

# IT Professional Technical Services SITE Program T#:14ATM

**Request for Offers (RFO)  
For Technology Services  
Issued By**

**Department Of Human Services - Licensing**

**Project Title: Licensing Compliance Monitoring**

**Category: Analyst**

## **Business Need:**

The Office of the Inspector General (OIG) for Licensing intends to develop an onsite compliance and monitoring tool in two stages – an offline electronic checklist that will be specific to the various licensed services regulated by DHS, and a more robust version of the tool in Phase 2, allowing for real-time interface with Licensing database when in the field. Some of the identified business needs are as follows:

- Capture licensing investigations, compliance and inspection data in the field. This will provide more standardized and immediate information for licensees as well as the ability to post findings on the web.
- Capture data of Site Visit(s) in a consistent way across the Licensing Division. Today, because the site visit results are captured on paper and then utilized for the writing of a correction order (if need be), the process of doing so vary within the different units of licensing. Data captured electronically will be consistent.
- Capture the data in a way which later can be utilized to generate reports for analysis among other purposes. If the data is captured electronically, it can be used for Ad-Hoc reporting purposes. Today, because the data is captured on paper and then scanned into a document repository, it is difficult if not impossible to analyze the data captured from field visits.
- By moving away from paper, the staff (Licensors) can be more efficient in doing their work plus because the data can be utilized to generate correction orders, it will reduce the time for a double data entry for the staff which would result in cost savings for the division. By moving away from paper, the workflow will improve and the workload on the Support Staff can be reduced.
- By capturing site visits data electronically instead of paper, the findings can be communicated quickly to the providers which could establish a more streamlined workflow.
- Satisfy the federal mandate to post Family Systems information for public by September 2017. The federal law requires states to post online inspection and violations reports for each individual child care provider, giving parents an important resource when choosing child care. The new law requires states to electronically post monitoring and inspection reports in a consumer-friendly and easily accessible format.

The project is tentatively divided into seven phases; within the scope of this engagement are completion of phases one and two and potentially preliminary planning for remaining phases. Tentative phases are 3 months in duration:

1. Develop/customize an offline electronic licensing compliance checklist and roll it out to a pilot group of users
2. Develop an administrative tool allowing business staff to maintain a list of compliance checklists
3. Create authentication mechanism and ensure checklists are available to users by service class
4. Persist completed checklists to a data store
5. Integrate checklist data with LIS via services
6. Generate correction orders and persist to EDMS
7. Ensure users can retrieve past compliance checklists

### **Project Deliverables, and Schedule**

- This engagement request is for a business analyst to gather the preliminary requirements and supporting documentation for the first two phases:
- Needs Assessment and Business case for both phases– Due August 31, 2015
- Perform the requirements gathering and create the supporting documentation for both phases – Due October 30, 2015
- Review and verification of the accuracy of the configured prototype tool with end-user input – Due September 15, 2015
- Requirements gathering and creation of supporting documentation for the administrative application, which may include the ability to review and modify certification checklists, potentially maintain historical versions of checklists, and consideration of the ramifications to printing compliance orders when checklists are modified – November 9, 2015
- Develop User Acceptance Testing plan, write and execute test cases – December 31, 2015

### **Project Milestones**

- Project Start date: August 24, 2015
- Create an application allowing a licenser in the field to evaluate and record license-holder compliance with licensing terms.
- The application must present the user with a checklist of compliance items, allowing the licenser to check in/out of compliance.
- The application must allow the entry of free-format text expanding on the check lists' findings.
- Create an application allowing Licensing Division administrators the ability to create new or modify existing checklists.
- Project end date: December 31, 2015

### **Project Environment**

- Project will consist of a Project Manager, Business Analyst, Project Sponsor and development team.
- Deliverable for phase one, an HTML5-based mobile checklist, will be based on an existing prototype.

### **Project Requirements**

- The application will initially support 30 to 50 licensers, increasing over the next two years, across 21 service classes..
- Business rules must be in compliance with statewide Enterprise Architecture, Project Management Methodology and applicable industry/agency standards

- It is expected that the selected vendor will work onsite at DHS Central Office locations. DHS will provide appropriate work space.
- Project completion includes knowledge transfer to DHS staff so they can continue with the initiative after the contract is done.

