement? (During the Service Term of the Agreement, upon reasonable notice in writing, Insight investment (and any auditors (wherever internal or external) regulators and/or any governmental authorities), shall have the right to audit participant premises/and systems in order to assess compliance with Insight Investment policies and responses to security questionnaire, at no additional cost to Insight)?**

**A.31 Does your company have a Code of Conduct / Ethics in place?**

**A.32 Does your company have an Anti-Bribery and Corruption Policy in place? (If yes, please indicate if the Policy covers controls relating to gifts and entertainment, expenses and political / charitable donations)**

A.33 Does your company prohibit facilitation payments, including to public officials?

A.34 Does your company require its employees to undergo Anti-Bribery and Corruption training?

A.35 Does your Company plan to use other entities or individuals, including subsidiaries, affiliates, partnerships / joint ventures or other type of intermediary to perform services for Insight under the proposed agreement? (If yes, specify names, addresses and activities)

A.36 Will your Company sub-contract any Insight business to a sub-contractor? (If yes, provide their role titles and details of what part of service will be subcontracted).

A.37 If yes to A.36, does your company have processes in place to ensure that sub-contractors comply with all applicable Anti Bribery and Corruption rules and regulations?

A.38 If yes to A.36, please describe how your company select sub-contractors and / or Franchisees, the vetting procedure used and what ongoing reviews are conducted to confirm their suitability?

A.40 Conflict of Interest: It is important that no inappropriate relationship exists between the employees or directors of Insight and your company that could affect the outcome of this RFP evaluation process. You are required to advise us of any relationships / employees, that you are aware of, where involvement with Insight that could compromise the RFP evaluation process?

If a relationship exists, please provide details of the relationship

About your solution

B.1 Please describe the proposed technology solution?

B.2 Please describe the advantages of your proposed technology solution, including any known advantages over in-house built systems, including observable outcomes to operational efficiencies?

B.3 Please explain your market standing and any competitive advantages that are unique to your solution. What unique benefits will make your solution more likely to succeed?

B.4 Please detail any enhancements to your technology solution in the last three years

B.5 What is your retention rate, and how is it measured? Please provide details on global and UK rates.

B.6 What support will you provide in the initial set-up phase? How long do you expect this phase to take, and what involvement is required from employees of Insight Investment? If a project plan for implementation is available, please attach it to your submission.

B.7 Thinking of your most and least challenging onboarding experiences with current clients, what experiences can you share with Insight that will make your solution proposal for Insight more likely to succeed?

B.8 How would you handle a significant change to file formats? Is this process managed by Insight, and if so, how much support would be available?

B.9 What is the most likely cause of error, and what is the likelihood that it will be discovered before data is published? What controls do you have in place to prevent this?

B.10 How do you accommodate changes in the data or data structures required by external databases? How quickly are these changes accommodated, and how much action is required by Insight in these scenarios?

Costs

C.1 Please provide a quote for: (1) Implementation costs; (2) Ongoing costs (Please ensure that the total price breakdown equates to the total price); and (3) provide cost for individual licences, so we can understand how much each licence for each module costs per year.?

C.2 Please provide an indication, if any, of the costs of system upgrades.?

C.3 Please confirm that the above costs are complete and that no other expenditure will be required to implement the proposed solution (If not complete, please outline the additional costs and the reasons for these)?

C3.a. The number of marketed strategies / profiles across consultant databases may fluctuate during the course of a billing cycle to accommodate for product launches and deactivations. Please explain how you would accommodate a mid-cycle change to the number of strategies / profiles, both as increases and as decreases in quantity, in terms of billing. If billed in advance, please specify how this would be managed on a pro rata basis (e.g. refund, etc).?

C.4 What guarantees does your company offer in terms of pricing? Please specify how Insight would be notified of any fee increase, and what the limit of those increases would be. Implementation?

D.1 What is a ‘standard’ implementation cycle, including data conversion, delivery and installation, for your standard product?

D.2 What is a ‘standard’ implementation cycle, including data conversion, delivery and installation, for a customised version?

D.3 Please describe the support that would be provided to Insight, within the contract price, during a standard implementation?

D.4 Please provide details of your proposed implementation plan, for a standard implementation, including the resources and timescales which you would plan to follow.

D.5 What split of resource would you advocate between Insight and yourselves for this implementation?

D.6 What testing strategy would you advocate?

D.7 What procedures do you recommend / support for testing links to third parties?

D.8 What training will be required for Insight staff to use the system (both initially and ongoing)? What different levels of training would be required for different users of the system?

D.9 Can the training be customised to reflect Insight’s use of the system?

D.10 At what location(s) is your software developed, enhanced, supported?

D.11 How much support would you expect to provide to Insight on an on-going basis?

**D.12** **Please provide details of your support organisation (Please include an organisation chart, number of staff showing skill categories, type of products supported, and number of customers supported)?**

D.13 Provide details of your current Service Level Agreements (‘SLAs’) for support?

D.14 Please define the Help Desk / remote support facilities provided by your company?

D.15 During what hours is your company’s Help Desk available for contact / queries?

