

REQUEST FOR PROPOSAL (RFP) COVER SHEET

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RFP Name: DOC Offender Management System			
RFP Number: RFP-532-2530-2027			
Agency: Iowa Department of Management on behalf of Iowa Department of Corrections			
The State of Iowa seeks to purchase: An offender management system (OMS) to track individuals through the offender life cycle.			
Issuing Officer			
Name: Steve Dawson	Ph: 515-805-7902	Email: steven.dawson@dom.iowa.gov	
Main Address:	Iowa Department of Management Attn: Steve Dawson 200 E. Grand Ave. Des Moines, IA 50309	Notice Address:	Iowa Department of Management Attn: Office of General Counsel 1007 E. Grand Ave G13 Des Moines, IA 50319
Links:			
IMPACS eProcurement website:	https://bids.scquest.com/apps/Router/PublicEvent?CustomerOrg=DASIowa All documents for this Solicitation will be posted in IMPACS		
Agreement Terms and Conditions:	Attachment 6 – Sample Contract		

TIMETABLE There are no exceptions to any deadlines for Vendors. However, the Agency reserves the right to change dates and times at its sole discretion.	
Event or Action:	Date / Time – Central Time
Targeted Small Business (TSB) website posting:	September 3, 2026
State issues Solicitation:	September 8, 2026
Round 1 Questions: Vendor's written questions, requests for clarification, and suggested changes are due:	September 24, 2026, 3:00p Central Time
Round 1 Response: Written response to questions, requests for clarification, and suggested changes are due:	October 1, 2026
Proposals Due:	November 5, 2026 3:00p Central Time
Presentations (if applicable, anticipated date)	December 7-11, 2026
Anticipated Date to issue Notice of Intent to Award:	January 15, 2027
Anticipated Date to Execute Contract:	April 30, 2027
Firm Proposal Terms. The minimum number of days post-submission deadline that the Vendor guarantees all proposal terms, including price, will remain firm is:	180 days
Agreement Information	
Potential initial term of the agreement:	Five (5) years
Potential number of annual renewals:	Five (5)
Anticipated start date:	May 1, 2027
Anticipated end date:	April 30, 2032
Available to other entities authorized to purchase under the resulting agreement(s)?	Yes

Table of Contents	
Section	Page Number
Section 1 – Introduction	Page 1
Section 2 – Project Background	Page 4
Section 3 – Scope of Work	Page 17
Section 4 – Administrative Information	Page 44
Section 5 – Form and Content of Proposals	Page 50
Section 6 – Technical Proposal Contents	Page 52
Section 7 – Evaluation and Selection	Page 54
Section 8 – Contract Terms and Conditions and Contract Administration	Page 57
Section 9 – Technical Proposal and Presentation Points	Page 63
Appendix #1: Required Proposal Forms	Separate file
Appendix #2: Functional and Technical Requirements	Separate file
Appendix #3: Cost Proposal Template	Separate file
Attachment #1: Vendor Information	Separate file
Attachment #2: Subcontractor Disclosure Form	Separate file
Attachment #3: Resource Usage	Separate file
Attachment #4: Interfaces	Separate file
Attachment #5: Service Level Agreement	Separate file
Attachment #6: Sample Contract	Separate file

Section 1. Introduction

1.1 Purpose

The Agency seeks proposals from Vendors to provide the goods and/or services identified on the solicitation cover sheet and as further described below. This solicitation is designed to provide Vendors with the information necessary for the preparation of competitive proposals. The solicitation process is for the Agency's benefit and is intended to provide the Agency with competitive information to assist in the selection process. Each Vendor is responsible for determining all factors necessary for the submission of a comprehensive proposal.

The solicitation is posted in the Iowa Management of Procurement and Contracts System (IMPACS). <https://bids.scquest.com/apps/Router/PublicEvent?CustomerOrg=DASIowa>. Vendors must create an account within IMPACS in order to engage in the solicitation process. Instructions are provided at the top of the webpage above.

The Agency is procuring software, hosting, and consulting services to implement and provide ongoing maintenance and support for a new comprehensive solution to address the Agency's needs related to an Offender Management System (OMS). The solution will comply with all applicable laws, leverage modern technology, and support the Agency's mission to enhance operational efficiency and advance best practices in offender management.

1.2 Definitions

In addition to any terms specifically defined elsewhere herein, for the purposes of this RFP and any resulting Contract, are described in Table 1 below:

Table 1: Table of Terms and Abbreviations

Term/Abbreviation	Description
ADA	Americans with Disabilities Act
Agency	The Agency identified on the RFP cover sheet that is issuing the RFP and, as used and to the extent used in the Contract, any other agency (-ies), or governmental entity(-ies) of the State that purchases from the Contract once executed.
Business Hours	7 a.m. to 5 p.m. CST/CDT, Monday through Friday.
CBC	Community-Based Corrections
CIR	Critical Incident Report
CJIS	Criminal Justice Information Services
CTA	Corrections Technology Association
Configuration	Configuration refers to the process of defining, setting up, and managing the options, parameters, and components that determine how a software system operates. It involves adjusting the system using built-in tools and settings—without writing new code—to ensure the software aligns with a state's business rules, workflows, security requirements, and operating environment.
COTS	Commercial Off-the-Shelf

Term/Abbreviation	Description
Critical Hours	5 a.m. to 11 p.m. CDT.
Customization	Customization refers to modifying or creating new code within the software system to deliver functionality that does not exist in the proposed standard product.
Contract	The Contract(s) entered into with the Vendor(s) as identified on the RFP Cover Sheet and more fully described in Section 8 (Contract Terms & Conditions and Contract Administration).
Contractor or Vendor	The successful Vendor to this RFP that ultimately enters into a Contract as a result of this RFP.
CTA	Corrections Technology Association
Deliverables	All of the services, goods, products, software, data (including data collected on behalf of the Agency), work, work product, items, materials, and property to be created, developed, produced, delivered, performed, or provided by or on behalf of, or otherwise made available through the Contractor, directly or indirectly, in connection with any Contract resulting from this solicitation.
DOC	Iowa Department of Corrections
DOM	Iowa Department of Management
EHR	Electronic Health Record
Enhancement	Modifications which change the functions of information technology services, software, and hardware beyond their original purposes, not just to correct errors or deficiencies which may have been present in the software or hardware, or to improve the operational performance of the software or hardware.
ICON	Iowa Corrections Offender Network, the identified name of the OMS system
ICIW	Iowa Correctional Institution for Women
IJJ	Iowa Department of Public Safety and Iowa Department of Management standard interface bus
IJIS	A nonprofit collaboration network that brings together innovative thinkers from the public and private sectors, national practice associations, and academic / research organizations working together to solve public sector mission, information sharing, policy, and technology challenges.

Term/Abbreviation	Description
IMCC	Iowa Medical and Classification Center
IMPACS	The Iowa Management of Procurement and Contracts System - an eProcurement software program. Website: https://bids.scquest.com/apps/Router/PublicEvent?CustomerOrg=DASIowa&tab=PHX_NAV_SourcingOpenForBid&tmstmp=1723221346672
IPI	Iowa Prison Industries
MFA	Multi-Factor Authentication
M&O	Maintenance and Operations
Non-Critical Hours	11 p.m. to 4 a.m. CDT
OCM	Organizational Change Management
OMS	Offender Management System
PII	Personally Identifiable Information
PM	Project Manager
PREA	Prison Rape Elimination Act
Proposal	The Vendor's proposal submitted in response to the RFP.
PSI	Pre-Sentence Investigation
RFP	This Request for Proposal as amended, as well as any attachments, exhibits, schedules, or addenda hereto.
RTM	Requirements Traceability Matrix
SLA	Service Level Agreements
SOW	Statement of Work
SSP	System Security Plan
State	The State of Iowa, including the Agency identified on the Solicitation Cover Sheet and/or the Contract Declarations & Execution Page(s), and all State agencies, boards, and commissions, and any political subdivisions making purchases from the Contract as permitted by this RFP.
STG	Security Threat Groups (Gangs)
UAT	User Acceptance Testing

Term/Abbreviation	Description
Vendor	A potential Vendor submitting a Proposal in response to this RFP.

Section 2. Project Background

2.1 DOC and System Background

The Iowa Department of Corrections (DOC) operates nine secure institutions throughout the State, collectively housing approximately 9,000 incarcerated individuals at various security levels. The most recent long-term forecast available projects a 10% increase in institution populations by the year 2035. Community-Based Corrections (CBC) is organized into eight districts, each responsible for a range of offender supervision activities. Field services staff supervise around 39,000 individuals on probation, parole, special sentences, and pre-trial release, while residential services oversee about 2,000 offenders in work release, special programs, probation, and special sentences.

