



CAI Indiana MSP QPA #58993
Statement of Requirements for
Information Technology Project Services

Agency: Indiana Department of Health

Project Name: IDOH Application Cloud Migration

Date: August 5, 2024

Statement of Requirements (SOR)

Information Technology Project Services

Solicitation Schedule

| Activity | Date |
|--|---|
| Issue Request for Information Technology (IT) Project Services | 8/5/2024 |
| Deadline for IT Project Vendors to Submit Written Questions, via Q&A Template, to CAI.SOIN.Projects@cai.io by 2:00pm EDT | 8/16/2024 |
| Answers to Written Questions | 8/23/2024 9/6/2024 |
| Proposals Due in VectorVMS by 2:00pm EDT | 9/20/2024 10/4/2024 |
| Evaluation of Proposals | 10/11/2024 10/25/2024 |
| Best and Final Offers | 10/25/2024 11/8/2024 |
| Services Awarded | 11/01/2024 11/15/2024 |
| Services Start | Upon fully executed work order and issuance of purchase order |

The above timeline is only an illustration of the Request for ITCS process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the ITCS process in general, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the Evaluation Team's findings.

During the procurement process, IT Vendors are to have no contact with the Agency. Such action may disqualify Respondent from further consideration for an award or contract resulting from this process.

Conflict of Interest

Any person, firm or entity that is actively assisting with and/or participating in the project identified in this solicitation document is prohibited from submitting a proposal to this specific IT Statement of Requirements. For the purposes of this solicitation, a "person" means a State officer, employee, special State appointee, or any individual or entity working with or advising the State.

Project Background

PROJECT OVERVIEW

1. IT Project Identification

a. Project Purpose and Objective

The Office of Technology and Cybersecurity's (OTC) mission is to deliver innovative, secure, and reliable technology solutions to enable the goal of improving health and safety of all Hoosiers. As a part of the comprehensive IT transformation strategy, OTC wishes to modernize applications within the digital portfolio roadmap. OTC is seeking a vendor to accelerate the journey to cloud by migrating a suite of custom IDOH applications (34 applications in total) and their respective databases into a state-maintained AWS cloud tenant using AWS Elastic Beanstalk and Amazon RDS for Oracle. In collaboration with the Indiana Office of Technology (IOT) data center, OTC has decided to utilize the efficiency, security, and availability of AWS while minimizing the impact of the migration on internal resources. This request includes an overview of the applications to be migrated and specific expectations of a vendor and proposal. AWS was selected as the preferred cloud vendor for this set of applications through an evaluation of the criteria such as minimizing ongoing operational, development and support costs, maximizing supportability using IOT resources, and minimizing time and effort to migrate existing Oracle databases.

The primary objectives of this migration project included the following:

- Migrate custom applications to AWS Elastic Beanstalk for enhanced scalability and reliability.
 - Full list of applications and technical details are contained in the section titled "Application Inventory for Migration."
- Optimize application performance through AWS cloud services.
- Ensure a seamless transition with minimal downtime.
- Implement best practices for security and compliance.
- Provide documentation (client approved), training, and knowledge transfer on managing applications in the AWS Elastic Beanstalk environment to OTC staff.

b. Background

IDOH provides a wide range of services to constituents through an application portal known as Gateway which has experienced accumulated technical debt, increased support and maintenance needs, and performance issues causing downtime. This portal contains applications on virtual machines hosted in the IOT data center but encounters the lack of elasticity, autoscaling, automation, and cost savings that are available in a

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modern cloud-first approach that enables decoupling of applications on the portal. Earlier this year, a team of developers, solution architects, database administrators, and system administrators from OTC and IOT were able to successfully migrate two applications as a proof-of-concept into AWS Elastic Beanstalk, and backend database from Oracle 12c into Amazon RDS for Oracle. Through discovery and analysis of the application portfolio, OTC has identified selected applications that have limited functionality, dependency, or footprint for this migration effort. Most applications do not require consistent uptime and could be paused outside of normal business hours as needed.

2. Acronyms/Definitions

| Acronym | Definition |
|---------|--------------------------------------|
| MSP | Managed Service Provider |
| SOW | Statement of Work |
| SOR | Statement of Requirements |
| IT | Information Technology |
| SOI | State of Indiana |
| MAQ | Management Assessment / Quality |
| BAFO | Best and Final Offer |
| IDOA | Indiana Department of Administration |
| DWD | Department of Workforce Development |
| DOR | Department of Revenue |
| APRA | Access to Public Records Act |

3. Scope of Work and Deliverable

Engagement Based Services

Scope of Work

This section identifies the baseline expectations for a response. Vendors are encouraged to bring their best proposals forward. In general, this work is expected to be performed collaboratively and transparently with participants from IOT and IDOH, and in adherence with applicable policies, procedures, best practices, and regulations.

In collaboration with IOT and with adherence to strict security and confidentiality policies, the selected vendor should ensure the migration plan is implemented to protect sensitive data such as Personally Identifiable Information (PII), Electronic Patient Health Information (ePHI), and other confidential information while enabling IDOH to get optimal value out of cloud-based infrastructure and services in compliance with HIPAA standards.

