CAI Indiana MSP QPA #58993

Statement of Requirements
For IT Consulting Services

Agency: Indiana Department of Education

Project Name: National Public Education Finance Survey (NPEFS) Project

Date: 8/8/22

Solicitation Schedule

Activity	Date
Issue Request for IT Consulting Services	8/8/22
Deadline for Vendors to Submit Written Questions, via Q&A Template, to CAI.SOIN.Projects@cai.io by 2:00pm EDT	8/15/22
Agency Answers to Written Questions	9/13/22
Proposals Due in VectorVMS by 2:00pm EDT	9/28/22
Evaluation of Proposals	9/29/22 - 10/14/22
Best and Final Offers	(week of) 10/17/22
Services Awarded	(week of) 10/24/22
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, 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.

Project Background

PROJECT OVERVIEW

1. Project Identification

a. Project Purpose and Objective

Objectives

The main objectives of this project:

- Streamline maintenance of methodology, analysis, and calculated results for the federal NPEFS report for IDOE staff.
- Create a central repository to store NPEFS financial results and documentation so reports can be extracted as needed.
- Ensure timely release of federal funds to schools based upon the NPEFS analysis and results.
- Create the final file for uploading into the federal reporting system.
- The project should be completed by June 1, 2023.

Benefits

On successful implementation of this project, the main benefits will include:

- Automate the process and eliminate the need for excel calculations.
- Saving manual efforts of calculating NPEFS data (potentially hundreds of manual hours).
- Setup IDOE to respond to state and federal audits with a more efficient process.

Current status of data

- IDOE staff maintain school information in Excel spreadsheets and manually perform the calculations to extract the information that needs to be provided to the federal government. This process is time consuming and susceptible to human error.
- The calculations are stored in Excel spreadsheets on employee computers rather than a centralized location or system.
- Data is manually entered on the federal government interface—which is a time consuming and repetitive effort.

Desired State

The ideal system would include the following features:

- Capability of performing the NPEFS calculations, analysis, and generating necessary reports to upload to the federal government interface using system data wherever possible.
- IDOE needs the ability to possibly edit data and save notes regarding changes in a school's calculation. System should maintain audit information regarding analysis, methodology, and changes.
- Director should be able to electronically sign off on the report prior to creation of report upload file.

b. Background

NPEFS is the Nation's only source of annual statistical information about total revenues and expenditures for public elementary and secondary education at the state level. NPEFS provides detailed finance data at the state level, including:

- Average daily attendance
- School district revenues by source (local, state, and federal)
- Expenditures by function (instruction, support services, and non-instruction), sub function (e.g., school administration), and object (e.g., salaries). This survey also includes capital outlay and debt service expenditures.
- NPEFS serves as both a statistical and an administrative collection that is utilized for a number of federal program funding allocations. NPEFS collects financial data related to elementary and secondary education on a statewide basis.
- Data from NPEFS is used to calculate a state per pupil expenditure amount that is then used in the formula for allocating a number of federal program funds to states and school districts, including Title I.
- The data is also used by researchers and government policymakers to address important education policy and research issues.

2. Acronyms/Definitions

NPEFS- National Public Education Finance Survey- nation's source of annual statistical information about total revenues/expenditures for public elementary and secondary education at the state level.

ADA- Average Daily Attendance. Used as the denominator in calculating the State Per Pupil Expenditure (SPPE) used in Title I and other Federal fund allocations. ADA must be reported as defined by state law or federal law. It is the aggregate number of days of attendance of all students during a school year, divided by the total number of days school is in session during the school year. (NCES definition)

SSPE- State Per Pupil Expenditure – a key component in the formula to allocate Title I and other federal funds to states and school districts. It is calculated by dividing the Net Current Expenditures by Average Daily Attendance.

Form 9 Financial Data- This is revenues, expenditures, cash balances, investments, and other financial data submitted to the Indiana Department of Education on a six-month basis. The information is reported on a cash basis by local education agencies (school corporations, charter schools, cooperatives, and education service centers).