According to the latest long-term forecast, institution populations are expected to grow by 10% by 2035. While there is no comparable data available for CBC, it is likely that similar growth trends will occur.

In recent years, the DOC has unified the management of secure institutions, residential facilities, and CBC offenders under a single director. Previously, community supervision and residential facilities operated independently across multiple districts. Although some processes, such as disciplinary actions and grievances, require consistent protocols, secure institutions and CBC implement these procedures differently. The DOC now aims to standardize operations across all areas to improve efficiency and facilitate better information sharing.

The DOC's current OMS is a statewide platform that tracks individuals across institutional operations, offender services, and CBC. It manages the offender life cycle—from intake and classification to supervision, treatment, and reentry—supports risk- and needs-based management, enables coordination among staff, and provides essential information for operations, reporting, and oversight. The system also tracks offender status, supervision conditions, programming, and movement, supporting consistent operations throughout the Agency.

To meet operational needs beyond the current OMS capabilities, the DOC relies on several supplementary databases. Despite system customization, not all operational requirements are met. Manual, repetitive data entry and challenges extracting information result in significant time burdens for staff. Additionally, poor integration between OMS modules and related databases leads to redundant entry and inefficient workflows.

Current System Challenges

- Data fragmentation and reliance on manual or spreadsheet-based processes limit real-time visibility and slow decision-making.
- Population pressure and capacity constraints create operational strain across institutions, facilities, and community supervision.
- Staff capacity and workload challenges reduce time available for supervision, treatment coordination, and analytics.
- Growing complexity of the CBC workload requires greater coordination across probation, parole, and treatment.

- Limited integration across institutions, offender services, treatment, and reentry functions hinders risk-based management statewide.
- Difficulty sustaining consistent evidence-based practices across facilities and districts.

The DOC is embarking on a major initiative to replace its nearly 25-year-old, custom-developed, on-premises OMS with a comprehensive, scalable, and functional platform. Despite the current system's customization to departmental requirements, it faces considerable constraints in functionality, interoperability, and adaptability, posing challenges for migration. As part of its effort to modernize digital infrastructure, the DOC is emphasizing alignment with evolving Federal Criminal Justice Information Systems (CJIS) frameworks to enhance data security and strengthen connectivity with justice partners to eliminate data silos and enable seamless workflows. The expansion of reporting tools will facilitate trend visualization and support data-driven decision-making. At present, limited integration and reporting capabilities impede compliance, hinder trend analysis, and restrict effective decision-making. While the current system includes the DOC's EHR system, the new OMS system will require integration with a new, separate EHR platform.

2.2 Future Goals

The new OMS needs to support essential functions—many outlined by the Corrections Technology Association (CTA) and Integrated Justice Information System (IJIS)—such as efficient data transfer, regulatory compliance, and comprehensive reporting and analytics. These features will help improve care for individuals under correctional supervision. The project prioritizes data integrity, safeguards sensitive CJIS information, and ensures a smooth migration process. Ultimately, modernization will simplify workflows, offer an intuitive interface for staff, and encourage a more effective, data-driven approach to offender management.

The new OMS must address current system gaps and support the DOC's operational and compliance objectives.

A New / Modernized Offender Management System must include:

2.2.1 Commercial Off-The-Shelf Platform

- 2.2.1.1** A commercial off-the-shelf, turnkey platform that is configurable—enabling faster deployment, predictable costs, Vendor-supported upgrades, and long-term sustainability.

2.2.2 Cloud-Based Solution

- 2.2.2.1** A cloud-based solution to ensure scalability, flexibility, and reduced dependency on legacy systems and hardware.

2.2.3 Enhancing Data Security and Compliance:

- 2.2.3.1** Ensure full compliance with federal CJIS security requirements.
- 2.2.3.2** Safeguard sensitive inmate information through secure storage, access controls, and auditing.
- 2.2.3.3** Align with industry best practices (i.e., CTA and IJIS).

2.2.4 Streamlining Data Integration:

- 2.2.4.1** A fully integrated, statewide OMS connecting institutional and CBC functions.
- 2.2.4.2** Seamless integration with partner systems to improve information sharing and reduce data silos.

2.2.5 Strengthening Reporting and Analytics:

2.2.5.1 Offer flexible reports that can be tailored to track patterns, evaluate compliance, and aid in making decisions based on data.

2.2.5.2 Deliver real-time access to information, analytics, and dashboards to support informed classification, supervision, and release choices.

2.2.6 Increasing Operational Efficiency:

2.2.6.1 Leverage industry best practices to improve, streamline, or enhance DOC business processes and operational effectiveness.

2.2.7 Project Cost

The Agency is committed to funding the one-time and recurring annual costs for the acquisition of the software. The Agency has established a budget for this project but also intends to use the proposals received through this process to inform the budget development process. The Agency has performed initial, high-level estimations, for the software solution including professional services and recurring maintenance/subscription costs. A final budget will be programmed based on the results of this RFP and final contract negotiations.

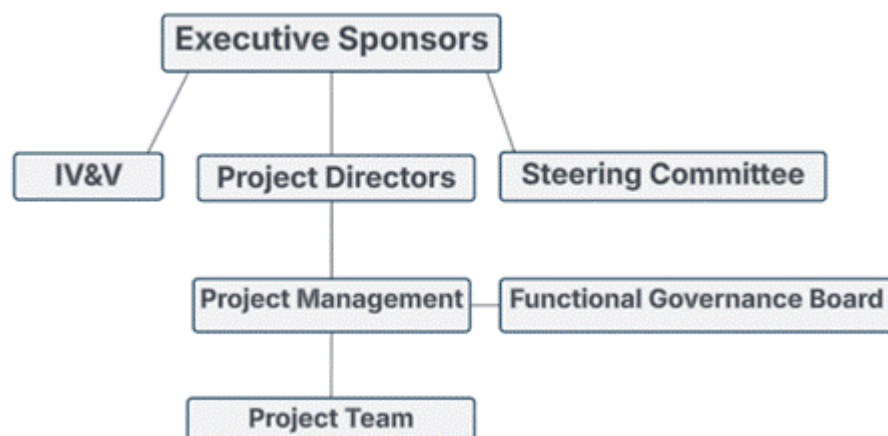
The Agency is sensitive to the total costs and has listed cost as one of the several evaluation criteria in the RFP; however, this is not an opportunity to identify the lowest priced solution. This RFP opportunity is being presented as a best value solicitation, and not a lowest priced bid, opportunity.

2.3 Governance

This section describes the Agency's governance model for projects. This model provides a structured framework for decision-making, accountability, and risk management while ensuring projects align with organizational goals and are completed effectively. Figure 1, below, shows the governance structure used to facilitate decision-making throughout the duration of the project. The Vendor is expected to adapt to the Agency's approach to governance and working with all parties for successful execution of the project.

Governance is subject to change based on Contract negotiations and/or project implementation methodology.

Figure 1: Governance Organization



2.3.1 Executive Sponsors

Executive Sponsor duties involve staying updated on project statuses, receiving crucial information regarding issues, proposed options, and recommendations from Project Directors and other governing bodies like the Executive Steering Committee. This enables them to maintain awareness of the project's overall progress and significant developments, providing high-level oversight and support to ensure alignment with broader organizational objectives.

2.3.2 Steering Committee

Steering Committee duties involve making final decisions on key project aspects, being consulted before actions are made, and receiving updates on project statuses, issues, options, and recommendations, particularly for review and escalation. This enables them to provide strategic direction and ensure the project remains aligned with organizational goals.

2.3.3 Independent Verification and Validation (IV&V)

Engaging a third party to provide independent verification and validation (IV&V) services for large and complex projects is a strategy to increase the likelihood of successful implementation. IV&V deliverables, such as monthly risk reports, provide Agency with an independent perspective on overall project health and assist with early identification of risks and proactive recommendations.

The IV&V Vendor will assess risk and project health through a combination of deliverable reviews, observing meetings, and conducting interviews. The Contractor should plan to have ongoing and recurring interactions with the IV&V service provider for the duration of the engagement, such as inviting IV&V to project meetings, providing access to project documentation and deliverables, and participating in IV&V interviews.

2.3.4 Project Director

Project Director duties involve close collaboration with the project team to understand the project's tactical details, but their primary focus is on strategic oversight. They are responsible for communicating project status, issues, and recommendations to the Executive Steering Committee. They serve as a crucial bridge between the project team and senior leadership, advocating for necessary resources, managing expectations, and presenting strategic options for review and escalation.

