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| **STATEMENT OF REQUIREMENTS (SOR)** **SOR # VDH-231211-01-CAI**  ***(VDH Grant Management System)*** |

1. **Date:** December 11, 2023
2. **Authorized User**: Virginia Department of Health
3. **Authorized User Contact Information:**

Name:Mario N. Chambers, OIM Grant Project Manager

Address: Virginia Department of Health, Office of Information Management  
109 Governor Street

Richmond, VA  23219

Phone: 804-564-9009

E-mail: [mario.chambers@vdh.virginia.gov](mailto:mario.chambers@vdh.virginia.gov)

PLEASE NOTE: ALL questions related to this SOR should be directed to the CAI Account Manager. Suppliers may NOT contact the Authorized User.

1. **Solicitation Schedule:**

|  |  |
| --- | --- |
| **Event** | **Date** |
| Release SOR | 12/15/2023 |
| Supplier Questions Due to CAI | 12/29/2023 |
| Authorized User Responds to Questions | 01/05/2024 |
| Supplier Response Due | 01/26/2024 |
| Award Decision | 02/05/2024 |
| Estimated Project Start Date | 02/20/2024 |

1. **Evaluation and Scoring**

Supplier’s Response must be submitted in the specified Statement of Work (SOW) format and will be evaluated for format compliance.

Supplier’s Response will be evaluated for technical merit based on its appropriateness to the performance of Authorized User’s requirements, its applicability to the environment, and its effective utilization of Supplier and Authorized User’s resources.

1. **Project/Service:**

Agency Grant Management System

1. **Specialty Area** (Check one)**:**

|  |  |
| --- | --- |
| Application Development | Information Security |
| Business Continuity Planning | IT Infrastructure |
| Business Intelligence | IT Strategic Planning |
| Business Process Reengineering | Project Management |
| Enterprise Architecture | Public Safety Communications |
| Enterprise Content Management | Radio Engineering Services |
| Back Office Solutions | IV&V Services |
| Geographical Information Systems |  |

1. **Contract Type:** Fixed Price, Deliverable-based
2. **Introduction:**

VDH previously released a service requisition for this project based on the Salesforce platform in October 2022. VDH received many questions during Vendor Q&A; as some of these questions are still pertinent to the scope of this SOR, that Q&A document has been included as a reference attachment (*VDH\_SOR\_Agency Grant Management System Vendor Q&A - Original SOR VDH-221025-01-CAI.docx*).

Project History

The agency is currently using Microsoft Office Excel and Word to document and manage grant activity. These tools do not have the capabilities to support necessary improvements to communications, processes, analysis or the reporting required to serve the Commonwealth at a higher level.

Business Need

It is imperative that the agency has the right application to manage grant activities to support accurate analysis, timely reporting and decision making. Agency teams have established processes and tools; however, after a current state assessment, many opportunities to improve operational efficiency were identified. As a result of these efforts, the program is looking to modernize and implement an application that allows standardization across the various groups, supports required integrations to financial systems and provides a central data repository that allows for integrated document management for 30 plus users (this may increase) with the following roles: Grant Administrators, Accountants, Procurement/General Services Specialists, and Agency Grant Specialists.

Project Complexity

Because of the agency team’s operational maturity level, the number of groups represented, the allocated budget and the required system integrations, this project is estimated to be high complexity and low risk. Vendors will be tasked with reviewing and analyzing agency provided requirements and assisting with their refinement to ultimately design and implement an approved solution.

Project Management and Organizational Structure

To ensure that the project is delivered on time, within budget, and to the defined scope; VDH’s Office of Information Management will assign a Project Manager and a Business Analyst/Technical Lead to coordinate activities and ensure all work is performed and meets the agency’s expectations. In addition, an Information Security Officer will be assigned to the project to ensure the security standards of the Commonwealth of Virginia are upheld. VDH Business Owners and Subject Matter Experts will be responsible for overall validation of the project. A Virginia Information Technologies Agency (VITA) Project Management Division (PMD) representative will be assigned and responsible for project oversight and governance. Vendors will provide a dedicated project manager who will be required to develop a proposed schedule, attend scheduled meetings and submit regular status reports. Vendors will submit all work to designated VDH agency staff responsible for project oversight, technical development, and business approval. VDH technical and business staff will be available to support the Vendors’ project team to address issues and concerns.

