



DEPARTMENT OF PUBLIC SAFETY AND
OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

LEGAL AD DATE: April 24, 2023

REQUEST FOR PROPOSALS
SOLICITATION #RFP-23-200


SEALED PROPOSALS TO PROVIDE
INDEPENDENT VERIFICATION & VALIDATION (IV&V) SERVICES FOR THE
CORRECTIONS COLLABORATION SYSTEM, DEPARTMENT OF PUBLIC SAFETY,
STATE OF HAWAII

WILL BE RECEIVED UP TO 2:00 P.M.(HST) ON

May 26, 2023

BY SUBMISSION TO THE STATE OF HAWAII EPROCUREMENT SYSTEM (HIEPRO)

TECHNICAL QUESTIONS AND PROCUREMENT QUESTIONS RELATING TO THIS
REQUEST FOR PROPOSALS SHALL BE SUBMITTED THROUGH HIEPRO.


Douglas Murdock (Apr 19, 2023 11:07 HST)

Douglas Murdock
Chief Information Officer
Office of Information Technology Services

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EXHIBIT A: CONTRACT FORM AND GENERAL CONDITIONS

No.	Description	Reference in RFP	Completed
1	Proposal Checklist – submittal of checklist with all items checked “completed.”	Proposal Checklist Section 3.1 Proposal Format and Content #1	<input type="checkbox"/>
2	Completed and signed Proposal Form OF-1;	Attachment 1. Proposal Form, OF-1; Section 3.1 Proposal Format and Content #2	<input type="checkbox"/>
3	Completed Proposal Form OF-2;	Attachment 2. Proposal Form, OF-2; Section 3.1 Proposal Format and Content #3	<input type="checkbox"/>
4	Table of Contents	Section 3.1 Proposal Format and Content #4	<input type="checkbox"/>
5	Executive Summary, not to exceed one page	Section 3.1 Required Format and Content #5	<input type="checkbox"/>
6	Firm’s Experience and Capability	Section 3.1 Required Format and Content #6	<input type="checkbox"/>
7	Staff Qualifications	Section 3.1 Required Format and Content #7	<input type="checkbox"/>
8	Technical Approach	Section 3.1 Required Format and Content #8	<input type="checkbox"/>
9	Price	Section 3.1 Required Format and Content #9	<input type="checkbox"/>
10	Conflict of Interest – Attestation	Section 3.1 Required Format and Content #10	<input type="checkbox"/>
11	Satisfactory Evidence of Financial and Organization Stability	Section 3.1 Required Format and Content #11	<input type="checkbox"/>
12	Proposed Exceptions (if applicable)	Attachment 3. Proposed Exceptions: Section 3.1 Required Format and Content #12	<input type="checkbox"/>
13	Confidential Information	Attachment 4. Confidential Information: Section 3.1 Required Format and Content #13	<input type="checkbox"/>
14	Hawaii Compliance Express (HCE) – ensure compliance or submittal of paper certificates	Section 1.21 Hawaii Compliance Express	<input type="checkbox"/>

SECTION I: ADMINISTRATIVE OVERVIEW

1.1 BACKGROUND

This Request for Proposals (RFP) is issued by the State of Hawaii (State), Department of Public Safety (PSD), and the Office of Enterprise Technology Services (ETS).

The State of Hawaii Department of Public Safety, Corrections Division is responsible for the placement and management of pretrial and sentenced individuals as directed by court rulings and statutes in addition to Departmental Policies and Procedures.

The PSD Corrections Division consists of several major subdivisions:

1. Intake Services Center Division
2. Reentry Coordination Office
3. Institutions – Facility Custody Management
4. Inmate Trust Accounts
5. Correctional Programs
6. Health Care Electronic Medical Records

ETS provides governance for information technology projects in the Executive Branch and seeks to identify, prioritize, and advance initiatives with the greatest potential to increase efficiency, reduce waste, and improve transparency and accountability in state government. Pursuant to Administrative Directive No. 18-03, ETS is responsible for procuring, administering, managing, and providing governance over the Independent Verification & Validation (IV&V) services.

By the summer of 2025, the State of Hawaii , Department of Public Safety (PSD) will be requesting proposals for a Corrections Collaboration System (CCS). The purpose of the proposal is to configure, test, implement (including historical data), train, and support an automated, integrated web-accessible, vendor-hosted “Corrections Collaboration System” that integrates data from currently disparate sources within PSD into a common database platform that is state-of-the-art in technology while maintaining mandated operational and legal requirements of each component. ETS is seeking to procure the Independent, Verification and Validation (IV&V) services now in support of this CCS.

1.2 PURPOSE

ETS is requesting proposals from qualified OFFERORS to perform Independent Verification & Validation (IV&V) services to assist the State in its efforts to identify and reduce project risks and implement best practices to ensure successful implementation of a CCS for PSD.

IV&V services are necessary to establish and augment appropriate oversight efforts for PSD’s CCS project, independent of the products and services provided by the CCS contractor(s). The objectives of this RFP are to ensure that:

- a. The State is provided with timely, objective analysis and recommendations to make informed decisions on CCS project implementation issues and risks.
- b. An independent assessment of the CCS project software products and organizational processes is conducted throughout the implementation process.
- c. Process, solution, organizational, and other applicable CCS project risks are identified early and addressed quickly.
- d. Assessments are conducted to ensure the CCS project requirements and specifications are correct, complete, accurate, consistent, and testable.
- e. The CCS project implementation meets CCS project requirements and specifications, including compliance with regulatory, performance, schedule, scope, and budget requirements.
- f. The needs of project stakeholders are being addressed and their expectations are adequately managed.
- g. Cost, schedule, scope, and other applicable variances are detected early and corrected quickly.
- h. Software product and project process deficiencies, risks, and recommended solutions are identified early, addressed quickly, and tracked for progress.
- i. The CCS project is implemented without unnecessary disruption to PSD operations.
- j. The PSD CCS project team, operations staff, and supporting business lines are sufficiently prepared to utilize and maintain implemented solutions as a function of their daily activities.

1.3 COMMONLY USED TERMS

BAFO	=	Best and Final Offer
Contracting Office	=	The Contracting Office is the Office of Enterprise Technology Services
CPO	=	Chief Procurement Officer
ETS	=	Office of Enterprise Technology Services
GC	=	General Conditions, issued by the Department of the Attorney General
GET	=	General Excise Tax
HAR	=	Hawaii Administrative Rules
DAGS	=	Department of Accounting and General Services
HOPA	=	Head of the Purchasing Agency

- OFFEROR = Any individual, partnership, firm, corporation, joint venture, or representative or agent submitting a proposal in response to this solicitation
- Procurement Officer = The contracting officer for ETS
- PSD = Department of Public Safety
- RFP = Request for Proposals
- STATE = State of Hawaii, including its departments, agencies, and political subdivisions

1.4 AUTHORITY

This RFP is issued under the provisions of Chapter 27-43 and 103D, Hawaii Revised Statutes (HRS), and the implementing Hawaii Administrative Rules (HAR). All prospective OFFERORS are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a proposal by any prospective OFFEROR shall constitute a representation of such knowledge on the part of such prospective OFFEROR.

1.5 CONTRACTING OFFICE AND DESIGNATED STATE PERSONNEL

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing performance. The Contracting Office shall serve as the primary liaison with OFFERORS during all phases of the RFP process and with the contractor during all phases of the contract. The Contracting Office is:

Department of Accounting and General Services
 Office of Enterprise Technology Services
 Kalanimoku Building
 1151 Punchbowl Street, Room B-10
 Honolulu, HI 96813

The following State personnel are designated to perform the following roles in this procurement:

Head of State Purchasing Agency:	
Name:	Douglas Murdock
Title:	Chief Information Officer
Business Address:	State of Hawai‘i, Department of Accounting and General Services, Office of Enterprise Technology Services
	1151 Punchbowl Street, Room B-10, Honolulu, HI 96813

Procurement Officer:	
Name:	Patrick Nakasone
Title:	Program Specialist
Business Address:	State of Hawai‘i, Department of Accounting and General Services, Office of Enterprise Technology Services 1151 Punchbowl Street, Room B-10, Honolulu, HI 96813
Email:	Patrick.D.Nakason@hawaii.gov

RFP Contact Person, Contract Administrator, and Project Manager:	
Name:	Joseph Lee
Title:	Technical Analyst
Business Address:	State of Hawai‘i, Department of Accounting and General Services, Office of Enterprise Technology Services 1151 Punchbowl Street, Room B-10, Honolulu, HI 96813
Phone:	(808) 587-9771
Fax:	(808) 586-1922
Email:	Joseph.Lee@hawaii.gov

1.6 PROCUREMENT TIMETABLE

The table below contains ETS’ estimate of the schedule and significant dates. If a component of this schedule is delayed, the rest of the schedule may be shifted by the same number of days. ETS reserves the right to establish new or rescheduled dates as it deems appropriate. Any changes to this table made prior to the proposal due date shall be made by addendum via HIEPRO.

Activity	Scheduled Date
Public Advertisement of RFP	April 24, 2023
Deadline for Written Inquiries, 2:00 p.m. (HST) Electronic Submission http://hiepro.ehawaii.gov	May 3, 2023
State’s Response to OFFERORS’ Written Inquiries Electronic Submission http://hiepro.ehawaii.gov	May 10, 2023
Proposal Submittal Deadline, 2:00 p.m. (HST) Electronic Submission http://hiepro.ehawaii.gov	May 26, 2023
OFFEROR’S Presentations and Discussions, if required	Within 14 days after RFP Proposal Submittal Deadline
Best and Final Offer (BAFO) Deadline, 2:00 p.m. (HST)	To be determined, if necessary
Proposal Evaluation Period	Within approximately 10 days after Date of BAFO/Proposal
Contractor Selection	Within approximately 10 days after Date of BAFO/Proposal

Estimated Date of Notice of Award	Within 5 days after Contractor Selection
Estimated Contract Start Date/Notice to Proceed	Within 25 days of Notice of Award

1.7 COMMUNICATIONS WITH STATE

OFFERORS and prospective OFFERORS (including agents of OFFERORS and potential OFFERORS) shall not contact any State employee to discuss or ask questions regarding the content of this RFP, except as instructed and specified in this RFP.

All questions regarding the RFP shall be submitted electronically via HIEPRO. To facilitate a meaningful response, written questions shall reference the page, paragraph, and line or sentence to which the question relates. Inquiries must identify the OFFEROR, its email address, telephone number, the name and title of the person requesting the information, and the RFP number. Questions will be accepted until the due date to submit questions specified in Section 1.6, *Procurement Timetable*. No telephone calls will be accepted.

