

INFORMATION TECHNOLOGY SERVICES ITQ

REQUEST FOR QUOTATIONS FOR

APPLICATION MANAGED SERVICES

ISSUING OFFICE

**PENNSYLVANIA DEPARTMENT OF TRANSPORTATION
BUREAU OF OFFICE SERVICES
COMMONWEALTH KEYSTONE BUILDING
400 NORTH STREET, 5th FLOOR
HARRISBURG, PENNSYLVANIA 17120-0041**

RFQ NUMBER

6100038014

DATE OF ISSUANCE

December 6, 2016

(Revised December 8, 2016)

(Revised January 18, 2017)

The Pennsylvania Department of Transportation, Bureau of Business Solutions & Services has posted solicitation 6100038014 for Application Managed Services. Please go to the [eMarketplace Website](#) to view and download all documentation pertaining to this solicitation.

This is a restricted solicitation, only those contractors qualified in one (1) or more of the following service categories under the Commonwealth's Master Information Technology (IT) Services Invitation to Qualify (ITQ) Contract, [4400004480](#), prior to the bid opening date may respond.

- Software Development Services
- Geospatial Technologies/Geospatial Information Systems (GT/GIS) Services

Organizations interested in doing business with the Commonwealth through this contract must begin by registering with the Commonwealth as a Procurement Supplier. For more information about registration, please view the [Registration Guide](#).

Once an organization is registered with the Commonwealth, they must develop and submit a bid through the [PASupplierPortal Website](#) in order to qualify for one, all, or any combination of the service categories associated with this contract. The Commonwealth will evaluate the bid along with all supporting documentation to determine whether the organization meets the minimum eligibility requirements.

For more information about the Commonwealth's Invitation to Qualify contracts and their policies, please visit the [ITQ Website](#).

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FOR
APPLICATION MANAGED SERVICES
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CALENDAR OF EVENTS

The Commonwealth will make every effort to adhere to the following schedule:

Activity	Responsibility	Date
Deadline to submit Questions via email to PDRFPQuestions@pa.gov .	Potential Contractors	Thursday December 15, 2016
Pre-proposal Conference Location (Optional) Pennsylvania Department of Transportation Keystone Building 400 North Street, 5 th Floor, Bid Room Harrisburg, PA 17120	Issuing Office / Potential Contractors	Monday January 9, 2017 at 10:30 am
Answers to Potential Contractor questions posted to the DGS website at http://www.emarketplace.state.pa.us/ no later than this date.	Issuing Office	Thursday, January 18, 2017
Please monitor website for all communications regarding the RFQ.	Potential Contractors	On-going
Sealed proposal must be received by the Issuing Office at: Pennsylvania Department of Transportation Bureau of Office Services ATTN: William Gipe, Issuing Officer 400 North Street, 5th Floor Harrisburg, PA 17120 *Due to increased security requirements in the Commonwealth's mail processing operations, all incoming mail to the Keystone Building is routed, scanned and sorted at an off-site location prior to delivery. This includes overnight deliveries. Be aware when submitting proposal documents via overnight delivery services, there is no guarantee that the proposal documents will be received in the Issuing Office when required. Proposals which are received late will be rejected regardless of the reason for late arrival. Contractors are advised to allow extra time to ensure timely delivery. Receipts for all hand delivered packages must be obtained and signed by the Issuing Officer or his designee to verify date and time of delivery.	Contractors	Wednesday February 1, 2017 by 2:00 pm

PART I

GENERAL INFORMATION

I-1. Purpose. This Request for Quotes ("RFQ") provides to those interested in submitting proposals for the subject procurement ("Contractors") sufficient information to enable them to prepare and submit proposals for the Department of Transportation consideration on behalf of the Commonwealth of Pennsylvania ("Commonwealth") to satisfy a need for Application Managed Services ("Project").

I-2. Issuing Office. The **Department of Transportation** ("Issuing Office") has issued this RFQ on behalf of the Commonwealth. The sole point of contact in the Commonwealth for this RFQ shall be **William Gipe, 400 North Street, 5th Floor, Harrisburg, PA 17120; PDRFPQuestions@pa.gov**, the Issuing Officer for this RFQ. Please refer all inquiries to the Issuing Officer.

I-3. Scope. This RFQ contains instructions governing the requested proposals, including the requirements for the information and material to be included; a description of the service to be provided; requirements which Contractors must meet to be eligible for consideration; general evaluation criteria; and other requirements specific to this RFQ.

I-4. Problem Statement. The Project described in this RFQ is a result of PennDOT's continuing need primarily for maintenance and enhancements services in support of PennDOT software applications. These services shall address a wide range of functionality including, but not limited to the full software development lifecycle (SDLC), work scheduling and control, project management metrics, and service improvement. The Commonwealth reserves the right to include within this contract work to maintain, enhance, and support the applications of other Commonwealth agencies. Additional detail is provided in **Part IV** of this RFQ.

I-5. Pre-proposal Conference - Optional. The Issuing Office will hold a Pre-proposal Conference as specified in the Calendar of Events. The purpose of this Conference is to provide opportunity for clarification of the RFQ. Contractors should forward all questions to the Issuing Office in accordance with **Part I, Section I-6** to ensure adequate time for analysis before the Issuing Office provides an answer. Contractors may also ask questions at the conference. In view of the limited facilities available for the conference, Contractors should limit their representation to **two (2)** individuals per Contractor. The Pre-proposal Conference is for information only. Any answers furnished during the conference will not be official until they have been verified, in writing, by the Issuing Office. All questions and written answers will be posted on the Department of General Services' (DGS) website as an addendum to, and shall become part of, this RFQ. Attendance at the Pre-proposal Conference is **optional**.

I-6. Questions & Answers. If a Contractor has any questions regarding this RFQ, the Contractor must submit the questions by email (with the subject line "**IT ITQ RFQ 6100038014 Question**") to the Issuing Officer named in **Section I-2 of the RFQ**. If the Contractor has questions, they must be submitted via email **no later than** the date indicated on the Calendar of

Events. The Contractor shall not attempt to contact the Issuing Officer by any other means. The Issuing Officer shall post the answers to the questions on the DGS website by the date stated on the Calendar of Events. A Contractor who submits a question *after* the deadline date for receipt of questions indicated on the Calendar of Events assumes the risk that its proposal will not be responsive or competitive because the Commonwealth is not able to respond before the proposal receipt date or in sufficient time for the Contractor to prepare a responsive or competitive proposal. When submitted after the deadline date for receipt of questions indicated on the Calendar of Events, the Issuing Officer *may* respond to questions of an administrative nature by directing the questioning Contractor to specific provisions in the RFQ. To the extent that the Issuing Office decides to respond to a non-administrative question *after* the deadline date for receipt of questions indicated on the Calendar of Events, the answer must be provided to all Contractors through an addendum.

All questions and responses as posted on the DGS website are considered as an addendum to, and part of, this RFQ in accordance with **RFQ Part I, Section I-7**. Each Contractor shall be responsible to monitor the DGS website for new or revised RFQ information. The Issuing Office shall not be bound by any verbal information nor shall it be bound by any written information that is not either contained within the RFQ or formally issued as an addendum by the Issuing Office. The Issuing Office does not consider questions to be a protest of the specifications or of the solicitation.

I-7. Addenda to the RFQ. If the Issuing Office deems it necessary to revise any part of this RFQ before the proposal response date, the Issuing Office will post an addendum to the DGS website at <http://www.emarketplace.state.pa.us/>. It is the Contractor's responsibility to periodically check the website for any new information or addenda to the RFQ. Answers to the questions asked during the Questions & Answers period also will be posted to the DGS website as an addendum to the RFQ.

I-8. Electronic Version of RFQ. This RFQ is being made available by electronic means. The Contractor acknowledges and accepts full responsibility to insure that no changes are made to the RFQ. In the event of a conflict between a version of the RFQ in the Contractor's possession and the Issuing Office's version of the RFQ, the Issuing Office's version shall govern.

I-9. Response Date. To be considered for selection, hard copies of proposals must arrive at the Issuing Office on or before the time and date specified in the RFQ Calendar of Events. The Issuing Office will **not** accept proposals via email or facsimile transmission. Contractors who send proposals by mail or other delivery service should allow sufficient delivery time to ensure timely receipt of their proposals. If, due to inclement weather, natural disaster, or any other cause, the Commonwealth office location to which proposals are to be returned is closed on the proposal response date, the deadline for submission will be automatically extended until the next Commonwealth business day on which the office is open, unless the Issuing Office otherwise notifies Contractors. The hour for submission of proposals shall remain the same. The Issuing Office will reject any opened or late proposals.

I-10. Incurring Costs. The Issuing Office is not liable for any costs the Contractor incurs in preparation and submission of its proposal, in participating in the RFQ process or in anticipation of award of a purchase order.

I-11. Proposal Requirements. In order for a Contractor's response to this RFQ in its entirety to be considered, the Contractor should submit a Proposal to the Issuing Office, using the format provided in this **Section I-11**. The Contractor's proposal in its entirety, and any changes accepted by the Issuing Office through Clarification Requests and the Contractor's Clarification Responses (refer to **Section I-20** of this RFQ), Best and Final Offers (refer to **Section I-21** of this RFQ), and/or Negotiations (refer to **Section I-22.A** of this RFQ) **must remain valid for 180 days** or until a contract is fully executed. If the Issuing Office selects the Contractor's proposal for award, the contents of the selected Contractor's proposal will become contractual obligations.

All cost data relating to the Contractor's proposal in response to this RFQ, should be kept separate from and not included in the Technical Submittal. Contractors should not reiterate technical information in the Cost Submittal.

- A.** Contractors must submit a Proposal in the format, including heading descriptions, outlined in **Part II, Proposal Requirements** and **Part IV, Work Statement** of this RFQ. Contractors should provide any other information thought to be relevant, but not applicable to the enumerated categories, as an appendix to the Proposal. Contractor's Proposal submissions shall consist of the following **two (2)** separately sealed submittals:

Submittal 1. Technical Submittal. Contractors must submit a Technical Submittal in response to this RFQ, **EXCLUDING** **Section II-10 – Cost Submittal**, including but not limited to:

1. **Part II, Proposal Requirements** and **Part IV, Work Statement**; and,
2. Any and all RFQ Appendices, which includes but is not limited to:
 - a. Completed and ink signed **Appendix D – Domestic Workforce Utilization Certification**; and,
 - b. Completed and ink signed **Appendix E – Proposal Cover Sheet**.
 - i. In accordance with the Pennsylvania Procurement Handbook, [Part I, Chapter 31 – Contract Signatures](#), an official authorized to bind the Contractor to its provisions must sign, in ink, the **Proposal Cover Sheet (Appendix E** to this RFQ).
 - c. Completed and ink signed **Appendix L – Lobbying Certification Form**; and,
 - b. If applicable, completed and ink signed **Appendix O – Trade Secret/Confidentiality Proprietary Information Notice Form**.
3. Addendums, which may include revised Addendums and/or additional information; and,
4. Any other document or information made available by the Issuing Office to revise any part of this RFQ before the proposal response date, will be posted as an addendum to the RFQ by the Issuing Office to the DGS website at: <http://www.emarketplace.state.pa.us/>; and,

Submittal 2. Cost Submittal. Contractors must submit a separately sealed Cost Submittal in response to this RFQ, specifically **Sections II-10 – Cost Submittal and IV-4 – Tasks.**

- B.** Provide eight (8) complete and exact paper copies of the Technical Submittal. Offerors must submit at least one (1) submittal containing an original signature and be identified as the “ORIGINAL”.
- C.** Provide one (1) complete and exact paper copy and of the Cost Submittal, along with all requested documents, clearly marked as “ORIGINAL”.
- D.** Provide one (1) complete and exact electronic copy of the “ORIGINAL” Technical and Cost Submittals, along with all requested documents, clearly marked as “ORIGINAL” and must be on a single CD or Flash drive in Microsoft Office or Microsoft Office-compatible format. The electronic copy must be a mirror image of the paper copy and any spreadsheets must be in Microsoft Excel. The Contractors may not lock or protect any cells or tabs. The CD or Flash drive should clearly identify the Contractor and include the name and version number of the virus scanning software that was used to scan the CD or Flash drive before it was submitted.

I-12. Economy of Preparation. Contractors should prepare proposals simply and economically, providing a straightforward, concise description of the Contractor’s ability to meet the requirements of the RFQ. The Issuing Office has established a total maximum page limit of **60 pages, numbered consecutively**, for the Contractor’s Technical Submittal in response to this RFQ. The established page limit excludes Contractor appendices, resumes, and financial information. Duplex printing is acceptable and suggested. Please keep marketing materials to a minimum.

I-13. Alternate Proposals. The Issuing Office will not accept alternate proposals.

I-14. Proposal Contents.

- A. Confidential Information.** The Commonwealth is not requesting, and does not require, confidential proprietary information or trade secrets to be included as part of Contractors’ submissions in order to evaluate proposals submitted in response to this RFQ. Accordingly, except as provided herein, Contractors should not label proposal submissions as confidential or proprietary or trade secret protected. Any Contractor who determines that it must divulge such information as part of its proposal must submit the signed written statement described in subsection c. below and must additionally provide a redacted version of its proposal, which removes only the confidential proprietary information and trade secrets, for required public disclosure purposes.

- B. Commonwealth Use. All material submitted with the proposal shall be considered the property of the Commonwealth of Pennsylvania and may be returned only at the Issuing Office's option. The Commonwealth has the right to use any or all ideas not protected by intellectual property rights that are presented in any proposal regardless of whether the proposal becomes part of a purchase order. Notwithstanding any Contractor copyright and/or trademark designations contained on proposals, the Commonwealth shall have the right to make copies and distribute proposals internally and to comply with public record or other disclosure requirements under the provisions of any Commonwealth or United States statute or regulation, or rule or order of any court of competent jurisdiction.