* Weekly Status Meetings: These meetings will be used as an opportunity for the project team, key stakeholders and the vendors to review current statuses, risks and issues, and the project schedule.
* Stand-Ups: At a minimum frequency of twice a week, delivery team members will spend a total of 15 minutes reporting to each other and identifying needs. Each team member summarizes what they did in previous days, what they are currently working on, and what challenges they face if any. The project managers will be responsible for addressing any challenges and escalating the challenges when necessary.
* Inter-Agency Oversight Committee (IAOC) Meetings: To ensure delivery governance and stewardship, an oversight committee made up of VDH Executive Leadership (Deputy Commissioner of Administration, Chief Financial Officer & Chief Information Officer), a VITA PMD representative, the VDH Project Manager and Vendor Project Managers/Delivery Lead. This committee will be responsible for hearing progress reports, reviewing identified risks & issues, removing blockers & impediments, and address any other business. They will also be responsible for approving any proposed changes to the scope, schedule and or budget. This meeting will be scheduled by the VDH Project Manager and held monthly.

1. **Scope of Work:**

This SOR defines the services required by Authorized User in support of the Project/Service. The scope of this project is to implement a modern grant management application solution that can be maintained by VDH without additional vendor support and includes:

* Project Management
* Requirement analysis and refinement
* Application Design
* Application Development and/or configuration
* Application Integrations with 3rd party systems
* Excel Data Uploads
* Assistance with User Acceptance Testing
* Training
* Application Security Implementation
* Production Deployment and knowledge transfer

Below are more details of the project scope. Business Requirements Documentation, Process Workflow documentation and report examples are provided as separate attachments to the SOR.

Attachments:

* *Agency Grant Management Process Workflow - Current.pdf*
* *Agency Grant Management System Requirements for SOR.docx*
* *Sample F-A report - CLEAN.xlsx*
* *Sample FFR - CLEAN.xlsx*
* *Sub-Grantee Process Diagram.pdf*

Project Management

The Vendor will be required to produce deliverables and facilitate and or participate in specified project activities from project onset through project closeout (see below).

* Proposed Project Schedule
* Status Reports
* Risks and Issues Logs and Reports
* Project Manager(s) and Delivery Teams
* Status Meetings, Stand-Ups and IAOC meetings
* Unscheduled meetings when necessary

Software/Application Development

The Vendor shall develop a non-proprietary software solution that is built on the **MS Dynamics** platform to meet the business needs of VDH and provide any additional estimated software licensing/costs (to be procured outside of this SOW by VDH). SAAS Solutions will not be considered.

* Software and License Types
* Demonstration of Proposed Application

Requirements Refinement and Analysis

The Vendor will be required to do the following:

* Review and Analyze Current State Process and Tool Assessments (attached)
* Review and Analyze Baseline Requirements (attached)
* Provide Recommendations to Enhance Baseline Requirements
* Provide Assistance in Refining the Requirements

Application Design

The application should be able to accommodate the workflows for two scenarios of Grant Management:

1.       The first where VDH is a Grantee seeking grants from Federal Funders.

2.       The second scenario is where some of these Grants received by VDH is made available for Sub-Grantees to apply for via a portal. In this scenario VDH will be the Grantor and the applicants or the different offices that the fund is forwarded to is the Grantee.

The Vendor’s solution should be an application that allows standardization across various groups, supports required integrations and provides a central data repository that allows for integrated document management. The solution should adhere to security standards of the Commonwealth of Virginia. The solution should track documentation related to grants allocated to and/or administered by VDH through the three grant lifecycle Phases with the following functionality:

* Pre-Award
  + Integrate with federal sites (grants.gov, grants solution, cdc, hrsa) to identify Federal funding opportunities
  + Ability to create a workspace for documentation related to each opportunity
  + Integrate with federal sites for grant application submission
  + Ability to track grant deadlines
  + Ability to track responses and Notice of Award (NOA) decisions and information (Award Amount, Award Number, Budget Approval Date, Budget period, Federal Financial Report due date)
  + Ability to track budget amount requested and budget amount received from Award
  + Ability to create grant budget
* Award
  + Ability to track (similar to B2A tracking spreadsheet) and capture information from F&A report (attached)
  + Ability to request VDH Chart of Accounts (COA) with the VDH Office of Financial Management (OFM)
  + Ability to confirm PMS Account
  + Ability to engage Sub-Grantee Process
    - Ability to create a workspace for documentation related to each sub-grantee opportunity
    - Ability for Procurement to review sub-grantee draft agreement
    - Ability for sub-grantee to receive notifications related to, review and sign agreements
    - Ability to track and review invoicing related to grant award
    - Ability for sub-grantee to report on status of grant award
    - Ability for VDH to monitor the status of the grant award
    - Ability to sync with and/or create Federal Financial Report (FFR) (attached)
  + HR-9 – Accounting system for payroll and other expenses paid out of grant funds
  + Ability to begin grant dispersion
  + Ability to track expenditures, reconcile between F&A expenditure report and Cardinal trial balance and create a report to be uploaded to the VDH intranet
  + Ability to track grant expenditure compliance
  + Ability to create FFR report
  + Ability to track FFR report due date and compliance
* Post-Award
  + Ability to create cumulative FFR for the entire grant period
  + Ability to create Post-Grant reporting
  + Ability to perform Grant Closeout
  + Ability to maintain documentation and reports for 3 years for audit purposes