3. Scope of Work & Deliverables

a. Services Required

- Calculations stored in database tables
- Reports available in separate Form 9 dashboard tab for IDOE Administration using Power BI
- Report can initially be submitted anytime between February through early August for previous fiscal year
- Staff should have the ability to
- add, delete, or amend lines
- overwrite data – separately house any data modified for the NPEFS report in the NPEFS tables. Do not overwrite previously certified Form 9 financial data.

- ability to run and save test results for various reporting periods (6-month, CY, FY) whether or not all data has been finalized.
- add comments
- have both internal comments (for example, methodology changes noted) and external comments to be included in the final report (for example, reason for an increase)
- store updated versions of the document without comments, with both sets of comments or with only external comments
- For audit purposes, track person and date of changes to a finalized version
- export into excel calculation results by school corporation for analysis of results for a comparison between current and previous year
- Prepare for a future shift from statewide totals to school building level totals.
- Ability to view specific data when an amount has been flagged for possible amendment (drill down)
- Excel format
- All form 9 variables
- Include same accounts/objects for previous year and sort by difference between by corp
- Upload and store PDF emails and other documentation of discussions with IDOE staff and with schools to be available in report format for audit purposes
- Document for each field the methodology (which accounts objects etc. were pulled for that year)
- Imputations are the final step of the report. Imputations address year to year variances in reported data. Not all data is available in February.
- Store report/draft without imputations
- Store report/draft with imputations
- Report input data
- Form 9 financial data import for all Local Education Agencies and entities submitting data
- Average daily attendance (ADA) import, minus department of corrections
- Separate report of comparison of ADA to previous year for audit purposes
- Manually enter teacher's pension appropriation
- Manually enter amount for IN School for the Blind
- Manually enter amount for IN School for the Deaf
- Manually enter corrections into the "movement" column of the report, to be incorporated into the final report output
- Field calculations for a fiscal year basis
- Report one time per year plus any edits identified after initial submission
- Analysis export for each six-month period prior to finalization of Form 9 period to review data for anomalies while corrections are still possible. Review includes comparison by line item to previous fall/spring period plus drill down capability and ability to export to Excel
- Include notes and comments section for each line
- General file upload to Census Bureau in CSV or excel format with notes
- Save up to five multiple versions of the fiscal year report.
- Ability to add new fields to the report
- Ability to add change report methodology over time

b. Deliverables

Deliverables

- The IDOE is requesting the approach for delivery be a phased, deliverable based approach.
- Create an administrative module that IDOE can use to change fields including any mapping of Form 9 data and imputations of direct costs.
- Deliverables must comply with all Indiana Office of Technology and IDOE security standards. Indiana Office of Technology standards are defined at http://www.in.gov/iot/2394.htm. Any deviation from the policies must be approved in writing from IDOE.
- Vendor is responsible for working with IDOE IT staff to determine and document system integration requirements
- Vendor is responsible for documenting and providing a matrix for implementation and integration into IDOE systems.
- Vendor creates a schedule for completion of each major milestone in the milestone section below.
- Vendor is responsible for documenting methodology process.
  - Vendor provides a written Implementation Plan outlining the objectives, needs, and strategy for delivering a new NPEFS report to achieve the objectives and requirements.
    - Creation of business area specific dashboards, data visualizations and workflows
    - Testing
    - Training
  - Closeout
    - Knowledge transfer from vendor to IDOE development and architecture team
    - Source code transfer to IDOE development team
    - Train the trainer activities
    - Quick step guide to use system and update methodology in future years.
  - Project assumptions
    - Vendor will utilize the IDOE defined Enterprise Architecture elements in the following areas:
      - Single sign on
      - Hosting strategy
      - Data integration model
      - Business logic processing
      - System development life cycle
      - Data governance
    - IDOE will leverage testing resources independent of the Vendor for UAT and Security testing. All other testing will be the responsibility of the Vendor.
    - IDOE will leverage training resources independent of the Vendor for end user training. The Vendor will be responsible for training the trainer and knowledge transfer.
    - IDOE development and architecture staff will conduct code walk through and pair programming with the Vendor as needed.
  - Vendor will work with the Office of School Finance team and IT team regarding new system dashboard, where the data and reports are housed, and plan for integration.
  - Vendor must provide a weekly detailed status report that provides estimated deadlines for project components, known issues, and outstanding tasks.
  - Weekly meetings- in-person or virtual, depending on the agenda.

