

**STATE OF HAWAI'I  
DEPARTMENT OF COMMERCE AND CONSUMER  
AFFAIRS**

**REQUEST FOR PROPOSALS**

**Provide Acquisition Planning and Independent  
Validation and Verification of the  
Captive Insurance Modernization Project**

October 14, 2019

**DIRECT ALL QUESTIONS REGARDING THIS SOLICITATION, QUESTIONS, OR ISSUES  
RELATING TO THE ACCESSIBILITY OF THIS AND OR ANY OTHER RELATED DOCUMENTS  
AND REQUESTS FOR ACCOMMODATIONS FOR PERSONS WITH DISABILITIES IN  
CONNECTION WITH THIS TO:**

Dean I Hazama: Phone: (808) 586-2844 or E-mail: [dhazama@dcca.hawaii.gov](mailto:dhazama@dcca.hawaii.gov)

## Administrative Information

Title:	Provide Acquisition Planning and Independent Validation and Verification of the Captive Insurance Modernization Project
Project Description (see Section 1.2 Introduction)	The State of Hawaii is requesting proposals for Acquisition Planning and Independent Verification and Validation of services and technology acquired to assist the DCCA in its efforts to ensure project success.
Point of Contact (see Section 1.4.5 Contracting Office and Designated State Personnel)	<b>Dean I Hazama</b> Business Management Officer 335 Merchant Street, Ste. 302, Honolulu, HI 96813 (808) 586-2844 <a href="mailto:dhazama@dcca.hawaii.gov">dhazama@dcca.hawaii.gov</a>
Submit proposals electronically via Hawaii Electronic Procurement System (HiePRO): (See Section 3.3 Electronic Submission of Proposals)	Electronic Submission <a href="http://hiepro.ehawaii.gov">http://hiepro.ehawaii.gov</a>
Closing Date & Time:	<b>November 14, 2019; 2:00 PM- HST</b>
Cost: (See Section 3.3 Proposal Format, Cost)	State is seeking a contractor to accomplish the requirements of this at a Fixed Price not to exceed \$200,000. Proposal cost should include all fees, taxes, and subscriptions.
Term of Contract and Renewals: (See Section 3.4 Proposal Format, Cost)	The term of the Contract will be twenty-four (24) months. Upon agreement, the contract may be extended or amended within the scope of this solicitation. The estimated timeframe of Acquisition Planning/Request for Proposal development is no more than six (6) months. The Independent Verification and Validation period for the Captive Insurance system development project is estimated for no more than twelve (12) months after contract award.
NOTE THE MANDATORY .75% TRANSACTION FEE TO HAWAII INFORMATION CONSORTIUM, LLC (HIC) BASED ON QUARTERLY SALES FOR AWARDS MADE IN HIEPRO TO HAWAII AGENCIES ONLY AND LIMITED TO THE FIRST YEAR. (DETAILED IN SECTION 1.8 ELECTRONIC PROCUREMENT AND SECTION 1.22 PAYMENT OF HiePRO Fee.	

# SECTION 1

## 1 INTRODUCTION AND KEY DATES

### 1.1 NOTICE TO OFFERORS

Offerors are encouraged to read each section of the solicitation thoroughly. While sections such as this Introduction and Key Dates may appear similar, they may not be identical. It is the responsibility of the Offeror to understand the requirements.

Offerors shall note that this solicitation will result in a contract with the Department of Commerce and Consumer Affairs (DCCA).

### 1.2 INTRODUCTION

The State of Hawaii (State) is requesting proposals for Acquisition Planning and Independent Verification and Validation (IV&V) of services and technology to assist the DCCA in its efforts to ensure development of efficient specifications, scope, and contracting documents, as well as quality assurance and control efforts for the State of Hawaii, DCCA Captive Insurance modernization project.

The objectives of the Acquisition Planning initiative are to ensure that:

- a. The project specifications and Scope of Work (SOW) that will be used for procurement descriptions and documents to efficiently procure required IT development services and products for this system modernization are accurately, clearly, and concisely defined.
- b. Identify cost effective options and alternatives.
- c. Provide SOW, Request for Proposal (RFP) and other required documents.

The objectives of the IV&V initiative are to ensure that:

- a. Management is provided objective analysis to deal with Captive Insurance modernization project implementation issues and to make informed decisions.
- b. An independent assessment of the software products and solutions associated with the Captive Insurance project is conducted throughout the implementation process.
- c. Process, solution, and other applicable project risks are identified early and addressed quickly.
- d. An assessment is conducted to ensure the project requirements and specifications are correct, complete, accurate, consistent, and testable.
- e. The needs of project stakeholders are being addressed and their expectations are adequately managed.
- f. Cost, schedule, and other applicable variances are detected early and corrected quickly.
- g. The project is implemented with minimal disruption to operations.

- h. The Captive Insurance staff are sufficiently prepared to utilize and maintain implemented solutions as a function of their daily activities and that steps to manage change have been included in implementation plans.

**1.3 AUTHORITY**

This solicitation is issued under the provisions of the Hawaii Revised Statutes (HRS) Chapter 103D and its administrative rules. All prospective Offerors are notified that contract acceptance signifies acceptance and concurrence of all requirements of the cited authorities. The DCCA reserves the right to reject any or all proposals received, or to cancel this solicitation, if it is in the best interest of the State.

**1.4 ORGANIZATION**

This solicitation is organized into four sections with an appendix.

**1.4.1** Section 1, Introduction and Key Dates: Provides prospective Offerors with an overview of the procurement process.

**1.4.2** Section 2, Background Information, General Specifications, and Technical Requirements: Provides Offerors with a general description of the tasks to be performed, delineates Offeror responsibilities, defines deliverables (as applicable), and technical requirements.