Application Development and/or configuration

The Vendor will be required to:

* Lead and Execute Application Development
* Deliver the application to an approved cloud environment
* Participate in Stand-Ups
* Plan, Schedule and Execute Unit, Integration, Functional, Regression and End to End Testing
* Provide Iterative Demos (when requested)

Application Integrations with 3rd party systems

The Vendor will be required to successfully integrate their solution with the systems identified below and be able to incorporate the agency’s *Grant Inventory Workbook* as a data source:

* Web Finance & Accounting – Uni-directional – (Web Finance & Accounting to the AGMS) Grant section only
* Shared Business Services Tracking Logging and Reporting System (STLAR) – Uni-directional – (STLAR to the AGMS) Captures expenditures from grantees
* Cardinal – Uni-directional (Cardinal to the AGMS) – Accounting system used to track grant expenditures
* eVa – Uni-directional (eVa to the AGMS) – State procurement system

User Acceptance Testing (UAT)

The Vendor will be required to plan, develop, schedule, facilitate and support the following deliverables/activities:

* Test Plan
* Test Cases
* Test Training
* Remediation
* Defect Logging, Fixes, Re-Testing and Reporting

Training

The Vendor will be required to:

* Develop a Training Plan
* Develop and Publish a Business Owner approved Training Material
* Facilitate Administrative and User Training

Production Deployment and Knowledge Transfer

The Vendor will be required to successfully deploy the solution and all assets to an approved environment using an agreed upon Pre-Production Checklist and participate in the planning, scheduling and completion of the Operations and Maintenance Transition Plan prior to project closeout.

Information Security Compliance

The Vendor will be required to comply with all provisions (especially Sec. 525) of the then-current Commonwealth of Virginia security procedures, published by the Virginia Information Technologies Agency (VITA) and which may be found at: ([https://www.vita.virginia.gov/it-governance/itrm-policies-standards/)](https://www.vita.virginia.gov/it-governance/itrm-policies-standards/)%20) or a successor URL(s), as are pertinent to Vendor's operation. The Vendor further agrees to comply with all provisions of the relevant Commonwealth agency’s then-current security procedures as are pertinent to Vendor's operation and which have been supplied to contractor by the Commonwealth agency. The Vendor shall also comply with all applicable federal, state and local laws and regulations. For any Commonwealth location, additional security procedures may include but not be limited to: background checks, records verification, photographing, and fingerprinting of the Vendor's employees or agents. The Vendor may, at any time, be required to execute and complete, for each individual contractor employee or agent, additional forms which may include non-disclosure agreements to be signed by Vendor's employees or agents acknowledging that the Commonwealth information with which such employees and agents come into contact while at the Commonwealth site is confidential and proprietary.

The selected Vendor will also be required to:

* Participate in the verification/completion of the following Security Implementation Checklist items:
  + Data Classification
  + Risk Assessment Report and Security Plan
  + Technical Recovery Plan
  + Access Control Procedures
  + Application Web Vulnerability Assessment Scan in QA
  + Security Risk Remediation Plan

1. **Period of Performance:**

Delivery of all products and services defined in the Statement of Work will occur within *12* months of project execution date. With proper approvals and agreements, VDH reserves the right to modify the Statement of Work through the Change Request process.

1. **Place of Performance** (Check one)**:**

Authorized User’s Location

Supplier’s Location

Authorized User’s and/or

Supplier’s Location (see below explanation)

\*When it has been determined necessary by VDH, Vendors will be given a minimum of 3 weeks’ notice of the required site visit (109 Governor Street Richmond, VA 23219). Otherwise, all necessary activities and development work can be performed remotely.