2.3.5 Functional Governance Board

The Functional Governance Board is consulted before key decisions related to functional aspects of the new OMS are made, ensuring their expertise on how the system will impact units like Prison Operations, Community Corrections, and Records and Administration is considered, and they are also kept informed after actions are completed by receiving updates on project status, issues, options, and recommendations, thereby maintaining awareness of the project's progress and developments affecting their functional areas, ultimately serving as a vital link between the project team and operational functional units to ensure functional alignment and user acceptance of the new system.

2.3.6 Project Team

The expectation is that the majority of project-related decisions will be addressed at the Project Team level. The Project Team decision-makers consist of project leadership and Subject Matter Experts (SMEs). Decisions that are unable to reach consensus at this level will follow escalation via this governance model with the facilitation of the Project Management Team.

2.3.7 Advisory Groups

Formal advisory bodies, including a steering committee, might be established at a later date to support governance, decision-making, and strategic alignment throughout the lifecycle of the initiative. Other groups may be identified and consulted as needed, based on project phase and the

details of the solution.

2.4 State and Federal Compliance

The Agency is actively engaged with federal partners (e.g. FBI) to ensure that it remains in compliance with all federal rules and regulations. The Agency is also committed to ensuring that the system is capable of meeting regulatory requirements set forth by the State and federal government, including the CJIS Security Policy v.6.0. The System must be regularly updated to remain compliant with evolving State and federal laws and regulations.

2.5 Number of Users

The following user counts by module contained in the table below are estimates and are provided for planning purposes only. The number of users represents the anticipated future number of users of a new system.

2.5.1 Departmental (Core/Power) Users: This category of users includes those Agency staff that will interact with the system modules on a regular basis and conduct core business processes within the system as power users.

2.5.2 Customer Department Users: This category of users includes those Agency staff that will interact with the system modules as internal customers by consuming information.

Table 2: Number of Users

Functional Area	Departmental (Core/Power) Users	Customer Department Users
Central Office Operations - Information Technology - Sentence Calculation - Executive Decision-Making - Parole Board	10	75
Secure Facility Staff - Trust Accounting and Commissary - Housing and Bed Management Operations - Food Services	20	2000
Community-Based Corrections Staff - Supervision Fee Collections - Probation and Parole Officers	20	900

2.6 DOC Functional Areas

Essential elements of the OMS for the Iowa DOC must include comprehensive modules that support a wide range of services. The following descriptions provide a background of the functional areas included in this RFP.

2.6.1 Reception and Commitment

The reception and initial commitment of an offender into the system is an essential phase that verifies and gathers accurate demographic information and establishes the foundation for the offender's treatment plan while under DOC custody or supervision.

Secure Institutions: All offenders enter secure DOC facilities through either the Iowa Correctional Institution for Women (ICIW) or the Iowa Medical and Classification Center (IMCC) and must present a court order or judgment outlining their sentence. ICIW serves as the only female institution in Iowa and is the receiving center for all female offenders, while IMCC is responsible for intake of all male offenders.

Upon arrival at a DOC receiving facility, staff verify the offender's identity, review the court order, jail credit information, and other sentencing documents. All criminal and personal history is collected and verified, and any funds are deposited into the offender's account. If an offender is not already in the system, they are assigned a system-generated ID number, fingerprinted, given a photo ID, searched, showered, provided with institutional clothing, and housed in the receiving area until intake and orientation are complete.

Every offender undergoes health, dental, and mental health screenings, as well as a variety of assessments, including initial custody classification. These assessments guide housing and case manager assignments. All offenders participate in an orientation process to familiarize them with institutional procedures and expectations.

The intake team processes three-to-five individuals per hour and typically operates Monday through Friday, with occasional weekends as needed. The reception area is also responsible for generating daily transfer request reports and entering all transfer notes manually, as these tasks are not automated.

CBC provides supervision for clients on probation, parole, in residential facilities, and those under pre-trial supervision. CBC receives clients via the courts, interstate transfer, or institutional release. Once assigned, the Probation and Parole Officer (PPO) reviews the client's file and schedules an initial meeting to complete intake paperwork and necessary agreements. Some districts use paper documentation for this process, while others enter data directly into ICON. Retention of these documents varies by district. Currently, there is no mobile ICON option for CBC new client enrollment.

During the CBC reception process, clients must complete various assessments, even if they have previously completed them at an institution. The results help determine the client's supervision level in CBC. PPOs often use Caseload Assistant and spreadsheets to track due dates, referrals, tasks, programming, and interventions for their clients.

Residential Facilities are a part of CBC but include a restricted housing model. Intake at residential facilities requires clients to review house policies upon arrival. After this review, staff conduct assessments to determine housing, clients are assigned to a room and briefed on available community services. At these facilities, clients generally retain their property and can wear personal clothing.

2.6.2 Sentence and Time Accounting (Time Computation)

The purpose of this business function is to ensure offenders are incarcerated for the exact amount of time as prescribed by law. The function of sentence and time accounting encompasses the initial calculation of an offender's required length of incarceration using applicable statutes and case law and applying statutory awarded good time. An iteration of recalculating the projected release date continues during the incarceration period applying earned time credits

awarded and revoked, amendments to the original sentences, or other actions that can reduce the length of incarceration.

2.6.3 Classification

The dynamics of the offender classification system require that it be a key component of any correctional environment. It is essential to ensure that all offender assignments are based on risk, security, and programmatic needs. There is not always consensus among the three in combination, and so the requisite for public safety demands that security and risk have primary consideration. Many systems have objective-based classification systems to score internal and external custody. Internal custody levels correspond to the assignment to housing, work, and programs. External classification corresponds to the level of perimeter security a particular facility provides. This requires that the same set of factors or objectives are applied to all offenders during their initial inception into prison or jail and at frequent intervals, or as required by policy. From this assessment, custody levels are identified that helps sort the offenders to specific facilities, housing, and assignments within the system.

These custody levels can also limit access to certain privileges, specific programs, or business functions (i.e., commissary, visitation). The foundation for prudent correctional management is supported through a classification system that has been validated on how well the risk level of each offender is determined regarding their threat to the public, other offenders, staff, and visitors. Sorting high-risk offenders into low security can result in serious incidents of escape, assault, and other similar security breaches.

When the scored custody level is determined to be inappropriate for any justified reason, then a variance to this level can be requested to raise or lower the custody level. This process is referred to as an override and is supported by reasons that are determined to be either mandatory or discretionary. Mandatory overrides can be supported by policy or law that requires certain category offenders not be assigned to specific custody levels or that they are assigned only to specific prisons. Discretionary overrides are those that are justified by staff request that are supported by sound correctional analysis. Discretionary overrides help assess the overall system validity. A classification system with high override rates is not providing an accurate assessment of the offender's risk levels and may need to be revised to ensure that the proper factors are being applied to accurately determine the risk and threat levels.

2.6.4 Assessments, Caseload Management, Programs

Assessments play a critical role throughout the correctional process by evaluating offenders' needs, risks, and strengths. Standardized tools are used to measure factors such as likelihood of reoffending, criminogenic needs, educational levels, mental health status, and social supports. These assessments inform key decisions regarding treatment planning, security classification, program assignment, and eligibility for early release or parole. Ongoing reassessment allows for adjustments in programming and resources to reflect changes in an offender's risk profile or progress.

Offender caseload management helps corrections services assess risk, assign programs, and monitor offenders' progress toward reintegration. The process includes assigning counselors, setting treatment goals based on assessed needs and release dates, and documenting events during incarceration. Administrators use the system to track demand for programs, balance counselor workloads, and reallocate resources efficiently. Regular assessments allow staff and offenders to set benchmarks, while flexibility is needed in individual cases. Performance metrics are used to evaluate how many offenders achieve their program goals.

Programs support offenders in developing skills and behaviors for community reintegration and reducing recidivism, as well as serving as tools for staff to encourage compliance. Offenders may be assigned to programs based on education, offense history, and assessed needs, within the constraints of security and program requirements. Progress is tracked using defined performance measures, with data collected on attendance, achievements, and outcomes. Program effectiveness is evaluated by analyzing completion rates, outcomes, and their impact on recidivism and rule violations. Resources are reallocated to the most effective programs.

2.6.5 Security

Security describes the functions that are necessary for establishing and maintaining the security of a correctional agency. These functions include the custody and control of offenders during their incarceration period, by enforcement of a defined secured perimeter, accountability of offenders by conducting regularly scheduled and unscheduled counts, and processing offenders into and out of facility control. Key control, searches, tool control, communications, and other operational functions are regulated within the security program for each facility. Emergency planning is an integral part of this process, which includes escapes, hostage incidents, disturbances, fires, natural disasters, external breeches, employee, and inmate strikes.