ETS will respond to questions electronically via HIEPRO by the date specified in Section 1.6, *Procurement Timetable*. ETS is not responsible for late or non-receipt of responses or communications by the OFFERORS.

1.8 ELECTRONIC PROCUREMENT & SUBMISSION OF PROPOSALS

The State has established the Hawaii State eProcurement (HIEPRO) System to promote an open and transparent system for vendors to compete for State contracts electronically. Offerors interested in responding to this solicitation must be registered on HIEPRO. Registration information is available at the State Procurement Office website: <http://spo.hawaii.gov/HIEPRO/>; select HIEPRO Vendor Registration and then select HIEPRO Vendor Registration Guide.

The RFP process, including issuance of the RFP, submission of proposals, issuance of addenda, and changes to the Procurement Timetable in Section 1.6 shall be conducted through HIEPRO. The State shall not be responsible for the failure of any Offeror to receive the RFP process information.

The contractor shall be subject to a one-time mandatory HIEPRO fee of .75% (.0075) of the award amount or \$5,000, whichever is less. HIEPRO is administered by Hawaii Information Consortium, LLC (HIC). HIC shall invoice the Contractor directly for payment of the HIEPRO fee. Payment must be made to HIC within thirty (30) days from receipt of invoice.

Proposals shall be submitted and received through HIEPRO by 2:00pm (HST) on the date specified in Section 1.6 (<http://hiepro.hawaii.gov>). This electronically submitted proposal shall be considered the original.

HIEPRO Special Instructions: Offeror shall view all special instructions located in HIEPRO. Offerors are responsible for ensuring that all necessary files are attached to their proposal prior to the proposal deadline.

Offerors shall enter \$1.00 as the Unit Price in US Dollars and Cents when submitting their proposal in HIEPRO.

The maximum file size that HIEPRO can accept is 100MB. Files larger than 100MB must be reduced into two or more files.

Offerors must carefully examine this RFP, all addenda, required contract forms, and other documents, laws, and rules, as necessary, before submitting a proposal. The submission of a proposal shall be considered a warranty and representation that the Offeror has made a careful examination of the RFP and understands the work and the requirements of this RFP. Each qualified Offeror may submit only one (1) proposal.

Proposals must be detailed and concise. Each Proposal must be labeled and organized in a manner that is congruent with the requirements and terminology used in this RFP and must include a point-by-point response, structured in form and reference to the RFP, addressing all requirements and the Scope of Work elements.

The Offeror's proposal, including **all** of its required submission types as noted above, must be received through HIEPRO no later than the closing date and time specified for the receipt of proposals as specified in Section 1.6, *Procurement Timetable*. Any proposals received outside of HIEPRO, including faxed, emailed, or handwritten proposals, will not be considered.

1.9 MODIFICATION PRIOR TO DEADLINE OR WITHDRAWAL OF PROPOSALS

Proposals may be modified or withdrawn at any time prior to the deadline for submitting proposals. Any proposal received after the deadline for submitting proposals shall be rejected and returned to the Offeror.

1.10 DISCUSSION AND PRESENTATIONS

ETS, in its discretion, may hold discussions with the Offerors whose proposals are determined to be acceptable or potentially acceptable (the "Priority Listed Offerors"). ETS reserves the right to limit the priority list to the three (3) highest ranked, Priority Listed Offerors. ETS may invite Priority Listed Offerors to discuss their proposals to ensure a thorough, mutual, understanding. ETS in its sole discretion shall schedule the time and location for these discussions, generally within the timeframe indicated in Section 1.6 Procurement Timetable. ETS may also conduct discussions with Priority Listed Offerors to clarify issues regarding the proposals before requesting best and final offers, if necessary.

Discussions will be conducted via the Microsoft Teams application arranged by ETS and recorded for evaluation purposes only. These recordings will be treated as proprietary and confidential.

In conducting discussions, there shall be no disclosure of any information derived from proposals submitted by competing Offerors.

1.11 BEST AND FINAL OFFER

ETS, in its sole discretion, may request each Priority Listed Offeror to submit its Best and Final Offer (BAFO). The request shall be issued in an Addendum which will provide guidance and additional instructions. BAFOs shall be submitted to the ETS RFP Contact Person via HIEPRO on or before the deadline provided in Section 1.6 Procurement Timetable. If a Priority Listed Offeror fails to submit a BAFO, its last submitted proposal shall be deemed to be its BAFO.

1.12 PREPARATION OF PROPOSAL AND COSTS

Expenses for the development and submission of proposals and other responses to the RFP are the sole responsibility of the OFFEROR whether or not any award results from this RFP. Travel and expenses to and from the state are also the responsibility of the OFFEROR.

1.13 CONFLICT OF INTEREST EXCLUSION

Any contractor (and its subcontractors) providing the IV&V services to the State is prohibited from providing, soliciting, proposing, or being awarded any project management, quality assurance, software design, configuration, development, implementation, change management, training, testing, or support phase activity on DAGS's subject CCS project for which these IV&V services are being procured. This exclusion extends to any other project that may interact with, or otherwise provide similar services for the subject CCS Project during the full term of this contract.

Likewise, any contractor or subcontractor that has an existing contractual agreement with any contractor or subcontractor responsible for providing or being awarded any project management, quality assurance, software design, configuration, development, implementation, change management, training, testing, or support phase activity on DAGS's subject CCS project for which these IV&V services are being procured, is prohibited from providing these IV&V services.

The purpose of this exclusion is to avoid any real or perceived conflicts of interest.

1.14 SATISFACTORY EVIDENCE OF ORGANIZATIONAL AND FINANCIAL STABILITY

Contractor (and each subcontractor) is required to provide satisfactory evidence of organizational and financial stability. The following must be submitted and included

with the proposal; vendors who do not submit this information or at the determination of the State, do not have the requisite level of organizational and financial stability, will be excluded from further consideration in the evaluation:

- Legal name. The Contractor is requested to submit its proposal using Contractor's exact legal name as registered with the Internal Revenue Service.
- Company profile, location, and organizational structure (including identification of officers and key management).
- Company summarized financial information for the past 3 years of operation (or for however long company has been in existence, whichever is less), which can include but is not limited to revenue, income, expenses, profit debt, equity, and other ratio indicators.
- Offeror shall describe all current or past involvement in litigation or legal disputes over project performance and/or sufficiency of deliverables.

1.15 REJECTION OF PROPOSALS

Proposals shall be rejected for reasons including but not limited to the following: the proposal is unsigned by the offeror; the proposal is noncompliant with applicable law or contains unauthorized additions or deletions of any portion of the RFP, proof of collusion exists, in which case, all proposals involved in the collusive action will be rejected and any participant to such collusion will be barred from future solicitations until reinstated.

1.16 RFP AMENDMENTS AND ADDENDUM

ETS reserves the right to amend this RFP at any time, prior to the closing date of the BAFOs. All amendments will be issued by written addendum and will be posted on HIEPRO (<http://hiepro.hawaii.gov>).

1.17 CANCELLATION OF PROCUREMENT PART OF OR ENTIRE PROPOSAL

ETS reserves the right to cancel this RFP, reject any or all proposals in whole or in part, and waive any defects, when it is determined to be in the best interests of the State, pursuant to HAR §3-122-96 thru HAR §3-122-97.

1.18 PROPOSAL BONDS; PERFORMANCE AND PAYMENT BONDS

No proposal bond is required to be submitted with the proposal and no performance or payment bond will be required for the contract awarded pursuant to this RFP.

1.19 AWARD OF CONTRACT

A notice of award of the contract shall be made to the responsible Offeror whose proposal is determined the most advantageous to the State, taking into consideration all the evaluation factors set forth in this RFP.

The notice of award shall be made available on the Hawaii State eProcurement (HIEPRO) System at <https://hiepro.ehawaii.gov/welcome.html>. Failure by the chosen offeror to accept the award within five days of the notice of award will be deemed a rejection of the award.

If award is accepted, the successful OFFEROR will be required to enter into a formal written contract with the State. The contract shall include or be deemed to incorporate this RFP, the contractor's proposal or BAFO, State Attorney General (AG) General Conditions, Special Conditions set forth in Section 1.26 below, and other terms as may be agreed to by the State and the contractor. To the extent that the RFP and the successful proposal conflict, the terms of the RFP shall govern. A copy of the contract form and AG General Conditions can be found in Exhibit A.

1.20 CONTRACT EXECUTION

The successful OFFEROR shall enter into a formal written contract (see Exhibit A, *Contract Form and General Conditions*). In submitting the proposal, the OFFEROR will be deemed to have agreed to each provision set forth in Exhibit A, *Contract Form and General Conditions*, and Special Conditions set forth in Section 1.26. State shall have no obligation to accept terms and conditions that vary from those set forth in Exhibit A, *Contract Form and General Conditions*, and Special Conditions set forth in Section 1.26.

Upon selection and award of the contract, the State will send the formal contract to the successful OFFEROR by eSign for signature. The State reserves the right to cancel any contract and request new proposals or negotiate with remaining OFFERORS if State is not satisfied with the awarded contractor's performance.

No work is to be undertaken by the contractor prior to the commencement date specified on the Notice to Proceed. The State is not liable for any work, costs, expenses, loss of profits, or any damages whatsoever incurred by the contractor prior to the official starting date.

No such contract shall be considered binding upon the State until the contract has been fully and properly executed by all the parties thereto and the State Comptroller has, in accordance with §103D-309, HRS, endorsed thereon a certificate that there is an appropriation or balance of an appropriation over and above all outstanding contracts, sufficient to cover the amount required by the contract; with the exception of a multi-term contract, whereby, the State Comptroller shall only be required to certify that there is an appropriation or balance of an appropriation over and above all outstanding contracts, that is sufficient to cover the amount required to be paid under the contract during the fiscal year or remaining portion of the fiscal year of each term of the multiyear contract.

If an option to extend the contract is mutually agreed upon between the parties, a supplemental contract for the additional extension period will be completed between both parties.

1.21 Hawai'i Compliance Express (HCE)

Offerors may use the Hawaii Compliance Express (HCE), an electronic system that allows persons or entities doing business with the State to quickly and easily demonstrate compliance with applicable laws. It is an online system that replaces the necessity of obtaining paper compliance certificates from the Department of Taxation, Federal Internal Revenue Service, Department of Labor and Industrial Relations, and the Department of Commerce and Consumer Affairs.

