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| **STATEMENT OF REQUIREMENTS (SOR)** **SOR # VITA--230303-01-CAI**  **VITA State Permit Tracking Strategic Assessment and Roadmap for Office of Regulatory Management** |

1. **Date:** March 3, 2023
2. **Authorized User:** Virginia IT Agency for Office of Regulatory Management
3. **Authorized User Contact Information**

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1. **Solicitation Schedule**

|  |  |
| --- | --- |
| **Event** | **Date** |
| Release SOR | 03/03/2023 |
| Vendor Questions Due to CAI | 03/10/2023 |
| Supplier Response Due | 03/24/2023 |
| Award Decision | 03/31/2023 |
| Estimated Project Start Date | 04/10/2023 |

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 agency requirements, its applicability to the Commonwealth Agency’s environment, and its effective utilization of Supplier and Commonwealth resources.

Company and project references, other than those requested in # 13, may be requested by the Authorized User and used for evaluation and scoring.

1. **Project/Service:** State Permit Tracking Assessment and Roadmap
2. **Specialty Area**

|  |  |
| --- | --- |
| 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

1. **Introduction**

The Office of Regulatory Management (ORM) is looking to implement business and technological improvements that will allow efficiency of processes, foster transparency and promote collaboration between agencies and applicants. The office is seeking a vendor partner to assess the business process and technical gaps within five (5) agencies that manage permits and provide recommendations to improve efficiency. This includes process improvement, tracking of permits, centralized data and reporting to help provide the transparency needed to understand permit processes and the steps needed to ensure timely decisions. Finally, as part of the effort, a strategic and technical implementation plan will be defined which includes a roadmap to create an enterprise permitting dashboard for the five agencies. As part of this roadmap, the vendor will document the functionality and infrastructure required for the agencies to enter the permitting information for this dashboard. Implementation of the dashboard solution is out of scope and will be procured via a separate SOW.

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 identify, analyze, and define a strategic plan to build business efficiency and transparency to five (5) agency permitting processes. The analysis should focus on bringing business and technical recommendations to support tracking of permits within regulation deadlines. The analysis will produce a high level ‘As Is’ document that will serve as the project baseline. The team will then formulate a strategic ‘To Be’ plan including recommendations and steps to successfully transition to a new, more efficient process with more robust and extensible data and reporting.

This SOR contains the following key applicable components:

### Phase 1 – Current State Assessment

The first step will be to develop a full, common understanding of the current state of five (5) Commonwealth agencies that manage permits.

* Department of Conservation and Recreation
* Department of Energy
* Department of Health
* Department of Transportation
* Marine Resources Commission

Please note that these agencies are subject to change.

This work will require:

* Interviews with key stakeholders across the business and IT
  + Interviews, questionnaires and/or group discussions conducted with stakeholders
  + PowerPoint presentations and meeting notes
* Review of business processes documentation
  + Documentation of current state workflows based on identified processes
* Review of technical documentation on existing systems/solutions
  + Documentation of current state technical architecture

The work for Phase 1 will culminate in a Summary of Findings to be presented to Authorized User key stakeholders. Supplier will present key findings to Authorized User. It is expected that this effort will help understand how to prioritize focus areas for the Phase 2 work.

### Phase 2 – Future State Recommendations

This phase will use the deliverable from Phase 1 to complete analysis and design of the future state. This phase will include:

* Provide Draft Functional Architecture Design
  + Analysis of the permit processes across the five (5) agencies to identify gaps and opportunities for standardization and efficiency
  + Provide business process recommendations
  + Define target high-level future state process
* Provide Draft Technical & Data Architecture Design
  + Analyze data and technology options - including applications/ software
  + Recommend hardware for data warehousing
  + Create a detailed map of the solution’s architecture
* Suggested Product Lines (Microsoft .NET, Oracle Database, Microsoft PowerBI, Toad Intelligence Central, Toad Data Point, Toad for Oracle). These tools are currently used by the enterprise solutions team who will ultimately support the future implementation.

Supplier will present the future state design options to Authorized User with a summary of recommendations, including benefits and risks. It is expected that the outcome of this effort will be a solution selection that forms the basis for the Phase 3 work.

### Phase 3 – Implementation Plan

This phase will use the deliverable from Phase 2 to develop:

* Final High-Level Technical & Data Architecture
* Final Functional Architecture - For each Permit Module
  + Business process recommendations
  + All processing steps
  + Permit contacts
  + Target due dates
  + Required/mandated due dates
* Actionable Implementation Roadmap based on selected solution. This plan will include estimated costs and prioritized schedule/roadmap with recommended approaches to implement the plan. It will also provide recommended staff/roles to support the effort.

Supplier will present the final implementation plan to Authorized User including a summary of the plan, highlighting next steps and the goals/benefits to be achieved.

### Phase 4 – Initial Project Requirements

This phase focuses on gathering requirements for the initial project. Supplier will:

* Create a Functional Requirements Document for the agreed initial effort
* Define and document reporting requirements

Supplier will review the proposed scope for each phase and respond with specific tasks and subtasks for each of these project phases in their proposal. Authorized User is open to Supplier proposing additional phases in their response.