2.6.6 Discipline

The system of discipline within corrections serves to regulate the conduct of offenders and officially document incidents that lead to individual disciplinary actions. The system requires formal procedures that are followed for discipline levels ranging from informal infractions to major (formal) incidents. The system also implies a potentially safer quality of life for those that wish to conform and abide by the established rules. This entire process is an administrative action concerning many incidents and actions that could also be considered criminal. Furthermore, the process of administering the discipline system and its procedures are set aside from the legal process, wherein the same incident may travel through the judicial system as it completes a separate discipline route. Therefore, the appropriate documentation and tracking of all incidents that occur within each institution are important for legal and administrative purposes. Statistical tracking assists administrators in determining high risk concerns and problem offenders. The information also identifies trends and security gaps.

2.6.7 Incidents

An incident reporting system documents events, integrate with disciplinary and investigative roles, and provide role-based security. The system is designed to be configurable, supporting the reporting of incidents or occurrences across multiple severity levels and categories, including, but not limited, to basic occurrences, standard incidents, critical incidents (CIR), and use of force events. Essential information including involved offenders, staff, narrative accounts, witness statements, tangible evidence, photographs, sketches, and confiscated property are documented, with a chain of custody feature ensuring the secure management of evidence. Integration between incident reports and the discipline module allows the initiation of disciplinary actions when warranted by an incident. Staff document all events related to an incident—such as restricted or necessary movements and lockdown orders—and send appropriate notifications as needed. Incident and occurrence information integrates with investigations based on defined security permissions, and automated referral workflows will enable smooth transitions between investigations and other departments. Digital media of any size and type may be attached to incident or occurrence reports and allows links to external evidence repositories. Additionally, the system supports the entry and attachment of both witness and offender statements, as well as the uploading of other document attachments.

2.6.8 PREA

The Prison Rape Elimination Act (PREA) is composed of multiple components to protect offenders from the threat of sexual abuse and manage those identified as potential predators. These components include the interview at initial intake processing, initial and ongoing risk assessment, housing placement, assignment to work and programs, transfer to other facilities, recording of threats, investigation, and healthcare follow-up, and reporting.

During the initial intake, an offender is interviewed and scored on the PREA Assessment Instrument to assess the risk of being a victim or a predator. To mitigate any assessed risk, this information then becomes an additional classification consideration for facility placement, housing assignment, and work or program assignment. For those offenders assessed as being potential victims, the goal is to mitigate the risk of sexual abuse from other offenders by placement in the most appropriate facility, to housing in a unit, wing, or floor that would provide additional protection, and to the assignment to work or programs where risks from predatory offenders are minimized.

2.6.9 Housing and Bed Management

Offender Movement within a correctional setting has several levels and variations. One variation is intra-facility movement, which takes place within one facility or complex. The other type of movement is inter-facility, which occurs when a distinct or permanent move is made between facilities. This common business function describes the process of moving offenders between facilities that have separate administrators but are within the same agency.

The offender movement process is required to facilitate the placement of offenders into appropriate facilities. The system is able to provide a snapshot of current bed availability, maintain bed/unit security level information, and a housing/bed waitlist.

Housing placements are based on several factors including, but not limited to, classification or risk assessment, program needs, medical needs, and institutional bed space needs. In addition to the actual offender move, the process tracks, records, and monitors the location of all individuals under the legal custody of the corrections agency. This information is able to be used to verify the location of any inmate in real-time. Hence, inmate accountability to official counts, housing assignments, program/work participation, visitation, food service, recreation, and external movement can be verified.

2.6.10 Grievances

Offenders in institutions and under DOC supervision are afforded an appropriate means for communicating their problems, with an expectation their problems will be heard and resolved. The resolution may be in many forms, from an action to correct the problem to an explanation of circumstances with no action at all. The process necessitates prompt responses, thorough documentation of all actions taken, and the capacity to effectively manage emergencies or unique circumstances. Additionally, it ensures the offender is granted the opportunity to appeal and request a review of the resolution if desired.

2.6.11 Scheduling

Scheduling encompasses the functions that facilitate offender and activity scheduling within a correctional facility. Staff members responsible for scheduling will follow all applicable policies and regulations regarding offender activity assignments within the correctional facility. Offender needs and the needs of the facility to perform day-to-day operations are also considered when

performing activity assignments. A schedule coordinator at each facility will review facility needs and create and schedule activities to achieve the mission of the correctional agency.

2.6.12 STG (Gang Management)

The processes of identifying, validating, and collecting information about offender affiliation and participation with known social groups commonly referred to as gangs or security threat groups (STG), has been accepted as a vital tool in corrections. The assignment of staff to perform these tasks is indicative of the importance this information plays in the secure management of offenders. STG staff are responsible for two primary functions that include the collection of valid information and the reporting of the information to appropriate entities.

The process begins during the reception process and continues with a periodic review by STG staff. The information that is collected is secured with restricted access to detailed information. Line staff are able to view status indicators or flags that indicate offender gang affiliation(s). STG staff complete the screening process and validate offenders with an affiliation. The STG staff collect relevant information and maintain the records of offender affiliations and activities. The STG staff disseminates this information to affect security management objectives. The STG Steering Committee oversees the activities of the STG staff.

2.6.13 Trust Accounting (Offender Banking)

Offenders incarcerated under the jurisdiction of the correctional agency are considered wards of the governing entity. The governing entity acts as trustee of monies received from offenders upon transfer of custody, during their incarceration period, until the offender's eventual release from custody. The offender trust accounting system provides a means for offenders to conduct their financial transactions both internally and externally. The system also provides the Agency the ability to maintain control of the medium of exchange for goods and services during the incarceration period, which is an essential element to facility security and offender custody and control. Offender account information is used by correctional staff to process withdrawals for various programs and services; outside agencies, dependents, and legal representatives use this information to determine the offender's financial status with regard to making payments for financial obligations. The offender trust accounting module is part of the main OMS, not a sub-contracted third-party solution.

2.6.14 Property

Property describes all functions related to tracking offender property. Functions include receiving, transferring, storing, maintaining, releasing, and disposing of offender personal property and items brought during arrival, issued by the corrections agency, or received from approved sources like commissary.

2.6.15 Visitation

The offender visitation program is intended to promote family and supportive relationships that are important to offender stability during and after an incarceration period. This privilege requires that the Agency develop a process with a high degree of consistency and uniformity while maintaining the security of the facility.

The program considers the application and approval process for civilians to visit offenders and the routine processing of civilians through various secure points within the facility. This mandates the need to identify each individual visitor appropriately and accurately, and to confirm his or her relationship to the offender. A variety of security and legal restraints concerning the status of each visitor are also collected and recorded to prevent those under legal supervision or minors from

unauthorized contact with offenders. The Agency may also restrict visitors from visiting more than one offender in the system without special approval. Another component of this program are visits by legal representatives, clergy, or other officially designated visits. Those involved in these visits are reviewed to ensure their official capacity.

Actual visits will be categorized as contact, non-contact, and legal visits. Contact visits are those under supervision in an open area, enabling some movement and restricted physical contact between visitor and offender. Non-contact visits are those conducted in an area designated with a special barrier to prevent physical contact between the visitor and offender or via video. Legal visits are business-related visits where specific rules protect the confidentiality of the visit yet ensure the security needs are adhered to during the visit.

2.6.16 Release and Discharge

Release of offenders to CBC can include a variety of assignments from community residential programs to various levels of home detention and reporting requirements. The status levels are those under institution supervision, probation supervision, parole supervision, and pre-trial supervision. Incarcerated supervision targets offenders in pre-release environments, with an imminent parole consideration or release date. In most cases, they must be referred for consideration and require the approval of both corrections and community officials. Parole supervision requires that the offender has received approval by the paroling authority to be released into the community under certain terms and conditions, and within several ranges of residential living to include their own residence.

Offenders may discharge directly from an institution, from a community placement while still on inmate status, from probation, or from parole. Once discharged the offender is no longer under the custody of DOC. However, discharged offenders may still be under legal obligation to report for registration based on statutory requirements.

At the various stages of release, parole, probation, and discharge the agency may be obligated to notify registered victims of the upcoming events.

2.6.17 Community-Based Corrections and Residential Supervision

CBC takes many forms; the four most common business functions are a sentence to probation supervision, a release to parole supervision, pre-sentence supervision, or a pre-trial release assignment. Probation sentences are imposed by the courts, parole status is granted by an administrative board or by statute, and pre-trial/pre-sentence release statuses are assigned by the courts in conjunction with CBC districts.