Offerors intending to use HCE to demonstrate compliance are advised to register on HCE as soon as possible at <https://vendors.ehawaii.gov>. The annual registration fee is \$12.00, and the Certificate of Vendor Compliance is accepted at execution of a contract and at final payment.

Offerors not utilizing HCE shall provide current certificates of compliance via email to the Contract Administrator. Timely applications for certificates of compliance are the responsibility of the Offeror.

HRS Chapter 237 tax clearance requirement for award.

Pursuant to §103D-328, HRS, the Offeror shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). The certificate shall have an original green certified copy stamp and shall be valid for six (6) months from the most recent approval stamp date on the certificate.

The *Tax Clearance Application*, Form A-6, and its completion and filing instructions are available on the DOTAX website: <http://tax.hawaii.gov/forms/>.

HRS Chapters 383 (Unemployment Insurance), 386 (Workers' Compensation), 392 (Temporary Disability Insurance), and 393 (Prepaid Health Care) requirements for award.

Pursuant to §103D-310(c), HRS, the Offeror shall be required to submit a certificate of compliance issued by the Hawai'i State Department of Labor and Industrial Relations (DLIR). The certificate is valid for six (6) months from the date of issue.

The *DLIR Form LIR#27 Application for Certificate of Compliance* with §3-122-112, HAR, and its filing instructions are available on the DLIR website: <http://labor.hawaii.gov/forms/>.

Compliance with §103D-310(c), HRS, for an entity doing business in the State.

The Offeror shall be required to submit a *Certificate of Good Standing (COGS)* issued by the State of Hawaii Department of Commerce and Consumer Affairs (DCCA) - Business Registration Division (BREG). The Certificate is valid for six (6) months from date of issue.

Information regarding online business registration and the COGS is available at <http://cca.hawaii.gov/breg/>.

1.22 CAMPAIGN CONTRIBUTIONS BY STATE AND COUNTY CONTRACTORS

OFFERORS are hereby notified of the applicability of §11-355, HRS, which states that campaign contributions are prohibited from any State or county government contractor during the term of the contract if the contractor is paid with funds appropriated by a legislative body.

For more information, FAQs are available at the Campaign Spending Commission webpage (<http://hawaii.gov/campaign>). Information on spending issues should be directed to the Campaign Spending Commission at (808) 586-0285.

1.23 PUBLIC EXAMINATION OF PROPOSALS

The existing contract file shall be available for public inspection upon posting of award pursuant to §103D-701, HRS and §3-122-58, HAR. If Offeror designates specific portions of their proposal, in writing, as trade secrets or other proprietary data to be confidential pursuant to §3-122-46, HAR, the State will determine whether such material is subject to public disclosure pursuant to §92F, HRS (Uniform Information Practices Act).

If a person is denied access to a State procurement record, the person may appeal the denial to the State Office of Information Practices in accordance with Section 92F-42(12), HRS.

1.24 DEBRIEFING

Pursuant to §3-122-60, HAR, a non-selected Offeror may request a debriefing for information regarding the basis for the source selection decision and contract award. A written request for debriefing shall be made within three (3) working days after the posting of the award of the contract. To the extent practicable, the Procurement Officer or designee shall hold the debriefing within seven (7) working days of receipt of the written request for a debriefing.

1.25 PROTEST PROCEDURES

Pursuant to §103D-701, HRS and §3-126-3, HAR, an Offeror who is aggrieved in connection with the solicitation or award of a contract may submit a protest. Any protest shall be submitted in writing to the Procurement Officer on HIEPRO at:

Patrick Nakasone
Program Specialist
Office of Enterprise Technology Services
1151 Punchbowl Street, Room B-10
Honolulu, HI 96813

The notice of award, if any, resulting from this solicitation shall be posted on HIEPRO.

1.26 SPECIAL CONDITIONS

The following Special Conditions will supplement the *Contract Form and General Conditions*, Exhibit A:

1. Liquidated Damages. In the event of any breach of the contract by the Contractor, liquidated damages shall be assessed against the Contractor in the sum of ONE HUNDRED AND NO/100 DOLLARS (\$100.00) per calendar day until the breach is remedied by the Contractor.
2. Insurance. Prior to the contract start date, the Contractor shall procure, at its sole expense, and maintain insurance coverage acceptable to the State in full force and effect throughout the term of the contract. The Contractor shall provide proof of insurance prior to award for the following minimum insurance coverage(s) and limit(s) in order to be awarded a contract. The type of insurance is listed as follows:
 - a. A fidelity bond, commercial crime policy, or other equivalent insurance that provides insurance coverage or similar protection to ETS against forgery, theft, robbery, fraud, and dishonest and criminal acts committed by any of the Contractor's employees that causes ETS to sustain monetary loss. The limits of such bond or policy shall be \$5,000,000.00 per occurrence/claim and in the aggregate.
 - b. Commercial general liability insurance coverage against claims for bodily injury and property damage arising out of all operations, activities or contractual liability by the Contractor, its employees, and subcontractors during the term of the Contract. This insurance shall include the following coverage and limits specified or required by any applicable law: bodily injury and property damage coverage with a minimum of \$1,000,000 per occurrence; personal and advertising injury of \$1,000,000 per occurrence; and with an aggregated limit of \$2,000,000. The commercial general liability policy shall be written on

an occurrence basis and the policy shall provide legal defense costs and expenses in addition to the limits of liability stated above. The Contractor shall be responsible for payment of any deductible applicable to this policy.

- c. Automobile liability insurance covering owned, non-owned, leased, and hired vehicles with a minimum of \$1,000,000 for bodily injury for each person, \$1,000,000 for bodily injury for each accident, and \$1,000,000 for property damage for each accident or \$2,000,000 combined single limit.
- d. Appropriate levels of per occurrence insurance coverage for workers' compensation and any other insurance coverage required by Federal or State law.
- e. Professional Liability Insurance covering all activities under the contract with a minimum of \$1,000,000 per claim and with an aggregated limit of \$2,000,000.
- f. Cyber Liability Insurance with limits not less than \$1,000,000 per occurrence/claim, \$2,000,000 aggregate. Coverage shall be sufficiently broad in response to the duties and obligations as is undertaken by the scope of work within this contract and shall include, but not be limited to, claims involving infringement of intellectual property, including but not limited to, invasion of privacy violations, information theft, damage to or destruction of electronic information, release of private information, alteration of electronic information, extortion, and network security. The policy shall also provide coverage for breach response costs and regulatory fines and penalties and credit monitoring expenses.

If the Contractor maintains broader coverage and/or higher limits than the minimums shown above, the State requires and shall be entitled to the broader coverage and/or higher limits maintained by the Contractor. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the State.

- g. Any and all other insurance that is required by applicable law and that is reasonably necessary in order for the Contractor to perform the work and services required under the contract. The insurance policies shall have limits of liability, per occurrence and in the aggregate, in amounts that are reasonably satisfactory to the State, as measured by what a reasonably prudent trustee would require of a contractor in similar circumstances.

The adequacy of the coverage afforded by the Contractor's insurance shall be subject to review by the State, from time to time, and if it appears that a reasonably prudent person, overseeing a project similar to one specified by this RFP, would require an increase in the limits of liability of such insurance, the Contractor shall, to that extent, take all necessary

actions to increase such limits.

The required insurance shall be carried with insurance carriers that have a general policyholder's rating of not less than A and a financial rating of no less than VII in the most current A.M. Best's Insurance Reports. If the A.M. Best's ratings are changed or discontinued, the parties shall agree to an equivalent method of rating insurance companies.

Throughout the term of the entire contract, ETS shall be named as additional insured on all the required policies except for professional liability/errors and omissions and worker's compensation policies. At the commencement of the contract, the Contractor shall provide ETS with certificates of insurance showing that it is carrying all the insurance required hereunder. At or prior to the expiration of all insurance policies required hereunder, the Contractor shall provide State with certificates of insurance showing the renewal or replacement of such insurance policies. All policies of insurance or the Contractor shall provide that State will be given 30 days' notice in writing in advance of any cancellation, lapse, or reduction in the amount of insurance.

Each insurance policy required by this contract, including a subcontractor's policy, shall contain the following phrases:

1. "This insurance shall not be canceled, limited in scope of coverage, or non-renewed until after 30 days' written notice has been given to the Office of Enterprise Technology Services, Kalanimoku Building, 1151 Punchbowl Street, Room B-10, Honolulu, Hawaii 96813."
2. "The State of Hawaii is added as an additional insured with respect to operations performed for the State of Hawaii."
3. "It is agreed that any insurance maintained by the State of Hawaii and/or ETS will apply in excess of, and not contribute with, insurance provided by this policy."

The minimum insurance required shall be in full compliance with the Hawaii Insurance Code throughout the entire term of the contract, including supplemental contracts.

Upon the Contractor's execution of the contract, the Contractor agrees to deposit with ETS, certificate(s) of insurance necessary to satisfy the State that the insurance provisions of the contract have been complied with, and to keep such insurance in effect and the certificate(s) therefore on deposit with the State during the entire term of this contract, including those of its subcontractor(s), where appropriate.

Upon request by the State, the Contractor shall be responsible for furnishing a copy of the policy or policies.

Failure of the Contractor to provide and keep in force such insurance shall be regarded as material default under this contract, entitling ETS to exercise any or all of the remedies provided in this contract for a default of the Contractor.

The procuring of such required insurance shall not be construed to limit the Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this contract. Notwithstanding said policy or policies of insurance, the Contractor shall be obliged for the full and total amount of any damage, injury, or loss caused by negligence or neglect connected with this contract.

3. Transition Procedures. At no cost to ETS, the Contractor shall comply with the following provisions upon receipt of a notice of termination or upon expiration of the contract:
 - a. The Contractor shall transfer title and deliver to ETS or its designee, any and all completed or partially completed goods, materials, reports, information, data, or other work product of the Contractor that were made under the contract or as part of the Contractor's performance of the contract.
 - b. As directed by ETS, the Contractor shall destroy or deliver to ETS or its designee, all confidential or proprietary documents, information, and data that the Contractor has received under the contract and all copies thereof, to the extent allowable by law or regulatory procedure.

1.27 CONTRACT TERM

The term of any contract resulting from this RFP shall be a multi-term agreement with the initial term being a period of twelve (12 months) from the commencement date on the Notice to Proceed. The contract may be extended for up to two (2) additional twelve (12) month periods or portions thereof without rebidding, upon mutual agreement.