Output

- Create an upload file for NPEFS
  - Includes external comments
  - State, local and federal components are part of the calculation
- Report of comparison of ADA to previous year by school corporation with difference and percentage increase for audit purposes with ability to export to Excel.
- Report showing a list of LEAs included in the external report
- Export methodology report
- Internal report by year or period showing
  - Verbal name of field & description
  - NCES numeric name of field
  - Methodology for that field
  - Previous year/period number using same methodology
  - Previous year/period number using old methodology (pull from last year's report)
  - Current year/period number using methodology
  - Column for each imputation type (school for blind, school for deaf, pensions)
  - Current year/period rounded total of current year plus imputations plus corrections
  - Percent increase
    - An additional flag column for increase/decreases > 25% or whatever % we choose by field
  - Column for movement / corrections included in the total
    - Show drill down of history of corrections for audit documentation
  - Comment area on differences from last year's methodology or internal notes
  - Comment area 2 for official comments to be submitted
  - Be able to click on a field and have uploads and notes and saved copy drill down associated with that field
  - Separate report from the initial report, which was generated strictly from Form 9 data, which reflects data corrections/changes
  - Date and person of all changes tracked
  - Select and/or export a list of LEAs included in the report
  - Mapping (add, delete, amend fund, account, and object codes)
  - Ability to add new fields to the report
  - Each section is exported to excel with a tab for each section
- External report by year or period showing
  - Verbal name of field & description
  - NCES numeric name of field
  - Methodology for that field
  - Current year/period number using methodology
  - Column for each imputation type (school for blind, school for deaf, pensions)
  - Current year/period rounded total of current year plus imputations plus corrections
  - Column for movement / corrections to be included in the total
  - Be able to click on a field and have uploads and notes and saved copy drill down associated with that field
  - Export to excel and PDF format no separate tabs necessary

Process Overview

1) Start with the following
   a. existing Form 9 data
   b. manually input data from school for the blind, school for the deaf, and pension appropriation
   c. existing ADA information, excluding the Department of Corrections ADA
2) Aggregate statewide according to methodology into approximately 300 variables. Each variable is comprised of 6 steps which must be documented
3) Redistribute data from 1) b. into the variables
4) Perform analysis on comparison between years at the school corporation and statewide level
5) Receive feedback and potentially corrections from school corporations
6) Make changes to one or more variables of the report
   a. Carry changes forward into next year's report
   b. Upload supporting documentation for each change in excel/database and PDF format
7) Document methodology used, multiple intermediate steps, and school corporations included
8) Produce upload file for federal reporting
9) Return to step 4 and loop through to Step 9 as needed
10) Revise and maintain revision history for future audits of report

Milestones

- Develop a schedule of testing for developers and end users (Finance staff) (October)
- Document survey mapping process
- Inclusion of Form 9 financial data (import)
- Inclusion of average daily attendance (import), nonapplicable ADAs, and create a report of ADA comparing years by corporation
- Map all expenditures to proper NPEFS categories, statewide and by school building; 6 months and fiscal year; map imputations
- Ability to drill down on specified fields for comparative analysis between periods or years
- Production of annual external report and upload file by statewide totals or by school building
- Production of annual fiscal and period internal report
- Allow user to compare data by fiscal year, 6 month period, by field, corporation, and expenditure line prior to and after finalization of Form 9 period
- Store report versions including separate reporting for corrections including internal and external comments
- Ability to manually add entities outside normal LEA pool such as Department of Corrections and/or private school and view the calculated imputations
- Manually add state appropriation and view the calculated imputations
- Ability to edit LEA data or final report field for viewing in a separate report from initial report generated strictly from Form 9 data
- Include an internal and an external notes section for each field
- Provide capability for user to manually edit fields, with reports showing all documentation surrounding the edit
- Create storage area for pertinent emails and other documentation
- General file uploadable to Census Bureau in CSV or excel format with notes
- Save up to five multiple versions of the fiscal year report.

