

Request for Proposal #18PSX0107

Independent Verification and Validation Services

Contract Specialist: **Tina Costanzo**

Date Issued: **13 November 2018**

Due Date: **29 November 2018 at 2:00 pm Eastern Time**

**Department of Administrative Services
Procurement Division**



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Request for Proposals (RFP)

INDEPENDENT VERIFICATION AND VALIDATION SERVICES

Guide to Electronic Proposal Submissions

1. Introduction To BizNet

It is now a requirement of Department of Administrative Services (DAS)/Procurement Division that all Companies create a Business Network (BizNet) Account and add their company profiles to the State of Connecticut BizNet system. Companies are responsible for maintaining and updating company information in their BizNet Accounts as updates occur. Companies that have been certified through the Supplier Diversity or the Pre-Qualification Program have already created a BizNet account.

The BizNet login is: <https://www.biznet.ct.gov/AccountMaint/Login.aspx>

New Companies: Create an account by clicking the BizNet login link above and then the button on the right labeled "Create New Account". Login and select Doing Business with the State and Company Information. Please be sure to complete information in all tabs (Company Information, Accounts, Address, etc...).

Existing Companies Needing to Update Their Information: Login to BizNet and select Doing Business with the State and Company Information.

Anyone having difficulty connecting to their account or downloading or uploading forms should call DAS/Procurement Division at 860-713-5095.

2. Business Friendly Legislation

As a result of Public Act 11-229, DAS/Procurement Division's goal is to make doing business with the State of Connecticut more business friendly. To eliminate redundancy, forms that were repetitively filled out with each request for proposal are being automated in BizNet.

DAS/Procurement Division began the transition to on-line bidding by automating the submission of Affidavits and Non-Discrimination forms on October 1, 2011. Companies must submit forms electronically to their BizNet account if they haven't already done so. These forms must be updated on an annual basis, no later than 30 days after the effective date of any material change. Rather than completing them with each proposal submittal, companies that have already filed these forms have the ability to view, verify and update their information prior to submitting a proposal response.

Instructions for Uploading Affidavits and Non-Discrimination Forms:

Click on the following link for instructions on how to upload Affidavits and Non-Discrimination forms:

<http://das.ct.gov/images/1090/Upload%20Instructions.pdf>

(a) AFFIDAVITS

THE FOLLOWING FORMS MUST BE SIGNED, DATED, NOTARIZED, UPLOADED OR UPDATED ON BIZNET. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN INTO BIZNET AND FOLLOW THE INSTRUCTIONS LISTED ABOVE.

- (1) OPM Ethics Form 1 – Gift & Campaign Contribution Certification
- (2) OPM Ethics Form 5 – Consulting Agreement Affidavit
- (3) OPM Ethics Form 6 – Affirmation of Receipt of State Ethics Laws Summary
- (4) OPM Ethics Form 7 – Iran Certification

For information regarding these forms, please access the Office of Policy & Management’s website by clicking on the following link: <http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038>

(b) NON-DISCRIMINATION –

CHOOSE ONE (1) FORM THAT APPLIES TO YOUR BUSINESS. COMPLETE AND UPLOAD OR UPDATE ON BIZNET ANNUALLY. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN INTO BIZNET AND FOLLOW THE INSTRUCTIONS LISTED ABOVE.

- (1) Form A – Representation by Individual (Regardless of Value)
- (2) Form B – Representation by Entity (Valued at \$50,000 or less)
- (3) Form C – Affidavit by Entity (RECOMMENDED) (Valued at \$50,000 or more)
- (4) Form D – New Resolution by Entity
- (5) Form E – Prior Resolution by Entity

For information regarding these forms and on which form your company should complete, please access the Office of Policy & Management’s website by clicking following link:

http://www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav_GID=1806

3. Online Proposal Responses

Any proposal posted by DAS/Procurement Division must be submitted electronically. The common forms listed below have also been automated in the BizNet system. In addition, specific forms are now fillable, as noted below. To complete forms; download them from your BizNet account, complete your submittal response, and then upload these completed documents (as well as any other required submittal documents) through BizNet prior to date and time upon which the Proposal is due pursuant to the RFP. Late submissions will not be accepted. All proposals response submitted must be e-signed. Proposals that are not e-signed are not received by DAS/Procurement and cannot be viewed or considered. If any required documents have not been uploaded, the system will not allow you to e-sign. After successful e-signature, Proposers will get a confirmation that their proposal has been successfully submitted. If you do not receive this electronic confirmation, please contact DAS/Procurement at 860-713-5095. Proposals are not publicly opened and are not available for viewing until after the Contract has been awarded.