Pursuant §103D-315, HRS and §3-122-149, HAR, Offerors are advised that funds are available only for the current fiscal period, and the contractual obligation of both parties in each fiscal period succeeding the first term is subject to the appropriation and availability of funds.

When interests of the State so require, the State may terminate the contract for convenience.

The contract is subject to availability of funds. If a Non-Funding Event occurs, the State shall have the right to partially or fully terminate or suspend the contract under this RFP.

If the State does not exercise the right to fully terminate or suspend the contract, the State shall determine which aspects of the contract shall move forward and which services shall be performed. A Non-Funding Event can also include lack of sufficient funding (i.e., capital improvement projects or general funds) approved by the State of Hawaii Legislature specifically for the CCS Project.

Contractor agrees that no penalty or damages shall be applied to, or shall accrue to, the State due to a Non-Funding Event. Contractor further agrees that the State will not be responsible for any costs, expenses, or losses incurred by Contractor due, in whole or in part, to a Non-Funding Event.

SECTION II: SCOPE OF WORK

2.1 PSD CCS PROJECT BACKGROUND

PSD is engaged in an effort to procure a solution that will integrate presently heterogeneous sources of correctional inmate information and related operational units onto a single platform while leveraging technological innovations such as document management and Statewide/National criminal data integration and retaining compliance with departmental policies and procedures and Hawaii statutes.

It is PSD's goal to have a single, comprehensive Corrections “tool,” crafted to simplify reporting of inmate behavior and activity, while providing a flexible framework for emergent inmate reform initiatives.

The following are the principal operational units targeted for integration:

1. Intake Service Center
2. Inmate Reentry Coordination
3. Institutions
4. Inspections and Investigations (including Inmate Grievances)
5. Litigation Coordination (PREA)
6. Inmate Trust Accounts
7. Aggregate Corrections Reporting
8. Programs
9. Law Enforcement
10. Healthcare

For a detailed account of the requirements, please reference the full scope of work for the requested CCS presented in the RFP released by PSD attached as Exhibit B.

2.2 IV&V SCOPE

1. IV&V Critical Components

For the IV&V services, Contractor shall independently review the CCS project's performance throughout its lifecycle, with specific focus on the following critical components:

- Project Organization and Management
- Contract Management
- Requirements Management
- Cost and Schedule Management
- Systems Architecture and Design
- Human Resources Management
- Risk Management
- Quality Management
- Communications Management
- Organizational Change Management
- Knowledge Transfer
- Operational Preparedness

2. Best Practices

In connection with the provision of all services and deliverables in connection with performing the IV&V work, Contractor shall conform to, apply, and abide by any prevailing information technology governance framework and published guidance provided by the State of Hawaii Chief Information Officer and the Office of Enterprise Technology Services. This includes but is not limited to the following laws, policies, standards, and guidelines - or their future additions or replacements:

- Hawaii Revised Statutes §27-43 - Office of enterprise technology services; chief information officer; information technology steering committee; establishment; responsibilities. State of Hawaii CIO:
https://www.capitol.hawaii.gov/hrscurrent/Vol01_Ch0001-0042F/HRS0027/HRS_0027-0043.htm
- ADMINISTRATIVE DIRECTIVE NO. 18-03 - Program Governance and Independent Verification and Validation Requirements for Enterprise IT Projects: <https://budget.hawaii.gov/wp-content/uploads/2018/10/AD-18-03-Program-Governance-and-Independent-Verification-and-Validation-Requirements-for-Enterprise-IT-Projects.pdf> <https://budget.hawaii.gov/wp-content/uploads/2018/10/AD-18-03-Program-Governance-and-Independent-Verification-and-Validation-Requirements-for-Enterprise-IT-Projects.pdf>
- ETS IT Governance found on ETS website: <https://ets.hawaii.gov/it-governance/>
- ETS Policies, Standards and Guidelines found on ETS website: <https://ets.hawaii.gov/policies/>

In addition, but not superseding the State's own laws, policies, standards, and guidelines, Contractor shall conform to, apply, and abide by best practices in the information technology industry including, but not limited to, standards and methodologies issued by:

- The Project Management Institute; specifically, the Project Management Book of Knowledge (PMBOK),
- Information Technology Infrastructure Library (ITIL),
- International Organization for Standardization (ISO) 9000,
- National Institute of Standards and Technology (NIST); and
- Center for Internet Security (CIS).

3. Task Descriptions

Contractor shall help the State ensure that the entire CCS project team, both State and vendors, apply the best practices in project management and quality management, and deliver technical work products that meet contract requirements with respect to schedule, cost, functionality, reliability, security, and other relevant quality standards.

Optimally, the IV&V services provided by the Contractor shall include:

IV&V services:

- Preparing an IV&V Project Management Plan that describes activities, milestones, deliverables with payments and acceptance criteria, personnel, schedules, standards, and methodology for conducting the IV&V work. Contractor shall develop and maintain a schedule for all project activities.
- Contractor shall develop criteria for an initial evaluation of all projects and document issues and risks found in the Initial Assessment Report.
- Reviewing and analyzing ongoing project management and implementation tasks and activities, operational policies, and processes to ensure quality objectives are met and best practices are followed.
- Reviewing and analyzing deliverables and work products for compliance with defined methodologies, policies, and standards.
- Preparing monthly summary status and risk log reports, providing executive briefings, documenting the overall progress of the project, and making recommendations for improvement based on an analysis of project performance. Reports shall include documentation of IV&V tasks performed and planned by Contractor, and describe any findings, issues, risks, concerns, and recommendations.
- Performing system go-live assessments. Contractor shall perform separate

assessments to determine the preparedness of each technical system prior to and after deployment milestones.

- At the conclusion of the project and as part of the archiving activity, providing a final IV&V report documenting IV&V tasks, activities, findings, lessons learned/best practices from the implementation, and any outstanding technical issues/risks.
- Provide a consolidated archive of all project deliverables on electronic media.

All travel and any costs incurred in support of the activities described in this section will be borne by the Contractor and included in the proposed price. In addition, the Contractor will be required to attend meetings and events, perform records management and administrative responsibilities related to the contract, and maintain open and effective communication with ETS and PSD.

2.3 IV&V SUBJECT AREA GUIDELINES

Attachment 5: Guidelines for monthly reports, should be used as a guide for areas of coverage when performing the IV&V activities for this RFP, depending on the specific deliverables required by the CCS project contract, and agreed to ETS in the IV&V Project Management Plan deliverable.

REQUIRED DELIVERABLES

The Contractor's performance will be evaluated based on the generation of products and the achievement of key milestones, to be collectively referred to as deliverables. Each deliverable will be reviewed and assessed by selected members of the State project team. The State will have a pre-determined period, typically five (5) business days, to complete its review.

Aspects of a deliverable that have been determined to be of unacceptable quality and sufficiency and not consistent with the agreed upon scope of work will be documented and provided to the Contractor for further action. The Contractor will then present to the State the revised deliverable, whereupon the review and assessment process will begin again.

All IV&V deliverable assessment reports, whether in draft or final form, must be delivered by the Contractor directly and simultaneously to ETS, PSD, and the CCS project implementation vendor lead. The State will not modify or reject any IV&V assessment report beyond recommendations to amend mistakes of fact. State comments to all IV&V assessment report findings will only be appended to the respective report.

All project documentation shall be developed using the Microsoft Office suite of products and the Contractor must ensure that all applications are compatible with current ETS software Office 365 versions.

All work products, outputs, and deliverables created each month will be consolidated and submitted as part of Contractor’s monthly executive summary and risk log reports.

Contractor should anticipate and plan for State review periods of all submitted draft deliverables, where express acceptance and approval by the State is required for deliverables to be marked final.

Below is a list of deliverables that are, at a minimum, considered mandatory as project phases. If agreed to by ETS, the Contractor may revise the list as necessary and submit the draft revision to ETS for final approval. The deliverables list will be negotiated and finalized prior to the project's commencement.

In addition to having periodic status meetings with completion metrics, the deliverables shall be completed in the order established and approved by ETS.

The Contractor will be expected to provide the following deliverables:

Deliverable	Description	Delivery Date
IV&V Project Management Plan	Provide a comprehensive plan describing IV&V tasks and activities, personnel, milestones, deliverables, proposed payment schedule, and acceptance criteria. Also describe standards and methodology for conducting IV&V reviews. This plan will be refined as necessary to align with approved changes to other applicable plans within the project and will include a table including narrative descriptions of all IV&V activities, deliverables and proposed associated payment amounts, including expected format, content, and organization, to be developed and delivered during the base period (12 months).	Within 10 business days after contract Notice to Proceed date and ongoing.

Deliverable	Description	Delivery Date
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Initial Assessment Report	Conduct an initial assessment of the completeness of the CCS project plans, soundness of approach, schedule realism, management structure, the project's tracking of requirements, project deliverables, validating project success metrics (i.e., definitions of successful project outcomes) identification of risk areas, and recommended next steps to produce an initial assessment report to present to the State.	Within four (4) weeks of State acceptance of IV&V Project Management Plan.
Monthly Status Reports/Executive Sponsor Briefings	<p>Monthly status report including IV&V thread summaries, budget, schedule, and implementation considerations; reports accompanied by presentations by the Contractor to the State.</p> <p>– Thread components include:</p> <ul style="list-style-type: none"> • Achievements for the month • Documents/Deliverables Reviewed • Next Period Activities • Schedule status • Open/Closed Issues • Risks/Concerns identification and tracking • Action Items • Findings of Deficiencies/ Recommendations for Remediation • Issue Analysis • Risk Analysis • Scope Analysis • Schedule Analysis • Quality Analysis 	<p>Within one (1) month of the State's acceptance of Initial Assessment Report.</p> <p>Thereafter on the 5th of every month.</p>
Pre Go-Live Implementation Milestone Reports	<p>Perform separate assessments to determine the preparedness of CCS prior to production deployment of each major milestone (i.e., go-live milestone defined by State project management plans).</p> <p>Focus on adherence to best practices and requirements,</p>	Two (2) weeks prior to implementation of each major milestone, as defined by the CCS project schedule.