- C. Public Disclosure. After the award of a contract pursuant to this RFQ, all proposal submissions are subject to disclosure in response to a request for public records made under the Pennsylvania Right-to-Know-Law, 65 P.S. § 67.101, et seq. If a proposal submission contains confidential proprietary information or trade secrets, a signed written statement to this effect must be provided with the submission in accordance with 65 P.S. § 67.707(b) for the information to be considered exempt under 65 P.S. § 67.708(b)(11) from public records requests (*See Appendix O, Trade Secret/Confidential Proprietary Information Notice Form*). Financial capability information submitted in response to Part II, Section II-8 of this RFQ is exempt from public records disclosure under 65 P.S. § 67.708(b)(26).

I-15. Contractor's Representations and Authorizations. By submitting its proposal, each Contractor understands, represents, and acknowledges that:

- A. All of the Contractor's information and representations in the proposal are true, correct, material and important, and the Issuing Office may rely upon the contents of the proposal in making an award. The Commonwealth shall treat any misstatement, omission or misrepresentation as fraudulent concealment of the true facts relating to the proposal submission, punishable pursuant to **18 Pa. C.S. § 4904**.

- B. The Contractor has arrived at the price(s) and amounts in its proposal independently and without consultation, communication, or agreement with any other Contractor or potential Contractor.

- C. The Contractor has not disclosed the price(s), the amount of the proposal, nor the approximate price(s) or amount(s) of its proposal to any other firm or person who is a Contractor or potential Contractor for this RFQ, and the Contractor shall not disclose any of these items on or before the proposal submission deadline specified in the Calendar of Events of this RFQ.

- D. The Contractor has not attempted, nor will it attempt, to induce any firm or person to refrain from submitting a proposal on this purchase order, or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal or other form of complementary proposal.

- E.** The Contractor makes its proposal in good faith and not pursuant to any agreement or discussion with, or inducement from, any firm or person to submit a complementary or other noncompetitive proposal.
- F.** To the best knowledge of the person signing the proposal for the Contractor, its affiliates, subsidiaries, officers, directors, and employees are not currently under investigation by any Local, State, or Federal governmental agency and have not in the last **four (4)** years been convicted or found liable for any act prohibited by Local, State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding or proposing on any public contract, except as the Contractor has disclosed in its proposal.
- G.** To the best of the knowledge of the person signing the proposal for the Contractor and except as the Contractor has otherwise disclosed in its proposal, the Contractor has no outstanding, delinquent obligations to the Commonwealth including, but not limited to, any state tax liability not being contested on appeal or other obligation of the Contractor that is owed to the Commonwealth.
- H.** The Contractor is not currently under suspension or debarment by the Commonwealth, any other state or the federal government, and if the Contractor cannot so certify, then it shall submit along with its proposal a written explanation of why it cannot make such certification.
- I.** The Contractor has not made, under separate contract with the Issuing Office, any recommendations to the Issuing Office concerning the need for the services described in its proposal or the specifications for the services described in the proposal. (*See Pennsylvania State Adverse Interest Act*)
- J.** The Contractor, by submitting its proposal, authorizes Commonwealth agencies to release to the Commonwealth information concerning the Contractor's Pennsylvania taxes, unemployment compensation and workers' compensation liabilities.
- K.** The selected Contractor shall not begin to perform until it receives purchase order from the Commonwealth.

I-16. Restriction of Contact. From the issue date of this RFQ until the Issuing Office selects a proposal for award, the Issuing Officer is the sole point of contact concerning this RFQ. Any violation of this condition may be cause for the Issuing Office to reject the offending Contractor's proposal. If the Issuing Office later discovers that the Contractor has engaged in any violations of this condition, the Issuing Office may reject the offending Contractor's proposal or rescind its purchase order award. Contractors must agree not to distribute any part of their proposals beyond the Issuing Office. A Contractor who shares information contained in its proposal with other Commonwealth personnel and/or competing Contractor personnel may be disqualified.

I-17. Prime Contractor Responsibilities. The selected Contractor will be required to assume responsibility for all services offered in its proposal whether it produces them itself or by subcontract. The Issuing Office and Project Manager will consider the selected Contractor to be the sole point of contact with regard to contractual and purchase order matters.

I-18. Resources. The PennDOT Information Systems and Technology Office will assign a PennDOT project manager and technical resources to support the management oversight and technology infrastructure. Workspace provided by PennDOT may include PCs, telephones, and software listed in PennDOT's Enterprise IT Standards included as Appendix R of this RFQ. PennDOT will also provide reasonable access to reproduction facilities to support the project.

Contractors must identify work locations, which must be within 50 miles of the Pennsylvania State Capitol Building in Harrisburg. On-site work may be located at Commonwealth of Pennsylvania office locations throughout Dauphin County, including the Commonwealth Keystone Building, the Riverfront Office Center, the PennDOT Server Farm and the Commonwealth Technology Center (CTC). Contractors may propose off-site locations, including reasons for location selection and costs.

I-19. Rejection of Proposals. The Issuing Office reserves the right, in its sole and complete discretion, to reject any proposal received in response to this RFQ, or to negotiate separately with competing Contractors.

I-20. Discussions for Clarification. Contractors may be required to make an oral or written clarification of their proposals to the Issuing Office to ensure thorough mutual understanding and Contractor responsiveness to the solicitation requirements. The Issuing Office will initiate requests for clarification. Clarifications may occur at any stage of the evaluation and selection process prior to issuance of a purchase order.

I-21. Best and Final Offer (BAFO)

- A. While not required, the Issuing Office reserves the right to conduct discussions with Contractors for the purpose of obtaining "Best and Final Offers." To obtain Best and Final Offers from Contractors, the Issuing Office may do one or more of the following, in combination and in any order:
 - 1. Schedule oral presentations;
 - 2. Request revised proposals;
 - 3. Conduct a reverse online auction; and
 - 4. Enter into pre-selection negotiations.
- B. The following contractors will **not** be invited by the Issuing Office to submit a Best and Final Offer:

1. Those Contractors which the Issuing Office has determined to be not responsible or whose proposals the Issuing Office has determined to be not responsive.
2. Those Contractors, which the Issuing Office has determined in accordance with Part III, Section III-5, from the submitted and gathered financial and other information, do not possess the financial capability, experience or qualifications to assure good faith performance of the purchase order.
3. Those Contractors whose score for their technical submittal of the proposal is less than 70% of the total amount of technical points allotted to the technical criterion.

The Issuing Office may further limit participation in the Best and Final Offers process to those remaining responsible Contractors which the Issuing Office has, within its discretion, determined to be within the top competitive range of responsive proposals.

- C. Evaluation Criteria found in **Part III, Section III-3**, shall also be used to evaluate the Best and Final Offers.
- D. Price reductions offered through any reverse online auction shall have no effect upon the Contractor's Technical Submittal. The percentage of commitment for Disadvantaged Business Enterprise must remain the same.

I-22. Notification of Selection

- A. **Negotiations**. The Issuing Office will notify all Contractors in writing of the Contractor selected for negotiations after the Issuing Office has determined, taking into consideration all of the evaluation factors, the proposal that is the most advantageous to the Issuing Office.
- B. **Award**. Contractors whose proposals are not selected will be notified when negotiations have been successfully completed and the final negotiated purchase order has been issued to the selected Contractor.

I-23. Term/Notice to Proceed/Purchase Order.

The successful Contractor will be issued a purchase order(s) with reference to **IT ITQ Parent Contract #4400004480**. The Term of the service and/or material provided as a result of this RFQ will be 36 months with a renewal option at the discretion of the Issuing Office, upon the same terms and conditions, incrementally or in one-step, for a period of up to 84 months.

- A. Contractor must provide written justification showing its costs have increased or will increase over the previous contract period;
- B. Escalation is only for costs the Contractor can control (including salaries and benefits). PennDOT will not consider escalation for operating costs like rent, insurance, or taxes.

C. Escalation will be subject to a cap each calendar year. The cap will be the Contractor's actual controllable operating costs for the previous calendar year increased by 100% of the increase in the Consumer Price Index from the month of the effective date of the contract or the prior renewal, whichever is later, through the month of the effective date of the subject year for which the cap is being calculated.

D. The Consumer Price Index means the Consumer Price Index for All Urban Consumers (Revised Series) ("CPI-U") All Items, U.S. City Average (2016 equals 100) of the United States Department of Labor, Bureau of Labor Statistics ("BLS"). If the BLS revises the CPI-U or changes the CPI-U index base period, PennDOT will, upon request, adjust its escalation calculation. If the CPI-U becomes unavailable, PennDOT will substitute a comparable index based upon changes in the cost of living or purchasing power of the consumer dollar published by any other governmental agency or, if no such index is available, then a comparable index published by a major bank, other financial institution, university, or recognized financial publication.

Escalation is at PennDOT's discretion (including which cost elements may be subject to escalation and the amount of any escalation granted). Proposers should not presume that PennDOT will grant any escalation during the term of the work.

E. The Contractor must provide all applicable calculations in its escalation request.

The Contractor selected for Award will be provided a fully executed Purchase Order as the Notice to Proceed. The Issuing Office reserves the right to issue one (1) or more fully executed Purchase Orders as a result of this RFQ.

Each Purchase Order will establish an Effective Date, Validity Start Date (which may not be the same date as the Effective Date) and Validity End Date.

No work may begin until a fully executed purchase order has been issued to the contractor selected for award.

Fully executed purchase orders will incorporate by reference the terms and conditions of **IT ITQ Parent Contract #4400004480** and the succeeding contract number for the contractor selected for award.

I-24. Debriefing Conferences. Upon notification of award, Contractors whose proposals were not selected will be given the opportunity to be debriefed. The Issuing Office will schedule the debriefing at a mutually agreeable time. The debriefing will not compare the Contractor with other Contractors, other than the position of the Contractor's proposal in relation to all other Contractor proposals.

I-25. News Releases. Contractors shall not issue news releases, internet postings, advertisements or any other public communications pertaining to this Project without prior written approval of the Issuing Office, and then only in coordination with the Issuing Office.

I-26. Terms and Conditions. The requirements and terms and conditions of **IT ITQ Parent Contract #4400004480** shall govern the purchase order(s) issued as a result of this RFQ.

I-27. Information Technology Policies. This RFQ is subject to the Information Technology Policies (ITP's) {formerly known as Information Technology Bulletins} issued by the Office of Administration, Office for Information Technology (OA-OIT). ITP's may be found at <http://www.oa.pa.gov/Policies/Pages/itp.aspx>

All proposals must be submitted on the basis that all ITP's are applicable to this procurement. It is the responsibility of the Contractor to read and be familiar with the ITP's. Notwithstanding the foregoing, if the Contractor believes that any ITP is not applicable to this procurement, it must list all such ITP's in its technical response, and explain why it believes the ITP is not applicable. The Issuing Office may, in its sole discretion, accept or reject any request that an ITP not be considered to be applicable to the procurement. The Contractor's failure to list an ITP will result in its waiving its right to do so later, unless the Issuing Office, in its sole discretion, determines that it would be in the best interest of the Commonwealth to waive the pertinent ITPs.

I-28. Disadvantaged Business Enterprise (DBE) Involvement. The Commonwealth of Pennsylvania is committed to providing opportunities for Disadvantaged Business Enterprises to compete for work. To support this commitment, there is a goal of 12% of the total contract dollar amount set for this RFP.

Only those organizations certified by Pennsylvania DBE Unified Certification Program (PA UCP) before the response date of this RFP qualify as Disadvantaged Business Enterprises. The contractor must comply with all terms of the Disadvantaged Business Enterprise requirement as stated in Appendix J, "Disadvantaged Business Enterprise Requirements."

PART II

PROPOSAL REQUIREMENTS

II-1. General Requirements. Contractors must submit their proposals in the format, including heading descriptions, outlined below. To be considered, the proposal must respond to all requirements in this part of the RFQ. Contractors should provide any other information thought to be relevant, but not applicable to the enumerated categories, as an appendix to the Proposal. All cost data relating to this proposal and all Disadvantaged Business Enterprise cost data should be kept separate from and not included in the Technical Submittal. Each Proposal shall consist of the following **two (2)** separately sealed submittals:

A. Technical Submittal, which shall be a response to this RFQ in accordance with **Part 1, Section I-11 and;**

B. Cost Submittal, in response to this RFQ in accordance with **Part 1, Section I-10.**

The Issuing Office reserves the right to request additional information which, in the Issuing Office's opinion, is necessary to assure that the Contractor's competence, number of qualified employees, business organization, and financial resources are adequate to perform according to the RFQ.

The Issuing Office may make investigations as deemed necessary to determine the ability of the Contractor to perform the Project, and the Contractor shall furnish to the Issuing Office all requested information and data. The Issuing Office reserves the right to reject any proposal if the evidence submitted by, or investigation of, such Contractor fails to satisfy the Issuing Office that such Contractor is properly qualified to carry out the obligations of the RFQ and to complete the Project as specified.

II-2. Statement of the Problem. State in succinct terms your understanding of the problem presented or the service required by this RFQ.

II-3. Management Summary. Include a narrative description of the proposed effort and a list of the items to be delivered or services to be provided.

II-4. Work Plan. In response to **Part IV** of this RFQ, clearly, concisely, and completely describe in narrative form your technical plan for accomplishing the work. At a minimum, the Work Plan shall:

- A. Conform with and include any and all Commonwealth policies and procedures as defined in this RFQ, the requirements and terms and conditions of **IT ITQ Parent Contract #4400004480**, and **Appendix S – Service Level Agreements**.
- B. Contractors shall describe the approach for successful completion of each Task, and each deliverable per Task, as described in **Part IV-4** of this RFQ,
 - a. If more than one approach is apparent, comment on why you chose this approach.