- Contractor Information/Electronic Signature Page – Web Based fillable Form
- Employment Information Form (DAS-45) – Web Based fillable Form
- Statement of Qualifications (DAS-14) – PDF Fillable Form
- Connecticut Economic Impact Form (DAS-46) – Web Based fillable Form
- Contract Exhibit B – Price Schedule (RFP-16)
- RFP Addendum (RFP-18) – if applicable

Additional forms such as those listed below must be reviewed carefully and accepted by the proposer prior to proposal submittal:

- Request for Proposal IT Contract (RFP-50IT)
- Exhibit 1 – Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitations Limitations

4. Insurance Accord Certificates

Contractors are responsible for maintaining their BizNet accounts with new and/or updated insurance information.

The following documentation will need to be uploaded to each company's BizNet account and evidencing that the State is an additional insured:

- (a) Certificate of Insurance (Accord Form)
- (b) The insurance policy declaration page
- (c) The additional insured endorsement to the policy

Training documentation relating to the completion of the above-reference forms is available through the DAS Website under "DAS Business Friendly Initiatives" at the following website: <http://das.ct.gov/cr1.aspx?page=371>

Proposers are cautioned that there may be additional documents, attachments or requirements depending on the complexity of the RFP. Please read ALL RFP documents carefully and provide all required information. Failure to do so may result in rejection of your proposal.

Overview

Independent Verification and Validation (“IV&V”) services are used for checking that a product, service or system meets requirements and specifications and that the intended purpose of the product, service or system is fulfilled.

The State of Connecticut Department of Administrative Services (“DAS”) is issuing this Request for Proposal to solicit proposals for Independent Verification and Validation (“IV&V”) Services for a variety of business and technical disciplines for All Using State Agencies, Political Subdivisions, and qualified Not-for-Profits.

Scope of Services

It is anticipated that the resulting contract will provide multiple contractors that provide a variety of IV&V services for individual projects that span several business and technical needs. Contractors must demonstrate a solid depth of experience and resources and have extensive prior experience in the areas of services and business disciplines proposed.

In some cases, projects may span extensive timeframes and include a collection of several projects that require collaboration and partnership with other state, local and federal agencies, and State contracted suppliers. Projects funded in whole or in part by federal funds may require adherence to applicable federal regulations or other federal guidance and will be identified in a Statement of Work.

- I. Statements of Work
 - A. Once a contract is in place, the State will request quotations from a minimum of 2 to 3 contractors through a Statement of Work. An award will be made to the most advantageous response that satisfies the needs of the individual project, and may be based on cost, project timelines, or other business need drivers. The selected contractor(s) will be issued a purchase order for that individual Statement of Work.
 - B. In some cases, to ensure independence, the selected Contractor(s) or Contractor Parties, must not report to the same agency or department that oversees the specified project in the Statement of Work, and may also be excluded from competing in procurements to provide other services within the project. Any such exclusions will be identified in the individual Statement of Work as applicable.
 - C. Contractor(s) will actively participate in the project(s) identified in each Statement of Work and provide ongoing assessments to proactively identify risks, issues, and opportunities along with associated recommendations for the project team. Project processes, work products, and deliverables may differ between Statements of Work.
 - D. As specified in individual Statements of Work, Contractor(s) shall ensure that all items under review continue to pass specified IV&V review processes. In some cases, iterative review will

continue throughout the project life cycle to determine whether plans, methods, and products fulfill the requirements placed on them by project requirements, previous iterations, phases, or steps, and whether they are internally complete, consistent, and sufficiently correct to adequately support the next iteration, phase, and step.