Deliverable	Description	Delivery Date
	functionality, and the ability to support program business needs.	
Post Go-Live Implementation Milestone Report	Prepare a final written report that summarizes expectations, best practices, lessons learned, opportunities, any outstanding technical issues or risks from each project, and any follow-up recommendations.	Two (2) weeks after the end of each implementation milestone (defined by State project management plans) or prior to Contract end date.
Final Report and Archive Documents	Periodic archive creation and delivery of all project artifacts and research materials and contract deliverables.	At the end of the contract and before final invoicing, provide a Final IV&V report documenting IV&V tasks, activities, findings, lessons learned/best practices from the implementation, and any outstanding technical issues/risks; deliver to State a complete USB Drive archive of all IV&V documents, including draft and final reports, any status briefings, exception reports, key materials, and all versions of the IV&V Project Management Workplan.

2.4 CONTRACTOR PERSONNEL

The Contractor’s (and its subcontractors’) staff assigned to this project will be expected to be available for the duration of the project and be available for calls and meetings at the discretion of ETS during normal business hours: M-F 7:45 am thru 4:30 pm.

2.5 STAFF QUALIFICATIONS

The State requests Contractor to fulfill the requirements of this RFP by providing the staff resources to work on the project, per the requirements below. Contractor proposed staff, inclusive of all subcontractors, shall:

- Have experience performing IV&V work.
- Have experience managing IT corrections collaboration systems modernization projects or IT projects of an equivalent or larger size.
- Have expertise in performing IT assessments, due diligence reporting, IT process and procedures audits, project management, and solution analysis and design.
- Have expertise in overseeing, managing, or implementing corrections collaboration systems modernization projects for state or other government organizations.
- Make proposed staff available to work once an award is made and the Contract is executed.
- Include a designated Project Manager with suitable qualifications as described below.
 - Extensive managerial and project administrative experience, including substantial responsibility for a combination of management functions such as project planning, procurement, organization coordination and control, and fiscal and personnel management,
 - Proven leadership skills and advanced project management skills to successfully drive a project from beginning to end,
 - Bachelor's degree in computer science, MIS, mathematics, engineering, business, or similar field,
 - Strong written, oral, and presentation skills to convey technical detail and design to diverse audiences; and
 - Professional work experience in IT project management, implementation, IV&V, or a combination thereof.

The Contractor and the State agree that the proposed staff are critical to the performance of the contract and therefore, the State has the right of refusal for any personnel replacements, substitutions, or reassignments of duties of personnel assigned to the IV&V services contract. The Contractor shall secure written approval from the State prior to making any changes to key personnel assigned to perform services in this Contract. In all instances, qualifications for suggested staff changes should be comparable with those being replaced.

2.6 WORK OFFICES

The main PSD offices are located at 1177 Alakea Street, Ste 306, Honolulu, HI 96813, although work may also be required to be performed at other PSD and State office locations throughout Honolulu. Normal business hours are between 7:45 am and 4:30 pm, Hawaii Standard Time (HST). Work plans shall be structured such that any need for, or involvement of the PSD staff is during normal business hours.

A majority of the work required is normally done on-site at State facilities, e.g., stakeholder meetings, interviews, briefings of monthly reports, etc. However, the State has continued to increase use of virtual, online meetings. Additionally, on-site and in-person activities may be strictly curtailed and regulated (i.e., possible health concerns, such as COVID). If this happens, accommodations will be made for remote participation and collaboration (e.g., Microsoft Teams) in lieu of on-site and in-person interactions. Any proposed remote work must be identified in the proposal and Project Management Plan by the Contractor and must be pre-approved by the State. Contractors shall take this into account when preparing their proposals.

Contractor may utilize its own equipment including laptops, desktops, and networks, provided they are in accordance with the security benchmarks approved and allowed by DAGS, PSD, and ETS. Reference the ETS policies that currently prioritizes how to protect devices connecting to the State of Hawaii government network (Next Generation Network – NGN) and Microsoft O365, DHRD acceptable use policy, and DAGS acceptable use guidelines.

¹<http://ets.hawaii.gov/policies/>

²<https://dhrd.hawaii.gov/wp-content/uploads/2012/11/0103001-090717.pdf>

SECTION III: PROPOSAL INSTRUCTIONS

3.1 PROPOSAL FORMAT AND CONTENT

All Proposals must be submitted in the following format. Detailed information on submitting each of these sections is contained in this RFP. Proposal shall be submitted in size 12, Times New Roman font, or equivalent.

1. Proposal Checklist.

Complete and submit all items noted on the Proposal Checklist.

2. Attachment 1; Proposal Form, OF-1

OFFEROR shall complete and sign OF-1 Proposal Form.

3. Attachment 2; Proposal Form, OF-2

OFFEROR shall complete OF-2 Form.

4. Table of Contents

A Table of Contents must be included with each proposal. All major parts of the proposal shall be identified by referencing page number.

5. Executive Summary

The executive summary [**not to exceed one (1) page**] is to briefly describe the OFFEROR'S proposal and should highlight the major features of the proposal. The

proposal should demonstrate the OFFEROR'S understanding of and ability to meet the requirements of the RFP. The State should be able to determine the essence of the proposal by reading the executive summary.

The OFFEROR shall also include the name and contact information of the person the State should contact regarding the OFFEROR'S proposal.

6. Experience and Capability

- a. Three (3) references for IV&V projects or enterprise corrections collaboration systems projects, including:
 - Organization name,
 - Project title and summarized description of work,
 - Start/end dates, and
 - Point of contact name, title, email, phone.
- b. Description of company experience, including number of years of technical and industry experience, showing knowledge of and proficiency in:
 - IV&V, and
 - Corrections Collaboration System implementations

7. Staff Qualifications

Submit resumes of individuals, including all subcontractors, who will perform the activities described in the RFP. Contractor must identify any subcontractor that will be used and include the name of the company, telephone number, contact person, and type of work subcontractor will perform. When requested by the State, Contractor shall provide additional information (such as references, etc.) on subcontractor.

8. Technical Approach

Include proposed methodology to fulfill the RFP requirements, demonstrating an understanding of the outlined deliverables.

- a) OFFEROR is expected to provide as much detail as necessary for the State to gain a solid understanding of how OFFEROR proposes to meet the requirements for the IV&V work, to include, but not limited to the overall approach and philosophy, benchmarks and measurement, anticipated activities and tasks, number of personnel assigned or involved at each stage, identification of who is performing work (prime vs. subcontractor(s)), on-site work vs. off-site work, description of reports, and briefings. Provide formats or samples of an assessment report and/or IV&V periodic review report.
- b) Include a project organization chart and staffing approach (to include all subcontractors).
- c) A majority portion of the work required is normally done on-site at State facilities, e.g., stakeholder meetings, interviews, briefings of monthly reports, etc. However, the State has continued to increase use of virtual, online meetings. Additionally, on-site and in-person activities may be strictly curtailed and regulated (i.e., possible health concerns, such as COVID). If this happens, accommodations will be made for remote participation and

collaboration (e.g., Microsoft Teams) in lieu of on-site and in-person interactions. Any proposed remote work must be identified by the Contractor and agreed to by State prior to the work being performed. For the portions of the requested IV&V Work to be performed off-site, the OFFEROR'S proposal shall include a detailed description of how such off-site work will be managed, what portions of the work will be performed off-site, the location of such off-site work and the savings for the State that can be achieved if the work is performed off-site, provided that, the State shall in no way be obligated to accept any such condition.

9. Price

Contractor shall propose a total price for which all proposed activities in the proposal will be accomplished during the initial term (12 months) of the contract, which shall not exceed \$300,000. The same price, or lower, will apply to each option period (2 total) of 12 months. Deliverable-based payments to Contractor will be made based on agreed-upon IV&V Project Management Plan.

10. Conflict of Interest Exclusion - Attestation

Proposal must provide attestation, as described in Section 1.13.

11. Satisfactory Evidence of Financial and Organizational Stability.

OFFEROR shall provide the required information as described in Section 1.14 and shall disclose any prior and pending litigation to which it is a party, including the disclosure of any outstanding judgments. If applicable, please explain.

12. Attachment 3; Proposed Exceptions

NO EXCEPTIONS SHALL BE MADE TO THE GENERAL OR SPECIAL CONDITIONS. OFFEROR shall list any proposed exceptions to specifications or other requirements contained in Section II: Scope of Work of this RFP. OFFEROR shall reference the RFP section where exception is taken, describe the exception, the proposed alternative, and the reason for the proposed alternative. Failure to note any exception means that OFFEROR accepts and will comply with every specification and requirement of this RFP. The State reserves the right to not accept any exception or alternative proposals by an OFFEROR.

13. Attachment 4; Confidential Information

All confidential, protected, or proprietary information must be included in this section of proposal. **Price is not considered confidential and shall not be withheld.** Information included in the Confidential, Protected or Proprietary Information section of an OFFEROR'S proposal is not automatically accepted as protected from public disclosure. The State will determine whether such material is subject to public disclosure pursuant to §92F, HRS (Uniform Information Practices Act). All information identified in the section will be subject to review by the State in accordance with the procedures prescribed by §92F, HRS, Uniform Information Practices Act) and applicable procurement rules.

3.2 OFFEROR'S TERMS AND CONDITIONS

OFFERORS shall not submit OFFEROR'S terms and conditions, standard contracts, or other agreements. General references to such terms, attempts at complete substitution of such terms, or modification of the State's terms and conditions, may be declared non-responsive and result in the rejection of OFFEROR'S proposal.

3.3 SUBMISSION OF REQUESTED INFORMATION AND DOCUMENTS

If any additional information is required by the State regarding any aspect of OFFEROR'S proposal, it shall be provided within two (2) business days after requested.

SECTION IV: PROPOSAL EVALUATION

4.1 INTRODUCTION

The State will consider all responsive and responsible proposals received to determine the best value to the State. Best value means the most advantageous proposal determined by evaluating and comparing all relevant criteria in addition to price so that the proposal meeting the overall combination that best meets the State's needs is selected. OFFERORS' proposal will be evaluated based on the completeness of the proposal and ability to meet or exceed the specifications and requirements. A proposal may be excluded from consideration for award for any of the following reasons as this reflects an inherent lack of technical competence or indicates a failure to comprehend the requirements as set forth in this RFP: failing to comply with any condition or requirement listed, unjustifiable price structure, unreasonable technical or schedule commitments. The criteria listed below will be used in evaluating best value.

4.2 PHASE 1 - EVALUATION OF PROPOSALS

EVALUATION PROCESS

The evaluation committee of at least three (3) qualified State employees selected by ETS will review and evaluate all proposals submitted by the proposal due date as specified in this RFP.