- b. The method of quantifying the deliverable should be clearly articulated, including the use of Service Level Agreements.
 - c. Modifications of the task descriptions are permitted; however, reasons for changes should be fully explained.
 - d. Contractors are encouraged to suggest additional and/or alternative deliverables. These deliverables must relate directly to the cost submittal required for this project. The cost submittal must be separate from the technical submittal.
- C. Include your analysis, standards, schedule for each deliverable, assigned personnel (refer to **Part II-6**), quality assurance, services, documentation, and reporting.
- D. Indicate the number of person hours allocated to each task.
- E. Include a Program Evaluation and Review Technique (PERT) or similar type display, time related, showing each event.

II-5. Prior Experience. Experience shown should be work done by individuals who will be assigned to this project as well as that of your company. Studies or projects referred to must be identified and the name of the customer shown, including the name, address, and telephone number of the responsible official of the customer, company, or agency who may be contacted.

Provide a description of the company's experience in implementing Information Technology (IT) solutions and similar IT projects including the number and size of projects and outcomes. Experience shown must be work done by individuals who will be assigned to the Project in this RFQ project, as well as that of your company.

Describe experience with the development and implementation and maintenance support. Describe any industry best practices or certifications which are used by the Contractor (i.e. IT Infrastructure Library (ITIL)).

Provide a brief description of at least **three (3)** projects similar in scope completed/active by your company in the last five years. Projects referred to must be identified and the name of the customer shown, including the name, address, e-mail address, and telephone number of the responsible official of the customer, company, or agency who may be contacted. Specifically relate how experience with each project relates to the services requested by this RFQ.

Submit **three (3)** references of contact persons who can discuss the nature and scope of projects, which were completed by your company. Please ensure that the name of the reference company is included and that the contacts listed are current. Contact information must include the name of the customer shown, including the name, address, and telephone number of the responsible official of the customer, company, or agency who may be contacted.

If Subcontractor staff is utilized, then describe prior experience and reference contact information for all Subcontractors utilized for at least one project per Subcontractor. Describe prior experience for Subcontractors with specific attention to the role they will play in this project.

PennDOT reserves the right to review, approve, and/or request information from any and all subcontractors at any time during the term of the Project. Any and all subcontractors shall be

held to the requirements and deliverables as described in this RFQ and/or any all Purchase Orders issued as a result of this RFQ.

II-6. Personnel. Include the number of personnel listed in **Appendix V – Requirements for Key, Primary, and Secondary Personnel** who will be engaged in the work.

For all personnel listed in **Appendix V – Requirements for Key, Primary, and Secondary Personnel**, Contractor's shall provide the following items including but not limited to:

1. One (1) complete and exact copy of **Appendix U, Key Personnel Experience by Position**. For Key personnel only.
2. One (1) Resume for each Key personnel that is no more than 2 total numbered pages. Resumes for Primary personnel is optional.
 - a. Due to the potential for a high volume of resumes that PennDOT may receive, Contractors are **strongly encouraged** to refrain from using small font type and/or size to meet the page limitation for resumes, PennDOT will take this into consideration during evaluation of Contractor Technical submittals:
 - i. The information contained in the resumes that clearly and concisely describes the Key and Primary personnel's education and experience in the areas listed, as well as formatting, grammar, and punctuation.
3. Rate Cards, for all,
4. Letter of Commitment only for Key personnel.

Identify if any staff are assigned to other project assignments and/or if they will be assigned to another project during the duration of this effort. Contractors must provide rate cards for all key, primary, and secondary personnel. However, named resources and resumes are not required to be submitted as part of the Contractor's proposal for secondary positions. Contractors should be prepared to provide personnel in the key positions indicated at the start of this contract. At PennDOT's discretion, Contractors may be asked to provide personnel in the primary and/or secondary positions indicated. Indicate the responsibilities each individual will have in this contract and how long each has been with your company. Identify by name any subcontractors you intend to use and the services they will perform.

The selected Contractor will staff the project with individuals who possess a significant depth of experience within their functional area of expertise and with projects of similar size and scope as PennDOT's Application Managed Services program. Proposed personnel should have experience in technical areas and/or project management areas to which they are assigned. In addition, the Contractor must submit a Letter of Commitment for all Key personnel that is signed by the individual stating his/her intention to work on the Application Management Services Project (if the contract is awarded to the Contractor).

Resumes are not to include personal information that will, or will be likely to, require redaction prior to release of the proposal under the Right to Know Law. This includes home addresses and phone numbers, Social Security Numbers, Drivers' License numbers or numbers from state ID cards issued in lieu of a Drivers' License, financial account numbers, etc. If the Commonwealth

requires any of this information for security verification or other purposes, the information will be requested separately and as necessary.

The selected Contractor shall define its proposed project organization in standard organization chart format showing, at a minimum, Key Management and lead positions. Describe the organization and reporting relationship of staff assigned to this project. Key staff should be identified by name and position.

The selected Contractor must not make changes to Key Personnel without receiving written agreement of PennDOT's Project Manager. Changes to Key Personnel will come under the heading of a "substitution" or a "replacement". A "substitution" is defined as an individual temporarily filling-in for a permanent resource. A "replacement" is defined as an individual permanently replacing an already assigned resource. The selected Contractor must provide resumes for alternate resources and receive PennDOT approval prior to substitution or replacement. Any substitute or replacement staff for Key Personnel positions must have comparable background and experience. The replacement of Key Personnel shall be limited to personnel performance issues or circumstances beyond the selected Contractor's control including but not limited to death or long-term sickness. Any substitutions or replacements of Key Personnel for either Contractor or Subcontractor must be submitted to the PennDOT Project Manager for approval ten (10) business days prior to new Key Personnel joining the contract.

Substitutions of Key Personnel for either Contractor or Subcontractor must be submitted immediately to the PennDOT Project Manager for approval when the Key Personnel position is suddenly vacated. All Key Personnel positions that are suddenly vacated must be filled with a substitute immediately. All Key Personnel positions are required to be filled with a replacement within eight (8) weeks. See **IV-4. I – Staffing, Substitutions or Replacements** for further information.

During the contract period, the Commonwealth may request the selected Contractor to provide personnel for one or more service categories not identified in the RFQ, with a description of new qualification requirements. The selected Contractor shall submit resumes of qualified individuals who are available and can meet the new classification requirements. The Commonwealth will review the resumes and make selections based on qualifications, availability and a mutually agreeable hourly rate.

II-7. Training. If appropriate, indicate recommended training of agency personnel. Include the agency personnel to be trained, the number to be trained, duration of the program, place of training, curricula, training materials to be used, number and frequency of sessions, and number and level of instructors.

II-8. Financial Capability. Describe your company's financial stability and economic capability to perform the Project requirements. Provide your company's financial statements for the past two (2) fiscal years. If your company is a publicly traded company, please provide a link to your financial records on your company website; otherwise, provide two (2) years of your company's financial documents such as audited financial statements. Financial statements must include the company's Balance Sheet and Income Statement or Profit/Loss Statements. Also

include a Dun & Bradstreet comprehensive report if available. The Commonwealth reserves the right to request additional information it deems necessary to evaluate a Contractor's financial capability.

II-9. Emergency Preparedness. To support continuity of operations during an emergency, including a pandemic, the Commonwealth needs a strategy for maintaining operations for an extended period of time. One part of this strategy is to ensure that essential contracts that provide critical business services to the Commonwealth have planned for such an emergency and put contingencies in place to provide needed goods and services.

- A. Describe how Contractor anticipates such a crisis will impact its operations.
- B. Describe Contractor's emergency response continuity of operations plan. Attach a copy of the plan, or at a minimum, summarize how the plan addresses the following aspects of pandemic preparedness:
 - i) Employee training (describe Contractor's training plan, and how frequently it will be shared with employees)
 - ii) Identified essential business functions and key employees (within Contractor's organization) necessary to carry them out
 - iii) Contingency plans for:
 - 1) How Contractor will handle staffing issues when a portion of key employees are incapacitated due to illness.
 - 2) How Contractor employees will carry out the essential functions if contagion control measures prevent them from coming to the primary workplace.
 - iv) How Contractor will communicate with staff and suppliers when primary communications systems are overloaded or otherwise fail, including key contacts, chain of communications (including suppliers), etc.
 - v) How and when Contractor's emergency plan will be tested, and if the plan will be tested by a third-party.

II-10. Cost Submittal. The information requested in this **Section II-10** shall constitute the Cost Submittal. The Cost Submittal shall be provided in the format as instructed in **Appendix C, Cost Submittal**. The total proposed cost shall be broken down as specified in the instructions contained in **Appendix C, Cost Submittal** and as identified below. The Cost Submittal shall be placed in a separate sealed envelope within the sealed proposal, separated from the technical submittal.

Contractors should not include any assumptions in their cost submittals; all questions should be addressed during the Questions and Answers period identified in the Calendar of Events. If the

Contractor includes assumptions in its cost submittal, the Issuing Office may reject the proposal. Contractors should direct in writing to the Issuing Office pursuant to **Section I-6** of this RFQ any questions about whether a cost or other component is included or applies. All Contractors will then have the benefit of the Issuing Office's written answer so that all proposals are submitted on the same basis.

Costs quoted in **Appendix C, Cost Submittal** shall be an individual unit price based on estimated quantities. Estimated quantities listed in **Appendix C, Cost Submittal** are estimated, based on historical data. Estimated quantities may be changed based on the need of the program. PennDOT reserves the right to request a change in quantities for any of the deliverables as identified in **Appendix C, Cost Submittal**. The change in quantities initiated by PennDOT may be considered an administrative change to the Contract.

The total proposed cost must be broken down into the deliverables identified in **Appendix C, Cost Submittal**.

A. **Task E. There is no guarantee that Task E will be used by PennDOT.** Contractors are to identify specified positions for work that may occur through the use of a work order as identified in **Task E**. Each specified position will require an Hourly Rate, as identified on the "Rate Card" tab of **Appendix C, Cost Submittal**. Contractors should note that the Hourly Rate per specified position shall show the maximum Hourly Rate that will be used for the prime firm and all subcontractors. NOTE: For each work order, PennDOT reserves the right to negotiate a lower hourly rate using the maximum hourly rate as the starting point for negotiations. Contractors should refer to **Section IV-4, Task E** for additional information.

1. **Total Hourly Cost.** A Total Hourly Cost is required for **Task E**. The Total Hourly Cost derived from the direct labor cost, profit, and overhead as described below will be the maximum rate the selected Contractor agrees to provide key personnel necessary to complete work through a work order. The total hourly rate should include the following:

a) Direct Labor Rate per hour.

i. Profit percentage (%)

ii. Other Direct Costs – includes costs that are not **100%** attributable to the service being completed, but are generally associated with the recurring management or support of the service.

iii. General Overhead Costs – includes salaries, equipment and other costs related to headquarters management external to the service, but in support of the activity being completed.

2. **Travel and Subsistence.** Travel and subsistence costs for **Task E** may be established at the time of the work order development and negotiated for each work order. PennDOT may elect to establish a lump sum amount to draw down from on

each work order or PennDOT may elect to require the selected Contractor to provide exact dollar amounts related to the travel and subsistence. The amount provided is not a guaranteed amount and PennDOT reserves the right to review and approve any and all costs associated with travel and subsistence during work order negotiations and before payment is made for work completed during the term of the work order.

When travel and subsistence is required for **Task E**, the selected Contractor shall provide for each work order itemized transportation, lodging and meals per diem costs separately for each specified position, except for the Administrative/Clerical Support position, and a total amount. Payment to the Selected Contractor for travel and subsistence shall be based on actual amounts negotiated in each work order, acceptance (in writing) of work order deliverables, and travel and subsistence costs conforming to the requirements of the most current version of [Commonwealth Management Directive 230.10](#), *Travel and Subsistence Allowances*.

The Issuing Office will reimburse the selected Contractor for work satisfactorily performed after execution of a written purchase order and the start of the purchase order term, in accordance with contract requirements, and only after the Issuing Office has issued a Notice to Proceed. Refer to **Part IV-3. – Requirements** for additional information.

II-11. Disadvantaged Business Enterprise (DBE) Involvement. Provide detailed information describing the Pennsylvania DBE Unified Certification Program (PA UCP) certified DBE. Include the business name of the DBE with the address, contact person, phone number, the Pennsylvania DBE Unified Certification Program (PA UCP) certification number, a detailed narrative of the services to be provided, and the percent of the proposal's total cost to be contractually allocated to the DBE. No cost information can be displayed in the technical proposal.

The only source to be used for verification of current eligibility of a DBE is the PA UCP website:

www.paucp.com

Physical certification letters and/or expiration dates should not be requested from DBE certified firms. DBE certification does not expire.

If no DBE is qualified, available, or willing to participate, the contractor must provide detailed, verifiable information describing the good faith effort made to locate a DBE. If the good faith effort is determined to be unacceptable, the proposal may be disqualified or other action taken as defined in **Appendix H – Disadvantaged Business Enterprise Requirement**.

II-12. Domestic Workforce Utilization. Contractors must complete and sign the **Domestic Workforce Utilization Certification** attached to this RFQ as **Appendix D**. Contractors who seek consideration for the Domestic Workforce Utilization Certification criterion must complete, sign, and submit the Domestic Workforce Utilization Certification Form in the same sealed envelope with the Technical Submittal.