**1.4.3** Section 3, Proposal Preparation Instructions: Describes the required format and content for the proposal.

**1.4.4** Section 4, Proposal Evaluation: Describes how proposals will be evaluated.

**1.4.5 CONTRACTING OFFICE AND DESIGNATED STATE PERSONNEL**

The Contracting Officer or Point of Contact (POC) designee is responsible for overseeing the contract resulting from this solicitation, including system operations, fiscal agent operations, and monitoring and assessing performance. The Contracting Officer or designee 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 following State personnel are designated to perform the following roles in this procurement:

Contracting Officer:	
Name:	Catherine Awakuni-Colón
Title:	Director
Business Address:	State of Hawai'i, Department of Commerce and Consumer Affairs 335 Merchant Street, Room 310, Honolulu, HI 96813

Designee/Contract Administrator/Project Manager:	
Name:	Dean I Hazama
Title:	Business Management Officer
Phone:	(808) 586-2844
Business Address:	335 Merchant Street, Room 302, Honolulu, HI 96813
Email:	<a href="mailto:dhazama@dcca.hawaii.gov">dhazama@dcca.hawaii.gov</a>

## 1.5 ELECTRONIC PROCUREMENT

- 1.5.1** The State has established the Hawaii State eProcurement (HlePRO) 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 HlePRO. Registration information is available at the State Procurement Office (SPO) website: <http://spo.hawaii.gov/HlePRO/>, then select HlePRO Vendor Registration Guide.
- 1.5.2** The State will use HlePRO to issue the solicitation, receive Offers, and issue Addenda. Addenda and the other information and materials shall be provided by the State through HlePRO, including additions or changes with respect to the dates. The State is not responsible for any delay or failure of any Offeror to receive any materials updated through the RFP process on a timely basis.
- 1.5.3** As part of this procurement process, Offerors are informed that awards made for this solicitation, if any, shall be done through the HlePRO and shall therefore be subject to a mandatory .75% transaction fee, not to exceed \$5,000 for the base period. The mandatory fee is applicable for awards made by Hawaii government agencies only, calculated on a quarterly basis for the first year only. This transaction fee shall be based on the total sales made against this contract, payable to Hawaii Information Consortium, LLC (HIC), the vendor administering HlePRO. Refer to the Section 1.19 Payment to Hawaii Information Consortium, LLC.
- 1.5.4** HlePRO Special Instructions. Offeror shall review all special instructions located in HlePRO. Offerors are responsible for ensuring that all necessary files are attached to their offer prior to the proposal deadline. Offerors are advised that they should not wait until the last minute to submit their proposal on HlePRO. Offerors should allow ample time to review their submitted proposal, including attachments, prior to the proposal deadline.

## 1.6 SUBMISSION OF QUESTIONS

If a Prospective Offeror believes that any provision of the solicitation is unclear, or would prevent them from providing a meaningful Offer, they shall submit questions to the State POC requesting clarification before the deadline for submission of questions. Each question shall identify the page, section number, paragraph, and line or sentence of such provision(s) to which the question applies. The State may issue Addenda in response to written questions received

regarding the solicitation. Offerors are cautioned about including context in questions that may reveal the source of questions. Questions may be submitted via email or posted on HlePRO. Only responses to questions submitted on HlePRO will be posted on HlePRO.

## **1.7 SUBMISSION OF PROPOSALS**

Submission of a proposal shall constitute an incontrovertible representation by the Offeror of compliance with every requirement of this solicitation and that documents are sufficient in scope and detail to indicate and convey reasonable understanding of all terms and conditions.

Before submission of a proposal each Offeror should:

- 1) Examine the documents thoroughly (documents include this solicitation, any addenda, attachments, and other relevant documentation), and
- 2) Become familiar with state, local and federal laws, ordinances, rules and regulations that may in any manner affect cost, progress, or performance of the work required.

**1.7.1 Specific Requirements.** Specific requirements and specifications are included in Section 2, Background Information, General Specifications, and Technical Requirements. These requirements detail the scope of work, technical specifications and special considerations, if any, for this solicitation.

**1.7.2 Multiple or Alternative Proposals.** An Offeror may submit only one proposal in response to this solicitation . If an Offeror submits more than one proposal in response, then all such proposals shall be rejected. Similarly, an Offeror may submit only one proposal for each line item (if any). If an Offeror submits more than one proposal per line item, then all proposals by that Offeror for that line item will be rejected (if any). Multiple or alternate proposals shall not be accepted.

### **1.7.3 Hawaii Compliance Express (HCE)**

- a) Vendors will use the HCE, which is an electronic system that allows vendors/contractors/service providers 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 Hawaii State Department of Taxation (DOTAX), Federal Internal Revenue Service (IRS), Hawaii State Department of Labor and Industrial Relations (DLIR), and DCCA.
- b) Prior to awarding this contract, the State shall verify compliance of the Contractor.
- c) Vendors not utilizing the HCE to demonstrate compliance shall provide the paper certificates to the State as instructed below. All certificates must be valid on the date they are received by DCCA. Timely

applications for all applicable clearances are the responsibility of the Offeror.

**1.7.4 HRS Chapter 237 tax clearance requirement for award.**

Pursuant to Section 103D-328, HRS, the Contractor is required to submit a tax clearance certificate issued by the DOTAX and the 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/>

**1.7.5 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 awarded responsive Offeror is required to submit a certificate of compliance issued by the DLIR. The certificate is valid for six (6) months from the date of issue and must be valid on the date it is received by the Hawaii Office of Enterprise Technology Services (ETS). A photocopy of the certificate is acceptable.

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

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

The Contractor shall be required to submit a Certificate of Good Standing (COGS) issued by the DCCA - Business Registration Division (BREG). The Certificate is valid for six (6) months from date of issue and must be valid on the date it is received by ETS. A photocopy of the certificate is acceptable to the ETS. To obtain the certificate, the Contractor must be registered with the BREG. A sole proprietorship is not required to register with the BREG and is therefore not required to submit the certificate. More information regarding online business registration and the COGS is available at

<http://cca.hawaii.gov/breg/>

**1.7.7 Timely Submission of all Certificates.**

If any valid certificate is not submitted by the time of award, an Offeror whose bid is otherwise responsive and responsible will not receive the award.