E. The Statement of Work must include, as applicable:

1. IV & V Specifications, Requirements and Deliverables
2. Requirements for adherence to applicable federal regulations or other federal guidelines
3. Required reports and/or reviews
4. Delivery Milestone, implementation schedule and timing
5. Mandatory skills or experience required of Contractor Personnel
6. Pricing and any applicable milestone payments pursuant to Exhibit B – Pricing Methodologies
7. Acceptance Criteria
8. Applicable training requirements

The State may elect to conduct **Oral Presentations** to clarify capabilities, introduce key proposed personnel, or address any questions or concerns. This will be identified in each Statement of Work as applicable.

II. Lines of Business requiring IV & V services may include:

- A. Financial Services and General Business
(e.g., finance, accounting, tax, asset management, education)
- B. Health and Human Services
(e.g., Medicaid, public health, social services, child welfare services, child support enforcement services, health and social programs, with some projects requiring expertise and experience with specific state and federal regulations, collaboration with a variety of stakeholders across the healthcare delivery system)
- C. Information Technology
(e.g., system implementation, telecommunications, system integrations, system modernization projects, data management)
- D. Environmental Services and Programs
(e.g., environmental protection, local, state and federal regulations required within the scope of a project)
- E. Emergency and Protective Services and Programs
(e.g., local and state police, emergency management, criminal justice, judicial, local, state and federal regulations)
- F. Transportation and Infrastructure
(e.g., roadway and bridge construction projects, airports, transportation, local, state and federal regulations)

Instructions to Proposers

1. Proposal Schedule

RELEASE OF RFP:	Date:	November 13, 2018
RECEIPT OF QUESTIONS:	Date:	November 16, 2018
ANSWERS TO QUESTIONS POSTED AS ADDENDUM:	Date:	November 19, 2018
RFP DUE DATE:	Date:	November 29, 2018

2. Pre-Proposal Meeting Requirements

This RFP contains no pre-proposal meeting requirements.

3. Questions

Questions for the purpose of clarifying this RFP must be received no later than the date and time specified in Section 1, "Proposal Schedule" and must be directed to the Contract Specialist, Tina Costanzo via email: tina.costanzo@ct.gov.

4. Communications

During the period from your organization's receipt of this Request for Proposal, and until a contract is awarded, your organization shall not contact any employee of the State of Connecticut concerning this procurement except in writing directed to the Contract Specialist, Tina Costanzo via email: tina.costanzo@ct.gov.

5. Solicitation Submission

Solicitations shall be submitted online by the RFP due date and time only. Proposers shall upload their solicitation submission to their BizNet Account.

Description of Goods & Services Specifications and Additional Terms and Conditions

1. DESCRIPTION OF GOODS AND SERVICES:

The following Goods and Services “Requirements” may be included in future scope of services documents that agencies will use later to solicit Statements of Work from qualified contractors:

- a. Project Management
- b. Independent Assessment and Quality Assurance
- c. IV&V Status Meetings and Reporting
- d. Federal Compliance
- e. Operational and System Readiness
- f. IV&V Deliverables and Work Products
- g. Organizational Staffing
- h. Logistics
- i. Privacy and Security

2. ADDITIONAL TERMS AND CONDITIONS:

(a) Pricing Methodology

For each Statement of Work, one of four pricing methodologies will be identified as described in the Pricing Schedule.

(b) P-Card (Purchasing MasterCard Credit Card)

Purchases made by the Client Agency from the Contractor that are less than \$1,000 may be made using the State of Connecticut Purchasing Card (MasterCard) in accordance with Memorandum No. 2011-11 issued by the Office of the State Comptroller.

Contractor shall be equipped to receive orders issued by the Client Agency using the MasterCard. The Contractor shall be responsible for the credit card user-handling fee associated with MasterCard purchases. The Contractor shall charge to the MasterCard only upon acceptance of Goods delivered to the Client Agency or the rendering of Services.

The Contractor shall capture and provide to its merchant bank, Level 3 reporting at the line item level for all orders placed by MasterCard.

Questions regarding the state of Connecticut MasterCard Program may be directed to Ms. Kerry DiMatteo, Procurement Card Program Administrator at 860-713-5072.