The evaluation will be conducted in six (6) phases:

Phase 1 - Evaluation of OFFEROR'S proposal

Phase 2 - Establishment of PRIORITY-LISTED OFFERORS

Phase 3 - Discussion and/or Clarification with PRIORITY-LISTED OFFERORS
(Optional)

Phase 4 - Best and Final Offer (if applicable)

Phase 5 - Final Evaluation of Proposals

Phase 6 - Recommendation for Award

EVALUATION CRITERIA AND POSSIBLE POINTS

Evaluation Criteria	Possible Points
Staff Qualifications	25
Company Experience	10
Technical Approach	25
Price	40
Total Possible Points	100

EVALUATION CRITERIA

1. **Staff Qualifications** – 25 points maximum based on OFFEROR’s level of proposed staff qualifications and experience in Section 2.5.
 - a. The proposal fails to address the criterion, or the proposal cannot be assessed due to missing or incomplete information. Offeror has not demonstrated sufficient knowledge of the subject matter or has grossly failed to explain how the requirement(s) will be met. (0 pts.)
 - b. **Poor.** The criterion is inadequately addressed, Offeror demonstrates only a slight ability to comply, or there are serious inherent weaknesses. (1 - 5 possible pts.)
 - c. **Fair.** The proposal addresses the criterion, but there are significant deficiencies, or Offeror has not adequately explained how its services fit the requirement. (6 - 10 possible pts.)
 - d. **Good.** The proposal addresses the criterion; meets the requirements at a minimal level. Demonstrates knowledge and understanding of the subject matter, with no deficiencies noted. (11 - 15 possible pts.)
 - e. **Very Good.** The proposal addresses the criterion well, highly comprehensive. (16 - 20 possible pts.)
 - f. **Excellent.** The proposal addresses the criterion well and goes beyond the requirements of the RFP, providing added value. In addition, the response may cover areas not originally addressed within the RFP and include additional information and recommendations that would prove both valuable and beneficial to the State. (21 - 25 possible pts.)

2. **Company Experience** – 10 points maximum based on OFFEROR’s level of proposed company experience in Section 3.1.6.
 - a. The proposal fails to address the criterion, or the proposal cannot be assessed due to missing or incomplete information. Offeror has not demonstrated sufficient knowledge of the subject matter or has grossly failed to explain how the requirement(s) will be met. (0 pts.)
 - b. **Poor.** The criterion is inadequately addressed, Offeror demonstrates only a slight ability to comply, or there are serious inherent weaknesses. (1 – 2 possible pts.)
 - c. **Fair.** The proposal addresses the criterion, but there are significant deficiencies, or Offeror has not adequately explained how its services fit the requirement. (3 - 4 possible pts.)
 - d. **Good.** The proposal addresses the criterion; meets the requirements at a minimal level. Demonstrates knowledge and understanding of the subject matter, with no deficiencies noted. (5 - 6 possible pts.)

- e. **Very Good.** The proposal addresses the criterion well, highly comprehensive. (7 - 8 possible pts.)
 - f. **Excellent.** The proposal addresses the criterion well and goes beyond the requirements of the RFP, providing added value. In addition, the response may cover areas not originally addressed within the RFP and include additional information and recommendations that would prove both valuable and beneficial to the State. (9 - 10 possible pts.)
- 3. Technical Approach** – 25 points maximum based on OFFEROR’s technical approach in Section 3.1.8.
- a. The proposal fails to address the criterion, or the proposal cannot be assessed due to missing or incomplete information. Offeror has not demonstrated sufficient knowledge of the subject matter or has grossly failed to explain how the requirement(s) will be met. (0 pts.)
 - b. **Poor.** The criterion is inadequately addressed, Offeror demonstrates only a slight ability to comply, or there are serious inherent weaknesses. (1 - 5 possible pts.)
 - c. **Fair.** The proposal addresses the criterion, but there are significant deficiencies, or Offeror has not adequately explained how its services fit the requirement. (6 - 10 possible pts.)
 - d. **Good.** The proposal addresses the criterion; meets the requirements at a minimal level. Demonstrates knowledge and understanding of the subject matter, with no deficiencies noted. (11 - 15 possible pts.)
 - e. **Very Good.** The proposal addresses the criterion well, highly comprehensive. (16 - 20 possible pts.)
 - f. **Excellent.** The proposal addresses the criterion well and goes beyond the requirements of the RFP, providing added value. In addition, the response may cover areas not originally addressed within the RFP and include additional information and recommendations that would prove both valuable and beneficial to the State. (21 - 25 possible pts.)
- 4. Price** – 40 points maximum. OFFEROR’S price quote must reasonably align to the proposed technical approach and requirements/deliverables of the RFP to be considered. Price quotes that are determined to be insufficient or unreasonable will not receive any points. The OFFEROR submitting the lowest price quote total for all three (3) years will automatically receive the maximum number of points allocated to price calculation, forty (40) points. The point allocations for price calculation on the other quotes will be determined through the following method:

$$[\text{Lowest Price X 40 points (maximum)}] / [\text{OFFEROR’S Quote}]$$

4.3 PHASE 2 – ESTABLISHMENT OF PRIORITY-LISTED OFFERORS

The evaluation committee will evaluate all proposals and, if required, establish a priority list of OFFERORS who received the best preliminary evaluations. If more than three proposals are received, a priority list of not less than three OFFERORS submitting the highest ranked proposals shall be generated. The evaluation committee may have

additional discussions with priority-listed OFFERORS prior to the submission of the best and final offers.

4.4 PHASE 3 - DISCUSSION AND CLARIFICATION WITH PRIORITY-LISTED OFFERORS (OPTIONAL)

If during discussions there is a need for any substantial clarification or change in the RFP, the RFP shall be amended by an addendum to incorporate the clarification or change. Addenda to the RFP shall be distributed only to PRIORITY-LISTED OFFERORS.

The PRIORITY-LISTED OFFERORS shall then be permitted to submit new proposals or amend its submitted proposals. The contents of any proposal shall not be disclosed to competing OFFERORS during discussions.

4.5 PHASE 4 - BEST AND FINAL OFFER (IF APPLICABLE)

The evaluation committee will establish a date and time for the PRIORITY-LISTED OFFERORS to submit its Best and Final Offer (BAFO). A BAFO shall be submitted only once, unless the Head of the Purchasing Agency determines in writing that it is in ETS's best interest to conduct additional discussions or change the RFP's requirements by an addendum distributed only to the PRIORITY-LISTED OFFERORS and require another submission of a BAFO. Otherwise, no discussion or changes in the BAFOs will be allowed prior to award.

If a PRIORITY-LISTED OFFEROR does not submit a notice of withdrawal or another BAFO, their latest offer will be construed as their BAFO.

After BAFOs are received, final evaluations will be conducted.

4.6 PHASE 5 - FINAL EVALUATION OF PROPOSALS

During this phase, the evaluation committee will conduct final evaluations of the PRIORITY-LISTED OFFERORS' proposals in accordance with the criteria listed in Phase 1.

4.7 RECOMMENDATION FOR AWARD

The evaluation committee will evaluate and determine which proposal best meets the requirements of this RFP and is most advantageous to ETS. The evaluation committee will prepare a report summarizing its findings and rankings and make a final recommendation to the Chief Information Officer as to the selection of the Contractor and award of the contract.

4.8 NOTIFICATION OF AWARD; NON-SELECTED OFFEROR

Upon award to the successful OFFEROR, ETS will publicly post a notice of award on

HIEPRO. ETS will also provide written notification of the award to any unsuccessful OFFEROR(S). ETS is not responsible for delays or non-receipt of such notification.

SECTION V: ATTACHMENTS AND EXHIBITS

5.1 ATTACHMENT & EXHIBITS

- Attachment 1: PROPOSAL FORM, OF-1
- Attachment 2: PROPOSAL FORM, OF-2
- Attachment 3: PROPOSED EXCEPTIONS
- Attachment 4: CONFIDENTIAL INFORMATION
- Attachment 5: GUIDELINES FOR MONTHLY REPORTS
- Exhibit A: Contract Form and General Conditions
- Exhibit B: RPF for the Corrections Collaboration System

ATTACHMENT 1 - PROPOSAL FORM OF-1

**RFP-23-200 INDEPENDENT VERIFICATION & VALIDATION (IV&V) SERVICES FOR A
CORRECTIONS COLLABORATION SYSTEM, DEPARTMENT OF PUBLIC SAFETY,
STATE OF HAWAII**

Chief Information Officer
Department of Public Safety Office of Enterprise
Technology Services
State of Hawaii
Honolulu, Hawaii 96813

Dear Sir:

The undersigned has carefully read and understands the terms and conditions specified in this RFP and hereby submits the following proposal to perform the work specified in the RFP.

The undersigned further understands and agrees that by submitting this proposal, 1) he/she is declaring his/her proposal is not in violation of Chapter 84, Hawai'i Revised Statutes, concerning prohibited State contracts, and 2) he/she is certifying that the price(s) submitted was (were) independently arrived at without collusion.

Date: _____
Telephone No.: _____

Respectfully submitted,

Fax No.: _____
E-mail Address: _____

Exact Legal Name of Bidder

Payment address, if other than street
address at right:

Authorized Signature (Original)

Title

Hawaii General Excise Tax Lic. I.D. No.:

Street Address

Social Security or Federal I.D. No.:

City, State, Zip Code

If OFFEROR shown above is a "dba" or a "division" of a corporation, furnish the exact legal name of the corporation under which the contract, if awarded, will be executed:

OFFEROR is: _____ Individual _____ Partnership _____ Corporation _____ Joint Venture _____ Other
(specify)

State of incorporation: Hawai'i _____

*Other _____
(Specify jurisdiction)

ATTACHMENT 3 – PROPOSED EXCEPTIONS

**RFP-23-200, INDEPENDENT VERIFICATION & VALIDATION (IV&V) SERVICES FOR A
CORRECTIONS COLLABORATION SYSTEM, DEPARTMENT OF PUBLIC SAFETY, STATE
OF HAWAII**

**STATE OF HAWAII, DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
OFFICE OF ENTERPRISE TECHNOLOGY SERVICES (ETS)**

Any exception to the requirements listed in Section II: Scope of Work of the RFP shall be listed below. OFFEROR shall reference the RFP section where the exception is taken, a description of the exception taken, the proposed alternative, and the reason for the proposed alternative. The State reserves the right to accept or reject any request for exceptions. **NO EXCEPTIONS MAY BE TAKEN FOR THE GENERAL OR SPECIAL CONDITIONS.**

ATTACHMENT 4 – CONFIDENTIAL INFORMATION

RFP-23-200, INDEPENDENT VERIFICATION & VALIDATION (IV&V) SERVICES FOR A
CORRECTIONS COLLABORATION SYSTEM, DEPARTMENT OF PUBLIC SAFETY, STATE
OF HAWAII

STATE OF HAWAII, DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
OFFICE OF ENTERPRISE TECHNOLOGY SERVICES (ETS)

List all information believed to be confidential and not to be disclosed to the public, and the reason for confidentiality.