**1.7.8 Campaign Contributions by State and County Contractors.**

Offerors are hereby notified of the applicability of HRS section 11-355, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are 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's Executive Director or its General Counsel at (808) 586-0285.

**1.7.9 Confidential Information.**

If an Offeror believes any portion of a proposal contains information that should be withheld as confidential, the Offeror shall request in writing designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

**Offerors shall note that price is not considered confidential and will not be withheld.**

**1.7.10 Disposition of Proposals.**

All proposals and other materials submitted by Offerors become property of the State.

**1.7.11 Withdrawal or modification of proposals.**

A proposal may be withdrawn or modified at any time prior to, but not after, the proposal submittal deadline. Withdrawal or modification shall comply with the requirements of HAR section 3-122-16.07. A withdrawal or modification must be submitted before the proposal submittal deadline, but shall not prejudice the right of an Offeror to submit a new proposal or a modification before or on the proposal submittal deadline.

**1.8 DISCUSSIONS WITH OFFERORS**

**1.8.1 Prior to Submission Deadline.**

Offerors are encouraged to submit written questions if they desire no later than the date specified in the HlePRO solicitation. Questions over the telephone will not be accepted or answered.

**1.8.2 After Proposal Submission Deadline.**

Discussions may be conducted with Offerors whose proposals are determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions in accordance with HAR section 3-122-53. The contents of any proposal will not be disclosed during the review, discussion, or evaluation process.

**1.9 ADDITIONAL MATERIALS AND DOCUMENTATION**

Each Offeror shall submit any additional materials and documentation reasonably required by DCCA during its evaluation of the proposals upon request.



## **1.10 AMENDMENTS**

Changes to this solicitation including but not limited to contractual terms and procurement requirements shall only be changed via formal written addenda issued by the State. The State accepts no responsibility for a prospective Offeror not receiving solicitation documents or revisions to the solicitation. It is the responsibility of the prospective Offeror to monitor HlePRO to obtain addenda or other information relating to the solicitation.

## **1.11 CANCELLATION OF SOLICITATION**

The solicitation may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interest of the State.

## **1.12 COSTS FOR PROPOSAL PREPARATION**

Any costs incurred by Offerors in preparing or submitting a proposal are the Offeror's responsibility. The State will not be liable for any costs, expenses, loss of profits or damages whatsoever that are incurred by any Offeror in the event this solicitation is canceled, or a proposal is rejected in whole or in part.

## **1.13 REJECTION OF PROPOSALS**

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP which demonstrate an understanding of the problems involved and comply with the specifications. Any proposal offering any other set of terms and conditions or terms or conditions contradictory to those included in this solicitation may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons:

- 1) failure to cooperate or deal in good faith;
- 2) late proposal;
- 3) inadequate response to request for proposals;
- 4) proposal not responsive; or
- 5) Offeror not responsible.

## **1.14 NOTICE OF AWARD AND EXECUTION OF CONTRACT**

A Notice of Award or Notice of Non-Selection shall be provided to Offerors through HlePRO upon completion of the evaluation of all proposals.

An award, if any, will be made after opening of proposals or best and final offers, as the case may be. Prices quoted by Offerors shall remain firm for the period.

The successful proposal shall become part of the contract along with any issued addenda. No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official commencement date.

The successful Offeror receiving the award shall be required to enter into a formal written contract. No performance or payment bond is required. A Notice to Proceed (NTP) will be issued upon execution of the contract. The official commencement date of the resulting contract shall be the date indicated in the NTP. By mutual consent, a signed project management plan will be used as an NTP.

Any agreement arising out of this solicitation may be subject to approval of the Department of the Attorney General as to form, and it is subject to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order, or other directive.

#### **1.15 PROTESTS**

Any Offeror may file a protest against the award of the contract. The Notice of Protest form is available on the SPO website. Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103D, HRS;
- (2) A state purchasing agency's failure to follow any rule established pursuant to Chapter 103D, HRS; and
- (3) A State purchasing agency's failure to follow any procedure, requirements, or evaluation criterion in a request for proposals issued by the State purchasing agency.

#### **1.16 AVAILABILITY OF FUNDS**

The award of a contract and any allowed renewal or extension thereof is subject to the availability of State and Federal funds.

#### **1.17 GENERAL AND SPECIAL CONDITIONS OF CONTRACT; LIQUIDATED DAMAGES**

The general conditions that will be imposed contractually can be found in Appendix E, Standard Contract General Conditions. Special conditions are due to the nature of the project, contractor is required to maintain permanent onsite presence on Oahu to attend in person, meetings, workshops, demos, etc. as part of the core project team on as required basis. Other special conditions may also be imposed contractually by the State purchasing agency as deemed necessary.

Liquidated damages are fixed at the specified sum indicated below, per calendar day for any failure of the contractor to perform in whole or in part any of its obligations:

Liquidated damages per calendar day:	\$100
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**1.18 COST PRINCIPLES**

In order to promote uniform purchasing practices among State purchasing agencies, State purchasing agencies will utilize standard cost principles. Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

**1.19 PAYMENT OF HIEPRO FEE**

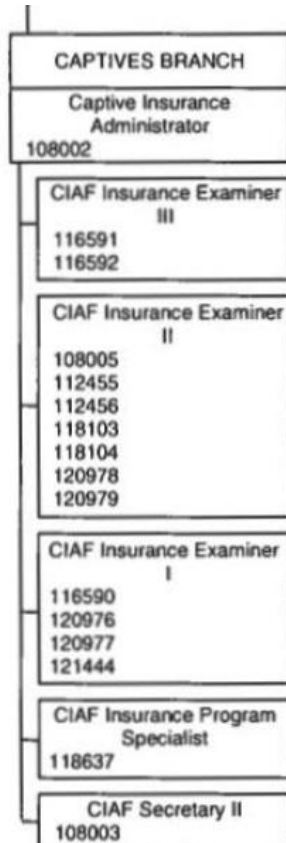
HlePRO is administered by HIC. HIC shall invoice the Contractor(s) directly for payment of transaction fees. Payment must be made to HIC within thirty (30) days from receipt of invoice. HIC is an intended third-party beneficiary of transaction fees, which are used to fund the operation, maintenance, and future enhancements of the HlePRO system.