- Successful integration with current system

Project Assumptions

- Vendor will work with IDOE to integrate with current system
- Report output will be stored in tables for additional reporting for other purposes
- Need a vendor with a strong finance background and audit knowledge

4. Pricing Model

☒ Fixed Price, Deliverable-based – Invoices submitted based on successful completion of deliverables indicated by approval of deliverables in VectorVMS.

☐ Fixed Price, Monthly Fee – Invoices submitted monthly, based upon a fixed monthly fee

☐ Time and Material, Hourly Billing – Invoices submitted monthly, based upon hours worked and approved in VectorVMS

5. Travel Expenses

☐ No travel will be required

☒ Travel must be included in the total price of the solution

☐ Travel should be invoiced separately (with prior approval). Supplier should provide estimate of total travel expenses in their response.

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)	65 available points
3. Cost (Cost Proposal)	35 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 100 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 [65 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]
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:

Supplier Response

All items listed below are mandatory. 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.

Vendor's statement of work shall be submitted in several parts as set forth below. The Vendor will confine its submission to those matters sufficient to define its statement of work and to provide an adequate basis for DWD evaluation of the Vendor's SOW. The SOW from the selected vendor will be incorporated into the final agreement. At a minimum, the following sections and answers to the following questions should be included with the SOW:

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 SOW.
4. Brief history, including year established and the number of years your company has been offering Information Security Testing.

GENERAL COMPANY PROFILE

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

2. Describe your experience related to the type of project and/or services being requested.

EXECUTIVE SUMMARY (Please limit to two pages)

This section will present a high-level synopsis of the 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.

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

RESPONSE AREA

1. Solution Proposal
   a. Description of deliverables to be provided by Supplier
2. Subcontracting Information (if applicable)

3. Experience, Roles & Responsibilities
   a. Contractor Staff, Roles & Responsibilities
   b. Client Staff, Roles & Responsibilities
   c. Other Roles & Responsibilities
   d. Resumes of Key Personnel assigned to Project
   e. Organizational chart expected for this Project

4. Project Planning and Approach
   a. Describe your overall project approach and project management methodology to be used for this project.
   b. Provide an example of a project schedule that you would use on this project and include approach to managing the schedule and communicating task performance.
   c. If applicable, provide a list of technologies that will be used to satisfy State of Indiana requirements.
   d. Provide an overview of your security approach, including your company's secure coding practices and principles and how your company tests to confirm both the application code and data are secure.
   e. Testing – Describe the testing appropriate including the level of testing that you will do to ensure the State of Indiana receives a version of the code that is of the highest quality.
   f. Defect Management Approach – Describe the approach you take to capture, process, correct, and release defects found during State of Indiana testing.
   g. Data Conversion Approach – If required, describe how data conversion will be planned and managed.
   h. Training Approach – What types of training will be created for this project and how will it be delivered.
   i. Post Go-Live Support Approach – What level of support and for what duration can be expected after the new system go-live.

5. Project Management – Provide an overview of the following activities to be performed during the project:
   a. Risk / Issue Management and Escalation as needed. Also provide some key risks that you find common for projects with similar scope and goals and include the associated mitigation strategies you've used for those risks.
   b. Change Management – Describe how changes will be captured, cost/effort estimated, and approved changes added to the project.
   c. Status Updates.   Include a description what meetings the State of Indiana can expect and an example of a status report.

6. Pricing Summary – Provide your proposed pricing for your solution based on the requested 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 delivery costs or destination fees. Pricing must also include the MSP fee of .45%.*
   For Fixed Price, Payment is calculated as (Vendor Payment + (Vendor Payment * .0045)).
   For Time and Material, Hourly Bill rate is calculated as (Vendor Rate + (Vendor Rate * .0045)).

   a. Fixed Priced, Deliverable Based Payment Schedule

#	Milestone Event	Deliverable	Schedule	Payment	Holdback	Net Payment	Interdependent Deliverable(s)
1							
2							
3							
4							

5							
	TOTAL						