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

- A. Define and document functional and business requirements
- B. Develop traceability matrix
- C. Conduct Business Process Modeling
- D. Conduct Business Domain Modeling
- E. Design and build out domain models
- F. Perform data mapping between the new and existing systems
- G. Create and update existing use case specifications
- H. Create wireframes and mock-ups
- I. Design role-based authentication and authorization
- J. Develop and update as-is and to-be process flow diagrams
- K. Create and execute test plans and test scripts for all stages of testing
- L. Lead Joint Application Design(JAD) sessions
- M. Extract, discover, capture and express and manage business rules from JAD sessions
- N. Ensure that the extracted rules reflect the business intent and will result in the desired business behavior
- O. Understand how rules are enforced, how they are going to change, and how rules-related issues such as conflicting rules would be resolved
- P. Work closely with rules architects and rules developers to help them design the application in a way that ensures that the rules reflect the business intent and that the application will result in the desired business behavior
- Q. Validate the rules and develop scenarios for test scripts
- R. Assist in project planning and development of a project schedule
- S. Create or update existing disaster recovery plans
- T. Facilitate system review by the MN.IT Enterprise Security Office including passing a Veracode scan the VL\$ assurance level

### **Required Skills (to be scored as pass/fail)**

Experience as a business analyst or business lead, which must include:

- Requirement elicitation and documentation skills – minimum of 3 engagements
- 5 years minimum experience as a Test lead – unit, functional, performance, capacity, stress, smoke, regression and end to end, including the following:
  - Conducting and reporting on Root cause analysis
  - Leading defect tracking and reporting
  - Producing a Test plan and Test Strategy
  - Creating test scripts (manual and automated)
  - Facilitating user acceptance testing
- Experience working with various project methodologies including agile and waterfall – minimum of 3 engagements
- Experience with data mining and analysis – at least 3 engagements
- Ability to complete gap analysis activities, including documenting both current state and future state business models- at least 3 engagements
- Experience with SAP Business Objects – at least one engagement
- Experience working with Share Point for document management- at least 3 engagements
- Knowledge of waived and state planned programs and services- at least one engagement
- Experience with secure coding principals such as: OWASP Top 10, SANS Top 25

### Desired Skills

- Experience implementing technical solutions with .net/SQL platforms
- Prefer individual with strong Business Analyst skill set along with solution architect and testing skills.
- Experience working with Waiver Provider Standards

### Process Schedule

Deadline for Questions	08/03/2015; 12:00 p.m.
Anticipated Posted Response to Questions	08/05/2015, 4:00 p.m.
Proposals due	08/13/2015, 12:00 p.m.
Anticipated proposal evaluation begins	08/14/2015, 8:00 a.m.
Anticipated proposal evaluation & decision	08/21/2015, 4:00 p.m.

### Questions

Any questions regarding this Request for Offers should be submitted via e-mail according to the date and time listed in the process schedule to:

Name: Debbie LaChapelle  
 Organization: Department of Human Services  
 Email Address: [debbie.j.lachapelle@state.mn.us](mailto:debbie.j.lachapelle@state.mn.us)

Questions and answers will be posted via an addendum to the RFO on the Office of MN.IT Services website (<http://mn.gov/buyit/14atm/rfo/active.html>) according to the process schedule above.

Other persons ARE NOT authorized to discuss this RFO or its requirements with anyone throughout the selection process and responders should not rely on information obtained from non-authorized individuals. If it is discovered a Responder contacted other State staff other than the individual above, the responder's proposal may be removed from further consideration.

The STATE reserves the right to determine if further information is needed to better understand the information presented. This may include a request for a presentation.

### RFO Evaluation Process

- Experience 70%
- Cost 30%

**This Request for Offers 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 Organization reserves the right to reject any and all proposals.**

### Submission Format

The proposal should be assembled as follows:

#### 1. Cover Page

Vendor Name  
 Vendor Address  
 Vendor City, State, Zip  
 Contact Name for Vendor  
 Contact's direct phone/cell phone (if applicable)  
 Contact's email  
 Resource Name being submitted

## 2. Overall Experience:

1. Provide narrative, including companies and contacts where your resource has demonstrated the required skills as previously noted. If pass/fail requirements are not met, the State will discontinue further scoring of the proposal.
2. Points will also be awarded based on the desired skills noted above. Provide one paragraph which highlights the resource's desired skills noted above.
3. Attach a resume(s) for proposed resource(s) in addition to the narrative description. Be certain the resume has dates of work and notes whether the resource was an employee or consultant.
4. Also include the name of two references who can speak to the resources work on a similar project. Include the company name and address, reference name, reference email, reference phone number and a brief description of the project this resource completed.

## 3. Cost Proposal

- Include a separate document labeled "cost proposal" with the hourly rate for the proposed candidate.

## 4. Conflict of Interest Statement.

Responder must complete the conflict of interest statement as it relates to this project in accordance with the requirements set forth below.