(c) Security and/or Property Entrance Policies and Procedures

Contractor shall adhere to established security and/or property entrance policies and procedures for each requesting Client Agency. It is the responsibility of each Contractor to understand and adhere to those policies and procedures prior

to any attempt to enter any Client Agency premises for the purpose of carrying out the scope of work described in this Contract.

(d) Conflict of Interest

Any Contractor or Contractor Party serving in the role of independent verification and validation (IV&V) service contractor/provider for a Connecticut project is prohibited from soliciting, proposing, or being awarded any project management, quality assurance, software/systems design, development, or other manner of planning, design, development, or implementation phase activity on the project for which these IV&V services are being procured.

This exclusion is executed in accordance with guidance for projects financed in whole or in part with public funds, for example, 45 CFR §95.626 (b), which requires that IV&V efforts be conducted by an entity that is independent from the State’s umbrella agency or department overseeing the project. The primary purpose of this exclusion is to ensure that the IV&V service provider avoids any real or perceived conflicts of interest.

Independent IV&V is the set of verification and validation activities performed by an agency not under the control of the organization developing the software/systems. IV&V services must be provided and managed by an organization that is technically and managerially independent of the subject software/systems development project. This independence takes two mandatory forms.

First, technical independence requires that the IV&V services provider organization, its personnel, and subcontractors are not and have not been involved in the software/systems development or implementation effort or in the project’s initial planning and/or subsequent design. Technical independence helps ensure that IV&V review reports are free of personal or professional bias, posturing, or gold plating.

Second, managerial independence is required to make certain that the IV&V effort is provided by an organization that is departmentally and hierarchically separate from the software/systems development and program management organizations. Managerial independence helps ensure that the IV&V service provider can deliver findings and recommendations to state and/or federal executive leadership and management without restriction, fear of retaliation, or coercion (e.g., reports being subject to prior review or approval from the development group before release to outside entities, such as the federal government).

In Connecticut, the IV&V contractor may report to the Chief Information Officer or his designee at the Bureau of Enterprise Systems and Technology (BEST), Department of Administrative Services.

- e. With respect to all vacancies of key personnel during all phases, DAS/BEST must receive a credit equal to the hourly rate as identified on the cost sheet for the corresponding labor category, prorated for each day or partial day until the position is satisfactorily filled. For vacancies due to any reason other than dismissal of the applicable individual by the State, the credit must begin to accrue at the time the vacancy occurs. For vacancies that occur due to DAS/BEST's request, the credit must begin to accrue on the sixtieth (60th) calendar day after the vacancy occurs. Key personnel must be replaced with individuals with comparable experience and qualifications as those submitted by the contractor in the proposal and must meet the requirements of the key positions. State approval is required prior to assigning key personnel to work on the contract. The IV&V contractor is required to submit resumes and allow the State to interview applicants as part of the approval process.

Proposal Requirements

1. Contract Period

The State intends that this contract shall be in effect for a period of 7 years from the Contract effective date. The State may, at its sole discretion, extend this Contract for additional terms beyond the original term, prior to Termination or expiration, one or more times for a combined total period not to exceed the complete length of the original term, but only in accordance with the section in this Contract concerning Contract Amendments.

2. Quantities and/or Usages

Any quantities set forth in this RFP are estimated quantities and/or usages only and in no way represent a commitment and/or intent to purchase any particular amount. Actual quantities may vary and will be identified on individual purchase orders issued by the requesting entity.

3. Stability of Proposed Prices

Any price offerings from proposers must be valid for a period of 180 days from the due date of the proposals.

4. Amendment or Cancellation of the RFP

DAS reserves the right to cancel, amend, modify or otherwise change this RFP at any time if it deems it to be in the best interest of the State to do so.

5. Proposal Modifications

No additions or changes to any proposal will be allowed after the proposal due date, unless such modification is specifically requested by DAS. DAS, at its option, may seek proposer retraction and/or clarification of any discrepancy or contradiction found during its review of proposals.

6. Proposer Presentation of Supporting Evidence

Proposers must be prepared to provide any evidence of experience, performance, ability, and/or financial surety that DAS deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

7. Proposer Demonstration of Proposed Services and or Products

At the discretion of DAS, proposers must be able to confirm their ability to provide all proposed services. Any required confirmation must be provided at a site approved by DAS and without cost to the State.

