

# **IT Professional Technical Services Master Contract**

## **Statement of Work (SOW) For Technology Services Issued By**

**Minnesota Office of Enterprise Technology  
IT Standards and Resource Management (ISRM)**

**Project Title: Automate the IT Professional/Technical Approval  
Process as part of the Enterprise Document Management System**

**Service Categories: Architecture Planning & Assessment -  
Information/ Data; Analyst – Business; Server - Application (Design &  
Development) - Web Applications Specialist - .NET/ASP - Web  
Applications Specialist - Java/JSP/Servlets**

### ***Business Need***

The Office of Enterprise Technology, IT Standards and Resource Management Division (ISRM) is in need of consultant/developer to assist in the design, development and implementation Phase I of an Electronic Document Management Service, (EDMS) using either IBM FileNet or Microsoft SharePoint. Phase I of the project will be piloted first by the departments of Human Services, Public Safety, and Transportation. The Office of Enterprise Technology will manage the contractor(s).

The State of Minnesota has already invested in adding both FileNet and SharePoint to their Enterprise infrastructure.

Upon completion of Phase I, the state will determine whether to proceed with the second phase of the project. In the event it is determined to proceed to Phase II, the state may proceed via an amendment to the original work order or alternatively conduct a new competitive solicitation. Phase I involves the approval process in general, Phase II will focus on archival of past “Approved” forms and retention of files.

This statement of work does not obligate the state to award a contract or complete the project. Furthermore, the state reserves the right to cancel this solicitation if it is in the state’s best interest.

### ***Project Background***

Minnesota state agencies have a statutory requirement (Statute 16E.03) to go through the Office of Enterprise Technology when purchasing IT products and services for a particular need. The Materials

Management Division (MMD), a Division of Department of Administration, is also a part of the approval process when a request has been submitted by an agency.

Today, this submission process involves moving paperwork from one checkpoint to another leaving many wondering about where their request is in a process that involves multiple reviewers/approvers. The current process promotes redundancies in data entry, and depends on a courier or staff to transport the paper request from point A to point B.

It is the goal of this project to turn this manual forms-driven process into a Web-based automated system which will incorporate total transparency of the process for everyone who uses it. This automation is expected to decrease turnaround time and make the use of the forms, and the process, more efficient.

## ***Business Requirements***

1. IT forms/templates must be easy to access and downloadable
  - a. Forms include 902TS Master Contract, RFP, Statement of Work, and Single source (Approximately 175 forms yearly, which could have multiple attachments)
2. Must have easy to read and comprehensive instructions for determining which form to use and how to fill it out
3. Must have ability to submit form automatically; uploading the form, posting it for review
4. Review process must offer several approval path options; including several checkpoints depending on need and the ability to expedite an approval
5. Must include the ability for authorized users of system to see status of form once it is submitted; where it is at any given time; from submitting for review through the review processes toward final approval and posting
6. As forms are constantly being revised, versioning of forms is needed to ensure readability or to address any ambiguity aspects of each form, the most recent being identified as "NEW" in the system
7. Ensure that there is a means to gathering data and measuring approval turnaround time; reasons for delay of approval or any process setbacks would be logged with a timestamp
8. Ability to append comments to the form as it is in the review mode; commenting/noting reasons for any delay to the approval process (timestamp captured)
9. Information identifying the form and details of various sections must be stored in a central Access database serving to track activity and status of approval process (monthly, quarterly, annually)
10. An automated email alert will be sent regularly to remind approvers of requests in process; events to trigger emails would include:
  - a. Initial request "New Submission"
  - b. Approvers comments and progress of form to next approver "In Review"
  - c. Request delayed; reason for delay of request sent to submitter; form needs more work
  - d. Approvers sign-off status "Approved"
  - e. Request status "Denied"

11. This Web-based system will be user-friendly, intuitive, and accessible to people with disabilities (Accessibility initiative 508 and WCAG 2.0)
12. The Web system interface will require users to use a secure log-in method
13. Final approvals must involve both a timestamp and a method of capturing an electronic signature and applying it to the form which would then be posted as “Approved” and viewable