CBC staff who are responsible for overseeing the supervised person in the community develop a case plan, optimally, the plan is developed with input from the person being supervised. The case plan protocols outlining rewards designed to incentivize success and sanctions designed to redirect behavior contrary to success. A roadmap for identifying housing, treatment, and employment needs and how services are established in the community to address those needs is also included in the plan.

The supervision process typically results in two main outcomes: Individuals either complete their supervision requirements and are released, or they do not meet the objectives set in their case plan, leading to a violation hearing that could result in incarceration.

2.6.18 Mobile and Remote Access

One of the most valuable aspects of an OMS is the data that can be easily accessed by staff. Through multiple functions of an OMS, staff track, assess, visualize, and manage all the

information needed to manage offenders successfully. and are able to complete critical tasks such as offender counts and searches at institutions.

The Agency currently accesses OMS information via laptops and personal digital assistants. The PDAs are used to record counts, document rounds, searches, and various other tasks. The laptops are able to access some areas of the OMS to perform tasks away from the office.

2.6.19 Board of Parole

The Board of Parole (BOP) is responsible for managing critical decision-making processes related to parole, executive clemency, commutation, and offender hearings, ensuring that all activities are conducted securely, efficiently, and in compliance with statutory guidelines.

The OMS is used to assist BOP staff to facilitate business processes for BOP reviews, parole revocation, appeals, and to accommodate unique BOP processes such as executive clemency and commutation. The system is also used for hearing scheduling, victim documentation and interactions, and tracking parole hearing outcomes.

2.6.20 Pre-Trial and Pre-Sentence Investigations

The DOC is responsible for completing pre-trial and pre-sentence investigations and when approved by the court, providing supervision to those assigned those statuses. In addition to case management activities as described in the CBC section, the process includes receiving PSI and pre-trial investigation requests, officer assignments, completing various questionnaires and documents, and electronically filing the investigation outcome and related documents with the court.

2.6.21 IPI and Commissary

Iowa Prison Industries (IPI) is a division of the DOC and operates two primary functions within correctional institutions: commissary services and manufacturing operations. The commissary allows offenders to purchase personal items and snacks, with orders processed via kiosks or paper forms. Funds are encumbered upon ordering, and items are packaged and delivered weekly. Inventory is managed using their current commissary Vendor and OMS system, though manual tracking is also required to account for discrepancies and special orders. The process includes monthly inventory reporting and quarterly profit distribution to institutions.

IPI's manufacturing unit produces various goods such as textiles, signage, license plates, housekeeping supplies, and welding projects. All manufacturing activities, including work and purchase orders and payroll tracking, are managed in an Enterprise Resource Planning (ERP) system. The payroll system is complex, accounting for multiple pay rates and job-related hours as offenders move between projects.

2.6.22 Food Service

DOC's current food service module is located in the Agency's OMS and assists with supply ordering, kitchen inventory management, and meal tracking across various institutions.

2.6.23 Victim Services

DOC's Victim Service Unit provides a range of support to victims after an offender's conviction. Its responsibilities include communicating essential information, managing notifications, overseeing victim contact issues, collecting victim impact statements, and running specialized programs such as the Victim-Offender Dialogue and Victim Wrap Around Programs. The unit is also responsible for victim registration and notifications but currently relies on external tools and manual processes outside of the OMS. There is some overlap between the Victim Services Unit and the BOP victim notification process, and integration of these processes would be beneficial to both

work groups.

2.6.24 Offender Self-Service Portal and Kiosk – Secure

The Agency provides access to kiosks in the units of secure institutions. The kiosks allow offenders the ability to complete tasks such as trust accounting, communications with DOC staff, communications with contacts on their approved contact list, accessing the law library and various other tasks. The DOC wishes to expand access beyond the kiosks to tablets. The secure offender portal and kiosk application would provide offenders with streamlined access to essential services, information, and communication while ensuring compliance with DOC policies and maintaining data security. Platforms such as these empower offenders to manage obligations, participate in programs, communicate with staff and approved contacts, file grievances, and access resources—all within a controlled environment that supports transparency, accountability, and operational efficiency for both offenders and DOC staff.

2.6.25 Offender Self-Service Portal – Community

The DOC wishes to expand access to DOC services by offering an Offender Self-Service Portal to CBC offenders. The portal design would provide offenders with convenient, real-time access to critical information and services related to their supervision. Allowing offenders to manage scheduling, financial obligations, case management, communication with staff, and participation in programs, all while ensuring compliance, confidentiality, and accessibility, streamlining interactions between offenders and the DOC.

2.6.26 Interfaces and Data Exchanges

The DOC has partnered with the Iowa Department of Public Safety and Department of Management (DOM) to expand the use of the standard interface bus (Iowa Integrated Justice Bus) to exchange data among justice and public safety partners, see Attachment 4 for an overview. The DOC anticipates using the bus to exchange data between the resulting OMS and all justice and public safety data exchange partners over time.

The DOC anticipates using the bus to exchange data between the resulting OMS and all justice and public safety partners over time. Over time, and after implementation, the DOC may shift some or all of the point-to-point interfaces to a model where the interface partners are utilizing the bus; DOC anticipates this would require a change order with the awarded Vendor.

Currently, the OMS includes its own internal EHR system. In the future, however, the DOC is expected to move to a separate EHR system that will interface with the OMS.

Section 3. Scope of Work

This section lists the scope related to this solicitation. By submitting a proposal, the Vendor agrees to meet all stated scope in this section and any other terms and conditions stated in this solicitation. Items in this section will be considered in the evaluation and scoring of the Vendor's Technical Proposal. Prompts for proposal narrative are included in each subsection.

3.1 Overview

DOC aims to implement and provide ongoing maintenance for a modernized OMS system. The overall goal of this project is to modernize the Agency's operations by replacing outdated systems with innovative, Commercial Off-the-Shelf (COTS) solutions that transform legacy processes into streamlined, efficient workflows. By prioritizing configurable platforms wherever possible, the Agency aims to reimagine how core business functions are delivered—leveraging technology to drive meaningful improvements, reduce complexity, and position the Agency for long-term adaptability and success. This project will establish a scalable solution that supports future growth, enables seamless integration with emerging technologies, and ensures the Agency can continuously evolve to meet changing needs and policy requirements. The Agency is not interested in a solution that requires a high level of customization to accommodate the Agency's functional and technical requirements. Additionally, the Agency is seeking a solution that would enable Agency staff to provide ongoing configuration without the need to engage the OMS Vendor in the configuration activities.

Vendors are required to propose a solution that is hosted in a secure, cloud-based environment. The hosting and ongoing management of the solution shall be the sole responsibility of the Vendor. Solutions that require hosting on State-owned infrastructure or any on-premises environment will not be considered.

3.2 Staffing and Organization

The Vendor is required to provide a response to Appendix 1, Tab 4 for the overall project staffing organization, roles, and team(s). This description is required to include how the roles and team(s) will communicate and cooperate with the Agency and any other State or contractor teams. The narrative must also describe the Vendor's approach to meeting the requirements in Appendix 1, Table 4-01: Vendor Project Team Members. The response must demonstrate the Vendor's ability and capability to provide knowledgeable, skilled, and experienced personnel to accomplish the Scope of Work.

3.2.1 Key Personnel

- 3.2.1.1 The Vendor is required to provide dedicated key personnel for the project. Key personnel are defined as staff who are contractually essential, have lead responsibilities for performing the Scope of Work, and are fully allocated to the project.
- 3.2.1.2 Vendors can propose additional roles for key personnel based on the proposed staffing and organization.
- 3.2.1.3 Key personnel submitted in the Vendor's proposal are assumed to be committed to the project should the Vendor be awarded the Contract, pending Agency approval of the staff member(s). The Agency reserves the right to approve/deny key staff included in the proposal.
- 3.2.1.4 The Vendor shall provide an organizational chart that clearly depicts the Vendor's proposed team with key personnel clearly designated using the words "Key Personnel."
- 3.2.1.5 The Vendor shall provide resumes for all Key personnel. Resumes must demonstrate the experience of key personnel that is related to the role proposed. Resumes must be included as an appendix to the Vendor's proposal.