## SECTION 2

### 2 BACKGROUND INFORMATION, GENERAL SPECIFICATIONS, AND TECHNICAL REQUIREMENTS

#### 2.1 INTRODUCTION

The State of Hawaii DCCA, Division of Insurance (INS) is interested in securing the professional services of a vendor to provide acquisition planning in defining system requirements and project scope; development of a statement of work and RFP document in the required format to be provided by DCCA. The solution will modernize all workflows in the Captive Insurance branch and improve efficiencies and accommodate expansion of capabilities in the future. The current processes are manual with the use of two (2) Microsoft EXCEL spreadsheets and one (1) ACCESS databases. Supporting documents are stored in a drive on a physical server and integration and migration of these documents into a cloud-based document management system is a requirement. There is a requirement for public portals for application renewals, fee collection, and data inquiry. The system integrator will be responsible for mapping of current workflows, identification of process improvements, development of organizational change, and project management plans and system maintenance after implementation. Below is the organizational chart of the Captive Insurance Branch.



The vendor will also be required to provide independent validation and verification services during the development of the system ensuring that any barriers, challenges and issues encountered by the project team are brought to management's attention immediately for resolution so that the project will meet milestone dates and complete successfully. The approach to IV&V services that is being utilized for this procurement to ensure that the software being deployed is configured to meet DCCA/INS needs differs somewhat from the international standard for software V&V, namely that found in the Institute of Electrical and Electronic Engineers (IEEE) Standard for Software Verification and Validation (IEEE Std 1012-2004). The requirements for this IV&V include a subset of the full V&V standard defined by the IEEE Std 1012-2004. These IV&V processes further include assessing software in the context of the system, including the operational environment, hardware, interfacing software, operators, and users.

## **2.2 CONFLICT OF INTEREST EXCLUSION**

Any contractor (and its subcontractors) serving in the role of Acquisition Planning and IV&V Service Contractor/Provider to the DCCA is prohibited from providing, soliciting, proposing, or being awarded any project management, quality assurance, software design, development, or other manner of planning, design, development, or implementation phase activity on the subject project for which these IV&V services are being procured. The primary purpose of this exclusion is to ensure the contractor does not find itself involved with any real or perceived conflicts of interest. Such conflicts of interest could be alleged were the contractor found to be reviewing work products, deliverables, or processes for which it currently is or was responsible to plan, design, develop, implement, or operate. Therefore, these exclusions seek to ensure the credibility of the Acquisition Planning and IV&V contractor.

Proposals must include an attestation that Contractor/subcontractors does not have any other (current or past) contractual or business involvement in the INS Captive Modernization Project, its vendors or subcontractors, other than the services sought.

## **2.3 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 offer using Contractor's exact legal name as registered with the IRS.
- Company profile, location, and organizational structure (including identification of officers and key management).

- Company financial statements. Specifically, most recent balance sheet, income statement, cash flow statement, shareholders' equity statement. In addition to a description and explanation of the company's position, the following ratios must also be submitted:
  - Solvency:  $(\text{Net Income} + \text{Depreciation}) \div (\text{Short-Term Liabilities} + \text{Long-Term Liabilities})$
  - Current:  $\text{Current Assets} \div \text{Current Liabilities}$
  - Total Debt/Equity:  $\text{Total Debt} \div \text{Total Equity}$
  - Total Debt/Total Assets:  $\text{Total Debt} \div \text{Total Assets}$
  
- Disclosure of all current or past involvement in litigation or legal dispute of performance on any contract, including resolution/findings.

## 2.4 STAFF QUALIFICATIONS

State requests the Prime Contractor awarded this contract to fulfill the requirements by providing the staff resources to work on the project, per the requirements below. The Prime Contractor proposed staff shall:

- Have a minimum of ten (10) years of experience performing IV&V work, provided that five (5) years of the experience was in the State of Hawaii.
- Have experience managing state information technology (IT) enterprise modernization projects or state IT projects.
- 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 IT 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, which has included substantial responsibility for a combination of management functions such as project planning, 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, mathematics, engineering, business, or similar technical field
  - Strong written, oral, and presentation skills to convey technical detail and design to diverse audiences and
  - Ten (10) years of 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 services contract. The State will also be notified, in writing, of any requests for changes to the personnel assigned to contract tasks. Likewise, after contract award, the contractor shall secure written approval from the State prior to making any changes to key personnel. In all instances, qualifications for suggested staff changes should be comparable with those being replaced.

## **2.5 SCOPE OF SERVICES**

The vendor acquisition planning staff will meet with program administrators and staff in workshops and meetings to fully understand the current workflows, requirements, scope, and desired functionality and capabilities of the modernized system. A SOW containing agreed upon objectives, requirements, and potential service level agreements, licenses, subscriptions and other fee or costs will be provided, and an RFP will be provided. The format for this requirements document will be agreed upon with DCCA and examples/template provided. Both SOW and RFP timelines will be negotiated after award of the contract.

The Contractor will use pre-defined checklists and similar tools founded on industry standards to include Capability Maturity Model Integration (CMMI), Project Management Body of Knowledge (PMBOK), and IEEE. The contractor staff will be a part of the project team and interview and observe the DCCA Program staff, the integrator/developer contractor staff (including any sub-contractors), observe project meetings and activities to understand the processes, procedures, and tools used in the project environments, and review and analyze for adherence to accepted, contractually-defined industry standards, all applicable and available documentation. As a result of these interactions and reviews of the applicable documentation, the contractor will produce a structured, exception-based assessment report that objectively illustrates the strengths and weaknesses of the overall project and any critical milestones. The contractor will also provide recommendations for correcting the weaknesses that the assessment reports identify.