## *Assumptions*

1. This project involves the MMD forms and templates used by OET only
2. Whatever system is implemented it must integrate with the State’s future SWIFT (Statewide Integrated Financial Tools)
  - a. This project is considered a pilot for other OET and MMD purchase requests
3. User-base consists of 60 –75 users
  - a. Contract Coordinators (60) - Requestors
  - b. OET and MMD reviewers (15)– Approvers
4. The solution will be scalable so that volume of data will not impact usage and can be used for other programs at ISRM
  - a. This system will have the ability to display processes numbering from 12 – 24 RFPs and 150 SOWs annually (there can be multiple files that accompany a form through the approval process)
5. Various agencies may have alternate processes identified to expedite an internal approval before submitting documents to the OET for approval. The solution would be adaptable to these internal process variations.

## *Environment Aspects*

### FileNet

- **Version:** IBM FileNet P8 4.0 - moving toward 4.5.1
- **Operating System:** SUN for the Application and Web server, Windows 2003 for supporting servers
- **Server:** IBM WebSphere App Server
- **Database:** Oracle 10G
- **Framework:** J2EE/SOAP (Simple Object Access Protocol)

### SharePoint

- **Version:** MOSS (Microsoft Office SharePoint Server) 2007 Enterprise
- **Operating System:** Windows 2008 OS 64-bit edition
- **Server:** WebSphere App Server IIS 7.0
- **Database:** SQL Server 2005
- **Framework:** .NET

## *Project Deliverables*

The contractor selected will be responsible for designing and developing the P/T Approval process interface for electronic document submission to the Office of Enterprise Technology EDM Service Project. This includes:

- Define and document Business Requirements for the IT P/T EDMS Program; streamline the approval process and identify record retention schedules for tracking and reporting based on state guidelines

- **Define and document Index Fields to be consistent with Office of Enterprise Technology's electronic document management naming standards and conventions**
- **Define and document scanning process for off-line and on-line scanning and creation of document files**
- **Define End Users' roles and profiles**
- **Define End User Security**
- **Develop a Business interface model for Office of Enterprise Technology which is a guide for implementation of other business process FileNet/SharePoint projects involving the use of forms/templates**
- **Training/Knowledge Transfer-IT Professional Technical Services Contract Coordinators and administrative approvers**
- **Operational system implemented and rolled out by March 31, 2010**
  - **Scoring of proposal and Interviews of candidates – early January 2010**
  - **Development resource on board – mid January 2010**
  - **Design deliverable – due date: Feb. 1, 2010**
  - **Development & Testing complete – March 9, 2010**
  - **Implementation complete – March 31, 2010**

### ***Project Milestones and Schedule***

- **We anticipate that the contractor will have development staff on site beginning January 25, 2010 and ending March 31, 2010.**
- **Business analysis to elicit requirements and high level design will be prepared and provided by ISRM Business Analyst upon selection of consultant; around January 25, 2010**
- **Development and testing phase begins in early February and ends March 9, 2010**
- **Implementation of the deliverables would be between March 10 and March 31, 2010**
- **The contractor will be expected to complete all the deliverables listed by March 31, 2010**

### ***Project Environment (State Resources)***

- **ISRM will provide oversight and technical assistance to the vendor to complete the deliverables and to assure that the final product is compatible with OET's EDMS infrastructure**
- **ISRM will provide staff with business responsibility and knowledge to assist in the design, implementation and testing of the deliverables.**
- **OET will provide a development environment and staff to assist with the development.**

### ***Responsibilities Expected of the Selected Vendor***

- **Provide subject matter experts as needed to complete all required components of this statement of work**
- **Provide weekly written status reports, updated issue logs and other relevant communication as needed to Project Manager**
- **Complete all deliverables under the contract in the designated timeframe**

## ***Required Skills (These are minimum requirements to be scored as pass/fail requirements)***

*Submit one resume for either the FileNet or the SharePoint resource. You may submit resources for both.*

- Three years experience developing interfaces using IBM FileNet 4.X
- Three years experience in Document Management certification with IBM FileNet 4.X.
- Three years experience business process and rules engine with IBM FileNet 4.X.
- Three years automated workflow expertise using IBM FileNet 4.X.