1. **Project Staffing**
2. **Supplier Personnel** (Check One)**:**

The roles listed in the table below represent the minimum Supplier personnel requirements for this engagement. The Supplier shall provide resumes for all proposed personnel.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Role** | **Technical**  **Skills Required** | **Years of Experience** | **Certifications**  **Required** | **References Required**  **(Y/N)** |
| Project Managers | Project Management | 3 | PMP/CSM | Y |
| Developers/Delivery Leads | Development and Delivery | 3 |  | Y |
|  |  |  |  |  |

Supplier shall propose the roles and skillsets of the resources needed to deliver the scope of work as defined in this SOR. Supplier shall provide resumes for all proposed personnel.

**PLEASE NOTE**: The use of offshore resources for any SOW is prohibited. See [*https://www.vita.virginia.gov/media/vitavirginiagov/it-governance/psgs/pdf/SEC525-Hosted-Environment-Information-Security-Standard.pdf*](https://www.vita.virginia.gov/media/vitavirginiagov/it-governance/psgs/pdf/SEC525-Hosted-Environment-Information-Security-Standard.pdf)

1. **Authorized User Staff**

The roles listed in the table below represent Authorized User’s staff and the estimated time each will be available to work on the project.

|  |  |  |
| --- | --- | --- |
| **Role** | **Description** | **% Project Availability** |
| Project Manager | Manage project activities and communications | 65% |
| Business Analyst/Technical Lead | Serve as business and technical liaison between VDH and the vendors | 65% |
| Business SMEs | Provide business knowledge and expertise | 15% |
| Information Security Specialist | Ensure the security standards of the Commonwealth of Virginia are upheld | 10% |

1. **Milestones and Deliverables:**

The minimum required milestones and deliverables, and the estimated completion date for each deliverable, are listed in the following table.

| **#** | **Milestone**  **Event(s)** | **Deliverable(s)** | **Estimated Completion Date** |
| --- | --- | --- | --- |
| 1 | Project Kick-off | Meeting Presentation | Supplier to propose |
| 2 | Project Schedule | Approved Project Schedule | Supplier to propose |
| 3 | Acceptance of Baseline Requirements | Documented Verification of Requirements following discussions with key stakeholders | Supplier to propose |
| 4 | System Design | Detailed Design Document | Supplier to propose |
| 5 | Code and Unit Test Complete | Solution Delivery to Test Environment/Source Code | Supplier to propose |
| 6 | User Acceptance Testing | UAT Test Results and Acceptance Checklist | Supplier to propose |
| 7 | Training Complete | Training Plan, Manual and Completed Sessions | Supplier to propose |
| 8 | Security Implementation Checklist (subject to updates) | Completed Security Checklist | Supplier to propose |
| 9 | Implementation Complete | Completed Production Checklist | Supplier to propose |

The Supplier should provide all deliverables in electronic form, using the following software standards (or lower convertible versions):

|  |  |
| --- | --- |
| **Deliverable Type** | **Format** |
| Text Document | Microsoft Word 2016 |
| Spreadsheets | Microsoft Excel 2016 |
| Presentation | Microsoft PowerPoint 2016/Visio 2016 |
| Project Schedule | Microsoft Project |

1. **Travel Expenses**

Supplier travel expenses, if required, must be included in the total fixed price of the solution

1. **Payment** (Check all that apply)**:**

Payment made based on successful completion and acceptance of deliverables

All payments, except final payment, are subject to a *(XX)*% holdback

1. **Acceptance Criteria:**

The Project Manager will have *10* business days (excluding state holidays) from receipt of each deliverable to provide Supplier with the signed acceptance receipt.

Final acceptance of services provided under the SOW will be based upon (Check one):

User Acceptance Test

Acceptance Criteria for this solution will be based on a User Acceptance Test (UAT) designed by Supplier and accepted by Authorized User. The UAT will ensure that all of the functionality required for the solution has been delivered. The Supplier will provide the Authorized User with a detailed test plan and acceptance checklist based on the mutually agreed upon UAT plan. This UAT plan checklist will be incorporated into the SOW.

Final Report

Acceptance criteria for this solution will be based on a final report. In the SOW, Supplier and Authorized User will agree on the format and content of the report to be provided to Authorized User for final acceptance.