II-13. Lobbying Certification and Disclosure of Lobbying Activities. This Project will be funded, in whole or in part, with federal monies. Public Law 101-121, Section 319, prohibits

federal funds from being expended by the recipient or by any lower tier sub-recipients of a federal contract, grant, loan, or a cooperative agreement to pay any person for influencing, or attempting to influence a federal agency or Congress in connection with the awarding of any federal contract, the making of any federal grant or loan, or entering into any cooperative agreement. All parties who submit proposals in response to this RFQ must sign the “**Lobbying Certification Form**,” (attached as **Appendix L**) and, if applicable, complete the “**Disclosure of Lobbying Activities**” form available at:

<http://www.whitehouse.gov/omb/assets/omb/grants/sfillin.pdf>.

PART III

CRITERIA FOR SELECTION

III-1. Mandatory Responsiveness Requirements. To be eligible for selection, a proposal must be:

- A. Timely received from an Contractor;
- B. Properly signed by the Contractor.

III-2. Technical Nonconforming Proposals. The Mandatory Responsiveness Requirements set forth in **Part III-1** above (a-b) are the only RFQ requirements that the Commonwealth will consider to be *non-waivable*. The Issuing Office reserves the right, in its sole discretion, to (1) waive any other technical or immaterial nonconformities in a Contractor's proposal, (2) allow the Contractor to cure the nonconformity, or (3) consider the nonconformity in the scoring of the Contractor's proposal.

III-2. Evaluation. The Issuing Office has selected a committee of qualified personnel to review and evaluate timely submitted proposals. The Issuing Office will notify in writing of its selection for negotiation the responsible Contractor whose proposal is determined to be the most advantageous to the Commonwealth as determined by the Issuing Office after taking into consideration all of the evaluation factors.

III-3. Evaluation Criteria. The following criteria will be used in evaluating each proposal:

- A. **Technical:** The Issuing Office has established the weight for the Technical criterion for this RFQ as **70%** of the total points. Evaluation will be based upon the following in order of importance:
 - i.) **Understanding the Problem/Soundness of Approach.** This refers to the Contractor's grasp of the size and scope of the Project described in this RFQ and the nature and scope of the work involved. In response to this RFQ, Contractor's must describe a performance measurement and work quantification approach. This refers to the Contractor's approach to successfully complete transition activities, the processes procedures, techniques, and management to successfully meet the requirements and successfully provide the deliverables on time of the Project described in this RFQ, and to successfully ensure that turnover activities are completed timely. This also includes the Contractor's ability to avoid interruption to PennDOT's operations and how the Contractor will handle unforeseen circumstances that may be considered an emergency or as needed by PennDOT where time is of the essence.

In response to this RFQ, Contractors must describe how they will meet or exceed the requirements for each deliverable. In addition, Contractors must describe a performance measurement and work quantification approach. This approach may be used as a part of contract management process.

- ii.) **Contractor Qualifications.** This refers to the ability of the Contractor to meet the terms of the RFQ, especially the time constraints and quality, relevancy, and recency of studies and projects completed by the Contractor. This also includes the Contractor's financial ability to undertake a project of this size.
- iii.) **Personnel Qualifications.** This refers to the competence of professional personnel who would be assigned to the project by the Contractor. Qualifications of professional personnel will be measured by experience and education, with particular reference to experience on studies/services similar to that described in the RFQ. Particular emphasis is placed on the qualifications of the Contractor's Contract Manager and technical staff.

The final Technical scores are determined by giving the maximum number of technical points available to the proposal with the highest raw technical score. The remaining proposals are rated by applying the Technical Scoring Formula set forth at the following webpage:

http://www.dgs.pa.gov/Businesses/Materials%20and%20Services%20Procurement/Procurement-Resources/Pages/RFP_SCORING_FORMULA.aspx.

- B. Cost:** The Issuing Office has established the weight for the Cost criterion for this RFQ as **30%** of the total points. The cost criterion is rated by giving the proposal with the lowest total cost the maximum number of Cost points available. The remaining proposals are rated by applying the Cost Formula set forth at the following webpage:
http://www.dgs.pa.gov/Businesses/Materials%20and%20Services%20Procurement/Procurement-Resources/Pages/RFP_SCORING_FORMULA.aspx.

- C. Domestic Workforce Utilization:** Any points received for the Domestic Workforce Utilization criterion are bonus points in addition to the total points for this RFQ. The maximum amount of bonus points available for this criterion is **3%** of the total points for this RFQ.

To the extent permitted by the laws and treaties of the United States, each proposal will be scored for its commitment to use domestic workforce in the fulfillment of the contract. Maximum consideration will be given to those Contractors who will perform the contracted direct labor exclusively within the geographical boundaries of the United States or within the geographical boundaries of a country that is a party to the World Trade Organization Government Procurement Agreement. Those who propose to perform a portion of the direct labor outside of the United States and not within the geographical boundaries of a party to the World Trade Organization Government Procurement Agreement will receive a correspondingly smaller score for this criterion. See the following webpage for the Domestic Workforce Utilization Formula:

http://www.dgs.pa.gov/Businesses/Materials%20and%20Services%20Procurement/Procurement-Resources/Pages/RFP_SCORING_FORMULA.aspx.

Contractors who seek consideration for this criterion must submit in hardcopy the signed Domestic Workforce Utilization Certification Form in the same sealed envelope with the Technical Submittal. The certification will be included as a contractual obligation when the contract is executed.

III-4. Contractor Responsibility. To be responsible, a Contractor must submit a responsive proposal and possess the capability to fully perform the contract requirements in all respects and the integrity and reliability to assure good faith performance of the contract.

In order for a Contractor to be considered responsible for this RFQ and therefore eligible for selection for best and final offers or selection for contract negotiations:

- A. The total score for the technical submittal of the Contractor's proposal must be greater than or equal to 70% of the available technical points; and**
- B. The Contractor's financial information must demonstrate that the Contractor possesses the financial capability to assure good faith performance of the contract. The Issuing Office will review the Contractor's previous two (2) financial statements, any additional information received from the Contractor, and any other publicly-available financial information concerning the Contractor. The Issuing Office will then assess each Contractor's financial capacity based on financial ratios, industry standards, and trends.**

Any Contractor which fails to demonstrate sufficient financial capability to assure good faith performance of the contract as specified herein may be considered by the Issuing Office, in its sole discretion, for Best and Final Offers or contract negotiation contingent upon such Contractor providing contract performance security for the first contract year cost proposed by the Contractor in a form acceptable to the Issuing Office. Based on the financial condition of the Contractor, the Issuing Office may require a certified or bank (cashier's) check, letter of credit, or a performance bond conditioned upon the faithful performance of the contract by the Contractor. The required performance security must be issued or executed by a bank or surety company authorized to do business in the Commonwealth. The cost of the required performance security will be the sole responsibility of the Contractor and cannot increase the Contractor's cost proposal or the contract cost to the Commonwealth.

Further, the Issuing Office will award a contract only to a Contractor determined to be responsible in accordance with the most current version of Commonwealth Management Directive 215.9, Contractor Responsibility Program.

III-5. Final Ranking and Award.

- A. After any best and final offer process conducted, the Issuing Office will combine the evaluation committee's final technical scores, the final cost scores, and (when applicable) the domestic workforce utilization scores, in accordance with the relative weights assigned to these areas as set forth in this Part.**

- B.** The Issuing Office will rank responsible Contractors according to the total overall score assigned to each, in descending order.
- C.** The Issuing Office must select for contract negotiations the Contractor with the highest overall score; provided, however, that an award will not be made to a contractor whose proposal received the lowest technical score and had the lowest cost score of the responsive proposals received from responsible contractors. In the event such a proposal achieves the highest overall score, it shall be eliminated from consideration and award shall be made to the contractor with the next highest overall score.
- D.** The Issuing Office has the discretion to reject all proposals or cancel the request for proposals, at any time prior to the time a contract is fully executed, when it is in the best interests of the Commonwealth. The reasons for the rejection or cancellation shall be made part of the contract file.

PART IV

WORK STATEMENT

Part IV, along with the other material provided in this RFQ, will provide Contractors with the information needed to understand the background, Commonwealth requirements, and the operational, business and technical objectives for this project.

Background

This section provides a high level overview of PennDOT and a brief description of the roles and responsibilities of the organizations that will receive the services as part of this RFQ.

- A. PennDOT's Organizational Structure.** PennDOT's information technology environment contains a diverse set of applications, tools, and other information infrastructure elements. A full list of all of the applications is provided in **Appendix T**. This Appendix is intended to clarify the operational environments the selected Contractor will encounter. The selected Contractor will be responsible for supporting PennDOT applications throughout the agency in all deputates.

PennDOT is headquartered at 400 North Street in Harrisburg, Pennsylvania and is comprised of five (5) deputates (business units) (<http://www.penndot.gov/>).

The applications served by this contract are under the Highway Administration, Driver and Vehicle Services, Administration, Multimodal, and Planning, Deputates.

1. Highway Administration

The Highway Administration Deputate comprises over 9,600 employees in the central office and eleven engineering districts. Responsibilities include roadway data collection, oversight of maintenance, operations, and design and construction of the Commonwealth's highways and bridges.

Bureaus within this deputate include: Bureau of Maintenance and Operations (BOMO), and the Bureau of Project Delivery (BPD).

2. Driver and Vehicle Services

The Driver and Vehicle Services Deputate comprises nearly 1,200 driver and vehicle service employees who focus on the safety and security of the Commonwealth's 8.5 million licensed drivers and 11.1 million registered vehicles. The responsibilities of this deputate include credentialing and sanctioning of drivers and vehicles, oversight of 97 facilities across the Commonwealth that issue driver licenses and photo credentials, and approximately 5,000 new and used automobile dealers, 1,500 agents, 7,000 vehicle safety inspection stations, over 7,000 emissions inspection stations, and revenue collection and accounting.

The Driver and Vehicle Services Deputate includes the following entities: Bureau of Motor Vehicles, Bureau of Driver Licensing, Bureau of Driver and Vehicle Program Services, Office of Information/Fiscal Services, and the Bureau of Risk Management.

3. Administration

The Administration Deputate manages human resources, monitors spending, and ensures that management and productivity controls are in place to maximize departmental operations. The scope of responsibility includes personnel, finance, contract administration, purchasing, facilities management, information services and management, and performance metrics.

Bureaus within Administration are: Bureau of Fiscal Management, Bureau of Equal Opportunity, Bureau of Office Services, Bureau of Human Resources and the Information Systems and Technology Office comprised of: Bureau of Infrastructure and Operations, Bureau of Business Solutions and Services, and Bureau of IT Project Development and Delivery.

4. Multimodal

The Multimodal Deputate encompasses three bureaus. The Bureau of Public Transit oversees the functions and duties regarding planning, development and funding of local and public transportation; transit service grant administration and environmental design improvement of transportation services.

The Bureau of Aviation is responsible for the management and administration of aviation related transportation programs within the Commonwealth. This includes airport planning and programming, environmental compliance, engineering oversight of airport development/maintenance projects, airport inspection and licensing, on-demand flight services, aviation grant program administration and Bureau administration and support.

The Bureau of Rail Freight, Ports and Waterways administers two major rail grant programs, the Rail Freight Assistance Program (RFAP) and the Rail Transportation Assistance Program (RTAP). These programs provide funding for key railroad infrastructure construction and rehabilitation projects. They are also responsible for port grant administration.

5. Planning

The Planning Deputate is responsible for statewide transportation planning and programming activities and for managing PennDOT's multi-modal Twelve Year Transportation Program via the Multi-modal Project Management System (MPMS). Key to these activities is the management of federal highway and bridge funds, which leverage a construction program of \$1.25 billion per year. Additionally, Planning manages the statewide traffic counting program, Geospatial technologies, Highway Performance Monitoring system (HPMS)

data submittal, the transportation research program and Local Technical Assistance Program (LTAP). Finally, Planning disburses liquid fuels funds and provides audit finding consultation to municipalities.

Bureaus within Planning are the Center for Program Development and Management (CPDM) and the Bureau of Planning and Research (BPR).

Many mainframe systems use COBOL and are a mix of on-line interactive conversational systems and batch processing. Application interfaces are internal and external. Message Format Service (MFS) is used for screen input/out via IBM's IMS/Transaction Processor. The two major mainframe database management systems are IBM's IMS and Database2 (DB2).

The zLinux systems are Java based, running HTTP server as the web server and are a mix of online and batch processing. Application interfaces between legacy zOS and zLinux apps use IBM MQSeries as the messaging backbone. The primary DBMS is Oracle.

Client/Server/ Web applications are built using, WebSphere, J2EE, Visual Basic, Lotus Notes with JavaScript, and LotusScript for the main application. Connection to DB2 on the mainframe uses a gateway connectivity server with System Network Architecture (SNA) or Transmission Control Protocol/Internet Protocol (TCP/IP) for network connectivity. DB2 stored procedures form much of the database access. Lotus Enterprise Integrator is used to "pump" data from notes to DB2. Other servers used are Internet Information Server (IIS), Microsoft Transaction Server (MTS), and WebSphere Server. Some PennDOT apps use Lotus Domino as a web server; IBM HTTP Server is also used as a web server for apps. Network connectivity uses T1 (Ethernet) and token ring. Operating systems include Windows 2000 Client and NT servers.

Examples of application developer tools used are Xpediter, Xpediter for stored procedures, Visual Age for JAVA integrated Development Environment, Cool Gen, Librarian, MetaCobol, Visual Source Safe, CIAO, and Power Designer.

The Bureau of Infrastructure and Operations (BIO) within PennDOT operates and maintains all distributed computing platforms and systems used within PennDOT including servers, workstations, storage devices, and network devices.