### **And/or**

- Three years experience developing document sharing and file management interfaces using SharePoint
- Three years experience creating business process rules for form versioning control and SharePoint approval workflow
- Three years experience configuring reports for tracking process activity
- Three years experience in creating automated event notification and SharePoint email alerts for collaborative task management

## ***Desired Skills***

- Three years experience leading the development and installation of EDMS service solution.
- Past projects examples with business process management and Enterprise Document Management Systems
- Past projects examples with state document management at an enterprise or department level for records retention
- Three years EDM Services-FileNet/SharePoint
- Three years of development experience using .NET or SharePoint web services

## ***Process Schedule***

- |  |                             |
|--|-----------------------------|
| • Deadline for Questions                     | 01/11/2010, Time 4:30PM CST |
| • Posted Response to Questions               | 01/15/2010, Time 4:30PM CST |
| • Proposals due                              | 01/19/2010, Time 4:30PM CST |
| • Anticipated proposal evaluation begins     | 01/21/2010, Time 8:30AM CST |
| • Anticipated proposal evaluation & decision | 01/28/2008, Time 4:30PM CST |

## ***Questions***

Any questions regarding this Statement of Work should be submitted via mail or e-mail by 1/11/2010, Time 4:30PM CST.

Name: Steve Gustafson

Department: Office of Enterprise Technology

E-mail Address: [steve.gustafson@state.mn.us](mailto:steve.gustafson@state.mn.us)

Questions and answers will be posted on the Office of Enterprise Technology web-site by 1/15/2010, Time 4:30PM CST ([http://www.oet.state.mn.us/mastercontract/statements/mcp902ts\\_active.html](http://www.oet.state.mn.us/mastercontract/statements/mcp902ts_active.html)).

## ***SOW Evaluation Process***

- The evaluation will be conducted by a team consisting of ISRM staff and representatives from the project pilot agencies, Department of Human Services, Department of Public Safety and Transportation. ISRM reserves the right to conduct interviews with prospective candidates as part of the evaluation process. The evaluation will be based on a 100 point scale.
  - Experience: 35%
  - Knowledge: 25%
  - Cost: 30%
  - Project approach 10%

## ***Response Requirements***

Responder must present a written proposal that includes:

- Introduction
- Company overview
  - a) Company history, growth
  - b) Current financial data if publicly available
- Project Overview
- Detailed response to “Business/Project Requirements”
  - a) Description of the vendor’s response to the need and explanation of their proposed solution.
  - b) Explain how the proposal will meet the requirements listed above.
  - c) For each “response,” vendor would need to explain how their proposal suits the business/project requirements. If a modification or conversion is foreseen, state reasoning.
  - d) Include description of potential system configuration using Access database.
- Detailed response to “Project Approach”
  - a) Explain how the vendor will approach their participation in the project. This includes:
    - 1) Organization and staffing (including staff qualifications, resumes, etc.)
    - 2) Work-plan with life-cycle cost breakdown to suit evaluation criteria
    - 3) Contract/change management procedures
    - 4) Project management (e.g. quality management, risk assessment/management, etc.)
    - 5) Documentation of progress such as status reports
- References: Provide three clients using the solution
- Resume of potential candidate(s)
- Cost-Hourly rate for each individual assigned to the project along with a breakdown of total estimate hours – total not to exceed \$40,000
- Conflict of interest statement as it relates to this project
  - Required forms to be returned or additional provisions that must be included in proposal
    - a) Affidavit of non-collusion: <http://www.mmd.admin.state.mn.us/doc/noncollusion.doc>
    - b) Location of Service  
Disclosure:<http://www.mmd.admin.state.mn.us/Doc/ForeignOutsourcingDisclosureCertification.doc>
    - c) Veteran-Owned/Service Disabled Veteran-Owned  
<http://www.mmd.admin.state.mn.us/pdf/vetpref.pdf>

## ***Proposal Submission Instructions***

Submit proposal and resume(s) via e-mail to [steve.gustafson@state.mn.us](mailto:steve.gustafson@state.mn.us) by 4:30 PM CST on 01/19/2010. The expected date of the completed evaluation is January 28, 2010.