Acceptance of all individual deliverables

1. **Project Roles and Responsibilities:**

| **Responsibility Matrix** | **Supplier** | **Authorized User** |
| --- | --- | --- |
| Project Planning and Management | x | X |
| Project Plan and Schedule Management | x | X |
| Research / Data gathering | x |  |
| Analysis | x |  |
| Documentation | x | X |
| Problem Tracking | x | X |
| Approval of Deliverables |  | X |
| Operations and Maintenance Transition Plan | x | X |

1. **Criminal Background Checks and Other Security Requirements (**Check all that are required):

Standard CAI Required Background Check

Agency Specific Background Check (VDH)

1. **Performance Bond** (Check one)**:**

Required for *(XXX)*% of the SOW value

Not Required

1. **Reporting** (Check all that are required):

**Weekly Status Update**

The weekly status report, to be submitted by Supplier to Authorized User, should include: accomplishments to date as compared to the project plan; any changes in tasks, resources or schedule with new target dates, if necessary; all open issues or questions regarding the project; action plan for addressing open issues or questions and potential impacts on the project; risk management reporting.

**Other(s)** (Specify)

1. **Federal Funds** (Check one):

Project will be funded with federal grant money (ARPA)

No federal funds will be used for this project

1. **Training and Documentation:**
2. **Training is:**

Required as specified below

Not Required

Training Requirements:

Training Plan, Training Materials and Facilitation

1. **Documentation is:**

Required as specified in Sections: 10, 14 & 18 above

Not Required

1. **Instructions Regarding Freedom of Information Act and Public Availability/Inspection of Records**

Authorized User reserves the right to use, copy, and reproduce all submitted documents, data, and other information in any manner Authorized User may deem appropriate in evaluating the fitness of the solution(s) proposed, and in complying with applicable law. All data, materials, and documentation originated and prepared for Authorized User shall be subject to public inspection in accordance with the *Virginia Freedom of Information Act*.

Consistent with the Code of Virginia, Authorized User will, as permitted by law, hold confidential trade secrets or proprietary information that is submitted by a Supplier in connection with the transaction contemplated by this SOR if the Supplier, to Authorized User’s satisfaction:

1. invokes the protections of the Code of Virginia in writing prior to or upon submission of the data or other materials,
2. identifies specifically the data or other materials to be protected, and
3. states the reasons why protection is necessary.

**FAILURE TO COMPLY WILL RESULT IN THE DATA OR OTHER MATERIALS BEING RELEASED TO SUPPLIERS OR THE PUBLIC AS PROVIDED FOR IN THE VIRGINIA FREEDOM OF INFORMATION ACT.**

The Supplier will use this form to identify the information that they deem trade secrets or proprietary information. **The designation of an entire proposal or SOR as proprietary or trade secret is not acceptable, and pricing may not be designated as a trade secret or proprietary information.**

**Supplier Trade Secrets / Proprietary Information Designations Table**

| **SOR/Other Document** | **Section/Page** | **Trade Secret / Proprietary Information** | **Reason** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. **Additional Terms and Conditions:**

The services to be provided are subject to the following additional provisions:

1. Effective July 1, 2020, the Code of Virginia requires contractors with the Commonwealth who spend significant time working with or in close proximity to state employees to complete sexual harassment training.  As a result of the new code, VITA and the Department of Human Resource Management (DHRM) are requiring that all contractors working through the CAI contract complete DHRM's "Preventing Sexual Harassment" training.  This training is available as either a short video or a written transcript on the DHRM website: <https://www.dhrm.virginia.gov/public-interest/contractor-sexual-harassment-training>. The selected Supplier must agree that any assigned resource will complete the training.
2. The selected Supplier must agree that any assigned resource will review and conform to the IT Contingent Labor Program (ITCL) Contractor Code of Conduct. The Code of Conduct can be reviewed on VITA’s website at the following link:

<https://www.vita.virginia.gov/media/vitavirginiagov/supply-chain/pdf/Contingent-Worker-Code-of-Conduct.pdf>

1. **Scheduled Work Hours:**

It is anticipated that the majority of this work can be accomplished at the Vendor’s location. If some of the work necessary for this project should be done on-site at the Authorized User’s location, on-site tasks should be identified in the proposed project plan in the SOW.  Vendor staff needed to accomplish these tasks should be identified at the start of the project and will be issued ID and building access cards.  Work hours for on-site staff will be between 8:00 am to 5:00 pm (EST), Monday thru Friday (excluding state holidays). Changes to work hours must have prior approval by the Authorized User.