The scope of work includes, but is not limited to, the following in Development, QA, and Production environments:

Pre-Implementation: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Conduct Application Readiness Assessment using AWS tools on each application
- Develop a comprehensive plan and document any risks, issues, and potential mitigations for each application from the cloud readiness assessment results
 - Business function, servers, databases, networking rules, configuration, dependencies, additional licensing, authentication (Access Indiana)
- Assess each application's readiness to migrate to AWS Elastic Beanstalk
 - Identify and document necessary modifications to update to latest version of Visual Studio including frameworks and libraries used within each application
- Design a strategy for migrating existing data from Oracle schema to AWS RDS for Oracle for current data needs and legacy or historical data currently stored in Oracle
 - Outline the plan for addressing data integrity and validation for implementation
- Perform security and compliance review on each application, working with OTC security coordinators using NIST and AWS security best practices
 - Adhere to existing security groups and Identity Access Management (IAM) strategy to ensure authorized use following Role Based Access Control (RBAC), Least Privilege, and Multi-factor Authentication (MFA)

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- Create a network architecture diagram for each application migrating to AWS Elastic Beanstalk, considering all firewall rules, security groups, application configurations, environment variables, and any other settings necessary to run the application in a multi-tier environment
 - Utilize Virtual Private Cloud (VPC) features for network isolation and segmentation
- Right-size environment for appropriate scalability based upon application demand with appropriate autoscaling configuration
 - Some applications are only used during normal business hours
- Build a testing plan for each application's functionality
 - CRUD process for example (Create, Retrieve, Update, Delete)
- Design a backup, recovery, and rollback strategy for code, data, configurations of each application
- Provision appropriate minimum necessary access to IDOH and IOT tools

Deliverables: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Produce application readiness report outlining the application's needs for migration
- Design an application architecture diagram of environment, connectivity, interdependencies, configuration
- Create a comprehensive plan outlining the steps and strategy to migrate data to AWS
- Define the application's needs to scale resources in AWS
- Document the application's security, risk, compliance measures and mitigation to achieve
- Document testing plan and for application functionality identified in Pre-Implementation plan considering testing checklist
- Proposed timeline of migration estimate
- Develop the plan to manage backup, recovery, and rollback for each implementation
- Document the high-level areas of importance for knowledge transfer to client

Application Preparation: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Utilizing the application readiness report for each application's needs
 - Update all applications to latest version of Visual Studio (currently VS 2022 version 17) including frameworks and libraries.
 - Document any issues from Pre-Implementation readiness assessment including limitations and constraints
 - Identify potential solutions or mitigation steps for constraints

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- Following DevOps principles
 - Create a ReadMe/Wiki in Azure DevOps to provide overview of application updates

Implementation/Migration: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Develop detailed cutover plan for each application including sequence of activities, tasks, and responsibilities
 - Identify dependencies or constraints with mitigation plans
- Implement the planned data migration strategy into AWS RDS for Oracle adhering to NIST standards collaborating with IOT and OTC DBA staff
 - Always encrypt data using protocols such as AWS Key Management Service (KMS)
 - Validate integrity of data pre and post migration using potential solutions such as:
 - Row-based counts, functional testing (CRUD), verification from business unit
 - Collaborate with IDOH staff on appropriate data retention policy
- Deploy code from Visual Studio application into AWS Elastic Beanstalk based on the defined deployment strategy
 - Follow defined CI/CD process for deployment following standards
 - Migrate configuration and other environment settings documented in Pre-Implementation steps
- Solicit any necessary approvals of the cutover with IOT and OTC change processes such as change review board with consistent client updates throughout the process
 - Communicate to applicable stakeholders, users of the cutover to minimize downtime
- Follow backup, rollback, recovery procedures outlined if needed
- Revoke access for personnel and systems when no longer needed

Deliverables: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Document pre-migration testing steps
- Migrate applications to AWS Elastic Beanstalk
- Migrate data to AWS RDS for Oracle
- Perform initial validation test defined
- Document rollback plan steps (if necessary)

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Post-Implementation: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Verify successful deployment of each application – dependent upon client approval (consider checklist for success such as functional testing, data validation).
- Perform thorough testing for functionality utilizing available automated testing processes. Referencing above data validation processes approved by client (dependent upon application need).
- Utilizing AWS CloudWatch monitoring, develop baseline performance model for applications to identify any resource bottlenecks or performance issues with constant updates to client.
- Monitor costs and application uptime needs to right-size for current and future scalability needs.
- Perform necessary application optimization
- Conduct post implementation security assessment and address any vulnerabilities identified utilizing Parasoft based upon Pre-Implementation processes defined by OTC Security Coordinators.
- Update documentation, configuration changes to reflect current state and any other differences from Pre-Implementation plan changes.
- Define application incident plan to resolve issues
- Develop plan for knowledge transfer to staff contained with documentation Should this be part of the Pre-Implementation Phase and list out what documentation?)
- Update Azure DevOps code repository with latest version of application and documentation, latest version of Visual Studio (currently VS 2022 version 17)