The Vendor must name the proposed individuals in the key personnel roles shown in Table 3:

Table 3: Key Personnel Positions

Position	Position Requirements
Project Manager (PM)	The Vendor PM shall provide project management services of the project through successful implementation. • Duties and requirements are: ○ Serves as liaison between the State and Vendor resources. ○ Responsible for planning, organizing, and directing the completion of the project. ○ Creates and manages the Project Work Plan (PWP) and Project Schedule with State input. ○ Manages any other Vendor team members involved on the Project. ○ Collaborates with the State's PM to manage issues, risks, and any obstacles the project may face. ○ Point of escalation for project issues related to the Vendor. ○ Coordinates the Vendor's submission and revision of deliverables as guided by the State's deliverable review and acceptance process. ○ Utilizes any necessary quality control processes in monitoring project. ○ Represents and oversees the day-to-day activities of the Vendor's team activities on the project. • Qualifications: ○ Experience as the PM on implementation projects of similar size and scope within the past three years. ○ Project Management certification preferred. ○ Project Management experience should include each phase of the system development life cycle.
Account Manager	The Account Manager shall be the Vendor's primary point of contact for all Contract-related issues. These may include, but are not limited to, questions about the Contract, proposed Contract changes, compliance issues, and Vendor performance concerns. For the sake of clarity, the Account Manager shall be responsible for Contract compliance and general project oversight. The Account Manager shall collaborate, cultivate, and demonstrate professionalism with the Agency and stakeholders. • Duties and requirements are: ○ Serves as the Vendor's primary point of contact for all Contract-related items. ○ Responsible for overall service delivery of the team.

Position	Position Requirements
	○ Is a resource to the Vendor's PM for Contract issues and questions. ○ Reviews and edits or approves change requests issued by the State. ○ Point of escalation for Contract issues. ○ Addresses any invoicing questions submitted by the State. ○ Monitors compliance with State of Iowa Contract reporting requirements. • Qualifications: ○ Experience as an Account Manager on at least one implementation project of similar size and scope within the past three years.
Assigned Functional Lead(s) /Business Analyst(s)	The functional lead(s) shall provide business process and subject matter expertise for the proposed software implementation. Vendors may propose a single functional lead or multiple functional leads depending on proposed implementation approach. • Duties and requirements are: ○ Lead design, business analysis, configuration, workflow, security design, development, and testing. • Qualifications: ○ Experience as the lead business analyst on implementation projects of similar size and scope where the application is currently in production. ○ Experience conducting analysis and design sessions for software implementation. ○ Hands-on experience with operations of the proposed OMS solution.
Assigned Technical Lead(s)	The technical lead shall provide technical subject matter expertise for the proposed software implementation. • Duties and requirements are: ○ Leads the technical team in designing the necessary technical architecture to support the software. ○ Leads the technical team for inbound/outbound interface development, reports, data migration, extension, customizations or enhancements, quality control, and testing. ○ Leads the installation and administrative configuration of the software. ○ End-to-end technical implementation and coherency of the implemented modules within the broader context of the proposed software.

Position	Position Requirements
	○ Central point of communication for all technical matters concerning the application. ○ Serves as a liaison to information technology infrastructure teams. ○ Maintains the system's architectural framework to align with business goals. ○ Guides technology decisions across workstreams. • Qualifications: ○ Experience as the technical lead on at least one of the proposed software implementation projects of similar size and scope where the application is currently in production.
Operations Manager	The Operations Manager is responsible for supervising day-to-day project operations and managing transition planning and readiness when contracts change. This role is required before go-live and remains a full-time position, acting as the main point of accountability during both operational and transitional stages. • Duties and requirements are: ○ Manage and supervise all day-to-day operational activities to ensure project success. ○ Facilitate planning and operational readiness activities for Contract transition. ○ Support a seamless handover at Contract end if a new contractor is selected. ○ Maintain full-time dedication to the project. ○ Act as the main point of accountability during ongoing operations and transition periods. • Qualifications: ○ Experience serving as an Operations Manager or equivalent role on a project of similar size and scope where the solution is in production. ○ Demonstrated experience coordinating and leading cross-functional teams to ensure operational issues are triaged, resolved, and communicated in a timely manner. ○ Excellent communication and stakeholder management skills.
Quality Assurance Manager	The Quality Assurance Manager plays a crucial role in ensuring that all systems-related operations and quality assurance processes are executed effectively within the scope of the Contract. This position requires a focus on maintaining high standards of system performance and compliance. The manager is responsible for implementing quality assurance measures, overseeing system integration, and coordinating with other teams to support project goals. • Duties and requirements are: ○ Oversee and manage all systems-related activities within the Contract.

Position	Position Requirements
	○ Develop and implement quality assurance protocols to ensure compliance and performance standards. ○ Coordinate with Secure Facility Staff, CBC Staff, and other project stakeholders. ○ Monitor and evaluate system functionality to ensure alignment with project requirements. ○ Work closely with IT and deployment teams to ensure the use of the most current software and functionality. ○ Provide regular updates and reports to Central Office operations and support project objectives. • Qualifications: ○ Experience serving as a QA Lead or manager on a project of comparable size, scope and complexity, with the solution in production. ○ Demonstrated experience developing and executing comprehensive quality assurance processes, including system testing, defect management, compliance validation, and oversight of overall solution quality across the project lifecycle.

3.2.2 Non-Key/Non-Managerial Staff

Organizational Change Management Coordinator: The OCM coordinator shall play an important role in ensuring the successful adoption of a new OMS at the DOC. This position is responsible for leading and coordinating change management activities by leveraging industry-recognized methodologies, such as Prosci®, to minimize resistance and maximize user engagement. The OCM coordinator ensures that key personnel are in place, develops comprehensive change management plans that align with broader project deliverables, and supports a seamless transition during periods like Hypercare, when intense support is required immediately after go-live. This position creates and manages an OCM Plan that aligns with the Communications Management Plan and Training Plan.

The Vendor shall also describe non-key/non-managerial roles (e.g., business analysts, programmers, database administrators, etc.) needed to meet the RFP requirements fully, including the number of full-time employees (FTEs) for each role.

3.2.3 Staffing Requirements

The Agency's specific staffing requirements are included in Table 4 below.

Table 4: Staffing Model and Key Personnel

Req. ID	Requirement Description
ST-01	The Vendor must fill all positions with qualified, experienced staff committed to the success of the project.
ST-02	All key roles must be staffed by the Vendor with employees dedicated full time to the project.

Req. ID	Requirement Description
ST-03	The Vendor must provide dedicated, full-time non-key/non-managerial staff with specialized skills to support critical project activities as needed.
ST-04	The Vendor must ensure that the Agency has the right to approve all key personnel.
ST-05	The Vendor must provide a sufficient mix of project staff with qualifications and experience to fulfill the requirements of the Contract, including the percentage of time key personnel are dedicated to the project.
ST-06	The Vendor must ensure that all key personnel positions must be filled individually and not filled by one person providing more than one key person role.
ST-07	The Vendor must provide the Agency with a minimum of thirty (30) days' notice prior to any proposed transfer or replacement of named key personnel. At the time of providing notice, the Contractor must also provide the Agency with the resumes and references of the proposed replacement of named key personnel.
ST-08	The Vendor must commit named key personnel to the project on or before the conclusion of the transition period of the Contract and for at least six (6) months (except for the Transition Manager), and must not replace key personnel during this period except in cases of termination, death, or the key person's resignation.
ST-09	The Vendor must ensure that the replacement of staff is of equal or greater knowledge, skills, abilities, and experience to the person originally in the position. The Vendor must receive the Agency's approval prior to the current key personnel leaving or placing the replacement staff member on the project team. The Agency may also request a meeting with the proposed replacement before providing approval. The Agency retains the right to compel the Vendor to replace any staff who are not performing to the Agency's standards.
ST-10	All key personnel positions must be filled and not left vacant for more than 14 days without approval.
ST-11	The Vendor must ensure replacement personnel have knowledge transfer to fulfill the responsibilities of the role.
ST-12	The Vendor may waive requirements ST-07 through ST-11 above upon presentation of good cause by the Vendor. In those instances when good cause is granted, the Vendor must commit to replacing key personnel within thirty days (30) of the departure of key personnel and to providing temporary personnel in the interim that are capable of maintaining operational performance at acceptable levels.
Project Staffing Plan	
ST-13	As a subsidiary plan of the Project Management Plan (D-01), the Vendor must provide a Project Staffing Plan for Agency Acceptance, outlining the named key personnel who will fulfill the services described in the Scope of Work. This subsidiary plan is due the same date as the Project Management Plan.
ST-14	The Vendor must adhere to the Agency-accepted Project Staffing Plan to ensure key personnel roles are filled at all times.
Subcontractors	

Req. ID	Requirement Description
ST-15	The Vendor must act as the single point of contact for the Agency with the Vendor's subcontractors for the services described in the Contract.
ST-16	The Vendor must ensure any subcontracts contain all appropriate flow-down provisions and requirements expressed in this RFP and in the resulting Contract, including but not limited to, insurance, service level agreements (SLAs), confidentiality and nondisclosure, and data security.
Work Location	
ST-17	The Vendor 's key personnel must be available in Des Moines, IA within twenty-four (24) hours if an in person meeting is requested by the Agency, at the Vendor's expense.
ST-18	The Vendor must implement and maintain adequate communication systems for remote staff to support project team activities conducted during business hours.
ST-19	The Vendor must identify non-managerial staff outside of the United States.
ST-20	The Agency may allow offshore development work with prior approval. The Vendor must ensure that staff outside of the United States will only have access to non-production environments and data, staff will only perform coding tasks, and there will be no access to sensitive or confidential information. Each offshore location used for development will be separately approved by the State Chief Information Security Officer. Vendor shall attest that offshore personnel successfully completed the Vendor's background screening process.