1. **Facility and equipment to be provided by Authorized User:**

Authorized User has limited workspace, furniture, and equipment available and only on a temporary basis.  Permanent office space, furniture, and equipment are the responsibility of the Vendor.   For work to be conducted on-site, Authorized User will provide temporary desk space and access to a copier.  Only state-owned equipment may be connected to the agency’s LAN, therefore if the Vendor requires access to the agency network, it must be noted in the SOW (to include the number of staff requiring access, type of access, and reasons), and the Authorized User will provide the necessary equipment and/or access after the kickoff of the project.  Otherwise, Vendor must provide any equipment (e.g., cell phones, personal computers or laptops) required by the Team. If the Authorized User is required to provide state-owned computer equipment to the Vendor’s staff it may be necessary to allow additional time for the equipment to be acquired. Additionally, in order to use state-owned equipment the Vendor’s staff must follow the Commonwealth’s and Authorized User’s agency computer access policies and procedures.

The Vendor is responsible for the return of any state-owned equipment at the completion of the project, unless otherwise agreed upon in writing with the authorized user.

**Agency Grant Management System Application Requirements**

**Acronyms**

1. **NOFO-** Notice of Funding Opportunity
2. **PPMR-** Progress and Performance Monitoring Report
3. **FAIN-** Federal Award Identification Number
4. **CFDA-** Catalog of Federal Domestic Assistance
5. **MOA-** Memorandum of Agreement
6. **MOU-** Memorandum of Understanding
7. **AGMS-** Agency Grant Management System
8. **OFM-** Office of Financial Management
9. **COA-** Chart of Accounts
10. **FFR-** Federal Financial Report