Deliverables: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Provide report on post implementation testing results based upon Pre-Implementation plan documenting issues and resolution
- Create an application performance monitoring report through a tool like Amazon CloudWatch for each application
- Create security compliance report from Pre-Implementation NIST results
- Provide costs breakdown for current and future needs for scalability, for the next 3 years.
- Update all documentation created throughout implementation
- Design an incident response plan to assist staff in supporting the application (How to/FAQ)
- Provide written documentation on all lessons learned to achieve best practices

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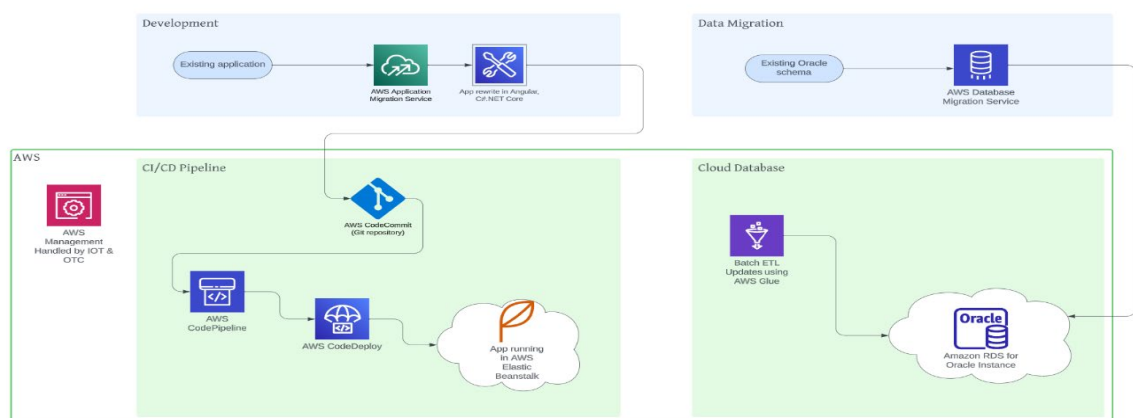
Acceptance Criteria: All documents and deliverables must be provided in agreed-upon formats and receive client sign-off.

- Pre-Implementation readiness defined
- AWS environments provisioned and configured per Pre-Implementation migration plan
- Application fully operational on AWS environment validated in Post Implementation checklist
- Post Implementation validation successful from checklist for data validation, functionality, security, performance
- Application performance benchmarks compared from performance monitoring and client or business user expectations against legacy performance
- Application security complies with NIST and AWS best practices
- Change review board approval (or similar OTC approval)
- Users noticed little or no disruption to service at 97% uptime and availability
- All documentation updated and available within 30 days of implementation
- Incident response documented within the Issue Log or Risk Register
- OTC has reviewed and approved all deliverables within 15 business days
- OTC has performed UAT through functional testing and data validation from Post Implementation checklist (may involve specific business unit testing)
- OTC staff have been trained, received knowledge transfer of all aspects of migration, maintenance, and operation of the application within 90 days of implementation

Out of Scope:

- Any decommissioning of applications, databases, or servers will be performed by OTC staff following existing SOP
 - Upon approval of successful application migration within Acceptance Criteria, OTC will follow procedures on decommissioning objects

Proposed Architecture:



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Support

- Vendor will provide one month (or time frame agreed upon) for additional support post implementation to OTC staff
- Support will involve business hours only through phone or email with 4-hour acknowledgement time SLA (or time frame agreed upon)
 - Ticket system provided by vendor permissible
- Issue resolution within 3 business days SLA (or time frame agreed upon)
 - Vendor issue severity to be considered (break/fix vs change request)
- Any additional needs are discussed and may require a separate agreement
- OTC will provide necessary information to resolve issue and be available for resolution (specific details required by vendor ticket system to be considered) or details such as:
 - Name, username, email, phone number to reach, issue description, screenshots (if possible), time/day of issue, severity
- Vendor will provide written explanation of resolution including identification, resolution, and communication for all incidents and problems at issue resolution. (Could be explanation provided in ticket resolution process)
- OTC will be primary contact for all change review processes but may include vendor
- Target Service Level Response Times (business hours only, not weekend or holiday) for issue resolution
 - Within 4 hours if critical/emergency (or time frame agreed upon)
 - Within 8 hours if general inquiry (or time frame agreed upon)

Project Management

- Vendor will provide weekly updates on project status and participate in all meetings.
- Vendor and client will escalate any issues that affect project delivery success, such as delays in milestones, access, responsiveness, etc. These should be established between OTC management and Vendor leadership team.