BIO is responsible for building, configuring, and maintaining servers; assisting application develop teams with project design; diagnosing and resolving server issues; and monitoring operations and performance. Backup and recovery of all distributed servers and storage devices is provided. For the distributed servers, general duties include software maintenance, product support, setup, testing, tuning, and customization for products including Windows Server 2003, Rational products, WebSphere products,

Oracle, SQL Server, Notes/Domino, Crystal, DB2 connectors, messaging, TWS E-2-E, Remedy, RFID, Filenet, and SRS.

A list of environments/operating systems, development tools, and databases for each application is provided in **Appendix P, Application Inventory**.

B. PennDOT’s IT Infrastructure. PennDOT utilizes two (2) datacenters to support our IT Infrastructure/Computing requirements. The first being the Pennsylvania Compute Services (PACS) located in Ashburn Virginia. The second being the Pennsylvania Enterprise Data Center (EDC)/Co-Location in Harrisburg Pennsylvania.

Pennsylvania Compute Services Data Center

The PACS data center supporting PennDOT z/OS and z/VM Linux applications are hosted on an IBM zEC12 Series Enterprise Server model 2827-504. In addition, Linux applications are also hosted on Intel x86.

The Operations Division, part of the Bureau of Infrastructure and Operations, facilitate all interaction between the PACS vendor and PennDOT IT teams. The PACS vendor is responsible for building, configuring, and maintenance of the server hardware and software. The vendor also provides server diagnostic and problem resolutions services along with operational and performance monitoring. Backup and recovery of servers and storage devices is also provided.

IBM z/OS Infrastructure

- Three logical partitions
 - First → Production
 - Second → Pre-production
 - Third → Sandbox (Operational use)

Application Programming Language	Cobol
Database Management System	IBM IMS and Database2 (DB2)
Transaction Processing	On-line and Batch
Message Format Service	IBM IMS/Transaction Processor

IBM z/VM Linux Infrastructure

- Three logical partitions
 - First → Production
 - Second → Pre-production
 - Third → Monitoring

Application Programming Language	Java
Web Server	IBM HTTP Server
Application Server	IBM Websphere Application Server
Database Management System	Oracle
Transaction Processing	Real-time and Batch

Intel x86 Linux Infrastructure

Application Programming Language	Java
Web Server	IBM HTTP Server
Application Server	IBM Websphere Application Server
Transaction Processing	Real-time and Batch

Pennsylvania Enterprise Data Center (EDC)/Co-Location

The EDC/Co-Location data center supporting Windows Operating System is hosted on Intel x86 hardware.

The Network Division, part of the Bureau of Infrastructure and Operations, is responsible for building, configuring, and maintaining server hardware and software. The Network Division also provides server diagnostic and problem resolutions services along with operational and performance monitoring, backup and recovery of servers and storage devices is also provided.

Intel x86 Microsoft Windows Operating System Infrastructure

Application Programming Language	Java, Vb.Net, C#, ObjectiveC, Java Script, Lotus Script
Web Server	IBM HTTP Server, Microsoft Internet Information Services, IBM Domino Server
Application Server	IBM Websphere Application Server,

	Microsoft Internet Information Services, IBM Domino Server
Database Management System	Microsoft SQL Server
Transaction Processing	Real-time and Batch
Server Virtualization	VMware

For additional IT Infrastructure information refer to Appendix R, PennDOT's Enterprise IT Standards.

IV-1. Objectives.

- A. General.** The primary objective of this RFQ is to select a Contractor who shall be responsible for providing the oversight and management for the maintenance of PennDOT's complex and diverse portfolio of approximately 223 diverse computer applications that support PennDOT's core business processes critical to the mission of PennDOT. Many of these diverse computer applications are used by Pennsylvania citizens and business partners while others are used solely by PennDOT employees.

Currently, support of existing PennDOT computer system applications are provided through the issuance of RFQ Number 6100010067 on March 6, 2009 by the Pennsylvania Department of General Services. The result of the RFQ was the award of Contract Number 4400005737 from PennDOT to Computer Aid, Inc. (CAI) from August 17, 2009 to August 16, 2013 and has been renewed through August 17, 2017. To prevent a lapse in service, PennDOT expects the selected Contractor to complete any and all transition activities for this Project in a seamless manner to ensure no interruption to PennDOT's operations, service provided to the public, and/or PennDOT software applications. Refer to **Part IV-4, Tasks**, for additional transition information, of this RFQ.

- B. Specific.** The Selected Contractor shall be responsible for the Project, including but not limited to, all terms and conditions, all requirements, all deliverables, and all dates for delivery, as described in this RFQ for PennDOT's continuing needs, primarily, for maintenance and enhancements services, in support of PennDOT software applications. The Selected Contractor shall address a wide range of functionality including, but not limited to the full software development lifecycle (SDLC), work scheduling and control, project management metrics and products, and service improvement. In the response to this RFQ, Contractor's shall ensure any and all project management products and personnel proposed adhere to the Contractor's quality of service standards and guarantees provided. The Selected Contractor shall ensure that the quality of service standards and guarantees are provided at all times during the term of any Purchase Order issued to the Selected Contractor as a result of this RFQ.

The Selected Contractor shall:

- 1) Implement strong service management to gain efficiency, quality, and consistency and to be able to quantify activities for performance management.
- 2) Bring discipline to all aspects of the Project, – relationship with PennDOT business units, management, IT, other IT consultant resources and the Selected Contractor.
- 3) Balance quality staff, sufficient resources, and cost management.
- 4) Create and implement well-defined approach and work plan for delivering the stated needs.
- 5) Quantify work activities for planning, estimating, and monitoring (Contractors are asked to provide an approach such as Function Point Analysis).
- 6) Organize work activities into menu of defined categories with associated levels of effort and cost.
- 7) Clearly state how work will be delivered, managed, and monitored including cost control and schedule management.
- 8) Maintain organizational stability to ensure knowledge continuity.

IV-2. Nature and Scope of the Project.

As PennDOT strives to improve its services and support enterprise initiatives, the demand for information technology (IT) is expected to continue to grow. The selected Contractor will need to demonstrate considerable experience, skill and judgement using proven IT service management practices.

In conjunction with PennDOT staff, the selected Contractor will transition IT knowledge and responsibility sufficient to assume responsibility for maintenance of PennDOT's application portfolio from the incumbent contractors. The selected Contractor will then accept ultimate responsibility for management and deliverables associated with routine maintenance and service failures (during business hours and non-business hours), scheduled and unscheduled release management (during non-business hours), on-call services, and turnover services for all applications included in the scope of this RFQ throughout the term of the contract. A comprehensive, but not complete, listing of specific responsibilities and deliverables is detailed in this RFQ. Although a separate PennDOT team provides infrastructure and operations support, PennDOT may opt to include infrastructure managed services during the term of this contract.

- A. Project Scope.** The scope of the project includes all objectives, requirements and tasks outlined in Part IV of the RFQ. This includes all activities necessary to complete the deliverables. The scope of the activities under this contract is organized into two (2) main categories – Tasks and Service Management. Under each main category are sub-categories that describe the activities that the Selected Contractor will be performing during the period of this contract.

The selected Contractor shall provide technical and support staff for PennDOT's existing computer system applications. The selected Contractor may be required to develop larger enhancements and initiatives with other contractors or PennDOT personnel when agreements or resources are assigned. At PennDOT's discretion, the selected Contractor may be required to assume maintenance of new applications. **The Commonwealth reserves the right to include within this contract work to maintenance, enhance and support the applications of other Commonwealth agencies.**

Contractor's responding to this RFQ shall ensure that the proposed solution, including but not limited to, any and all activities, methodologies, and deliverables, adhere to OA/OIT and PennDOT standards, as well as meet or exceed industry standards and those set by the Commonwealth and PennDOT. The selected Contractor's response shall become and made part of the Project and IT Terms and Conditions.

IV-3. Requirements.

A. The Selected Contractor shall meet the following general technical requirements:

- 1. PennDOT IT Environment Policies, Procedures, and Standards.** Prior to and during the execution of any design, development, deployment or implementation tasks involving PennDOT existing system environments, the selected Contractor's team must comply with the policies, procedures, and standards provided by the PennDOT Bureau of Infrastructure and Operations (BIO), which is responsible for the support and continuous operation of the system environments. These requirements are located in:
 - a. Appendix R, PennDOT's Enterprise IT Standards**
 - b. PennDOT's IT Service Management policies on Incident Management, Request Management, and Configuration Management.** The Selected Contractor shall:
 - 1) Utilize and promote adoption of Commonwealth and PennDOT development standards.
 - 2) Adhere to current and emerging data standards.
 - 3) Adhere to and implement a PennDOT-approved performance management plan (Contractor will include an approach to performance measurement and activity quantification in its proposal).
 - 4) Use PennDOT approved tools (e.g. MS Project, Team Foundation Studio, Rational Team Concert, etc.) to develop/maintain work plans, and track timesheets and overall service (Contractor may propose alternatives to standard tools).
 - 5) Use PennDOT approved software development and debugging tools (e.g. Rational System Architect, Visual Studio, etc.) (Contractor may propose alternatives to

- standard tools).
- 6) Use PennDOT approved tools (e.g. SCCM, etc.) (Contractor may propose alternatives to standard tools.
 - 7) Perform a consultative role and keep informed of standards, documents, decisions, and activities of PennDOT's Enterprise Architecture & Service Management (EASM) program and work to align application management practices and work products with EASM.

B. Documentation Format. The selected Contractor shall provide electronic versions of all documentation, and employ change control processes and version control to ensure that it is kept current for the duration of the contract resulting from this RFQ. Where appropriate, a table of contents, an index, and keywords shall be available for information searching. PennDOT, at its discretion, may request or accept printed documentation on a case by case basis. The selected Contractor shall maintain a repository of electronic documentation on the PennDOT Project Collaboration Site (PCS).

All diagrams submitted by the vendor shall be in an easy to update, PennDOT approved format (e.g., Microsoft Word, Visio, etc.).

C. Industry Best Practices. The selected Contractor shall utilize industry best practices for software development and delivery. PennDOT considers Information Technology Infrastructure Library (ITIL) a best practice.

D. Quality. PennDOT expects high quality service and products, i.e., products that are professionally edited and responsive to both the intent and the specific requirements of the contract. It is expected that products will be error free and that commitments made by the selected Contractor will be met.

The selected Contractor shall demonstrate a high level of quality control standards and service. Within its quote, the selected Contractor is required to describe its quality standards and guarantees of service, background check processes and other quality assurance processes, and its response to resources if PennDOT deems that they are not performing to PennDOT quality expectations.

E. PennDOT Development Responsibilities. Within the proposal, if applicable, Contractors shall provide documentation of internal development activities or significant modifications that PennDOT Information Systems and Technology Office (ISTO) will need to pursue in order to operate the selected Contractor's solution effectively or interface and/or exchange data with the existing PennDOT systems.

F. Change Requests. Changes in the price, timetable, specifications, and other terms and conditions of the purchase order require a formal change order request and shall follow the requirements for changes in accordance with the **IT ITQ Parent Contract #4400004480**. The change order request shall be submitted in the form of a letter

from the Selected Contractor to PennDOT's Contract Administrator for review and approval. Only after the purchase order has been updated and fully executed by the Commonwealth, with the approved change request will the Selected Contractor be authorized to begin work. No work associated with the change request may begin until a fully executed purchase order has been issued to the selected contractor.

G. OS-501 Confirmation of Service and Acceptance of Deliverables. PennDOT defines successful completion and acceptance of deliverables as:

1. Upon completion of deliverables identified in the fully executed purchase order and/or any subsequent changes to the purchase order approved as defined in Section **IV-3., F – Change Requests**, the Selected Contractor shall submit to PennDOT a signed **Appendix H, OS-501 – Confirmation of Service (“OS-501”)** and substantiating documentation, which acts as the Selected Contractor's confirmation that the deliverable has been completed in accordance with the purchase order; and,
2. Upon receipt of an OS-501 PennDOT will:
 - a. Confirm that the requirements for each deliverable have been met.
 - b. Review and approve any and all substantiating documentation submitted with the OS-501, which may be in the form of hard-copy and/or electronic copies of required documentation, and any other required documentation within scope of the purchase order required for PennDOT to verify completion of each deliverable; and,
 - c. Certify successful completion of each deliverable(s) shown on the OS-501 by fully executing the OS-501 and providing a copy to the Selected Contractor.

Based upon the successful completion and PennDOT's acceptance of each deliverable identified in **Part IV** of this RFQ, including any negotiated changes prior to purchase order execution and any PennDOT approved change requests after purchase order execution, the Selected Contractor may request payment for each deliverable (refer to **Part IV-3., H – Request for Payment**).

The Contractor's Service Manager will be the main point of contact. The Contractor can facilitate PennDOT approval through facilitated review sessions, early submission of draft deliverables, etc.

If PennDOT finds any reason to dispute any item in any deliverable, invoice, or in the work, PennDOT will immediately notify the selected Contractor, and will provide a ten-business-day opportunity to cure any specifically-identified deficiencies. Upon the expiration of the ten-day period, and in the absence of an effective resolution, the selected Contractor shall be in default of its obligations.

Deliverables will be reviewed for receipt and acceptance at monthly meetings to be held between the PennDOT Project Manager and the selected Contractor's Service Manager. The selected Contractor will then invoice in accordance with **Part IV-3., H – Requests for Payments**.

All management activities will be reviewed for acceptance/receipt and invoiced as monthly deliverables subsequent to completion of the month's work; (i.e. service management, risk management, quality management, staffing management, and release management.).

H. Requests for Payments. Payment for work associated with the Contract shall be under the following required conditions:

1. PennDOT has issued a fully executed Purchase Order, which shall be considered a formal Notice to Proceed;
2. The Selected Contractor's submission of the OS-501 as described in Section **IV-4. G – OS-501 Confirmation of Service and Acceptance of Deliverables**, for each deliverable; and,
3. PennDOT's acceptance of each deliverable as described in Section **IV-4. G – OS-501 Confirmation of Service and Acceptance of Deliverables**.