# ***General Proposal Requirements***

## **Proposal Contents**

By submission of a proposal, Responder warrants that the information provided is true, correct and reliable for purposes of evaluation for potential award of this work order. The submission of inaccurate or misleading information may be grounds for disqualification from the award as well as subject the responder to suspension or debarment proceedings as well as other remedies available by law.

## **Disposition of Responses**

All materials submitted in response to this SOW will become property of the State and will become public record in accordance with Minnesota Statutes, section 13.591, after the evaluation process is completed. Pursuant to the statute, completion of the evaluation process occurs when the government entity has completed negotiating the contract with the selected vendor. If the Responder submits information in response to this SOW that it believes to be trade secret materials, as defined by the Minnesota Government Data Practices Act, Minn. Stat. § 13.37, the Responder must: clearly mark all trade secret materials in its response at the time the response is submitted, include a statement with its response justifying the trade secret designation for each item, and defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the State, its agents and employees, from any judgments or damages awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the State's award of a contract. In submitting a response to this RFP, the Responder agrees that this indemnification survives as long as the trade secret materials are in possession of the State.

The State will not consider the prices submitted by the Responder to be proprietary or trade secret materials.

## **Conflicts of Interest**

Responder must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this request for proposals. The list should indicate the name of the entity, the relationship, and a discussion of the conflict.

The responder warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances which could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, a vendor is unable or potentially unable to render impartial assistance or advice to the State, or the vendor's objectivity in performing the contract work is or might be otherwise impaired, or the vendor has an unfair competitive advantage. The responder agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to the Assistant Director of the Department of Administration's Materials Management Division ("MMD") which must include a description of the action which the contractor has taken or proposes to take to avoid or mitigate such conflicts. If an organization conflict of interest is determined to exist, the State may, at its discretion, cancel the contract. In the event the responder was aware of an organizational conflict of interest prior to the award of the contract and did not disclose the conflict to MMD, the State may terminate the contract for default. The provisions of this clause must be included in all subcontracts for work to be performed similar to the service provided by the prime contractor, and the terms "contract," "contractor," and "contracting officer" modified appropriately to preserve the State's rights.

## **Preference to Targeted Group and Economically Disadvantaged Business and Individuals**

In accordance with Minnesota Rules, part 1230.1810, subpart B and Minnesota Rules, part 1230.1830, certified Targeted Group Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent preference in the evaluation of their proposal, and certified Economically Disadvantaged Businesses and individuals submitting proposals as prime contractors shall receive the equivalent of a six percent preference in the evaluation of their proposal. For information regarding certification, contact the Materials Management Helpline at 651.296.2600, or you may reach the Helpline by e-mail at [mmd.help.line@state.mn.us](mailto:mmd.help.line@state.mn.us). For TTY/TDD communications, contact the Helpline through the Minnesota Relay Services at 1.800.627.3529.

### **Foreign Outsourcing of Work Prohibited**

All services under this contract shall be performed within the borders of the United States. All storage and processing of information shall be performed within the borders of the United States. This provision also applies to work performed by subcontractors at all tiers.

Statement of Work does not obligate the state to award a work order or complete the assignment, and the state reserves the right to cancel the solicitation if it is considered to be in its best interest. The Agency reserves the right to reject any and all proposals.

### **Indemnification and Hold Harmless**

The Contractor must indemnify, save, and hold the State, its agents, and employees harmless from any claims or causes of action, including attorney's fees incurred by the State, arising from the performance of this contract by the Contractor or the Contractor's agents or employees. This clause will not be construed to bar any legal remedies the Contractor may have for the State's failure to fulfill its obligations under this contract.

902TS Work Order Template-

<http://www.oet.state.mn.us/mastercontract/itpts/mcp902ts/forms/902TSworkorder.doc>