Constraints

- Selected vendor will not have access to production level data and instead have minimum necessary access to maintain application security
- Vendor will follow all guidelines to safeguard sensitive data and other confidential information

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Assumptions

- OTC will make appropriate team members available for this Statement of Work such as Executive Sponsor, Information Security, DBA, and application developer Subject Matter Experts (SME) as necessary.
- All licensing fees for migration, support, or training not contained within IOT offering will be discussed and are at the discretion and approval of OTC.
- OTC staff are available to assist selected vendor with connectivity to tools, systems, and infrastructure for this SOW.
- Timely decision-making and the availability of key staff are critical to supporting this work.

Risks

- Competing projects limiting availability may affect the project timeline.

Roles and Responsibilities provided by Vendor

Project Manager

- Consults with project team to ensure deliverables, timelines, and scope are met
- Communicates status in adherence with IDOH PMO policies and processes

Application Developer

- Evaluates applications for cloud readiness using AWS tools
- Updates application framework, library, run-time environment
- Documents any application deficiencies using best practices for priority

Cloud Architect

- Manages and monitors the strategic design of application migrations
- Guides application developers into the best approach for migrations

Database Administrator

- Collaborates with IOT DBA to prepare data for migration
- Migrates data into AWS RDS for Oracle in new cloud tenant
- Performs testing for data accuracy, scalability

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Application Inventory for Migration

- Summary of applications and attributes listed below.
- The full list of applications and attributes will be sent as an appendix document.
- Documentation and integrations are also available.
- Database sizes for most applications are no larger than 7GB on a shared Oracle schema; larger sizes may indicate a need to archive legacy data.
- Applications listed at the bottom represent two categories: Applications that have been migrated to AWS Elastic Beanstalk as proof of concept

| Application Name | Description | Technology | Sensitive Info? |
|----------------------------------|--|---|-----------------|
| CSRAIS | New Application for Plan of Correction | .NET 4.7, C# | No |
| Docs | Gateway documentation | .NET 4.7, C# | No |
| Dumper | MCH Data Repository tool | .NET VB.Net | Yes |
| EARS2 | EHDI Alert Response System | .NET 4.8, C# | Yes |
| Essence Record Lookup | Essence Record Lookup app (old Medical Record Lookup). | .Net 4.0 C# | Yes |
| FIMS | Facility Inspection Management System application | .NET 4.7, C# | No |
| Farm Inspection | Farm Inspection | .NET, GitHub | No |
| HD Upload | Monthly Birth Defect Hospital Discharge Upload | .NET 4.5 VB.Net | Yes |
| HIPAA Centers | HIPAA Centers application | 4.7, VB.net | No |
| HIV Confidential Reporting Forms | HIV Confidential Reporting Forms application | C#, .Net Framework 4.5 HTML, Angular JS, Bootstrap | Yes |
| Hospital/ASC Financial Reporting | Hospital Fiscal & Service / ASC Utilization Report | 4.7, VB.net | Yes |
| ILEAD | Indiana Lead Environmental Assessment Database (I-LEAD) | .Net 4.5, VB | Yes |
| INSTEP | Indiana Newborn Screening Tracking and Education Program | .NET 4.7, C# | Yes |
| ITARA2 | Immigrant TB All Refugee Application | .NET 4.5, C# | Yes |
| Indoor Air Quality | Indoor Air Quality | .NET 4.7, C# | No |
| LDF | LDF (Lead Data Flow) application | .NET 4.7, C# | Yes |
| LTC Covid App | LTC Covid App | .NET 4.7, C# | Yes |

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| | | | |
|---------------------------------------|---|------------------------|-----|
| LTC-License Renewal | LTC-License Renewal - New | .NET 4.7, C# | No |
| License Renewal | License renewal application - LTAC | 4.5, VB.net | No |
| OPTIN | Overdose Prevention application | C#, .Net Framework 4.5 | No |
| OPTIN | Overdose Prevention application | C#, .Net Framework 4.5 | NO |
| Organization Management | Add, Edit, and Update IDS Organizations and Facilities by specific program area | .NET 4.7, C# | No |
| PRMS | Plan Review Management System | .NET 4.7, C# | No |
| Physician Reporting | Physician Birth Defect Reporting System (IBDPR) | .NET 4.7, C# | Yes |
| RADON | Radon Annual reporting | .NET 4.7, C# | No |
| SAERS Management | SAERS Management provides SAERS Admins reporting functionality and SAERS settings | 4.7, VB.net | No |
| STD-MEDICATION | STD-MEDICATION | .NET 4.5 C# | Yes |
| Severe Adverse Event Reporting | Severe Adverse Event Reporting System (SAERS) | 4.7, VB.net | No |
| Smallpox Vacc | Smallpox Vaccinator | 4.7, VB.net | Yes |
| Survey Report System | Plan of Corrections - Survey Report System | 4.7 Vb.net | No |
| Temporary Health Care Services Agency | Health Care Services Agency Registration System | .NET 4.7, C# | No |
| Vaccination Admin Portal | COVID Vaccination admin portal | .NET 4.7, C# | Yes |
| iPOOLS | Indiana Tracking and Inspecting Pools application | .NET 4.7, C# | No |
| iTOSS | Indiana Tracking Onsite Sewage Systems (iTOSS) application | .NET 4.7, C# | No |