Payment shall be based upon the successful completion and PennDOT's acceptance of each deliverable identified in **Part IV** of this RFQ, including any negotiated changes prior to Purchase Order(s) execution and any PennDOT approved change requests after Purchase Order execution.

Invoices shall be submitted after PennDOT's acceptance is provided and in accordance with the **IT ITQ Parent Contract #4400004480**. All invoices against purchase orders must be sent to the following address:

COMMONWEALTH OF PENNSYLVANIA
PO INVOICE
PO BOX 69180
HARRISBURG, PA 17106

I. Staffing, Substitutions or Replacements. The selected Contractor cannot reassign personnel to another project once they have been assigned to this project, prior to submitting a written request to PennDOT with an explanation and receiving written PennDOT consent.

At PennDOT's request and after consultation with the selected Contractor, the selected Contractor must replace any personnel who, in the reasonable opinion of the PennDOT Project Manager, are not adequately performing their assigned responsibilities or are unable to work effectively with the members of the PennDOT staff. In such event, the selected Contractor must provide replacement personnel with equal or greater skills and qualifications as soon as reasonably practicable. Replacement of key personnel is subject to PennDOT's review and approval.

Individuals who are assigned to this project must adhere to the same rules of conduct as PennDOT employees. PennDOT may require that the selected Contractor remove from the project any project team members who violate the rules of conduct. Written notice will be given to the selected Contractor after any violation of the rules of conduct.

Any costs incurred by the selected Contractor to transition or re-do work performed by an individual who has been removed from the project for violating the rules of conduct shall be absorbed solely by the selected Contractor. Additionally, any schedule/project delays caused by knowledge transfer to the new Contractor or sub-Contractor personnel resulting from staffing substitutions or replacements will be the responsibility of the selected Contractor.

J. Background Checks. All project team members shall be subject to and shall successfully pass a background check prior to starting work on this Project and on an annual basis thereafter in accordance with **IT ITQ Parent Contract #4400004480**. PennDOT reserves the right to do its own background checks on and monitor any person assigned to this project by the selected Contractor.

K. Confidential Information. The nature of this Project requires the handling of sensitive and/or confidential information. In addition to the terms identified in **IT ITQ Parent Contract #4400004480**. Staff (both Contractor and Sub-Contractors) who have access to driver and/or vehicle information may be required to sign an additional confidentiality statement in the form set out in **Appendix O, Trade Secret/Confidentiality Proprietary Information Notice Form** and adhere to the conditions included in that agreement. The selected Contractor and/or the sub-Contractors are not allowed to remove production data from PennDOT systems or premises.

All administrative and/or operational procedures, data, and information for PennDOT that affect the care, custody, control, safety or management of customers shall be considered confidential information.

L. Independent Verification and Validation (IV&V). PennDOT may retain the service of an independent validation and verification (IV&V) Contractor(s). This does not relieve the selected Contractor from its responsibility as described in Part IV, Work Statement. Direct contact between the selected Contractor and the IV&V Contractor will be as frequent as PennDOT deems necessary.

M. Operational Considerations. Core business hours for PennDOT IT support staff are 8:00 a.m. – 4:30 p.m., Monday through Friday, with the exception of Commonwealth holidays. However, many business applications require support beyond those parameters. The Contractor will submit a staffing plan so that coverage is available for an extended business day. Specific business processes will be established to support critical system failures during non-business hours.

The selected Contractor is invited to provide a plan for meeting critical system needs during non-business hours.

PennDOT employees work 37.5 hours/week. The selected Contractor may propose a 40-hour work week for its employees. Commonwealth holidays will be observed unless specific exceptions are approved by the PennDOT Project Manager.

- N. Access to Documentation.** The selected Contractor is responsible for placing all working and final documentation in an organized file structure for ease of access and navigation. The documentation must be placed and maintained in a location/repository designated by the PennDOT Project Manager, and must include a collection of all documents related to the services including deliverables received, decisions made, issues raised, and correspondence exchanged. This collection documents the history and evolution of the services.
- O. Access to Systems and Records.** In accordance with 45 CFR Part 74 and as required by 45 CFR § 95.615, the selected Contractor must allow federal and state representatives to access PennDOT's computer systems in all aspects, including design developments, operation, and cost records of Contractors and sub-Contractors at such intervals as are deemed necessary by the above government entities to determine whether the conditions for approval are being met and to determine the efficiency, economy and effectiveness of the system.
- P. Parking and Commuting.** PennDOT will not supply or reimburse the selected Contractor for commuting or parking.
- Q. Modification of Services.** Situations may occur where the established work plan may be modified to respond to a change of circumstances. These situations may include the de-commissioning of an existing application and the deployment of a new application. These types of modifications will be managed as a part of service management activities. PennDOT reserves the right to release contracted resources as workload or budget dictates; reasonable notice will be given to the selected Contractor.

If additional application service needs are identified during the contract period, a contract modification will be negotiated using the established Contractor rate template.

IV-4. Tasks. This section of the RFQ describes the tasks and deliverables, which shall be required to execute the Application Managed Services project. For every task, subtask, and/or deliverable in this **Part IV-4., Tasks**, Contractor's shall refer to **Appendix B – Deliverables Requirements**, for specific submission requirements and the frequency of the submission for each deliverable. Contractors shall refer to **Section II-10, Cost Submittal**, and **Appendix C – Cost Submittal** for the cost requirements.

TASK A – TRANSITION

The selected Contractor should propose their approach and timeline how they will provide the resources, and obtain the knowledge for all in-scope applications.

The transition task is intended as a transition period to maintain the efficiency and proficiency of the Project. The transition period is 90 days and all Contractors shall base their proposed approach on this period of time. PennDOT will consider a longer transition period during evaluation but Contractors shall not propose a transition period that is more than 180 days. Any proposed solution beyond 90 days shall have a full detailed explanation to support the need for more than 90 days but no more than 180 days.

In order to have a seamless transition the Selected Contractor shall be required to work with PennDOT personnel and CAI for 90 days. In the event the selected Contractor's response to this RFQ provides for a transition period that is longer than 90 days but no more than 180 days, PennDOT reserves the right to extend 90 day transition period by written notification and the issuance of an updated fully executed Purchase Order to the selected Contractor. The selected Contractor however, shall not provide service beyond 90 days unless a written request for change in accordance with Section **IV-3 F, Change Requests**, is approved and an updated fully executed Purchase Order has been issued.

The transition task requires the completion of the following sub-tasks:

Subtask A.1 Kick-Off Meeting: Within two (2) business days receipt of a Notice to Proceed, under this contract, the selected Contractor shall attend a contract kick-off meeting to be held in the Harrisburg, PA area. Members of the selected Contractor's team and PennDOT representatives will discuss in detail the requirements of the contract, and the selected Contractor shall provide a proposed plan of action for the transition and bring up any issues or items that require clarification or guidance.

At the kick-off meeting, a copy of the fully executed Purchase Order and all documentation will be discussed as well as the Knowledge Transition Work Plan described in Subtask A.2. Within five (5) working days after the meeting, the selected Contractor must prepare minutes of this meeting, including a follow-up items list for both the selected Contractor and PennDOT, and provide to PennDOT's Project Manager.

Subtask A.1 Deliverable: This is a no cost deliverable. One time attendance at the contract kick-off meeting in Harrisburg, PA.

Subtask Task A.2. Knowledge Transition Work Plan. Within thirty (30) days of the Notice to Proceed, the selected Contractor shall develop and submit to PennDOT's Project Manager for review and approval, a knowledge transition work plan to assume service and maintenance activities from the current Contractor.

Develop and implement a knowledge transition work plan to assume service and maintenance activities currently being handled by the incumbent contractors. This plan will be no less than 90 days and no greater than 180 days in length. The plan's duration and implementation are dependent upon PennDOT approval.

The knowledge transition work plan will take into consideration the following key objectives, including but not limited to:

The key objectives of this task are to:

- i) Transition responsibilities, technical know-how, and business knowledge from the incumbent contractor efficiently and effectively.
- ii) Estimated number of days for completion.
- iii) Accomplish transition within the timeframe specified.
- iv) Manage an orderly transition without disruption of service to users or clients.
- v) Transition work materials such as software, system documentation and development support tools.
- vi) Perform scoping assessments using a measurement system (e.g. Function Point Analysis) to determine the scale of maintenance needs for an application. Contractors are encouraged to offer a measurement system that will be used throughout this contract for planning, estimating, executing, and monitoring maintenance related activities.
- vii) Transition knowledge related to managing the system lifecycle.
- viii) Confirm and develop (where needed) service level agreements for delivery of services to business units.
- ix) Update the proposed detailed transition work plan to reflect adjustments made during the transition task.

The incumbent vendor has developed a **Turnover Plan From Incumbent Vendor** (refer to **Appendix Q**). Contractors should review this Turnover Plan to take into consideration in developing their Knowledge Transition Work Plan.

The knowledge transition work plan shall include:

Task A.2.a: Application and Scope Assessment Report: The selected Contractor shall develop an Application and Scope Assessment Report that should include a list of what types of information will be gathered for each application, the method to be used to collect that information, the format for documenting that information and the plan outlining how that documented information will be preserved. This report is subject to review and revision by PennDOT prior to acceptance. The goal is to demonstrate an understanding of both the business use and technical components/architecture of that application.

Task A.2.b: Transition Staffing Matrix: The selected Contractor is to provide resources that will accomplish predicted work. Offers are to review the Transition tasks in the RFQ and the **In-Scope Applications** appendix (refer to **Appendix T**) to

propose how the Contractor will staff the applications with skilled resources. This matrix is to include the named key resources, their role, when these key resources will start, and the process for ramping up resources during the transition period.

Subtask A.2 Deliverable: One (1) time knowledge transition work plan must be submitted to PennDOT's Project Manager for review and approval prior to the selected Contractor moving forward with **Subtask A.3 – Transition Activities**. The selected Contractor must receive written approval from PennDOT as a Notice to Proceed before beginning **Subtask A.3 – Transition Activities**.

Subtask A.3 Transition Activities: Upon receipt of the written approval from PennDOT's Project Manager for Subtask A. 2 – Knowledge Transition Work Plan, the selected Contractor shall have ninety (90) days, or not later than the expiration of the current Contract with CAI, to implement and complete the transition activities agreed upon by both PennDOT and the selected Contractor as a result of **Subtask A.3** to assume service and maintenance activities currently being handled by the existing incumbent.

Subtask A.3 Deliverable: Successful completion of Transition Activities. Payment will not be made until PennDOT has reviewed, approved and fully accepted the work completed for the transition. Contractors will provide an hourly rate and number of hours for each specified position required for the successful completion of Transition Activities on **Appendix C - Cost Submittal**. The sum of the total number of hours times the hourly rate for each specified position will be used to identify the deliverable cost for this task. Contractors may also refer to **Part II, Section II-10** of this RFQ for more information on the cost.

Subtask A.4 Transition Report: Within thirty (30) days of the completion of **Transition Activities**, the selected Contractor must prepare a report that documents the completion of the transition activities and provides the status of each objective and activity that took place during the transition period. The report must be submitted to PennDOT's Project Manager for review and approval. PennDOT's Project Manager will provide a written notification to the selected Contractor acknowledging acceptance of this task.

Subtask A.4 Deliverable: One (1) time transition report, which shall be submitted to PennDOT's Project Manager for review and approval.

It is anticipated that the benchmarks for **Task A** will be set as the successful completion of each subtask.

TASK B– SERVICE MANAGEMENT

The selected Contractor will perform overall service management tasks related to the activities described in **PART IV, Section IV-2, Nature and Scope of the Project** and **Section IV-3, Requirements**. Responsibilities include the following:

Task B.1. Service Management Work Plans: Provide general management of all of the tasks included in this contract, including updating work plans related to the tasks outlined in this RFQ. Work plans shall be created and maintained in PennDOT's Enterprise Project Management Tool. This will be an ongoing task with close coordination between the PennDOT Project Manager and the selected Contractor's Service Manager. A monthly meeting will be used to review key reports, metrics, and milestones.

Task B.2. Performance Metrics: In consultation with the PennDOT Project Management Team develop, refine, and report performance metrics which target application managed activities. Provide a balanced collection of proposed performance metrics that include quality, productivity, schedule and budget for all application managed activities.

Task B.3. Quality Management: In consultation with the PennDOT Project Management Team develop a Quality Management plan, which provides quality assurance measures for all tasks related to this RFQ. This plan addresses deficiency remediation.

Task B.4. Incident Management: Incident management concentrates on restoring unexpectedly degraded or disrupted services to users as quickly as possible, in order to minimize business impact. The selected Contractor will align their incident management processes with the **Incident Management Plan** template (see **Appendix A**). Within the Transition period, develop an incident management plan for PennDOT review and approval. This plan is to detail specific service failure mitigation actions, response plans, personnel responsibilities, and service team chain of command for incident management. The Selected Contractor will deploy the approved incident management process and provide incident resolution updates monthly and/or as appropriate.

Task B.5. Problem Management: Problem management involves root cause analysis to determine and resolve the underlying causes of incidents, and proactive activities to detect and prevent future problems/incidents. This also includes the creation of known error records that document root causes and workarounds to allow quicker diagnosis and resolution should further incidents occur. The selected Contractor will conduct an after-action-review (AAR) and publish results. The outcome of the AAR may be a corrective action plan.