3.2.4 Vendor and Agency Resource Hours

The Vendor will support structured resource planning and coordination for both the Vendor Project Team (including subcontractors) and the Agency Project Team throughout the Project. Resource planning will align with defined project phases, milestones, and deliverables to support effective execution and oversight.

As part of Project initiation and ongoing project governance, the Vendor will provide estimated resource levels and hours for Vendor and Agency roles by project phase. Resource estimates will align with the milestone-based pricing structure and cost assumptions reflected in Appendix 3 – Cost Proposal and will be maintained and updated as needed through the change control process.

Resource planning information will be documented using the format provided in Appendix 1.

3.2.5 Staff and Subcontractor Management

The Vendor will be responsible for managing its project personnel and subcontractors to ensure continuity, quality, and successful delivery of Project services. Staff and subcontractor management activities will include, at a minimum, the following components:

3.2.5.1 Personnel Staffing and Transitions

The Vendor will manage staffing for all assigned project roles, including recruiting and onboarding resources for roles that may not be filled at Project initiation. The Vendor will also manage staff transitions, including planned or unplanned terminations, in a manner that minimizes disruption to Project

activities.

3.2.5.2 Training and Knowledge Transfer

The Vendor will provide initial and ongoing training for project personnel as needed to support effective Project delivery. This includes ensuring the transfer of project status, business context, system knowledge, and applicable project management methodologies and processes to new or replacement staff.

3.2.5.3 Staff Performance Management

The Vendor will monitor and manage staff performance to ensure that assigned personnel are meeting Project expectations, deliverable quality standards, and timelines. Performance issues will be addressed promptly to mitigate impacts to Project delivery.

3.2.5.4 Staff Retention and Continuity

The Vendor will take reasonable measures to retain key project personnel and maintain continuity of staffing for the duration of the Project. When staffing changes are necessary, the Vendor will ensure appropriate transition planning and knowledge transfer.

3.2.5.5 Subcontractor Management

The Vendor will be responsible for managing all subcontractors engaged in the Project. This includes coordinating subcontractor activities, monitoring performance, and ensuring subcontractor deliverables and conduct align with Project requirements, timelines, and governance standards.

3.3 Project Management

The selected Vendor will provide comprehensive project management services to support successful delivery of the Project. Project management services are expected to align with industry best practices and include defined processes, controls, and deliverables necessary to manage scope, schedule, quality, risk, and stakeholder engagement throughout the project lifecycle.

Project management services will be delivered in accordance with the requirements and proposed deliverables identified in Appendix 1, Tab 3, and will be integrated with the Agency's governance structure and implementation oversight processes.

At a minimum, the Vendor's project management services will include the following components.

- 3.3.1 Scope Management:** The Vendor will establish and maintain a structured approach to managing Project scope throughout implementation. This includes defining, documenting, and controlling the approved scope and administering a formal change control process. All proposed changes to scope will be documented and submitted for review and approval by the Agency's Implementation Project Team to ensure continued alignment with project objectives, timelines, and governance requirements.
- 3.3.2 Schedule Management:** The Vendor will develop, maintain, and manage the Project schedule, including key milestones, dependencies, and deliverables. The Vendor will implement processes for monitoring schedule performance, identifying potential impacts, and submitting requested schedule changes for Agency review and approval.
- 3.3.3 Requirements Management:** The Vendor will support the capture, documentation, validation, and ongoing management of functional and technical requirements across the project lifecycle. This includes maintaining requirements traceability from initial definition

through configuration, testing, and final implementation, as well as managing changes to approved requirements through established governance processes.

- 3.3.4 Risk Management:** The Vendor will implement a proactive risk management approach that identifies, documents, and monitors Project risks. This includes providing recommended mitigation strategies, tracking risk status, and communicating risks and mitigation actions to the Agency's Implementation Project Team on a regular basis.
- 3.3.5 Quality Management:** The Vendor will apply quality management practices to ensure that all Project deliverables meet defined standards and requirements prior to submission to the Agency. This includes internal review and quality assurance processes for all written deliverables and project artifacts.
- 3.3.6 Communication Management:** The Vendor will develop and execute a Project communication approach that supports timely, accurate, and consistent information sharing among project stakeholders. This includes providing a detailed communication plan that defines communication methods, audiences, frequency, and responsibilities.
- 3.3.7 Organizational Change Management:** The Vendor will provide organizational change management services to support adoption of the Project solution. This includes the use of appropriate processes, tools, and techniques to address the people side of change, support stakeholder readiness, and facilitate successful transition to the new system and associated processes.
- 3.3.8 System Interface Plan:** The Vendor will define and manage the approach for designing, developing, and implementing required system interfaces identified by the Agency. This includes coordination with Agency stakeholders and third parties, as applicable, to support successful integrations.
- 3.3.9 Resource Management Plan:** The Vendor will manage project resources to support effective delivery of Project activities. This includes planning and coordinating resource allocation across Vendor and Agency teams, monitoring resource utilization, and identifying and addressing resource constraints that may affect Project delivery.

3.4 Project Management and Security Deliverables

The Agency's project management and security deliverables are included in Table 5 and 6 below. All plans and deliverables produced by the Vendor must be submitted to the Agency for review and receive Agency approval prior to acceptance and final sign-off. The Vendor shall perform the project in accordance with the approved plans and adhere to the Agency's formal change control process for any proposed modifications or scope changes related to those plans. All documents produced by the Vendor must comply with section 8.6.4 of this document regarding the Accessibility Conformance Report.

Table 5: Project Management Deliverables

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
D01	Project Management Plan	The Vendor must include the following subsidiary sections and plans: - Project Management Approach - Staffing Management Plan

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		• Scope Management Plan • Schedule Management Plan • Requirements Management Plan • Change Management Plan • Risk and Issue Management Plan • Quality Management Plan • Communications Management Plan.
D02	Project Work Plan and Schedule	The Vendor shall submit a PWP and Gantt Chart that includes detailed project tasks, the sequence of task/activities, realistic person hours for each task, estimated baseline start and completion dates, dependencies, critical path, actual start and completion dates, completion percentages, and milestones. The PWP and Schedule shall include both high-level (rolled up) and detailed tasks to lead to project completion (i.e., a work breakdown structure).
D03	System Implementation Plan	The Vendor shall develop a System Implementation Plan that includes: • Installation Plan – The Vendor shall collaborate with the State to define required environments, then provision them. • System Architecture Document – Shall describe the technical approach to developing the system, including a high-level architectural approach and the anticipated technologies, hardware, operating software, programming aids, application programs, third-party products, and integration points. Elements of the technical approach may be modified prior to completion of the Technical System Design Document. • Requirements Management Plan – Shall document how the Vendor will review and validate existing requirements, refine existing requirements, document new requirements, and adhere to industry standards for requirements management. • Technical System Design Document – Shall summarize how Vendor will configure, customize, and develop the system in accordance with the Agency’s requirements. • Configuration Plan – The Vendor shall develop a plan that describes how configuration changes will occur for the proposed solution, including which are to be completed by State resources, and which the Vendor will complete. This Plan is an output of the Gap Analysis work sessions. • Customization Plan – The Vendor shall develop a plan that describes how they will develop custom OMS components to