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Proposed Implementation Timeline

Once access has been received, IDOH anticipates vendor can migrate one application per week or parallel migration, depending upon size of team and complexity involved in application update effort and availability of IDOH staff or other dependency external agencies in this initiative.

| Example Migration Timeline | | | | | | | | | |
|----------------------------|---------------------------------|--------------------|------|------|------|------|------|------|------|
| Activity | | Wk 1 | Wk 2 | Wk 3 | Wk 4 | Wk 5 | Wk 6 | Wk 7 | Wk 8 |
| App Migration | Configure App Env Dev, QA, Prod | | | | | | | | |
| | Configure DB Env Dev, QA, Prod | | | | | | | | |
| | Migrate application and data | | | | | | | | |
| | Testing, Documentation | | | | | | | | |
| Support & Monitoring | Review & clean up other Objects | | | | | | | | |
| | Conduct Knowledge Transfer | | | | | | | | |
| | Post Migration Support | | | | | | | | |
| | | PROJECT MANAGEMENT | | | | | | | |

Required Cloud Computing Services and Capabilities

The following are the minimum expectations the Office of Technology and Cybersecurity (OTC) has of vendors responding to this request.

Experience with the following tools/technologies: (Minimum 3 years of experience in each area)

- Azure DevOps repository
- Microsoft Visual Studio
- AWS Application Migration Service, AWS Database Migration Service
- AWS Elastic Beanstalk, AWS RDS for Oracle
- AWS CloudWatch, AWS S3
- AWS CodeCommit, AWS CodePipeline, AWS CodeDeploy

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Eligibility Criteria

- Minimum of 3 years of AWS development experience
- Ability to develop, manage, and optimize a diverse portfolio of applications within the AWS ecosystem
- Selected vendor should have expertise in the following areas related to AWS infrastructure management:
 - Infrastructure Design and Architecture
 - Provisioning and Deployment
 - Security and Compliance
 - Scalability and Elasticity
 - Continuous Improvement and Evolution

The vendor's response should provide evidence of their experience and capabilities in each of these areas, highlighting successful projects or initiatives where they have demonstrated proficiency in building, managing, and evolving AWS infrastructure to meet the evolving needs of healthcare applications.

- Ability to implement and advocate modern architectural concepts and techniques, including CI/CD, Infrastructure as Code, and micro-services, all maximizing the use of AWS cloud native tools and systems.
- Provide examples where you have collaborated closely with clients to build applications, with a strong understanding of their evolving needs and shaping solutions accordingly.
- Vendor must have demonstrable experience in supporting the applications they have developed, including 24/7 support capabilities. This should include provisions for prompt bug fixes, updates, and ongoing technical assistance to ensure the smooth functioning of the applications. The vendor should outline their approach to support and maintenance, including response times, escalation procedures, and communication channels for issue resolution. Additionally, the partner should provide evidence of their ability to adapt the application to evolving healthcare standards and technologies, ensuring long-term compatibility and optimal performance.

Contents of Proposal

1. Applicant Overview and Qualifications

The proposal should provide a general overview of the applicant's capabilities, resources, and experience. The ideal applicant will have at least three years of AWS development experience and expert familiarity with all applicable frameworks and

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standards. Applicants must provide an overview of your firm, its mission, and how your services align with OTC's requirements. It should succinctly explain why your firm is best suited for this implementation and your understanding of the project's objectives. This should include details on the specific staff resources that will be assigned to support the engagement with OTC with a summary of their relevant skills and experience. Please include an org chart and key staff resumes in an appendix to your proposal. This is your opportunity to create a compelling case for your expertise, experience, and approach.

2. Approach

The proposal should provide a detailed explanation of your approach to AWS-based projects, with emphasis on modern coding principles. A description of your firm's methodology when tackling AWS-based projects. Outline your steps from project initiation to delivery, and how you ensure the application of modern coding principles throughout this process. Highlight your commitment to agile practices, CI/CD pipelines, Infrastructure as Code, and other forward-thinking strategies. Demonstrate how you balance these techniques to drive efficiency, scalability, and reliability. Understanding there may be flexibility in how we structure future projects, include a description of your preferred client engagement practices and the typical client experience.

- a. Description of, and references for, at least three applications built on AWS using modern coding practices.

For each case, explain the business challenge, your solution, the specific AWS services utilized, and results achieved. Please include client references for each case.

- b. Evidence of extensive experience and expertise with AWS, specifically in architectural design.

Detail your firm's experience with AWS, particularly in designing resilient, efficient, and scalable architectures. Provide data on the number of projects completed, certifications earned, and specific architectural challenges overcome. Highlight any recognition or awards received from AWS or other reputable bodies for your work in this domain.

- c. References from at least two former clients for whom your firm migrated to cloud native applications.

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Describe at least two clients and provide references for whom your firm migrated to cloud native applications. Detail the nature of the implementation including collaboration and success with the client. These references should be able to describe your successful delivery.