Task B.6. Staff Management: Supply and supervise experienced, capable, and cooperative technical and support staff dedicated to the tasks outlined in this RFQ. The selected Contractor may acquire additional and/or specialized expertise through the use of subcontract agreements. The selected Contractor, however, is required to have staff that have, or will obtain prior to performing work on the project, training and/or certification in the necessary software solution products. Sub-Contractors must be identified in the proposal according to **Part II, Section II-5** of this RFQ. The selected Contractor is responsible for the management of the

services provided by the Sub-Contractor unless specifically relieved of this responsibility by PennDOT.

Task B.7. Communication: As requested by PennDOT, the selected Contractor shall facilitate information exchanges and information flows with stakeholders and team members on work efforts described in this RFQ. This will include weekly team meetings with PennDOT to plan work and resources. The Plan will be reviewed monthly.

Task B.8. Service Level Agreements: The selected Contractor shall adhere to the service level agreements (SLAs) as described in **Appendix S, Service Level Agreements (SLAs)** and provide a monthly report of performance against the established SLAs.

As part of the proposal, the selected Contractor may propose alternative SLAs and/or service credits; however, these must be submitted on the basis of information included in **Appendix S, Service Level Agreements (SLAs)**, and the proposal must be submitted on the basis that the SLA's in **Appendix S, Service Level Agreements (SLAs)** will apply to this procurement.

PennDOT has developed a base set of SLA's identified in **Appendix S**. Contractors should propose improved and/or additional SLA's that best reflect quality service assurances and controls. As a part of process improvement, throughout the life of the contract, improvement to existing SLA's and/or additional SLA's are to be presented at the monthly review meeting. Changes and/or additions will be agreed upon in negotiations by the selected Contractor and PennDOT.

A monthly meeting will take place with the selected Contractor's Service Manager to review the quality of service provided to PennDOT. It is at this time that PennDOT will evaluate the selected Contractor on a variety of performance criteria, including, but not limited to the SLAs established. If any service deficiencies are identified across the entire contract, the selected Contractor and PennDOT representatives will determine a corrective action plan to ensure that the level of service improves. Remedies for missing specific SLA defined targets will be imposed. If minimal or no improvement occurs in the identified areas, it may be cause for PennDOT to terminate the contract.

If a SLA performance falls below the minimum acceptance level, the following actions will be taken.

- i) A discussion will take place between the selected Contractor's representatives and the PennDOT Project Manager. The selected Contractor will be given a written warning, and a corrective action plan will be developed to improve on the problem areas.
- ii) If a second review occurs with minimal or no improvement in the problem areas,

the selected Contractor will be placed on Notice, and the selected Contractor will be given three months to meet the acceptance level.

- iii) If acceptance level remains below the minimum after the three-month probationary period, PennDOT will retain 3% of the amount invoiced by the selected Contractor for the associated task(s).
- iv) If acceptance level remains below the minimum after a second three-month probationary period, PennDOT will retain 5% of the amount invoiced by the selected Contractor for the associated task(s).

For more substantive issues, PennDOT reserves the right to either use the SLA approach outlined above or proceed with its termination rights in accordance with **IT ITQ Parent Contract #4400004480**.

Task B.9. Reporting: The following reports must be provided:

- i) **Status Reports:** Provide a monthly status report that summarizes activities, accomplishments, issues, risks, mitigation actions, and corrective activities/strategies. Status meetings with the PennDOT Project Management are to be conducted monthly.
- ii) **Performance Reports:** Quarterly report of individual and team performance results (direct staff and subcontracted staff) compared to established performance measures and individual and team specific goals. Goals are set by the Selected Contractor to ensure that the applications are resourced to the most efficient and effective manner.
- iii) **Personnel Reports:** Provide a quarterly high-level summary of personnel and their current tasks and assignments.

Task B.10. IT Support Service Assessment: Compares existing Application Maintenance support services processes, procedures, and methodologies to current ITIL best practices and recommends managed service steps to reduce gaps. This is conducted annually.

Task B.11. Continuous Service Improvement: Conduct health assessments on existing applications and make recommendations on legacy modernization, supportability, and cost of ownership.

PennDOT is continuously seeking improvements to its IT processes, procedures, productivity, and products through coordinating, communicating, streamlining, assessing, and measuring. The selected Contractor is expected to partner with PennDOT on a Continuous IT Service Improvement initiative. For the duration of this engagement, the Contractor will, for example: appraise the tools at its disposal; critique its Service Delivery and Release Management performance; judge the health of applications under its purview. The selected Contractor will provide PennDOT with focus areas, improvement suggestions, benefits, supporting justification/metrics, work plans, and post adjustment valuations.

Additionally, the selected Contractor will be exposed to many of PennDOT's IT practices. Bringing a fresh perspective, the Contractor is encouraged to provide constructive feedback concerning PennDOT's existing IT methods.

The Contractor will prepare and maintain a Continuous Service Improvement Register that will be reviewed quarterly.

Task B.12. Process for Adding/Removing Applications: The Contractor must propose a plan to take responsibility for applications not included in the In-scope Applications appendix (refer to **Appendix T, In-Scope Applications**) as well as modernization efforts to replace and/or decommission existing applications.

Task B: Service Management Deliverables: The deliverables for the above set of service management tasks, B.1 through B.12, are the meetings and reports described in each task in addition to compliance with established Service Level Agreements.

TASK C – ROUTINE MAINTENANCE TASK

The key purpose of this task is to identify, establish, coordinate, monitor, and execute all activities necessary to maintain application availability and provide routine IT service management and application support for PennDOT's business applications. The majority of PennDOT's business applications are in steady state maintenance.

The work activities associated with the Routine Maintenance task include the following:

1. Content management: Respond to changes in content within applications such as pick lists, address, descriptions, etc.
2. Reporting services: This activity, for the most part, is conducted by the business units. There are applications that do require reporting support from this contract.
3. Generate special reports and data extracts requested by business units.
4. Service failures (Refer to **Appendix S, Service Level Agreements (SLAs)** for minimum SLAs): The focus of this task is to manage activities and conduct analysis necessary to resolve service failures and to mitigate errors to prevent service failures.
 - a. An emergency release may sometimes be required to resolve a critical service failure.
 - b. In conjunction with PennDOT, develop new and refine existing scenarios based on best practices for responding to all types of service failure events.
 - c. Respond appropriately to all events according to the predefined, approved Incident Management Plan (see **Task B**). NOTE: There will be infrequent service failures during non-business hours, and some highly mission critical applications require an immediate response in the event of a service failure, even during non-business hours.
 - d. Communicate periodic status updates during incident response.
 - e. Maintain detailed incident records in a PennDOT approved tool.

- f. Provide a quick assessment of criticality, impact to business, risks, and options.
- g. Restore application service.
- h. Provide an after action report within ten business days of the conclusion of corrective maintenance activities. The report should include:
 - i. Chronology analysis in support of problem resolution.
 - ii. Documentation of all emergency changes.
 - iii. Description and schedule for any follow-up changes.
 - iv. Identification of the root cause of the service failure.
 - 1) Maintain interfaces with other internal and external applications.
 - 2) Update user and technical documentation as required.
 - 3) Maintain and update application information in PennDOT's IT Asset Management (ITAM) database for each application within contract scope.
 - 4) Plan/execute/document any required remedial tasks necessary, for example: data, clean-up, reprints, and notifications.
 - 5) Coordinate emergency changes/releases with the respective PennDOT application team manager.
 - 6) In coordination with PennDOT, plan for, test, then modify and test applications in response to various hardware and software versions upgrades or underlying technology obsolescence including, but not limited to both server and PC operating systems, COTS packages and components, browsers, databases, and compiled code.

Task C.1: Quality Management: Quality management involves the development and execution of the Quality Management Plan, which enables the project to satisfy PennDOT's needs and expectations. The purpose of Quality Management is to ensure the consistent delivery of high-quality results throughout the life of this contract. Quality Management permeates all project activities and includes essential contributions to and from project management and risk management. Quality Management establishes policy and functions that promote excellence through the application of established procedures, standards, and tools throughout the project's life cycle. The objectives of this activity are to establish and execute the quality processes.

The selected Contractor shall develop and execute a Quality Management strategy that addresses quality control, quality assurance, and quality improvement throughout the life of this contract. At a minimum, Quality Management shall be applied to configuration management, software development, change control, issue tracking and resolution, testing, and corrective or preventative actions.

Task C.2: Issue and Risk Management: Issue management is the systematic process of identifying and resolving issues that may arise from any activity. Action

items may become issues if they are not resolved timely or effectively. Issues can affect the project work plans if not addressed properly and timely.

A risk is an event or action that has a chance of occurring that may result in a negative effect on the activity. Risk Management is the systematic process of identifying, analyzing, and responding to risk. Once an identified risk has occurred, it becomes an issue and is handled through the issue management process described earlier.

The selected Contractor shall develop and execute an Issue and Risk Management strategy during the life of this contract.

The selected Contractor shall plan for and lead the Issue and Risk Management processes to identify, track and resolve issues (in consultation with PennDOT staff) across all contract activities.

Task C.3: Staffing Management: The selected Contractor shall execute the Staffing Management Plan. This plan should address staff hiring process, onboarding new staff in an efficient manner, organization of staff into appropriate roles and teams to facilitate support for applications and application groups, staff retention metrics, staff dismissal, and transition of knowledge to not disrupt routine maintenance functions . This plan should list what activities the selected Contractor would suggest PennDOT staff be involved in.

Task C.4: Technology Updates: The selected Contractor shall develop and execute a technology update plan. This plan should utilize the Release Management processes - Reference IV-D.1. Release and Release Management.

The selected Contractor shall plan, lead and/or participate as appropriate in the technology update planning process to identify, track and resolve issues (in consultation with PennDOT staff) across all applications.

Task C.5: Incident and Performance Reporting: Task performance reporting- Provide report on overall performance which includes incidents, service failures, and SLAs and KPIs (refer to **Task B.4**).

Performance reporting approach and plan (at start of contract) –Contractors should propose approach to track and communicate progress on monitoring and improving performance. Refer to **Appendix A, Incident Management Process**.

Regular performance reporting - Provide performance reports on a weekly, monthly or quarterly basis depending on the agreed upon performance reporting plan. This also includes providing Post-Incident reports as needed.

Task C.6: Service Failures Report: The service failures report should include a description of incidents and response including an executive summary. The selected

Contractor is to assess the effectiveness of their response and suggest improvements for the future. Refer to **Appendix A, Incident Management Process**.

Task C: Routine Maintenance Deliverables: Routine Maintenance Planning.

Routine maintenance planning will be delivered at the beginning of the task and maintained throughout the contract. This plan will include the tasks below.

TASK D – RELEASE MANAGEMENT TASKS

Release Management Task: Business program areas will request additional business function enhancements as part of this contract. This activity is described in this task.

Manage activities and processes related to sizing and frequency of releases based on application criticality and business priority, amount of work, and conducting the release work following PennDOT's System Development Methodology (SDM) life-cycle at the level agreed upon by PennDOT. Contractors should review the information described in this task and provide a scheduled release approach that will build upon what PennDOT currently uses as well as incorporate best practices to meet business needs in the most efficient and effective manner. The first sub-task described below relates to program management of all releases and the subsequent sub-tasks are related to the sequence of activities related to each individual release. The activities described for individual releases will not be required for every release. **Appendix T, In-scope Applications** provides example information for this past year's set of releases undertaken by the incumbent contractor.

PennDOT currently uses a standard scoping metric, Function Points, across the different applications to define and price a Release. Function points for in-scope applications in this contract are found in **Appendix T, In-Scope Applications**. The Contractor may recommend an alternative method to function points. If recommending an alternative, please include justification.

Releases can be planned up to a year in advance and then scheduled to fit business demands and resource availability. Releases typically occur at intervals of 4-12 weeks depending on the application, release scope, and/or mandated implementation dates. Releases accomplish system enhancements and/or fixes of varying size and may involve defining new requirements, designing new elements, modifying the database, significantly changing current design, including new or altered interfaces, and require iterations of regression, system, and/or user acceptance testing involving PennDOT staff and external business partners. Some releases include extensive implementation planning as well as the planning and execution of training.

Emergency releases resolve situations where the business is severely impacted, a priority transaction cannot be completed, serious data integrity issues arise, or the system is unavailable. Resolutions include code changes and data modifications.

- 1. Releases and Release Management.** Release management manages application release schedules and ensures timely completion of planned activities. Activities included in this task are:

- i) System release schedules that must take into account business cycles and criticality.
- ii) Coordination with BIO and the business area.
- iii) Draft release management plans up to one year in advance (with consultation with PennDOT) and into the future to facilitate capacity planning efforts.
- iv) Submit requests for release support needs through PennDOT's change management system as needed to complete work; service requests should be submitted in a timely fashion to facilitate work planning and scheduling and completion without disruption.
- v) Document and prepare submissions and requests to the change and environment management schedules, as appropriate.
- vi) Manage system releases that include:
 - a. "Bug" fixes
 - b. Technology upgrades/conversions
 - c. System enhancements
 - d. Replacement of obsolete technologies/applications
 - e. Added Business functionality
- vii) Document the acceptance criteria of all release packages.
- viii) Document the business and technical impacts of all planned service outages and report them to the PennDOT Project Manager at least four weeks prior to the planned outage when possible.

Task D.1: Release Program Management Plan: The Contractor is to provide their approach, processes, people for release management in a Release Management Plan to be submitted to PennDOT within the Transition period.

Task D.2: Release Program Management Reports Monthly: The Contractor is to provide monthly updates on release activity for past, present, future releases. The report should include quality, schedule and budget metrics per release.

2. Recurring Release Management: The following sequence of sub-tasks (numbers D.3 through D.15) are guidance for all releases. Some sub-tasks may not be required for all releases. The selected Contractor will work with the assigned PennDOT Project Manager or designee to determine activities for each release.