ATTACHMENT 5 GUIDELINES FOR MONTHLY REPORTS

RFP-23-200, INDEPENDENT VERIFICATION & VALIDATION (IV&V) SERVICES FOR A
CORRECTIONS COLLABORATION SYSTEM, DEPARTMENT OF PUBLIC SAFETY,
STATE OF HAWAII

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES (ETS)

For examples of previously State-accepted formats of reports, refer to:
<https://ets.hawaii.gov/report/independent-verification-and-validation-reports/>

The following tables should be used as a guide for areas of coverage when performing the IV&V activities for this RFP, depending on the specific deliverables required by the CCS project contract, and agreed to by the Office of Enterprise Technology Services in the IV&V Project Management Plan deliverable:

Project Management

Task Item	Task #	Task Description
Project Sponsorship	PM-1	Assess and recommend improvement, as needed, to assure continuous executive stakeholder buy-in, participation, support and commitment, and that open pathways of communication exist among all stakeholders.
Project Sponsorship	PM-2	Verify that executive sponsorship has bought-in to all changes which impact project objectives, cost, or schedule.
Management Assessment	PM-3	Verify and assess project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
Management Assessment	PM-4	Evaluate project progress, resources, budget, schedules, workflow, and reporting.
Management Assessment	PM-5	Assess coordination, communication and management to verify agencies and departments are not working independently of one another and following the communication plan.
Project Management	PM-6	Verify that a Project Management Plan is created, has been accepted, and is being followed. Evaluate the project management plans and procedures to verify that they are developed, communicated, implemented, monitored and complete.
Project Management	PM-7	Evaluate project reporting plan and actual project reports to verify project status is accurately traced using project metrics.
Project Management	PM-8	Verify milestones and completion dates are planned, monitored, and met.
Project Management	PM-9	Verify the existence and institutionalization of an appropriate project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents a mitigation strategy as appropriate, and tracks the issue to closure. This should include but is not limited to technical and development efforts.
Project Management	PM-10	Evaluate the system's planned life-cycle development methodology or methodologies (waterfall, evolutionary spiral, rapid prototyping, incremental, etc.) to see if they are appropriate for the system being developed.
Business Process Reengineering	PM-11	Evaluate the project's ability and plans to redesign business systems to achieve improvements in critical measures of performance, such as cost, quality, service, and speed.
Business Process Reengineering	PM-12	Verify that the reengineering plan has the strategy, management backing, resources, skills and incentives necessary for effective change.
Business Process Reengineering	PM-13	Verify that resistance to change is anticipated and prepared for by using principles of change management at each step (such as excellent communication, participation, incentives) and having the appropriate leadership (executive pressure, vision, and actions) throughout the reengineering process.

Risk Management	PM-14	Verify that a Project Risk Management Plan is created and being followed. Evaluate the projects risk management plans and procedures to verify that risks are identified and quantified and that mitigation plans are developed, communicated, implemented, monitored, and complete.
Change Management	PM-15	Verify that a Change Management Plan is created and being followed. Evaluate the change management plans and procedures to verify they are developed, communicated,

Task Item	Task #	Task Description
		implemented, monitored, and complete; and that resistance to change is anticipated and prepared for.
Communication Management	PM-16	Verify that a Communication Plan is created and being followed. Evaluate the communication plans and strategies to verify they support communications and work product sharing between all project stakeholders; and assess if communication plans and strategies are effective, implemented, monitored and complete.
Configuration Management	PM-17	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.
Configuration Management	PM-18	Verify that all critical development documents, including but not limited to requirements, design, code and JCL are maintained under an appropriate level of control.
Configuration Management	PM-19	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.
Configuration Management	PM-20	Verify that appropriate source and object libraries are maintained for training, test, and production and that formal sign-off procedures are in place for evaluating acceptability of and approving deliverables.
Configuration Management	PM-21	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization and timely scheduling of maintenance actions.
Configuration Management	PM-22	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.
Configuration Management	PM-23	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in project management.
Project Estimating and Scheduling	PM-24	Evaluate and make recommendations on the estimating and scheduling process of the project to ensure that the project budget and resources are adequate for the work-breakdown structure and schedule.
Project Estimating and Scheduling	PM-25	Verify the schedules to assure that adequate time and resources are assigned for planning, development, review, testing and rework.
Project Estimating and Scheduling	PM-26	Examine historical data to determine if the project/department has been able to accurately estimate the time, labor and cost of software development efforts.
Project Personnel	PM-27	Examine the job assignments, skills, training and experience of the personnel involved in program development to verify that they are adequate for the development task.
Project Personnel	PM-28	Evaluate the staffing plan for the project to verify that adequate human resources will be available for development and maintenance.
Project Personnel	PM-29	Evaluate the State's personnel policies to verify that staff turnover will be minimized.
Project Organization	PM-30	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
Project Organization	PM-31	Verify that the project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, and any other functions critical for the project's success.
Subcontractors and External Staff	PM-32	Evaluate the use of sub-contractors or other external sources of project staff (such as IS staff from another State organization) in project development.

Task Item	Task #	Task Description
Subcontractors and External Staff	PM-33	Verify that the obligations of sub-contractors and external staff (terms, conditions, statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.) are clearly defined.
Subcontractors and External Staff	PM-34	Verify that the subcontractors' software development methodology and product standards are compatible with the system's standards and environment.
Subcontractors and External Staff	PM-35	Verify that each subcontractor has and maintains the required skills, personnel, plans, resources, procedures and standards to meet their commitment. This will include examining the feasibility of any offsite support of the project.
Subcontractors and External Staff	PM-36	Verify that any proprietary tools used by subcontractors do not restrict the future maintainability, portability, and reusability of the system.
State Oversight	PM-37	Verify that State oversight is provided in the form of periodic status reviews and technical interchanges.
State Oversight	PM-38	Verify that the State has defined the technical and managerial inputs the subcontractor needs (reviews, approvals, requirements and interface clarifications, etc.) and has the resources to supply them on schedule.
State Oversight	PM-39	Verify that State staff has the ultimate responsibility for monitoring project cost and schedule.

Quality Management

Task Item	Task #	Task Description
Quality Assurance	QA-1	Evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.
Quality Assurance	QA-2	Verify that QA has an appropriate level of independence from project management.
Quality Assurance	QA-3	Verify that the QA organization monitors the fidelity of all defined processes in all phases of the project.
Quality Assurance	QA-4	Verify that the quality of all products produced by the project is monitored by formal reviews and sign-offs.
Quality Assurance	QA-5	Verify that project self-evaluations are performed and that measures are continually taken to improve the process.
Quality Assurance	QA-6	Verify that QA has an appropriate level of independence; evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.
Quality Assurance	QA-7	Evaluate if appropriate mechanisms are in place for project self-evaluation and process improvement.
Process Definition and Product Standards	QA-8	Review and make recommendations on all defined processes and product standards associated with the system development.
Process	QA-9	Verify that all major development processes are defined and that the defined and approved

Task Item	Task #	Task Description
Definition and Product Standards		processes and standards are followed in development.
Process Definition and Product Standards	QA-10	Verify that the processes and standards are compatible with each other and with the system development methodology.
Process Definition and Product Standards	QA-11	Verify that all process definitions and standards are complete, clear, up-to-date, consistent in format, and easily available to project personnel.

Training

Task Item	Task #	Task Description
User Training and Documentation	TR-1	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.
User Training and Documentation	TR-2	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.
User Training and Documentation	TR-3	Verify that user-friendly training materials and help desk services are easily available to all users.
User Training and Documentation	TR-4	Verify that all necessary policy and process and documentation is easily available to users.
User Training and Documentation	TR-5	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.
Developer Training and Documentation	TR-6	Review and make recommendations on the training provided to system developers.
Developer Training and Documentation	TR-7	Verify that developer training is technically adequate, appropriate for the development phase, and available at appropriate times.
Developer Training and Documentation	TR-8	Verify that all necessary policy, process, and standards documentation is easily available to developers.
Developer Training and Documentation	TR-9	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.

Requirements Management

Task Item	Task #	Task Description
Requirements Management	RM-1	Evaluate and make recommendations on the project's process and procedures for managing requirements.
Requirements	RM-2	Verify that system requirements are well-defined, understood and documented.

Task Item	Task #	Task Description
Management		
Requirements Management	RM-3	Evaluate the allocation of system requirements to hardware and software requirements.
Requirements Management	RM-4	Verify that software requirements can be traced through design, configuration and test phases to verify that the system performs as intended and contains no unnecessary software elements.
Requirements Management	RM-5	Verify that requirements are under formal configuration control.
Security Requirements	RM-6	Evaluate and make recommendations on project policies and procedures for ensuring that the system is secure, and that the privacy of client data is maintained.
Security Requirements	RM-7	Evaluate the project's restrictions on system and data access.
Security Requirements	RM-8	Evaluate the project's security and risk analysis.
Security Requirements	RM-9	Verify that processes and equipment are in place to back up client and project data and files and archive them safely at appropriate intervals.
Requirements Analysis	RM-10	Verify that an analysis of client, State and federal needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal regulations.
Requirements Analysis	RM-11	Verify that all stakeholders have been consulted to the desired functionality of the system, and that users have been involved in prototyping of the user interface.
Requirements Analysis	RM-12	Verify that all stakeholders have bought-in to all changes which impact project objectives, cost, or schedule.
Requirements Analysis	RM-13	Verify that performance requirements (e.g. timing, response time and throughput) satisfy user needs.
Requirements Analysis	RM-14	Verify that user's maintenance requirements for the system are completely specified.
Interface Requirements	RM-15	Verify that all system interfaces are exactly described, by medium and by function, including input/output control codes, data format, polarity, range, units, and frequency.
Requirements Analysis	RM-16	Verify those approved interface documents are available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.
Requirements Allocation and Specification	RM-17	Verify that all system requirements have been allocated to either a software or hardware subsystem.
	RM-18	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.
Reverse Engineering	RM-19	If a legacy system or a transfer system is or will be used in development, verify that a well-defined plan and process for reengineering the system is in place and is followed. The process, depending on the goals of the reuse/transfer, may include reverse engineering, code translation, re-documentation, restructuring, normalization, and re-targeting.