## **2.6 ACQUISITION PLANNING**

The contractor is required to:

- (1) Develop specifications for a SOW that provides clear and concise obligations of all parties with respect to the needed services, i.e., development of the Captive Insurance system. Project scope and/specifications should provide a relatively easy process to verify acceptance or rejection. Specifications should be exact and should not be restrictive but be broad enough to allow adequate competition. If, however, there is justification for a restrictive specification, the report or recommendation shall provide a clear explanation for the need of the restrictive specification. The specification for a SOW should provide some built-in flexibility that is applicable to the industry.

- (2) Conduct requirement and value analysis applicable to the writing of specifications for a SOW to eliminate products and services that are not cost effective. The contractor shall identify and make recommendations to specification for a SOW to ensure that the State will obtain the best products or services or meet the goals that are available in the market at prices that are determined fair and reasonable. Requirement analysis services shall include review, analysis and recommendation, and clearly identify how the specification for a SOW may be amended or changed to reflect the following, as applicable: (1) eliminate a requirement that is not cost effective; (2) improve the quality level without impacting the cost(s); (3) describe requirement(s) of quality standards to increase the service life; (4) achieve total value, i.e. not only initial expense as the award factor.
- (3) Develop and prepare a pre-award RFP, SOW, Statements of Objective (SOO) and other requirements documents. This effort includes assisting in researching and drafting specifications and standards, including Performance-based Work Statements (PWS); developing performance measures, providing consultation and recommendations; and coordinating requirements documents.

Acquisition planning deliverables i.e., RFP, SOW, SOO and other required documents are anticipated to take no more than 6 months to complete. Specific project milestones will be negotiated after award of contract.

## **2.7 IV&V INDUSTRY STANDARDS**

In connection with the provision of all services and deliverables relating to performing the IV&V work, Contractor shall conform to, apply and abide by best practices in the IT industry, including, but not limited to, standards and methodologies issued by:

- The Project Management Institute, specifically PMBOK;
- IEEE standards;
- ITIL;
- International Organization for Standardization (ISO) 9000;
- National Institute of Standards and Technology (NIST); and
- Center for Internet Security (CIS).

## **2.8 IV&V SUBJECT AREAS CHECKLIST**

The following checklist contains subject areas, described as Task Items, in the table that can be addressed as part of the IV&V activities. Proposals should identify by cost which of these tasks will be covered and which are not required as part of the IV&V Project Management Plan. Should the proposal not identify any omitted tasks, the contractor will be required to perform all tasks as part of the contract. After award, any task may be removed by mutual consent of both parties if deemed not required as part of the IV&V project.



## 2.8.1 Project Management

Task Item	Task #	Task Description
Project Sponsorship	PM-1	Assess and recommend improvement, as needed, to assure continuous executive and business area 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, work flow, 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, 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.

<b>Task Item</b>	<b>Task #</b>	<b>Task Description</b>
<b>Configuration Management</b>	<b>PM-17</b>	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.
<b>Configuration Management</b>	<b>PM-18</b>	Verify that all critical development documents, including but not limited to requirements, design, code and Job Control Language (JCL) are maintained under an appropriate level of control.
<b>Configuration Management</b>	<b>PM-19</b>	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.
<b>Configuration Management</b>	<b>PM-20</b>	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.
<b>Configuration Management</b>	<b>PM-21</b>	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.
<b>Configuration Management</b>	<b>PM-22</b>	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.
<b>Configuration Management</b>	<b>PM-23</b>	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in project management.
<b>Project Estimating and Scheduling</b>	<b>PM-24</b>	Evaluate and make recommendations on the scheduling process of the project to ensure that the project budget and resources are adequate for the work-breakdown structure and schedule.
<b>Project Estimating and Scheduling</b>	<b>PM-25</b>	Verify the schedules to assure that adequate time and resources are assigned for planning, development, review, testing and rework.
<b>Project Estimating and Scheduling</b>	<b>PM-26</b>	Examine historical data to determine if the project/department has been able to accurately estimate the time, labor and cost of software development efforts.
<b>Project Personnel</b>	<b>PM-27</b>	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.
<b>Project Personnel</b>	<b>PM-28</b>	Evaluate the staffing plan for the project to verify that adequate human resources will be available for development and maintenance.
<b>Project Personnel</b>	<b>PM-29</b>	Evaluate the State's personnel policies to verify that staff turnover will be minimized.
<b>Project Organization</b>	<b>PM-30</b>	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
<b>Project Organization</b>	<b>PM-31</b>	Verify that the project's organizational structure supports training, process definition, independent Quality Assurance (QA), CM product evaluation, and any other functions critical for the project's success.
<b>Subcontractors and External Staff</b>	<b>PM-32</b>	Evaluate the use of sub-contractors or other external sources of project staff (such as IS staff from another State organization) in project development.
<b>Subcontractors and External Staff</b>	<b>PM-33</b>	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.
<b>Subcontractors and External Staff</b>	<b>PM-34</b>	Verify that the subcontractors' software development methodology and product standards are compatible with the system's standards and environment.
<b>Subcontractors and External Staff</b>	<b>PM-35</b>	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
<b>Subcontractors and External Staff</b>	<b>PM-36</b>	Verify that any proprietary tools used by subcontractors do not restrict the future maintainability, portability, and reusability of the system.

Task Item	Task #	Task Description
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.

## 2.8.2 Quality Management

Task Item	Task #	Task Description
Quality Assurance	QA-1	Evaluate and make recommendations on the project's QA 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 QA 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 Definition and Product Standards	QA-9	Verify that all major development processes are defined and that the defined and approved 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.