- d. Elaborate on your approach to establishing a collaborative relationship with clients.

Describe your approach to building a collaborative relationship, managing communication and conflict resolution. Elaborate on your approach to adding value in this implementation.

3. Cost

The proposal must include a Pricing Summary. Provide your proposed pricing for your solution based on the following Pricing Model (Delivery Pricing, Fixed Price, Time & Material).

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Evaluation Process and Criteria

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the ITCS in a cost-effective manner.

Summary of Evaluation Criteria:

| Criteria | Points |
|--|-----------------------------|
| 1. Adherence to Mandatory Requirements | Pass / Fail |
| 2. Management Assessment / Quality (MAQ) | 60 available points |
| 3. Cost (Cost Proposal) | 35 available points |
| 4. Buy Indiana | 5 available points |
| Total | 100 available points |

All proposals will be evaluated using the following approach.

Step 1

In this step proposals will be evaluated against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 95 points. All proposals will be ranked based on their combined scores for Criteria 2 and 3 ONLY. This ranking may be used to create a "short list". Any proposal not making a "short list" will not be considered for any further evaluation.

Note: Step 2 may include one or more rounds of proposal discussions, oral presentations, clarifications, demonstrations, etc. focused on cost and other proposal elements. Step 2 may include a second "short list".

Step 3

If the State conducts additional rounds of discussions and a best and final offer (BAFO) round which lead to changes in either the MAQ or Cost sections for the listed Respondents, their scores will be recomputed.

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

Step 4

The response receiving the highest combined Total score, as outlined in the table above, will receive the award.

The below describes the different evaluation criteria.

Adherence to Requirements [Pass / Fail]

Respondents passing this category move to Step 2 and the proposal is evaluated for Management Assessment/Quality and Price.

Management Assessment / Quality [60 available points]

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of this Request for ITCS.

Cost [35 available points]

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Cost scores will be normalized to one another, based on the lowest cost proposal evaluated. The lowest cost proposal receives a total of 35 points. The normalization formula is as follows:

$$\text{Respondent's Cost Score} = (\text{Lowest Cost Proposal} / \text{Total Cost of Proposal}) \times 35$$

Buy Indiana [5 available points]

Respondents qualifying as an Indiana Company will receive 5 points in this category.

It is the Respondent's responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA and wishes to be certified as a Buy Indiana entity, go to

<https://www.in.gov/idoa/2467.htm>.

Respondents that have not previously registered with IDOA must go to <https://www.in.gov/idoa/2467.htm> and follow the steps outlined in the paragraph above to certify your business' status. The Respondent's Buy Indiana status must be finalized when the solicitation response is submitted.

Respondent must clearly indicate which preference(s) they intend to claim (Respondent will only be evaluated on the criteria selected/cited from IC 5-22-15-20.5). Be sure to allow sufficient time to complete this process, at least twenty (20) business days.

Defining an Indiana Business:

"Indiana business" refers to any of the following:

- (1) A business whose principal place of business is located in Indiana.
- (2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
- (3) A business that employs Indiana residents as a majority of its employees.
- (4) A business that makes significant capital investments in Indiana.
- (5) A business that has a substantial positive economic impact on Indiana.

Substantial Capital Investment:

Any company that can demonstrate a minimum capital investment in Indiana of \$5 million or more in plant and/or equipment or annual lease payments in Indiana of \$2.5 million or more shall qualify as an Indiana business under I.C.5-22-15-20.5 (b)(4).

Substantial Indiana Economic Impact:

Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under I.C. 5-22-15-20.5 (b)(5).

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Supplier Response

All items listed below are mandatory. Supply the requested information in the blue-shaded areas and indicate any attachments that have been included. If they are not included, the proposal may be failed and not further considered.

Proposals must be submitted as a single PDF. **When claiming confidential information, if applicable, the State should receive two PDF documents.** See the following section for further detail.

CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 et seq., and, after award, the entire Request for Projects Services file may be viewed and copied by any member of the public, including news agencies and competitors.

Respondents claiming a statutory exception to the APRA must indicate so on a separate attachment labeled “**Confidential Documentation Listing**”. That document should include the following information:

- List all documents where claiming a statutory exemption to the APRA
- Specify which statutory exception of APRA that applies for each PDF
- Provide a description explaining the manner in which the statutory exception to the APRA applies for each document

When claiming confidential information, respondents should submit two versions of their response: 1) a confidential version (for the State’s review and evaluation) and 2) a redacted version (for public records requests).

The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor.

Prices are NOT confidential information.

IT Vendor's response shall be submitted in several parts as set forth below. The IT Vendor will confine its submission to those matters sufficient to provide an adequate basis for the SOI evaluation of the IT Vendor. This response will be incorporated by reference into the final statement of work. The following sections and answers to the following questions should be completed in entirety:

COMPANY INFORMATION

1. Official registered name (Corporate, D.B.A., Partnership, etc.), address, and main telephone number.
2. Key contact name, title, address (if different from above address), and direct telephone number.
3. The person authorized to contractually bind the organization for any proposal against this response and subsequent SOW.
4. Brief history, including year established and the number of years your company has been offering IT Project Services.