1. **Period of Performance**

Delivery of all products and services defined in the Statement of Work will occur within 6 months of project execution date.

1. **Place of Performance**

Authorized User’s Location \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Supplier’s Location \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Authorized User’s and/or Richmond, VA 23219\_

Supplier’s Location

Supplier PM or functional analysts will need to be onsite in the initial meetings with the five agencies. Other work can be performed remotely.

1. **Project Staffing**
2. **Supplier Personnel**

The roles listed in the table below represent the minimum Supplier personnel requirements for this engagement.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Role** | **Key Personnel (Y/N)** | **Years of Experience** | **Certifications** | **References Required (Y/N)** |
| Project Manager / Strategist | Y |  |  | N |
| Functional Architect | Y |  |  | N |
| BSA | Y |  |  | N |
| Technical Solutions Architect | Y |  |  | N |
| Data Architect | Y |  |  | N |

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 | Project management and oversight | 5% |
| Business/Permitting SMEs | Business/permitting knowledge and expertise | 10% |
| IT Specialist | IT specialist for review and consultation | 5% |
| Data Base Administrator (DBA) | DBA for review and consultation | 5% |

1. **Milestones and Deliverables**

The minimum required milestones, deliverables, and the estimated completion date for each deliverable are listed in the following table. Please note the estimated duration for each Milestone activity below is not linear/ sequential as some are intended to run concurrently. Total duration for implementation targets 6 months.

| **#** | **Milestone**  **Event(s)** | **Deliverable(s)** | **Estimated Completion Date** |
| --- | --- | --- | --- |
| 0 | Project Work Plan Completed | Baseline project plan approved by Authorized User outlining specific tasks with estimated dates and assignments (both Supplier and Authorized User tasks) | Execution + 1 week |
| 1 | Phase 1 – Agency 1 & 2 Interviews & Current State | Approved document covering all requirements for this phase outlined in Section 10. | Execution + 1 month |
| 2 | Phase 1 – Agency 3 & 4 Interviews & Current State | Approved document covering all requirements for this phase outlined in Section 10. | Execution + 2 months |
| 3 | Phase 1 – Agency 5 Interviews & Current State and Summary of Findings document approved | Approved document covering all requirements for this phase outlined in Section 10. | Execution + 3 months |
| 4 | Phase 2 – Future State Recommendations document approved | Approved document covering all requirements for this phase outlined in Section 10. | Execution + 4 months |
| 5 | Phase 3 – Implementation Plan document approved | Approved document covering all requirements for this phase outlined in Section 10. | Execution + 5 months |
| 6 | Phase 4 – Pilot Requirements document approved | Approved document covering all requirements for this phase outlined in Section 10. | Execution + 6 months |

The delivery of the final milestone should include the return of all Authorized User’s assets (e.g., security card, VPN token, equipment) and the turnover of all documentation (e.g., knowledge transfer, application) by Supplier. The Authorized User will verify that all assets and documentation have been returned prior to approving the final milestone deliverable for payment.

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

| **Deliverable Type** | **Format** |
| --- | --- |
| Text Document | Microsoft Word |
| Spreadsheets | Microsoft Excel |
| Presentation | Microsoft PowerPoint |
| Workflows | Microsoft Visio & Adobe PDF |

1. **Travel Expenses**

No travel will be required for this engagement

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

1. **Payment**

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 *5* days from receipt of the 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. Supplier will provide 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 will define the format and content of the report to be provided to Authorized User for final acceptance.

Other (specify): Approval of specified deliverables as specified in Section 14.

1. **Project Roles and Responsibilities**

| **Responsibility Matrix** | **Supplier** | **Authorized User** |
| --- | --- | --- |
| Project Planning and Management | ** |  |
| Project Planning and Management Oversight |  | ** |
| Project Plan and Schedule Management | ** |  |
| Current state assessment of agency permitting applications | ** |  |
| Future state recommendations | ** |  |
| Implementation planning | ** |  |
| Requirements Analysis | ** |  |

1. **Criminal Background Checks and Other Security Requirements: (check all that apply)**

Standard CAI Required Background Check

Agency Specific Background Check – VITA fingerprinting

1. **Performance Bond**

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

Not Required

1. **Reporting**

**Weekly or Bi-weekly Status Update**

The weekly/bi-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**

Project will be funded with federal grant money

No federal funds will be used for this project

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

Required as specified below

Not Required

Training Requirements:

No training required, but the Supplier will need to conduct knowledge transfer with the Authorized User’s team

1. **Documentation is:**

Required as specified below

Not Required

Documentation Requirements:

As stated in Section 14

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**

While it is anticipated that the majority of this work can be accomplished at the Supplier’s location, some of the work necessary for this project should be done on-site at the Authorized User’s location to provide maximum knowledge transfer.  Supplier 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, 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 Supplier.   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 Supplier 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, Supplier 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 Supplier’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 Supplier’s staff must follow the Commonwealth’s and Authorized User’s agency computer access policies and procedures.

The Supplier 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.