D.16 Where is your company’s Help Desk located?

D.17 What are your company’s emergency contact procedures?

D.18 What customer service performance indicators does your company monitor?

D.19 Please outline the details of your company’s problem resolution and escalation procedures?

D.20 What are your procedures for ongoing relationship monitoring including oversight and escalation?

D.21 What is your company’s policy regarding system upgrades? (Please include how often are system upgrades issued, and what level of support do you provide for older versions). Information security?

E.1 Does your solution have any special / new platforms on which it needs to be deployed?.

E.2 Please outline the platform used and the components involved (For example MS SQL 2010 instance XYZ)?

E.3 Please provide a view of where the components and the platform reside (Please include the logical and physical locations)?

E.4 Where known, please advise as to the regulatory and / or compliance policy requirements that may be applicable for to the solution?

E.5 Where known, please advise if any potential sensitive personal data may be processed / and or stored?

E.6 Please provide an overview of how privacy obligations are fulfilled (For example, ongoing privacy impact assessments are conducted for GDPR purposes)?

E.7 Does the solution support Single-Sign-On to refer authentication back Insight’s directory (e.g. Active Directory)? Briefly outline the SSO features and protocols supported by the service?

E.8 What identities (accounts) are involved (E.g., user, privileged (admin/App account), service accounts)? (Please list the identities)

E.9 How does the authentication happen? (Include both user-to-application authentication and any application-to-application/Web service/API authentication and or component-to-component authentication) Authentication occurs using credential/password authentication for login, Microsoft MVC authentication for the session?

E.10 What functional access capabilities (e.g. read-only, read-write, review, approve, administrative capabilities, etc.) are involved with the application/service?

E.11 Who administers the roles? (Please outline the life cycle management of the role and role privileges)

E.12 Are there any non-user accounts (e.g. service accounts) involved? (If yes, please provide information)

E.13 What encryption protocols and strengths are used when the data is in transit (over an internet connection)

E.14 Provide details how authentication credential that will be allocated to Insight are protected when stored?

E.15 What data stores are involved (e.g. files, databases, etc.)?

E.16 What data elements are protected at rest and please describe the encryption mechanism? Provide details on how the data stores (e.g. in files and databases) are protected from unauthorised access & modification, detailing the type of encryption and strength used.?

E.17 Please specify the technical host and processing site for data stores?

E.18 Please outline how test data in development and test environments is protected to the same standards as live data?

E.19 Is any Insight data hosted externally? (If yes, please explain what data is hosted externally and how the data is managed and protected)?

E.20 Is there any data export / import involved? (If yes, please explain what data is exported / imported, the routes used to transfer the data, and the methods used to transfer the data)?

E.21 Are there any keys / certificates involved? (If yes, please describe the purpose and how they are secured and are managed on an ongoing basis)?

E.22 Provide details on the network configuration required for the traffic flow between Insight and the solution?

E.23 Are there any certificates involved for establishing the trust relationship between Insight and the external entity? (If yes, please explain who would provide the certificates, how these are managed, the lifetime of the certificates and the encryption used)

E.24 What type of events (e.g. network events, application events, system events, database events, middleware events) are logged / captured for monitoring and auditing?

E.25 Where are the logs stored and how is the access to logs controlled?

E.26 What monitoring and auditing capabilities are supported by the solution?

E.27 Does the solution allow the SIEM tool integration (i.e. LogRhythm)? Or are there any customisation to be done in order to integrate with the SIEM tool?

E.28 What are the retention requirements for logs and audits?

E.29 Who (which teams) are responsible for logging, monitoring and auditing?

E.30 What software components are involved as part of the solution? (Please list all the in-house developed and commercially acquired / open source software components along with the version numbers)

E.31 What is the source / origin control and security assurance process? (Please include your SDLC – Software Development Life Cycle and Secure-SDLC policy and process documentation etc.)

E.32 How is the solution security patched and upgraded?

E.33 What patches will the system require (Adobe, Microsoft, your company etc.) and how will they be communicated, obtained, and applied?

E.34 What is the licensing model (e.g. per user) and is there any distinction between a normal user and admin user from a licensing point of view?

E.35 Who is the license approval authority?

E.36 Please outline your end-to-end Configuration and Change management process? (Please include an explanation of the Route to Live process and the release mechanism for all the components)

E.37 If your solution is Desktop installed, please confirm the installer package can be provided in either .MSI or .EXE formats for desktop applications?

E.38 Please provide evidence of any ISO27001 and SOC2 certifications?

E.39 Please provide any supporting documents regarding:

* **System Characteristics**
* **Identity and access management**
* **Data security**
* **Network and Infrastructure**
* **Logging, monitoring and auditing**
* **Application Security**
* **Configuration, Change and Release Management.**

E.40 What are the different user interface/interaction channels? (E.g., desktop application, web browser, Excel add-in/plugin, command line/admin console, etc.)

E.41 Briefly describe the access control features that are available within the service.?

E.42 Where open source component is involved, how is the change and release management for the open source component handled?