GENERAL COMPANY PROFILE

1. Describe your competitive advantage (what sets you apart or your company strength).

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- Describe your experience and expertise on project(s) with similar scope to the project described in Section 1, "Project Overview" above. Explain how you will successfully deliver IT services for this project.

EXECUTIVE SUMMARY (Please limit to two pages)

This section will present a high-level synopsis of the IT Vendor's proposal. The Executive Summary should be a brief overview of the engagement and should identify the main features and benefits of the proposed work. Provide the attachment name in the following response area.

REFERENCES

Provide three (3) current corporate or governmental references, including company name, contact name, title, address, telephone number, email address, and client relationship synopsis for similar services.

References:

| Contact Information | Duration and Brief Summary of Engagement |
|---------------------|--|
| Company/Entity: | |
| Contact: | |
| Title: | |
| Telephone: | |
| Email Address: | |
| Contact Information | Duration and Brief Summary of Engagement |
| Company/Entity: | |
| Name: | |
| Title: | |
| Telephone: | |
| Email Address: | |
| Contact Information | Duration and Brief Summary of Engagement |
| Company/Entity: | |
| Name: | |
| Title: | |
| Telephone: | |
| Email Address: | |

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RESPONSE AREA

1. IT Staffing

- a. Provide an overall project organizational chart that includes roles / responsibilities and percent allocation for your team as well as expected roles / responsibilities for the SOI team to help ensure project success.

- b. Provide resumes of each IT staff member identified on your team. For any staff member not yet identified, provide the minimum expected qualifications of the position.

- c. Explain why this resourcing approach will be successful in delivering high-quality IT services.

2. Overall Project Implementation (**Place and "N/A" in any of the boxes below if believed to be Not Applicable for this SOR**)

- a. Describe the solution you plan to use to meet the system requirements and identify if the solution is Commercial-Off-The-Shelf (COTS), Platform, Custom, or a combination.

- b. Explain where your solution has been implemented. Include when the implementation was completed, the solution version used, your project role, project duration, project results, who hosted and supported the solution, how many users access and use the solution, and if the entity is still using the solution.

- c. Estimate the overall percentage of mandatory SOI requirements that would (1) be satisfied by current functionality, (2) require configuration only to satisfy, and (3) require some level of customization to satisfy. These three categories should total 100%.

- d. Describe in detail your project approach and methodology (Agile, Waterfall, or a combination).

- e. Describe your overall risk / issue management approach and methodology. Include how risks and issues will be identified, prioritized, and communicated throughout the project.

- f. Identify and describe 3 to 5 potential key overall project risks given your experience and expertise on projects of similar size, scope, and complexity. Describe how your approach will mitigate those risks to this project.

- g. Provide an example of when you escalated a risk / issue to a client that resulted in measurable value and tangible results.

- h. What tools will you use as part of overall project delivery to include development, testing, communications, scheduling, document management, defect management, training, and others?

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- i. Describe your approach to schedule management for the project. How will you track and communicate schedule performance? Provide an example of a high-level schedule for this project to include tasks that your team will own and State-owned tasks in an integrated fashion.

- j. Describe your approach to communication management for the project. How do you plan to get timely feedback to the SOI? How will you measure communication effectiveness? Provide an example of a high-level communication plan for this project to include who receives what, when, and how.

- k. Describe your status reporting process (format, distribution timeline, distribution methodology, etc.) on projects of similar size, scope, and complexity. Provide an example of a status report.

- l. Describe your expectations of the SOI on this engagement. Specifically, what must the SOI provide with respect to the environment, participation, and processes to enable you to be successful on this project?

- m. Provide a high-level architectural diagram and associated details of all hardware / infrastructure required for the solution to operate, including backup and disaster recovery. (Number of servers, servers' specs, OS versions etc... for client and server).

- n. Describe your overall security approach for the solution and data to meet the SOI security requirements.

3. IT Organizational Change Management (OCM) **(Place and "N/A" in any of the boxes below if believed to be Not Applicable for this SOR)**

- a. What is your overall approach to OCM on this project? How will you measure organizational readiness throughout the project?

- b. What role will you play in OCM activities for this project? What role do you expect the SOI to play?

- c. What experience and expertise do you have in OCM activities for projects of similar size, scope, and complexity?

- d. Provide a high-level example of your OCM plan from a project of similar size, scope, and complexity that defines the strategy, methodology, and tasks.

- e. What are the key risks / issues that you have faced with OCM activities on previous projects? What mitigation and contingencies did you identify and implement? What effect did your action(s) have on the overall project?

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Information Technology Project Services

4. IT Data Conversion and Migration (**Place and "N/A" in any of the boxes below if believed to be Not Applicable for this SOR**)

- a. What is your overall approach to data conversion / migration for this project?

- b. What role will you play in data conversion / migration activities for this project? What role do you expect the SOI to play?