8. Erroneous Awards

DAS reserves the right to correct inaccurate awards.

9. Proposal Expenses

Proposers are responsible for all costs and expenses incurred in the preparation of proposals and for any subsequent work on the proposal that is required by DAS.

10. Ownership of Proposals

All proposals shall become the sole property of the State and will not be returned.

11. Ownership of Subsequent Products

Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State unless otherwise stated in the contract.

12. Oral Agreement or Arrangements

Any alleged oral agreements or arrangements made by proposers with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

Selection Criteria

A selection committee will review and score all proposals. The following information, in addition to the requirements, terms and conditions identified throughout this RFP Document, will be considered as part of the Selection process and are listed in order of relative importance.

1. Applicable Content

- (a) Demonstrated ability to provide IV & V services for specific business disciplines as proposed
- (b) Demonstrated experience with local, state and federal requirements for each Line of Business proposed

2. Business Information:

- (a) Staffing and Personnel
- (b) References
- (c) Set Aside Status

3. Account Management

- (a) Strategy for managing contract and customer service approach

4. Value

- (a) Price Schedule

DAS may award by individual item, group of items, or the entirety of all items. DAS may also reject any and all RFPs in whole or in part, and waive minor irregularities and omissions if the best interest of the state will be served.

Submittal Requirements

1. Applicable Content

- (a) Complete response to Scope of Services, Section II, Lines of Business
- (b) Complete response to Description of Goods & Services, Specifications and Additional Terms and Conditions, Section 1
- (c) Describe specific experience with local, state and/or federal requirements, in particular for adherence to federal regulations or other federal guidelines applicable to Lines of Business below for which proposer would be qualified to submit Statements of Work. Please be explicit in identifying the federal programs and/or guidelines where experience has been gained.
 - Financial Services and General Business, Health and Human Services, Information Technology, Environmental Services and Programs, Emergency and Protective Services and Programs, Transportation and Infrastructure.
- (d) Provide a minimum of 2 recent contracts awarded that demonstrate the scope and nature of the IV & V engagement and experience.

2. Business Information:

- (a) Describe availability, access to, and qualifications of, staffing available for the IV & V services for the Line (s) of Business proposed.
- (b) Past 2 years financial statements
Should proposers wish this information to be considered confidential, proposers should mark this information as "Confidential". This information will not be made viewable to the public and will only be reviewed by the evaluation committee.)
- (c) Client References:
 - c-1. Provide three (3) Client references with recent IV & V contracts (any Line of Business).
 - c-2. Provide two (2) Client references (can be two of the references provided in c-1, above) where the proposer has engaged in work requiring collaboration with federal requirements and regulations. Please include the name of the applicable federal program (e.g., Medicare, Medicaid, Child Support Enforcement, Transportation, FAA, etc.)

For each reference, please provide the following:

Name of company, Contact name, Telephone number, Email address, and Description of work provided

Should proposers wish this information to be considered confidential, this information should be placed in a sealed envelope marked "Confidential", this information will not be made viewable to the public and will only be reviewed by the evaluation committee.

(d) DAS Set Aside Certificate

3. Account Management

(a) Plan for contract management

4. Value

(a) Price Schedule

Attachment 1 - Sample Contract

This RFP is not a contract and, alone, shall not be interpreted as such. Rather, this RFP only serves as the instrument through which proposals are solicited. The State will pursue negotiations with the proposer whose proposal scores highest. If, for whatever reason, DAS and the initial proposer fail to reach consensus on the issues relative to a contract, then DAS may commence contract negotiations with other proposers. DAS may decide at any time to suspend the current RFP process and start the RFP process again.

Attachment 1 to this RFP is a draft contract and it is included in this RFP for informational purposes only in order to show some contract provisions that the State of Connecticut requires. It is not intended to, and will not, be the specific contract that the State and the successful vendor(s) will sign. After DAS selects a vendor, DAS will deliver a draft contract to the vendor for consideration and negotiation. The contract that DAS and the successful vendor will sign may vary from Attachment 1. The contract may include a liquidated damages clause at the discretion of the State.