**Application Requirements**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **NO.** | **GRANT PHASE** | **PROCESS STEP** | **SYSTEM SPECIFIC EXPECTATION** | **MUST HAVE/ NICE TO HAVE** |
| 1. | Pre-Award | Funding Opportunity | System shall have the ability to integrate with the federal sites (grants.gov, hrsa, cdc) to capture funding opportunities (NOFO). | Nice to Have |
| 2. | Pre-Award | Funding Opportunity | System shall have the ability to capture the renewal application date and necessary document to submit the renewal application for a particular grant depending on the grant period. | Nice to Have |
| 3. | Pre-Award | Funding Opportunity | The system shall have the ability to have a draft phase where programs can upload a checklist with anything they need from the team (indirect costs etc.) This feature is more of a communication place between teams to put together all the things they need to initiate the process. | Nice to Have |
| 4. | Pre-Award | Workspace Created | System shall be able to store templates and forms like (Lobbying certificate, Certification insurances, CDC Risk Questioners, PPMR, etc.). Templates for these forms can be provided by Sandra Peterson. | Must Have |
| 5. | Pre-Award | Workspace Created | System shall have the ability to include attachments (Grant Application Documents) | Nice to Have |
| 6. | Pre-Award | Workspace Created | System shall be able to provide reminders of fiscal form completion before the application due date. | Nice to have |
| 7. | Pre-Award | Application Submitted | System shall be able to display the current status of the grant application (Applied, Approved, Denied, Additional information requested, etc.). | Nice to Have |
| 8. | Pre-Award | Application Submitted | System shall be able to display the overall status of the Grant (Open, Active, Inactive, Closed, etc). | Nice to Have |
| 9. | Pre-Award | NOA Received | System shall be able to include attachments (NOA, etc). | Must Have |
| 10. | Pre-Award | NOA Received | System shall have the ability to integrate with the F&A grant portion to capture the NOA details (Budget period, Grant Number, Grant Amount, Award date, Budget Line Categories etc) | Must Have |
| 11. | Pre-Award | NOA Received | System shall allow user to add sub-categories under the Budget line categories. | Must Have |
| 12. | Pre-Award | NOA Received | System shall have the ability to provide with prompts or notification to request for coding for a new Grant. | Nice to Have |
| 13. | Pre-Award | NOA Received | System shall have the ability to provide with notifications when coding’s are established and ready for use. | Nice to Have |
| 14. | Pre-Award | NOA Received | The system shall have the ability to confirm staffing percentages and trigger a need for staff and other charges (VITA, Computer, Phone, Salary, Rent, Salary, etc.) to move to the new cost codes. | Nice to Have |
| 15. | Pre-Award | NOA Received | The system shall have the ability to verify if the old cost-codes are still required or they can be completely closed out. | Nice to Have |
| 16. | Pre-Award | NOA Received | System shall have the ability to provide with notifications for Revised Budget in case the requested amount does not match the received award amount. | Must Have |
| 17. | Pre-Award | NOA Received | System shall have the ability to display the Budget Amount Requested as well as the Budget amount received and verified in the PMS account. | Must Have |
| 18. | Award | Request COA | System shall have the ability to store templates and supporting documents templates (Funding memo templates) to request for Chart of accounts. | Must Have |
| 19. | Award | Spreadsheet Creation | The system shall have the ability to automate and capture the up to date expenditures from F&A on daily basis. | Nice to Have |
| 20. | Award | Spreadsheet Creation | The system shall either have spreadsheets with all fields used in the current process or some kind of template where all the field variables can be captured. These fields need to be filterable or searchable. | Must Have |
| 21. | Award | Spreadsheet Creation | System shall have the ability to breakdown Expenditures into Categories and Sub-categories. | Must Have |
| 22. | Award | Sub-Grantee | The system shall be able to provide with notifications when a grant is eligible for Sub-Awards. | Nice to Have |
| 23. |  |  | The system shall allow grants team to identify if there are specifically identified sub-recipients. | Nice to Have |
| 24. | Award | Sub-Grantee | System shall have the ability to provide with prompts or notification to request for coding for Sub-Recipient grants. | Must Have |
| 25. | Award | Sub-Grantee | The system shall have the ability to add sub-recipients expenditures under a certain grant project codes. | Nice to Have |
| 26. | Award | Sub-Grantee | If a grant has multiple sub-grantees, the system shall have the ability to list them under the main Grant | Nice to Have |
| 27. | Award | Sub-Grantee | In case of multiple Sub-Grantees the system shall have the ability to capture details (FAIN number, Award Date, total amount of the federal award, Name of the federal grantor, CFDA number and name). This feature would actually eliminate the back and forth to confirm the necessary details associated with the sub-grantees. | Nice to Have |
| 28. | Award | Sub-Grantee | The system shall have the capability to upload multiple documents with large storage capacities (MOA’s, MOU’s, Contracts, and Agreements). | Must Have |
| 29. | Award | Sub-Grantee | The system shall have the ability to integrate with Stellar. This is a must have otherwise there will be duplication of work as programs have to download and upload documents on both Stellar and AGMS. | Must Have |
| 30. | Award | Sub-Grantee | It would be great to have a standard invoice templates for all sub recipients for amounts dispersed or received. | Nice to Have |
| 31. | Award | Sub-Grantee | The system shall have the ability to capture attachments from F&A grants module and create Stellar request. | Nice to Have |
| 32. | Award | Sub-Grantee | The system shall have the ability to integrate with EVA and identify what the entity’s legal name is and their current status. | Nice to Have |
| 33. | Award | Sub-Grantee | The system shall have the ability to cross verify if the entity is already registered within F&A. | Nice to Have |