- c. What experience and expertise do you have when it comes to converting / migrating large quantities of data in different formats and locations?

- d. Provide a high-level example of your data conversion plan from a project of similar size, scope, and complexity that defines the strategy, methodology, and tasks.

- e. What are the key risks / issues that you have faced with previous data conversions / migrations and what mitigation and contingencies did you identify and put in place? What effect did your action(s) have on the overall project?

- f. Do you recommend a specific environment for data conversion / migration activities? Why?

5. Testing (**Place and "N/A" in any of the boxes below if believed to be Not Applicable for this SOR**)

- a. What is your overall approach to testing for this project? Specify the type of testing you expect throughout the project and when. How will your team coordinate and execute testing in a cross-functional team environment?

- b. What role will you play in the various testing activities for this project, including User Acceptance Testing (UAT)? What role do you expect the SOI to play?

- c. What experience and expertise do you have when it comes to testing activities for projects of similar size, scope, and complexity?

- d. Provide a high-level example of your test plan from a project of similar size, scope, and complexity that defines the strategy, methodology, and tasks.

- e. What are the key risks / issues that you have faced with previous testing activities and what mitigation and contingencies did you identify and put in place? What effect did your action(s) have on the overall project?

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- f. Do you recommend any automated testing as part of this project? Why or why not? If so, what role will you play in the development and execution of automated testing if any?

- g. Describe how your team estimates testing effort for projects.

- h. Describe your defect management approach, process, and detailed steps to document, prioritize, track, correct, and retest defects found in testing.

- i. What tools and visuals will be available for tracking testing throughput (test executions) and progress (test passing) over time?

6. Training (Place and "N/A" in any of the boxes below if believed to be Not Applicable for this SOR)

- a. What is your overall approach to training for this project? Specify the types of training and delivery methods you expect for the various types of project stakeholders to include end users of the solution. How will your team develop and deliver training?

- b. What role will you play, the SOI play, in the various training activities for this project?

- c. What experience and expertise do you have when it comes to training activities for projects of similar size, scope, and complexity?

- d. Provide a high-level example of your training plan from a project of similar size, scope, and complexity that defines the strategy, methodology, and tasks.

- e. What are the key risks / issues that you have faced with previous training activities and what mitigation and contingencies did you identify and put in place? What effect did your action(s) have on the overall project?

- f. Describe how you will ensure training materials will be kept complete and current throughout the project and beyond.

- g. Describe how you determine if training is effective.

7. Cutover and Support (Place and "N/A" in any of the boxes below if believed to be Not Applicable for this SOR)

- a. What is your overall approach to supporting the solution after project go-live? What is your plan for heightened support (hyper-care) while the solution is stabilized post go-live? How long will hyper-care last?

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- b. What role will you play in the support activities post go-live? What role do you expect the SOI to play?

- c. What experience and expertise do you have supporting this solution and similar solutions?

- d. Provide a high-level example of your support plan and cutover plan from a project of similar size, scope, and complexity that defines the strategy, methodology, and tasks.

- e. What are the key risks / issues that you have faced with previous cutover and support activities and what mitigation and contingencies did you identify and put in place? What effect did your action(s) have on the overall project?

- f. Describe how you will ensure support staff will be trained and made ready to successfully support the solution.

- g. Describe how you will monitor support activities and how you will adjust support as needed.

- h. Provide any Service Level Agreements (SLAs) the SOI can expect as part of your support of the solution post go-live.

8. Pricing Summary – Provide your proposed pricing for your solution based on the following Pricing Model.

*** Note:** Total Project Costs are not to exceed amount submitted / proposed. Price must be **ALL INCLUSIVE**, including, but not limited to, any and all travel, delivery costs or destination fees.

For Deliverable Pricing, cost is calculated as (IT Vendor Payment + (IT Vendor Payment * .0045)).

For Fixed Price, payment is calculated as (IT Vendor Payment + (IT Vendor Payment * .0045)).

For Time and Material, Hourly Bill rate is calculated as (IT Vendor Rate + (IT Vendor Rate * .0045)).

Deliverable Pricing:

| Deliverable | Cost |
|--|-----------|
| [Deliverable 1] | \$ |
| [Deliverable 2] | \$ |
| [Deliverable 3] | \$ |
| Total IT Project Services costs (sum of all lines above): | \$ |

Statement of Requirements (SOR)

Information Technology Project Services

Fixed Price / Monthly Fee:

| # | Milestone Event | Schedule | Payment |
|---------------|-----------------|----------|---------|
| 1 | | | \$ |
| 2 | | | \$ |
| 3 | | | \$ |
| 4 | | | \$ |
| 5 | | | \$ |
| TOTAL: | | | \$ |

Time and Material / Hourly Billing:

| Resource's Position and Description | Hourly Bill Rate | Project Hours | Total Costs |
|--------------------------------------|------------------|---------------|-------------|
| Position and Description: | \$ | | \$ |
| Position and Description: | \$ | | \$ |
| Position and Description: | \$ | | \$ |
| Total Project Hours and Cost: | | | \$ |