- i) The deliverables for each release will be based on the release management plan that is established at the start of the release effort.
- ii) The selected Contractor shall assume that all the deliverables listed below will be required. If approved by the PennDOT Project Manager or designee, some deliverables may be waived for a specific release depending on the scope of the release.

Task D.3: Release Management Plan: Prepare release management plans which define tasks, work estimates, dates, resources, etc. These plans should respond to the following requirements:

- i) Requests entered by business units/users into PennDOT's software configuration management tools (i.e. ClearQuest/Team Foundation Server) will be used to prioritize and determine scope for a release.
- ii) Use PennDOT-approved planning processes and track a release using PennDOT's approved tool.
- iii) Leverage and employ application development best practices used with similar systems and processes in industry.
- iv) Release management practices, in accordance with industry best practices – PennDOT currently uses ITIL standards.
- v) Provide accurate level of effort and resource estimates.
- vi) Ensure testing and implementation support activities are clearly defined.
- vii) Prepare, maintain and report on a baseline work breakdown structure for each release.

Task D.4: Detailed Requirements: The Selected Contractor shall be responsible for requirements gathering and validation in order to prepare detailed requirements. The activities for this sub-task include:

- i) Meet with business program/technical experts to define and document detailed business, functional and technical requirements for the component/release package.
- ii) Perform requirements management, traceability, defect tracking, and source code management utilizing PennDOT's standard ALM (Application Lifecycle Management) tool sets.
- iii) Identify and document test scenarios based on defined requirements for the component/release.
- iv) Obtain formal approval of requirements specifications from the business program area. When necessary, schedule, conduct and document requirements review sessions with appropriate business area managers to obtain approval.

Task D.5: Detailed Business Systems Design: The selected Contractor shall be responsible for preparing detailed business system designs. The activities for this sub-task include:

- i) Meet with appropriate business resources including PennDOT staff, business partners, and customers to elicit feedback about the component being designed.
- ii) Provide program and functional insights during design and development.
- iii) Recommend business process reengineering, if required, to enable effective release package use.

- iv) Include a detailed business process flow for all new or modified business processes in the Detailed Business System Design document.
- v) Define business rules needed for release packages.
- vi) Define interfaces needed or impacted for release packages.
- vii) Define detailed data requirements and data elements for each component of release packages.
- viii) Define the user interface using diagrams, screenshots and/or system use cases.
- ix) Identify areas for reuse of previously completed or in-progress components, tables, programs, methods, or any other system element.

Task D.6: Detailed Technical Design: The selected Contractor is responsible to determine, design, and document detailed system specifications for all coding components. The activities for this sub-task include:

- i) Clearly identify any new technical processes and procedures.
- ii) Prepare detailed technical process flows with associated roles and responsibilities for technical administration process changes related to new technical processes or significant changes to existing technical processes.
- iii) Identify how existing or in-progress components, tables, programs, methods, or other system elements will be used to accomplish the requirements of the current component.
- iv) Develop and document batch processing jobs, dependencies, and batch flow diagrams.
- v) Meet with appropriate PennDOT technical staff including application architects, server engineers, database administrators, etc. to elicit feedback about the component(s) being designed.

Task D.7: Code, Build, and Unit Testing: The selected Contractor is responsible to code, build, and unit test. The activities for this sub-task include:

- i) Develop and code all programs and logic according to the specifications contained within the technical design documents.
- ii) Configure Commercial Off-the-Shelf (COTS) solutions to meet PennDOT specific requirements when PennDOT determines it is applicable.
- iii) Create all designed components of the user interface.
- iv) Work with internal PennDOT staff to establish database sizing and space estimates for all tables and supplementary data sources.
- v) Setup and configure middleware, application security, and database tables.
- vi) Define, document, and maintain the Unit Test Plan and Log.
- vii) Submit to code review to ensure adherence to standards, consistency, and maintainability.
- viii) Work with internal PennDOT staff to create batch schedules in the

- various test environments.
- ix) Coordinate development and testing with any changes concurrently being implemented as the result of other initiatives during the release time frame.
 - x) Develop and maintain system documentation.
 - xi) Perform static analysis and security scanning of source code.

Task D.8: System Test Plan: The selected Contractor is responsible to define, document, and execute a system test plan which will include, but not be limited to the following:

- i) Test conditions
- ii) Test scripts
- iii) Test data
- iv) Expected results, including outputs, test schedules, and exit criteria.

Task D.9: System Testing: The selected Contractor is responsible to conduct system testing which will include, but not be limited to the following:

- i) Utilize PennDOT standard testing tools.
- ii) When applicable, establish an automated testing environment for online and batch testing using a consistent, representative test data set.
- iii) Ensure that all functionality of the new component and the remaining functionality of the current system processes correctly after the implementation of each new component.
- iv) Ensure that the new component meets the desired performance level based on anticipated and peak number of users utilizing the system.
- v) Ensure that all security measures within the system release components are functioning properly. This includes user authentication and user authorizations.
- vi) Perform system testing, including but not limited to execution of the test plan, loading and maintaining test data, executing batch streams, verification of expected results, and tracking pass/fail metrics for test scripts.
- vii) Track defects that are found during all phases of testing, assess severity, priority, corrective action, level of effort, and impact on schedule.
- viii) Provide, as requested, system test status which includes pass/fail rate, number of defects by severity code, status of re-work and re-test, and compliance with planned schedule.
- ix) Complete a system test which meets the established exit criteria in order to proceed to user acceptance testing (UAT).

Task D.10: User Acceptance Testing (UAT): The selected Contractor is responsible to conduct user acceptance testing which will include, but not be limited to the following:

- i) Assist PennDOT's business program areas with the planning and preparation (including training) for UAT.
- ii) Facilitate the preparation of the UAT plan, which shall include, but not be limited to test conditions, test scripts, test data, expected results (including outputs), resource requirements, and schedule.
- iii) Oversee and support the execution of the UAT plan, including loading and maintain test data, executing batch streams, assisting with the verification of expected results, and the tracking of defects/incidents discovered during the UAT.
- iv) Track defects that are found during all phases of testing, assess severity, priority, corrective action, level of effort, and impact on schedule.
- v) Correct, retest, and migrate fixes through the normal development environments, prior to redeploying them in the UAT environment.
- vi) Provide, as requested, UAT status that includes pass/fail metrics, number of defects by severity code, status of re-work and re-test, and compliance with planned schedule.
- vii) Facilitate completion of the UAT to meet the established exit criteria in order to proceed to production deployment.
- viii) Obtain sign-off authorization from the affected business program area and the PennDOT Project Manager prior to deploying to production.

Task D.11: User Training Plan: The selected Contractor is responsible to conduct user training which will include, but not be limited to the following:

- i) Document changed or new business procedures including associated roles and responsibilities.
- ii) Create appropriate training materials and pilot the training material developed for each component.
- iii) Deliver training to all affected PennDOT and business partner staff members when specifically required.

Task D.12: Implementation Plan: The selected Contractor is responsible to develop an implementation plan which will include but not be limited to the following:

- i) Develop and document a comprehensive Implementation Plan that defines the entire move from pre-production environment to the production environment. The plan shall include, but not be limited to code migrations, deployment, production check out, fallback/contingency tasks, database scripts, and post-implementation support planning.
- ii) Include conversion and other business/technical transition activity in the implementation plan when needed.
- iii) Coordinate implementation planning with appropriate PennDOT

support team including, but not limited to Change Management, Automations, Database, Shared Environment Management, and the appropriate business program areas.

Task D.13: Implementation: The selected Contractor is responsible for deploying the implementation plan which will include, but not be limited to the following:

- i) Implement on a date approved by the PennDOT Project Manager.
- ii) Successfully execute the implementation plan so that the approved components of the release function as expected in production.
- iii) Execute post-implementation tasks as defined in the implementation plan, including but not limited to providing help desk support, active monitoring of application performance, and resolution of issues/defects.

Task D.14: Post-Implementation Status Report: The selected Contractor is responsible to create and submit a Post-Implementation Status Report which will include, but not be limited to the following:

- i) Document, log and categorize post-implementation defects into PennDOT's standard ALM tools.
- ii) Provide regular post-implementation status reports as defined in the implementation plan.
- iii) Perform an after-action-review (AAR) following selected implementations. When an AAR is conducted, a formal evaluation report shall be completed. AARs will be scheduled for implementations which are particularly complex, or for which significant issues arose which impacted the original implementation plan.

Task D.15: Technical Support Training Plan and Training: The selected Contractor is responsible to create a Technical Support Training Plan and conduct training, as needed, which will include, but not be limited to the following:

- i) When needed, develop a plan to train PennDOT's technical staff that will provide support to implemented system releases.
- ii) Upon request, deliver the technical training to PennDOT's technical staff.

Task D: Release Management Deliverables: Releases and Release Management will be delivered at the beginning and throughout the contract period on a monthly basis. Recurring Release Management will be delivered as specified per release.

TASK E – ADDITIONAL WORK

PennDOT reserves the right to request additional work for this Project by use of negotiation of work orders as described in **Appendix F – Work Order Requirements** and **Appendix G – Sample Work Authorization Page**. Any additional work shall be within the scope of this RFQ and subsequent PO's.

In the event that additional work is identified, PennDOT's Project Manager shall provide the selected Contractor a list of tasks and deliverables needed so that the selected Contractor can provide a Scope of Work and cost breakdown in accordance with **Appendix F – Work Order Requirements**. There is no guarantee that Task E will be used by PennDOT. Each work order will be a deliverable in accordance with **Appendix F – Work Order Requirements**.

- Incorporates a dedicated, separate project management and governance structure
- Facilitates business process change
- Creates a new business system
- Re-writes, modernizes, or extensively expands an existing business system
- Integrates with new or existing business systems
- Responds to new legislative requirements or regulations
- Requires rigorous SDLC activities and documentation

PennDOT intends to:

- Streamline maintenance transition activities
- Selected Contractor should anticipate assuming maintenance responsibility for new systems under this task.
- Accelerate responsiveness to changing business and technical climate
- Ensure staffing continuity
- Deepen business understanding
- Strengthen professional relationships

For each project, the Selected Contractor in consultation with PennDOT will define the scope, project management methodology (waterfall, iterative, agile), resource types needed, and level of detail for SDLC components, schedule and deliverables. Refer to PennDOT IT Project Management Methodologies located in **Appendix W, PennDOT's Project Management Handbook**.

Tasks:

- Task for a project may include, but not be limited up to the following:
- Project Management
- Analysis/Requirements
- Solution Assessment/Gap Analysis
- Ball Park Estimate
- Design
- Development
- Testing

- System Testing
- Regression Testing
- User Acceptance Testing
- Stress/Performance Testing
- Implementation Planning
- Create and maintain documentation
- Training

Deliverables: Deliverables for a project may include but not be limited up to the following:

Project Charter

- Project Plan
- Meeting Agendas and Minutes
- Requirements Document
- Requirements Traceability
- Detailed Business System Design Report
- Establish System Performance Objectives
- Develop Detailed Design Plan
- Application Configuration and Customization Plan
- Testing Plan (includes Unit, System, User, Regression, Stress/Performance)
 - Test Plan
 - Test Cases
 - Test Scripts and Expected Outcomes (includes manual and/or automated)
 - Test Execution and Reporting
- Implementation Plan
- User and Technical Documentation
- Training materials
- Sign-Off to go to Production

Task E: Additional Work Deliverables: will be delivered as specified per negotiated work order.

TASK F – TURNOVER:

The selected Contractor will begin turnover services when PennDOT initiates steps to rebid all or parts of the tasks included in this contract. The Contractor will first develop a turnover plan and follow the steps described in the plan at the predefined triggers during the turnover process.

Task F.1: Turnover Planning: The turnover plan must identify the critical tasks that need to occur to provide a smooth and orderly turnover of functions between the outgoing contractors (i.e. the successful Contractor) and the new contractor and/or PennDOT staff with minimal disruption to business operations. This turnover plan must be submitted to PennDOT for final review and approval no later than 18 months from the planned Notice-to-Proceed for the new contractor. The Selected

Contractor should anticipate the approved turnover plan will be published as part of the upcoming bid package. The work activities associated with this task include, but are not limited to, the following:

- Activities necessary to turn over the business application functions in an orderly manner.
- Specialized technical transition of applications.
- Resources required, including those from PennDOT, the Contractor, and any new contractor.
- System turnover objectives and work plan activities a Gantt chart, including activity time frames and responsibilities.

Task F.2: Service Turnover: One hundred eighty (180) days prior to expiration of the contract that results from this RFQ, the selected Contractor is responsible for delivery of the following:

- Services to ensure a smooth and orderly transition of functions, programs, responsibilities, services and systems to PennDOT or to another entity specified by the Commonwealth.
- Transitioning the business applications and providing the updated versions of system documentation according to the approved turnover plan.
- Turning over the following documents/information:
 - Production program documentation and any updated procedures
 - All source code
 - Final user and system documentation
 - All assets and artifacts in a neatly organized, easily navigable and normalized taxonomy
 - References and operational instructions to technology assets
 - General procedures for updating computer programs, data and reference files, JCL and all other documentation
 - Any information that is currently in use to support application processing including information about common call support resolutions.

Task F.3: Service Review and Final Turnover Report: At the end of the turnover phase transition period, the Contractor must prepare a report that documents the completion of turnover activities, and provides status of each high-level task and activity that took place during the full service period.

At a meeting, the selected Contractor and PennDOT will review the Final Turnover review. The accomplishments, good and bad lessons learned, and where things could be improved will be discussed and documented.

Task F: Turnover Deliverables: will be delivered as specified above.

IV-5. Reports and Project Control:

Provide reports and project control as specified in **Appendix B, Deliverables Requirements.**