## 2.8.3 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.

Task Item	Task #	Task Description
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.

## 2.8.4 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 Management	RM-2	Verify that system requirements are well-defined, understood and documented.
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.

<b>Task Item</b>	<b>Task #</b>	<b>Task Description</b>
<b>Interface Requirements</b>	<b>RM-15</b>	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.
<b>Requirements Analysis</b>	<b>RM-16</b>	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.
<b>Requirements Allocation and Specification</b>	<b>RM-17</b>	Verify that all system requirements have been allocated to either a software or hardware subsystem.
	<b>RM-18</b>	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.
<b>Reverse Engineering</b>	<b>RM-19</b>	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.

### 2.8.5 Operating Environment

<b>Task Item</b>	<b>Task #</b>	<b>Task Description</b>
<b>System Hardware</b>	<b>OE-1</b>	Evaluate new and existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements.
<b>System Hardware</b>	<b>OE-2</b>	Determine if hardware is compatible with the State's existing processing environment, if it is maintainable, and if it is easily upgradeable. This evaluation will include, but is not limited to, Central Processing Units (CPUs) and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
<b>System Hardware</b>	<b>OE-3</b>	Evaluate current and projected vendor support of the hardware, as well as the State's hardware configuration management plans and procedures.
<b>System Software</b>	<b>OE-4</b>	Evaluate new and existing system software to determine if its capabilities are adequate to meet existing and proposed system requirements.
<b>System Software</b>	<b>OE-5</b>	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.
<b>System Software</b>	<b>OE-6</b>	Current and projected vendor support of the software will also be evaluated, as well as the State's software acquisition plans and procedures.
<b>Database Software</b>	<b>OE-7</b>	Evaluate new and existing database products to determine if their capabilities are adequate to meet existing and proposed system requirements.
<b>Database Software</b>	<b>OE-8</b>	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.
<b>Database Software</b>	<b>OE-9</b>	Evaluate any current and projected vendor support of the software, as well as the State's software acquisition plans and procedures.
<b>System Capacity</b>	<b>OE-10</b>	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.
<b>System Capacity</b>	<b>OE-11</b>	Evaluate the historic availability and reliability of the system including the frequency and criticality of system failure.
<b>System Capacity</b>	<b>OE-12</b>	Evaluate the results of any volume testing or stress testing.
<b>System Capacity</b>	<b>OE-13</b>	Evaluate any existing measurement and capacity planning program and evaluate the system's capacity to support future growth.

Task Item	Task #	Task Description
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.

## 2.8.6 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.
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, Computer-Aided Software Engineering (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.

## 2.8.7 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.

Task Item	Task #	Task Description
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.
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.

### 2.8.8 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.

Task Item	Task #	Task Description
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 test 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 Turnover	ST-12	Verify that appropriate acceptance testing based on the defined acceptance criteria is 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.

### 2.8.9 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.

### 2.8.10 Operations Oversight

Task Item	Task #	Task Description
	OO-1	Evaluate system's change requests and defect tracking processes.



Task Item	Task #	Task Description
Operational Change Tracking	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.

## 2.9 IV&V CONTRACT DELIVERABLES

The following table identifies the anticipated deliverables. Likewise, the IV&V contractor may suggest development of additional deliverables in specific areas. The State must authorize any additional deliverables prior to their development.

Where applicable, the deliverable must be developed in accordance with CMMI, PMBOK, and IEEE (or substantially and acceptably similar) standards. When no applicable standard exists, the methodology and processes used in the analysis and creation of the deliverable must be delivered and accepted by the State prior to its use and described in the final deliverable. All deliverables, standards, processes, plans, and applicable reference materials will be made available upon request of the State.

The State reserves the right to extend the due date if appropriate, due to document size, schedule, or changes in scope. The IV&V contractor must notify the State of an anticipated delay of a deliverable, as far in advance of the due date as possible.

Task	Deliverable	Description/Period
2.8.1 Develop IV&V Management Plan	IV&V Management Plan	To be initially delivered within the first thirty (30) days from the date of NTP and updated as required. The IV&V Project Management Plan shall contain the following: <ul style="list-style-type: none"> <li>a. A schedule describing the entire base period, including tasks, activities, deliverables, personnel, and milestones, and will show the schedule's critical path reflecting both IV&amp;V contractor's and State's delivery and response milestones;</li> <li>b. A table including narrative descriptions of all deliverables and proposed associated payment amounts, including expected format, content, and organization, to be developed and delivered during the base period (12 months).</li> </ul>
2.8.2 Conduct Initial IV&V Review	IV&V Review Activities	The Initial IV&V Review will commence upon State's acceptance of the IV&V

Task	Deliverable	Description/Period
		<p>Management Plan. Contractor will conduct an initial assessment of the completeness of 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 designated State project executive management.</p>
2.8.3 Initial IV&V Review Report	Initial IV&V Review Report (Draft and Final)	<ul style="list-style-type: none"> <li>a. An Initial IV&amp;V Review Report (Draft Version) will be delivered to IV&amp;V Contract Manager and TSM Program Manager (at same time) thirty (30) calendar days after State acceptance of the IV&amp;V Management Plan.</li> <li>b. Within ten (10) calendar days of contractor delivering the Draft Version, DCCA will review and provide written comments that may be incorporated to the Draft Version of the Initial IV&amp;V Review Report.</li> <li>c. A revised report will be released to the DCCA ten (10) calendar days after receipt of comments to the Draft Version of the Initial IV&amp;V Review Report.</li> <li>d. The IV&amp;V contractor will correct mistakes of fact to the Draft Version of the Initial IV&amp;V Review Report, and append to the Draft Version all other DCCA comments, and within ten (10) calendar days redeliver the Initial IV&amp;V Review Report, marked as Final, to the IV&amp;V Contract Manager and Executive sponsor (DCCA). This Final Version of the Initial IV&amp;V Review Report deliverable concludes the Initial IV&amp;V Review.</li> </ul>
2.8.4 Periodic IV&V Review Reports	Periodic IV&V Review Activities and Report (Draft and Final)	<ul style="list-style-type: none"> <li>a. The 1st Periodic IV&amp;V Review Report (Draft Version) will be delivered to the DCCA 30 calendar days from acceptance of the Initial Review Report.</li> <li>b. The DCCA will submit comments to the Draft Version of the 1<sup>st</sup> Periodic IV&amp;V Review Report and will be returned to the IV&amp;V contractor within ten (10) calendar days of receipt of the Draft Version of the respective 1<sup>st</sup> Periodic IV&amp;V Review Report.</li> </ul>