## 5. Required Forms.

Responder must complete and submit the following forms in response to this RFO:

- a. Affirmative Action Certificate of Compliance (if over \$100,000, including extension options) <http://www.mmd.admin.state.mn.us/doc/affaction.doc>
- b. Equal Pay Certificate Form (if proposal exceeds \$500,000, including extension options) <http://www.mmd.admin.state.mn.us/doc/equalpaycertificate.doc>
- c. Affidavit of non-collusion <http://www.mmd.admin.state.mn.us/doc/noncollusion-2.doc>
- d. Certification Regarding Lobbying (if over \$100,000, including extension options) <http://www.mmd.admin.state.mn.us/doc/lobbying.doc>
- e. Veteran-Owned/Service Disabled Veteran-Owned Preference Form (if applicable) <http://www.mmd.admin.state.mn.us/doc/vetpref.doc>
- f. Resident Vendor Form (if applicable) <http://www.mmd.admin.state.mn.us/doc/residentvendorform.doc>

## Proposal Submission Instructions

- Response Information:
  - Debbie LaChapelle
  - Email only to [debbie.j.lachapelle@state.mn.us](mailto:debbie.j.lachapelle@state.mn.us)
  - Subject line: RFO –Business Analyst: [Resource Name]
- Submissions are due according to the process schedule previously listed.
- **A copy of the response must also be sent to [MNIT.SITE@state.mn.us](mailto:MNIT.SITE@state.mn.us) for vendor performance tracking.**
- **You must submit an email with your response or email notification that you will not respond to [MNIT.SITE@state.mn.us](mailto:MNIT.SITE@state.mn.us). Failure to do either of these tasks will count against your program activity and may result in removal from the program.**

# General 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.

## Liability

In the performance of this contract by Contractor, or Contractor's agents or employees, the contractor must indemnify, save, and hold harmless the State, its agents, and employees, from any claims or causes of action, including attorney's fees incurred by the state, to the extent caused by Contractor's:

- 1) Intentional, willful, or negligent acts or omissions; or
- 2) Actions that give rise to strict liability; or
- 3) Breach of contract or warranty.

The indemnification obligations of this section do not apply in the event the claim or cause of action is the result of the State's sole negligence. This clause will not be construed to bar any legal remedies the Contractor may have for the State's failure to fulfill its obligation under this contract.

## Disposition of Responses

All materials submitted in response to this RFO 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 RFO 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 RFO, 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.

### **IT Accessibility Standards**

All documents and other work products delivered by the vendor must be accessible in order to conform with the State Accessibility Standard. Information about the Standard can be found at: <http://mn.gov/mnit/programs/policies/accessibility/>.

### **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 will receive a six percent preference in the evaluation of their proposal, and certified Economically Disadvantaged Businesses and individuals submitting proposals as prime contractors will receive a six percent preference in the evaluation of their proposal. Eligible TG businesses must be currently certified by the Materials Management Division prior to the solicitation opening date and time. For information regarding certification, contact the Materials Management Helpline at 651.296.2600, or you may reach the Helpline by email at [mmdhelp.line@state.mn.us](mailto:mmdhelp.line@state.mn.us). For TTY/TDD communications, contact the Helpline through the Minnesota Relay Services at 1.800.627.3529.

### **Veteran-Owned Preference**

In accordance with Minn. Stat. § 16C.16, subd. 6a, (a) Except when mandated by the federal government as a condition of receiving federal funds, the commissioner shall award up to a six percent preference on state procurement to **certified small businesses** that are **majority-owned and operated by veterans**. In accordance with Minn. Stat. § 16C.19 (d), a veteran-owned small business, the principal place of business of which is in Minnesota, is certified if it has been verified by the United States Department of Veterans Affairs as being either a veteran-owned small business or a service disabled veteran-owned small business, in accordance with Public Law 109-461 and Code of Federal Regulations, title 38, part 74.

To receive a preference the veteran-owned small business must meet the statutory requirements above by the solicitation opening date and time.

If you are claiming the veteran-owned preference, **attach documentation, sign and return the Veteran-Owned Preference Form with your response to the solicitation**. Only eligible veteran-owned small businesses that meet the statutory requirements and provide adequate documentation will be given the preference.

### **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.

**Work Force Certification**

For all contracts estimated to be in excess of \$100,000, responders are required to complete the Affirmative Action Certificate of Compliance and return it with the response. As required by Minnesota Rule 5000.3600, "It is hereby agreed between the parties that Minnesota Statute § 363A.36 and Minnesota Rule 5000.3400 - 5000.3600 are incorporated into any contract between these parties based upon this specification or any modification of it. A copy of Minnesota Statute § 363A.36 and Minnesota Rule 5000.3400 - 5000.3600 are available upon request from the contracting agency."

**Equal Pay Certification**

If the Response to this solicitation could be in excess of \$500,000, the Responder must obtain an Equal Pay Certificate from the Minnesota Department of Human Rights (MDHR) or claim an exemption prior to contract execution. A responder is exempt if it has not employed more than 40 full-time employees on any single working day in one state during the previous 12 months. Please contact MDHR with questions at: 651-539-1095 (metro), 1-800-657-3704 (toll free), 711 or 1-800-627-3529 (MN Relay) or at [compliance.MDHR@state.mn.us](mailto:compliance.MDHR@state.mn.us).