E.43 Could the vendor provide Insight with support and assurances around the processes of security incident management, sharing information, incident response, and ongoing security management?

E.44 How is the very first Insight user (Administrative user) onboarded to the service/solution (so Admin user can then set up other Insight users for SSO)? Outline the process of the one-time first user setup credential communication process.

System architecture

F.1 Is your solution hosted by your company (SaaS) or by Insight?

F.2 If in response to F.1, it is Insight hosted:

* **What operating systems are required? Are (or can) the components be containerised as a fully supported configuration?**
* **What third party components are also required? (e.g. web server, reverse proxy, etc.)**
* **What type of databases are supported and what are they for? What are common growth volumes?**
* **What is the process for updating the software and is it automated?**

F.3 If in response to F.1, it is SaaS hosted:

* **Is there a dedicated infrastructure / shared tenant?**
* **Is the solution available on Azure?**
* **Please describe how the components hosted (own infrastructure or cloud, dedicated servers or Kubernetes cluster with containerised components)**
* **How is data encoded at rest and on the wire: between components (internally) and user communications (externally)?**
* **What is the access, availability, performance and support Service Level Agreements (‘SLAs’)? (Please also outline the support model)?**
* **F.4** **Please provide architecture diagrams from both a business and network perspective (If SaaS, please ensure any optional or required connectivity travelling into our network is clearly indicated)?**

F.5 Are user-based components web-based or does it require any native desktop components? If desktop, is there a client run-time and if so, are there any licensing implications?

F.6 Please describe the route to live for changes Insight make to your solution (e.g. configuration, code, UIs) including the use of any DEV / UAT instances and the promotion to production environments where relevant (Please also include whether test environments carry additional license or hosting costs)?

F.7 Please describe the role of administrator or support users and the common activity?

F.8 Please describe any archiving and backup procedures of data and configurations?

F.9 Please describe the SLAs regarding the availability of the system?

F.10 Please describe the capabilities regarding Disaster Recovery (‘DR’) scenarios where there is a failure or partial failure of the system. (Please include; (1) the procedures for switching over and how would we ensure that no information is lost; and (2) how long it would normally take to get DR operational and any relevant SLAs)?

F.11 Please describe the data exchange formats / protocols (For example, HTTP REST, JSON, XML, etc)?

F.12 Where will the data be hosted? Public cloud (Azure, AWS or Google) or private cloud?

F.13 What are the locations of the cloud datacentres that will be used to host Insight Data?

F.14 Does the solution involve privilege and non-privilege roles? If so, please provide information what these roles are and the roles description?

F.14.a Can the roles be Insight’s Azure AD?

F.15 What encryption will be used for Data in transit? (SSL, TLS and etc)

F.16 What data Stores types will be used to store Insight Data? (files, databases, etc)?

F.17 Does your SaaS application require API integration with Insight or other 3rd party applications?

If yes, please answer the following questions:

F.17.a How is the API used by Insight Investment within in the scope of the proposed solution?

F.17.b Do you have documented developer resources? Examples; API Swagger files, endpoints and authentication flows

F.17.c Is the supplier under contract to supply the API?

F.17.d Are there additional charges in using or creating a customised API?

F.17.e Is the SLA acceptable to the Service Owner and compatible with Insight Investment working practices?

F.17.f Is there a test API endpoint or else another means to test the API without accessing production data?

F.17.g Detail how the API ensures that the access request is from a trusted identity, i.e. that the requests are coming from the claimed user. Refer to industry standard protocols and specific 'user flows' where known?

F.17.h Detail how the API ensures that once authenticated, the user requests can only access the data services for which they are entitled. Refer to industry standard protocols and established models where known?

F.17.j Provide details of any additional API controls protecting the data. Examples:

a) Transport layer security (e.g., TLS 1.2)

b) Message body level encryption and integrity features

F.17.k Detail the Key Lifecycle management processes of all key material (TDE, TLS, API integrations) including key renewal process and compromise detection?

F.18 Provide a scenario and rationale why the 3rd party needs access to company data, as opposed to meta-data or service operational data. What governance and oversight are provided to Insight e.g. authorized access windows, timely reporting etc Quality controls?

G.1 Please describe your company’s software design, development, and release procedures. Please also include how your company ensures that it complies with industry best-practice?

G.2 How is customer satisfaction determined by the organisation?

G.3 Describe your company’s procedures for guarding against computer viruses?

Maintenance

H.1 How many bug-fixes were applied to your solution in each of the last two years, and in percentage terms, what proportion of your company’s development resource was taken up by this?

H.2 What is the level of maintenance support required from Insight staff, together with the skills required of them?

H.3 Is the supply and implementation of software upgrades to your solution included in the annual maintenance charge?

H.4 Please outline the procedures regarding the following for your solution:

* **Announcement of new releases**
* **Supply / implementation of new releases**
* **Documentation updates..**
* **Notification of potential high impact problems.**

H.5 What is your policy regarding the software remaining compatible with the software environment?

H.6 If the software environment is changed, please state the normal timescale required to make software compatible?

H.7 Are there any conditions that would lead to withdrawal of your company’s support services?

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