Task	Deliverable	Description/Period
		<p>c. The IV&amp;V contractor will correct mistakes of fact to the Draft Version of the respective 1<sup>st</sup> Periodic IV&amp;V Review Report, and append to the Draft Version all other DCCA comments, and redeliver the 1<sup>st</sup> Periodic IV&amp;V Review Report, marked as Final to the IV&amp;V Contract Manager and DCCA within ten (10) calendar days of receipt of the returned Draft Version. This Final Version of the respective 1<sup>st</sup> Periodic IV&amp;V Review Report deliverable concludes the respective Periodic IV&amp;V Review.</p> <p>d. The 2nd Periodic IV&amp;V Review Reports (Draft Version) will be delivered to the IV&amp;V Contract Manager and DCCA (at same time) one hundred eighty (180) calendar days from the due date of the previous Draft Version of the 1st Periodic IV&amp;V Review Report. The review process and schedule to deliver Final Version of the 2nd Periodic IV&amp;V Review Report will be the same as described in Paragraph c. above.</p>
2.8.5 Prepare Pre-Go Live Assessment Reports	Pre-Go Live Assessment Report	2 weeks prior to production deployment of each major go-live milestone, perform a separate assessment to determine the preparedness of system prior to production deployment (i.e., go-live milestone defined by State project management plans). Focus on adherence to best practices and requirements, functionality and the ability to support program business needs.
2.8.6 Prepare Post-Go Live Assessment Reports	Post-Go Live Assessment Report	2 weeks after production deployment of each major go-live milestone, prepare a written report that summarizes expectations, best practices, lessons learned, opportunities, any outstanding technical issues/risks, and any follow-up recommendations.
2.8.7 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, deliver a complete USB Drive or Shared drive folder archive of all IV&V documents including draft and final reports, any status briefings, exception reports, all versions of the Project Management Workplan to the IV&V Contract Manager and DCCA.

All deliverables shall be approved by the State in order for the task which produced them to be considered complete. In all cases, payments to the IV&V contractor shall be contingent upon State approval of deliverables. No review will be considered complete

until the approved documentation is delivered to and reviewed by the State.

The State must approve, in writing, changes to milestones, deliverables or other material changes to the Project Management Workplan prior to implementation of changes.

## **2.10 FORMAT REQUIREMENTS**

**2.10.1** All deliverables, reports, analyses, etc., whether in draft or final, must be delivered by the contractor directly to DCCA in the specified format. If no format is specified, the vendor may submit what is used in other similar projects. The State may not modify, or reject any IV&V Review Report beyond recommendations to amend mistakes of fact. State comments to all IV&V Review Report findings will only be appended to the respective report.

For each area evaluated, the Report must contain the current status of the State's effort, including any pertinent historical background information. The Report must also contain a detailed analysis of each area, which answers, at the least, the following general questions:

- What is the State's current process in this area?
- What's good about the State's process?
- What about the State's process or technology needs improvement?
- Is the State making measurable progress in this area?
- Is the effort within the triple constraints of budget, scope, and schedule?
- What standards is the project following (State, industry [IEEE, SEI, ISO, etc.], internally)?
- Are the appropriate documentation and other project artifacts accurate and up-to-date?
- Is there adequate and appropriate Stakeholder involvement in the Project?
- Are best practices and metrics employed to identify issues, progress, performance, etc.?

**2.10.2** Responses should be quantified whenever possible. The Report must also contain detailed recommendations in each area specifying what can be done immediately and in the long term to improve the State's operation. Any technologies, methodologies, or resources recommended should reflect industry standards and be appropriate for the unique circumstances and constraints of the DCCA Captive Insurance Modernization Project. The recommendations must also specify a method of measuring the State's progress against the recommendations.

**2.10.3** Follow-up Reports must have quantified information on the progress that the State has made against the recommendations from the previous review. The follow-up report must also contain any additional/or modified recommendations at the same level of detail as the initial recommendations. All Report findings and recommendations must be historically traceable (with a clear and consistent method of identification and numbering) from the time they are first reported by the contractor until closure.

The deliverables for this contract shall be provided via electronic media, using the following software standards (or lower convertible versions):

<b>Document Type</b>	<b>Format</b>
Word Processing	Microsoft Word 2013, or newer
Spreadsheets	Microsoft Excel 2013, or newer
Graphics	Microsoft PowerPoint 2013, or newer
Project Management	Microsoft Project 2013, or newer

## **2.11 STATE FURNISHED ITEMS**

Access to project information, including, but not limited to, technical documentation and project status data. Access to State and DCCA project personnel for information related to the project. The State is not responsible for providing clerical or administrative support to the contractor.

## **2.12 TERM OF CONTRACT**

Contractor shall enter into a contract for Acquisition Planning and IV&V for the DCCA Captive Insurance Modernization Project for a period of twenty-four (24) months from the commencement date on the NTP. Unless terminated, the contract may be extended for not more than one (1) additional twelve (12) month period or portions thereof without rebidding, upon mutual agreement, provided that the contract price for the one (1) additional twelve (12) month period remains the same or lower than the initial contract.