Operating Environment

Task Item	Task #	Task Description
System Hardware	OE-1	Evaluate new and existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements.
System Hardware	OE-2	Determine if hardware is compatible with the State's existing processing environment, if

Task Item	Task #	Task Description
		it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
System Hardware	OE-3	Evaluate current and projected vendor support of the hardware, as well as the State's hardware configuration management plans and procedures.
System Software	OE-4	Evaluate new and existing system software to determine if its capabilities are adequate to meet existing and proposed system requirements.
System Software	OE-5	Determine if the software is compatible with the State's existing hardware and software environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, operating systems, middleware, and network software including communications and file-sharing protocols.
System Software	OE-6	Current and projected vendor support of the software will also be evaluated, as well as the State's software acquisition plans and procedures.
Database Software	OE-7	Evaluate new and existing database products to determine if their capabilities are adequate to meet existing and proposed system requirements.
Database Software	OE-8	Determine if the database's data format is easily convertible to other formats, if it supports the addition of new data items, if it is scalable, if it is easily refreshable and if it is compatible with the State's existing hardware and software, including any on-line transaction processing (OLTP) environment.
Database Software	OE-9	Evaluate any current and projected vendor support of the software, as well as the State's software acquisition plans and procedures.
System Capacity	OE-10	Evaluate the existing processing capacity of the system and verify that it is adequate for current statewide needs for both batch and on-line processing.
System Capacity	OE-11	Evaluate the historic availability and reliability of the system including the frequency and criticality of system failure.
System Capacity	OE-12	Evaluate the results of any volume testing or stress testing.
System Capacity	OE-13	Evaluate any existing measurement and capacity planning program and evaluate the system's capacity to support future growth.
System Capacity	OE-14	Make recommendations on changes in processing hardware, storage, network systems, operating systems, COTS software, and software design to meet future growth and improve system performance.

Development Environment

Task Item	Task #	Task Description
Development Hardware	DE-1	Evaluate new and existing development hardware configurations to determine if their performance is adequate to meet the needs of system development.
Development Hardware	DE-2	Determine if hardware is maintainable, easily upgradeable, and compatible with the State's existing development and processing environment. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
Development Hardware	DE-3	Current and projected vendor support of the hardware will also be evaluated, as well as the State's hardware configuration management plans and procedures.
Development Software	DE-4	Evaluate new and existing development software to determine if its capabilities are adequate to meet system development requirements.

Task Item	Task #	Task Description
Development Software	DE-5	Determine if the software is maintainable, easily upgradeable, and compatible with the State's existing hardware and software environment.
Development Software	DE-6	Evaluate the environment as a whole to see if it shows a degree of integration compatible with good development. This evaluation will include, but is not limited to, operating systems, network software, CASE tools, project management software, configuration management software, compilers, cross-compilers, linkers, loaders, debuggers, editors, and reporting software.
Development Software	DE-7	Language and compiler selection will be evaluated with regard to portability and reusability (ANSI standard language, non-standard extensions, etc.).
Development Software	DE-8	Current and projected vendor support of the software will also be evaluated.

Software Development

Task Item	Task #	Task Description
High-Level Design	SD-1	Evaluate and make recommendations on existing high-level design products to verify the design is workable, efficient, and satisfies all system and system interface requirements.
High-Level Design	SD-2	Evaluate the design products for adherence to the project design methodology and standards.
High-Level Design	SD-3	Evaluate the design and analysis process used to develop the design and make recommendations for improvements. Design standards, methodology and CASE tools used will be evaluated and recommendations for improvements made.
High-Level Design	SD-4	Verify that design requirements can be traced back to system requirements.
High-Level Design	SD-5	Verify that all design products are under configuration control and formally approved before detailed design begins.
Detailed Design	SD-6	Evaluate and make recommendations on existing detailed design products to verify that the design is workable, efficient, and satisfies all high-level design requirements.
Detailed Design	SD-7	The design products will also be evaluated for adherence to the project design methodology and standards.
Detailed Design	SD-8	The design and analysis process used to develop the design will be evaluated and recommendations for improvements made.
Detailed Design	SD-9	Design standards, methodology and CASE tools used will be evaluated and recommendations made.
Detailed Design	SD-10	Verify that design requirements can be traced back to system requirements and high-level design.
Detailed Design	SD-11	Verify that all design products are under configuration control and formally approved before coding begins.
Job Control	SD-12	Perform an evaluation and make recommendations on existing job control and on the process for designing job control.
Job Control	SD-13	Evaluate the system's division between batch and on-line processing with regard to system performance and data integrity.
Job Control	SD-14	Evaluate batch jobs for appropriate scheduling, timing and internal and external dependencies.
Job Control	SD-15	Evaluate the appropriate use of OS scheduling software.
Job Control	SD-16	Verify that job control language scripts are under an appropriate level of configuration control.
Code	SD-17	Evaluate and make recommendations on the standards and processes currently in place for code development.

Task Item	Task #	Task Description
Code	SD-18	Evaluate the existing code base for portability and maintainability, taking software metrics including but not limited to modularity, complexity and source and object size.
Code	SD-19	Code documentation will be evaluated for quality, completeness (including maintenance history) and accessibility.
Code	SD-20	Evaluate the coding standards and guidelines and the project's compliance with these standards and guidelines. This evaluation will include, but is not limited to, structure, documentation, modularity, naming conventions and format.
Code	SD-21	Verify that developed code is kept under appropriate configuration control and is easily accessible by developers.
Code	SD-22	Evaluate the project's use of software metrics in management and quality assurance.
Unit Test	SD-23	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.
Unit Test	SD-24	Evaluate the level of test automation, interactive testing and interactive debugging available in the test environment.
Unit Test	SD-25	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented.

System and Acceptance Testing

Task Item	Task #	Task Description
System Integration Test	ST-1	Evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system modules.
System Integration Test	ST-2	Evaluate the level of automation and the availability of the system test environment.
System Integration Test	ST-3	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented, including formal logging of errors found in testing.
System Integration Test	ST-4	Verify that the test organization has an appropriate level of independence from the development organization.
Pilot Test	ST-5	Evaluate the plans, requirements, environment, tools, and procedures for pilot testing the system.
Pilot Test	ST-6	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, real-time environment.
Pilot Test	ST-7	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.
Pilot Test	ST-8	Verify that test results are verified, that the correct code configuration has been used, and that the tests runs are appropriately documented, including formal logging of errors found in testing.
Pilot Test	ST-9	Verify that the test organization has an appropriate level of independence from the development organization.
Interface Testing	ST-10	Evaluate interface testing plans and procedures for compliance with industry standards.
Acceptance and Turnover	ST-11	Acceptance procedures and acceptance criteria for each product must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.
Acceptance and	ST-12	Verify that appropriate acceptance testing based on the defined acceptance criteria is

Task Item	Task #	Task Description
Turnover		performed satisfactorily before acceptance of software products.
Acceptance and Turnover	ST-13	Verify that the acceptance test organization has an appropriate level of independence from the subcontractor.
Acceptance and Turnover	ST-14	Verify that training in using the contractor-supplied software will be on-going throughout the development process, especially If the software is to be turned over to State staff for operation.
Acceptance and Turnover	ST-15	Review and evaluate implementation plan.

Data Management

Task Item	Task #	Task Description
Data Conversion	DM-1	Evaluate the State's existing and proposed plans, procedures and software for data conversion.
Data Conversion	DM-2	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.
Data Conversion	DM-3	Determine conversion error rates and if the error rates are manageable.
Data Conversion	DM-4	Make recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.
Database Design	DM-5	Evaluate new and existing database designs to determine if they meet existing and proposed system requirements.
Database Design	DM-6	Recommend improvements to existing designs to improve data integrity and system performance.
Database Design	DM-7	Evaluate the design for maintainability, scalability, upgradable, concurrence, normalization (where appropriate) and any other factors affecting performance and data integrity.
Database Design	DM-8	Evaluate the project's process for administering the database, including backup, recovery, performance analysis and control of data item creation.

Operations Oversight

Task Item	Task #	Task Description
Operational Change Tracking	OO-1	Evaluate system's change requests and defect tracking processes.
	OO-2	Evaluate implementation of the process activities and request volumes to determine if processes are effective and are being followed.
Customer & User Operational Satisfaction	OO-3	Evaluate user satisfaction with system to determine areas for improvement.
Operational Goals	OO-4	Evaluate impact of system on program goals and performance standards.
Operational Documentation	OO-5	Evaluate operational plans and processes.
Operational Processes and Activity	OO-6	Evaluate implementation of the process activities including backup, disaster recovery and day-to-day operations to verify the processes are being followed.

Content on Dashboard

Each IV&V report should include a main visual dashboard with the IV&V vendor's best understanding regarding the current state of findings, cost/spending, schedule, and the solution scope completion. This dashboard should be a single page summarizing the state of the project with visual charts. Specifically, the following information should be available on the main dashboard, based on information available to the IV&V vendor from State of Hawaii and the solution vendor(s). In case any of this information was not available for the IV&V vendor, the report should state the reason for omitting that data.

IV&V Main Dashboard Requirements

- IV&V Findings Summary
 - Findings (observations, risks, issues) summary by severity
- Cost
 - The amount of the original vendor award(s) in scope for the project
 - Total dollar amount, if any, in addition to the original award
 - The funds paid out so far (include the date when cost information was received)
- Schedule
 - The original baseline project schedule by phase
 - The current projected schedule
 - How many times, if more than once, has the schedule been re-baselined? For example, a statement like “Go-live date has been rescheduled x times”
- Solution Scope Completion
 - Estimated percentage of currently agreed-upon scope implemented so far (re: RTM)
 - A list of dates and brief explanations of any solution scope reduction/expansion
 - Estimated percentage of testing completed for the currently implemented scope

Each IV&V report should also include a page explaining the current state of organizational management activities related to the project. This section of the report should contain the following information.

Organizational Change Management Page

- Leadership Involvement
 - The organizational roles of State of Hawaii project sponsor(s)
- Record of any change/turnover in project sponsorship
- List of stakeholder solution user groups with OCM activities completed so far for each group
- Vendor Team
 - Vendor team roles contractually committed to the project
 - Are all the baseline vendor roles currently active?
 - Record of turnover if any for each vendor role
- State Team
 - Original baseline State of Hawaii project roles assigned/needed
 - Are all the baseline state roles currently active?

- Record of turnover if any for each state role