| 34. | Award | Sub-Grantee | The system shall have the ability to notify and provide with forms or fields to register new entities which can then be sent over to OFM. | Nice to Have |
| 35. | Award | Sub-Grantee | The system shall have the ability to have docu-sign features for signature and approvals. | Nice to Have |
| 36. | Award | Sub-Grantee | The system shall have the ability to provide with prompts or notifications for renewal agreements. | Nice to Have |
| 37. | Award | Sub-Grantee | The system shall have the ability to provide with notifications to sub-recipients at the end of the grant period to submit their final invoices. (30 days). | Nice to Have |
| 38. | Award | Sub-Grantee | The system shall have the ability to provide details about the sub-awards (Amount awarded, amount dispersed, award period, expenditure, etc) | Must Have |
| 39. | Award | Sub-Grantee | The system shall have the ability to capture the sub-grantee expenditure and the grant expenditure to add up to the total Grant Amount. | Nice to Have |
| 40. | Award | Expenditure | The system shall have the ability to capture expenditures from F&A to approve disbursements. | Nice to Have |
| 41. | Award | Expenditure | The system shall have the ability to crosswalk the Grant Budget with their object code so that when expenditures hit, the amount can be budgeted against the correct object code. | Must Have |
| 42. | Award | Expenditure | The system shall be able to generate expenditure reports in the same manner as it is done in the current process through excel sheets. | Must Have |
| 43. | Award | Expenditure | The system shall have a Budget template with certain modification capabilities depending on the grant. | Nice to Have |
| 44. | Award | Expenditure | The system shall have the ability to integrate with the HR-9 system and automatically upload in the budget template. This could be possibly be done through unique Position number. | Nice to Have |
| 45. | Award | Expenditure | The system shall have the ability to allow programs to make adjustments in expenditures in the federal grant year with the federal grant period. | Nice to Have |
| 46. | Award | Expenditure | When a purchase request is made through Stellar or EVA, The system shall have the ability to capture those information (Purchase item, obligated amount, etc) and have a status of Invoice Pending, Invoice Ready, Invoice cleared, etc. | Nice to Have |
| 47. | Award | Expenditure | The system shall have the ability to roll up the expenditure object codes into the federal budget line categories | Nice to Have |
| 48. | Award | Reconciliation | The system shall have the ability to compare the F&A report to the cardinal trial balance for an exact match. | Must Have |
| 49. | Award | Reconciliation | If Integration is possible with the Cardinal, then the system shall have the ability to capture the cardinal trial balance report for reconciliation. | Nice to Have |
| 50. | Award | Reconciliation | System shall have the ability to upload vouchers to match the expenditures. | Nice to Have |
| 51. | Award | Reconciliation | The system shall have the ability to create or upload the summary of expenditures and revenues. | Must Have |
| 52. | Award | Reconciliation | The system shall have the ability to create Reconciliation reports for programs to view and validate. | Must Have |
| 53. | Post-Award | Monthly/Quarterly/Annual FFR | The system shall have FFR templates which can be updated. | Must Have |
| 54. | Post-Award | Monthly/Quarterly/Annual FFR | The system shall have the ability to preload a preliminary FFR format at the end of each month. | Must Have |
| 55. | Post-Award | Monthly/Quarterly/Annual FFR | The system shall have the ability to provide with notifications for due dates and approaching deadlines for FFR’s. | Nice to Have |
| 56. | Post-Award | Monthly/Quarterly/Annual FFR | The system shall have the ability for user to notify once the FFR has been completed and ready for the report printout. | Nice to Have |
| 57. | Post-Award | Monthly/Quarterly/Annual FFR | The system shall allow a certain time frame (90 days) at the end of the grant cycle year for expenditures to post for the annual FFR. | Must Have |
| 58. | Post-Award | Final FFR | The system shall have FFR templates which can be updated. | Must Have |
| 59. | Post-Award | Final FFR | The system shall have the ability to provide with notifications for due dates and approaching deadlines for FFR’s. | Must Have |
| 60. | Post-Award | Final FFR | The system shall have the ability to store and add up Cumulative annual FFR to build the Final FFR and also add any additional fields required. | Must Have |
| 61. | Post-Award | Final FFR | The system shall have the ability to provide with notifications or reminders of the Final FFR due date as it approaches. | Must Have |
| 62. | Post-Award | Grant Closeout | The system shall be able to store and have all the updated versions of the necessary forms required to report the grant closeout. | Must Have |
| 63. | Post-Award | Grant Closeout | The system shall have the ability to auto populate the fields within the forms for the grant closeout. | Nice to Have |
| 64. | Post-Award | Grant Closeout | System shall have the ability to store all grant related documents and reports for a certain amount of time (3 years). | Must Have |
| 65. | All | All | System shall allow manual overrides to accommodate exceptions along the process whenever necessary. (Application capability) | Nice to Have |

**System Integration List**

1. **Web Finance & Accounting** (In-house finance and accounting system) **-** Must Have
   1. Built using Java and Oracle
2. **STLAR** (In-house procurement **S**hared Business Services **T**racking, **L**ogging **a**nd **R**eporting system) **-** Must Have
   1. Built using Oracle and Apex
3. Cardinal - Nice to Have
4. eVa - Nice to Have
5. Federal Sites (grants.gov, grants solution, cdc, hrsa, etc.) –Nice to Have

**Number of Expected System Users and Roles**

|  |  |  |  |
| --- | --- | --- | --- |
| **User** | **No. of Users** (Currently) | **No. of Users** (Future) | **Roles** |
| Programs |  |  |  |
| SBS | 15 | TBD | 1. Grant Administrators 2. Accountants |
| Procurement | 5 | TBD | Creation of Agreements |
| OPGS | 1 | TBD | Procurement and General Services |
| OFM | 6 | 8 | Agency Grant Specialist. |