## SECTION 3

### 3 PROPOSAL PREPARATION INSTRUCTIONS

#### 3.1 PROPOSAL STRUCTURE AND LABELING

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 and must include a point by point response, structured in form and reference, addressing all requirements and the Scope of Work elements.

#### 3.2 PROPOSAL SUBMISSION INSTRUCTIONS

Proposals must be received by 2:30 p.m. on October 31, 2019 through the HlePRO. Hard copies will not be accepted.

#### 3.3 ELECTRONIC SUBMISSION OF PROPOSALS

Proposals shall be submitted and received electronically through HlePRO prior to submission deadline. This electronically submitted offer shall be considered the original. Any offers received outside of the HlePRO, including faxed or e-mailed bids, shall not be accepted or considered for award. Any offer received after the due date and time shall be rejected.

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

Submission of a proposal shall constitute an incontrovertible representation by the Offeror that the Offeror agrees to comply with every requirement of this solicitation, and that the documents are sufficient in scope and detail to indicate and convey reasonable understanding of all terms and conditions of performance of the work.

#### 3.4 PROPOSAL FORMAT AND CONTENT

All Proposals must be submitted in the following format. Proposal shall be submitted in size 12 Arial font or equivalent.

##### 1. 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.

##### 2. Executive Summary

The executive summary [**not to exceed one (1) page**] is to briefly describe the Offeror's Proposal. This summary should highlight the major features of the Proposal. Response should demonstrate the Offeror's understanding of and ability to meet the requirements. 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.

### **3. Firm's Experience and Capability**

- a. Three (3) references for IT acquisition planning and IV&V or enterprise projects, including:
  - a. Organization name
  - b. Project Title and Summarized Description of Work
  - c. Start/End Dates
  - d. Point of Contact Name, Title, Email, Phone
- b. Description of company experience in, including number of years of technical and industry experience showing knowledge of and proficiency in:
  - a. IT acquisition planning and consultation
  - b. IV&V

### **4. Staff Qualifications**

Submit resumes of individuals who will perform the activities described in the solicitation, reflecting the qualifications sought. 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.

### **5. Technical Approach**

Include proposed methodology to fulfill the 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 Work, i.e., 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, briefings, etc. Provide formats or samples of an assessment report or IV&V periodic review report.
- b) Must also include a project organization chart, and staffing approach (to include all subcontractors).
- c) A significant portion of the work required is to be done on-site at State facilities, e.g., stakeholder meetings, interviews, briefings of quarterly reports, observation, verification, etc. – as such, Offerors shall take this into account in preparing their proposals. Any proposed remote work must be identified by the Contractor and agreed to prior by State. In the event the Offeror wishes to propose that certain portions of the requested Work be performed offsite, the Offeror's proposal shall include a detailed description of how such offsite work will be managed, what portions of the work will be performed offsite, the location of such offsite work and the savings for the State that can be achieved if the work is performed offsite, provided that, the State shall in no way be obligated to accept any such condition.

## 6. Price

State is seeking a contractor to accomplish the requirements at a Fixed Price not to exceed \$200,000 for the initial term for all costs. Contractor will propose a breakdown of Acquisition Planning and IV&V pricing that comprise the total price for which all proposed activities in the proposal will be accomplished during the initial term (24 months) of the contract. The same price, or lower, will apply to the one (1) option period of 12 months. Deliverable-based payments to Contractor will be made based on agreed-upon Work Schedule. The total cost shall include all fees, taxes and subscription costs.

## 7. Conflict of Interest - Attestation

Offer must provide attestation, as described in Section 2.2.

## 8. Satisfactory Evidence of Financial and Organizational Stability.

Offeror shall provide the required information as described in Section 2.3 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.

## 9. Exceptions

Offeror shall list any exceptions taken to the terms, conditions, specifications, or other requirements contained within. Offeror shall reference the section where exception is taken, describe the exception, and provide a proposed alternative if appropriate. Failure to note any exception means that Offeror accepts and will comply with every term, condition, and requirement of this solicitation. The State reserves the right to not accept any exceptions or alternative proposals by an Offeror.

## 10. Confidential Information

All confidential, protected, or proprietary information must be included in this section of proposal. Do not incorporate protected information throughout the Proposal. Rather, provide a reference in the proposal directing State to the specific area of this protected Information section. If Offeror believes that any portion of its proposal, offer, specification, protest, or correspondence contains information that should be withheld as confidential, then the Procurement Officer should be so advised in writing and shall be furnished with justification for confidential status. **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. All information identified in the section will be subject to review by the State in accordance with the procedures prescribed by the State's open records statute, freedom of information act, or similar law and applicable procurement rules.

### 3.5 OFFEROR'S TERMS AND CONDITIONS

Offerors shall not submit Offeror's terms and conditions, standard contracts, or other agreements. General references to such terms or attempts at complete



substitution of such terms may be declared non-responsive and result in the rejection of Offeror's proposal.

**3.6 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 it is requested.

## **SECTION 4**

### **4 PROPOSAL EVALUATION**

#### **4.1 INTRODUCTION**

State will consider all responsive and responsible proposals received to determine the lowest cost or best value to the government. Best value means the most advantageous offer determined by evaluating and comparing all relevant criteria in addition to price so that the offer meeting the overall combination that best meets the State's needs is selected. Offerors' responses will be evaluated based on the completeness of the response 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 solicitation: failing to comply with any condition or requirement listed, unjustifiable price structure, unreasonable technical or schedule commitments.

#### **4.2 NOTICE OF AWARD**

After a final selection is made, the State will issue a notice of award on HlePRO. Upon award, proposal files are public records and available for review at the offices of the State by submitting Request for Access to Government Record. Information on the Office of Information Practices and forms may be found at: <http://oip.hawaii.gov>

#### **4.3 RESPONSIBILITY OF OFFEROR**

Pursuant to HRS §103D-310(c), the selected offeror shall at the time of award be compliant with all laws governing entities doing business in the State of Hawaii.