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		accommodate the unique needs of the State as defined in the Contract, as resulting from the Gap Analysis work sessions. - Interface Design and Development Plan - The Vendor shall describe system interfaces with other systems in an Interface Control Document (ICD). The Document shall describe system interfaces with other systems and specify the interactions between systems, including data exchange, communication protocols, and interface standards, while clearly defining system boundaries and responsibilities. The document must detail data formats, communication methods, error handling, security protocols, and performance requirements, ensuring that the interfaces operate seamlessly. Additionally, the document must include version control to track changes and updates, making it an essential tool for facilitating integration and preventing compatibility issues. Additionally, the document must include version control to track changes and updates, making it an essential tool for facilitating integration and preventing compatibility issues. - System Environment Document - The Vendor must outline the processes and practices for managing and maintaining the various environments required for the system, including development, testing, staging, and production. The plan shall ensure that each environment is appropriately configured, monitored, and maintained to support system operations and project activities effectively.
D04	RTM	The Vendor shall develop, maintain, and submit a Requirements Traceability Matrix (RTM) to show bi-directional traceability with applicable business requirements and their realization throughout all project phases (e.g., requirements, design, testing). This shall include how the requirement is realized (e.g., configuration, custom development, base functionality). All revisions must be reviewed and approved by the State.
D05	Data Migration Plan	Data Migration Plan – The Vendor shall document an agreed-upon approach to securely migrating legacy data to the proposed solution. This Plan shall define roles and responsibilities related to data cleansing, exporting data from the legacy system, transforming the data, loading the data into the proposed solution, and validating the data. The State anticipates that multiple such cycles may be required prior to signoff. The Vendor should note that this process may differ for the multiple source systems. The Vendor shall develop, submit, and maintain a Data Migration Plan to include the following:

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		• A data management strategy that supports integration, optimization, quality, stewardship, standards, security, and governance of data. • Description of appropriate skill sets, processes, technologies/tools, and any naming conventions followed. • Approach to migration, cleansing, and migration. • Approach to risk management for data migration effort. • Approach for testing migrated data. • Approach to reporting the number of records successfully migrated vs. errors or exceptions. • Approach for cleansing data to prepare it for loading to the proposed solution that is refined as necessary. • Approach to resolving data migration errors and issues. • Tasks, timelines, and responsible parties for all migration tasks. • Entrance and exit criteria for each phase of the effort.
D06	Testing and Quality Assurance Plan	Testing and Quality Assurance Plan – The Vendor shall document their approach to testing and ensuring quality in the proposed solution across all implementation phases. This Plan shall include a narrative describing how the Vendor will support the State’s user acceptance testing process. At a minimum, the Test and Quality Assurance Plan must address the following: • Unit testing • Integration testing • System testing • Data migration testing • Interface testing • Usability/Accessibility, ADA 508 testing • Performance load/stress testing, including testing to the point of system failure • Security testing (role-based, penetration, and vulnerability) • Disaster recovery testing • Regression testing • State regression testing

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		• User Acceptance Testing (UAT), including support of UAT activities for users as defined by the Agency • Testing, including testing of system components that affect external system users, such as web portals, web-based software, and data entry by other Vendors; testing is a part of the operational readiness testing period • Operational readiness testing and implementation, including disaster recovery • Data Migration Testing • Usability/Accessibility • Documentation of a testing approach that includes: ○ Roles and responsibilities of all entities involved in testing ○ Orientation and kickoff plan ○ Test techniques and methods ○ Test standards, including compliance with CJIS test requirements ○ Test phases ○ Description of the planned test environments ○ Types of automated testing tools depending on type of testing (different automated testing tools may be used for load/stress, unit, system performance and regression testing).
D07	UAT Plan	UAT Plan – The Vendor shall develop the UAT plan with assistance from the Agency. The Agency must accept the plan before UAT begins. The plan must include the following content: • Pre-testing validation of functional requirements ○ Test preparations, including at a minimum: ○ Test environment preparation plan. ○ Security and privacy requirements. ○ Testing location. ○ Unique tests by test identifier and a brief description of each test scenario. ○ Hardware preparation plan. ○ Software preparation plan. ○ Test data, including use of sanitized test data.

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		○ Training Materials - for user training that will be used during UAT to verify the accuracy, comprehensiveness, understandability, and usability of the materials. The materials shall include visuals, handouts, workbooks, manuals, computerized display (videos), quick reference guides, frequently asked question (FAQ) guides, demonstrations, and online help. The Vendor must update materials after UAT in response to Agency feedback and must also modify the materials as needed to support changes during go-live. ○ Frequently asked question (FAQ) guides, demonstrations, and online help. The Vendor must update materials after UAT in response to Agency feedback and must also modify the materials as needed to support changes during go-live. ○ Other pre-test preparations (e.g., description of other pre-test personnel actions, preparations, or procedures necessary to perform UAT). • Schedule of Vendor personnel to support user testing. • Test descriptions to simulate workflow and validate that the system meets functional requirements. Test descriptions must include: ○ Unique identifier for each test case ○ Prerequisite conditions ○ Test inputs/outputs ○ Expected test results/Acceptance criteria ○ Criteria for evaluating results ○ Testing procedure (step-by-step) ○ Assumptions and constraints ○ Error reporting and remediation plan ○ System documentation update plan • Traceability from each test case to the detailed requirement it addresses and mapped back to the RTM; if a test case addresses multiple requirements, then traceability from each set of test procedure steps to the requirement(s) is addressed.

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		- A summary of the tools and environments required for UAT to ensure that the test environment is ready for use in UAT, including: - Verification that the test environment is populated with the latest version of code and contains all components the production environment requires, including copies of all software and database tables. - Connection of UAT tools and the environment to the Agency's network, appropriately configured, to adequately emulate production system use. - Inclusion of applicable third-party and test partner files in order to adequately test system-to-system interfaces. - Acceptance Criteria shall include, but is not limited to; no critical or urgent defects in code released to production and production releases will not be promoted if more than 5% of requirements have an open defect.
D08	Training Plan	Training Plan – The Vendor shall document their approach to training State trainers, modifying training materials to support the State's unique configuration, and supporting the training efforts of the State's trainers prior to go-live. This training should include end-user training, system configuration training, and any technical training required to operate the system.
D09	OCM Plan	OCM Plan – The Vendor shall create a detailed plan that aligns with other Vendor project deliverables (e.g., the Communications Management Plan in the Project Management Plan and the Training Plan).
D10	Business Continuity and Disaster Recovery Plan	The Vendor's plan must: - Align with the Agency's requirements. - Describe the Vendor's plan to protect the system and maintain critical business processes in the event of natural disasters, hardware and software failures, human error, or other contingencies that could interrupt services. - Address recovery of business functions, human resources, and technology infrastructure associated with the system. - Documentation of Recovery Point Objectives (RPOs) and Recovery Time Objectives (RTOs).

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		- Steps required for troubleshooting, replacing, reconfiguring, and restoring the System hardware, software, and infrastructure. - Processes utilized to verify the health and accuracy of Agency system backups. - System and data backup, retention, and restoration processes. - Testing and training procedures for the Business Continuity and Disaster Recovery Plan. - Connection to incident response policy and plans.
D11	Weekly Project Status Report	The Vendor shall submit weekly project status reports that must contain, at a minimum: - A complete set of updated and current output from the PWP. - A description of the overall completion status of the project including schedule variations that report the earned value of the work completed, the planned value of the work completed, and the variance. - Planned tasks and activities for the week. - Deliverable status, with percentage of completion and time ahead or behind schedule for particular tasks. - Identification of any staffing issues or changes. - An updated status on all issues and/or being monitored. - An updated status on all SLA being monitored. A weekly project status meeting shall take place in conjunction with the issuance of the weekly project status report.
D12	Monthly Status Report	The Vendor shall submit monthly status reports - A complete set of updated and current output from the PWP. - A description of the overall completion status of the project including schedule variations that report the earned value of the work completed, the planned value of the work completed, and the variance. - Completed activities during the reporting period and upcoming tasks for the month. - Deliverable status, with percentage of completion and time ahead or behind schedule for particular tasks. - Identification of any staffing issues or changes. - An updated status on all issues and/or being monitored.

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		An updated status on all SLA being monitored. A monthly project status meeting shall take place in conjunction with the issuance of the monthly project status report.
D13	Fit Gap Analysis Reports	The selected Vendor shall prepare Fit Gap Analysis Reports for each functional area, with the purpose of evaluating the DOC's existing operations and business practices and determining system requirements. Each Fit Gap Report shall assess current OMS functionality in relation to these requirements and practices, providing process recommendations and identifying any gaps that necessitate modifications to the Vendor's proposed system.
D14	Installation and Environmental Setup Report	At the completion of the initial installation of the agreed-upon environments, the selected Vendor shall provide a Form report describing the environments, technology components, and the functional use. Additionally, this report shall describe maintenance procedures for each environment.
D15	Configuration and Customization Report	At the completion of (each) configuration and customization phase, the selected Vendor shall produce a report that describes all configuration items completed in the phase, with all configuration items documented in a configuration management database (CMDB) or similar tool. This report shall also describe, in detail, each customization item.
D16	Interface Design and Development Report	At the completion of (each) interface development phase, the selected Vendor shall produce a report that describes all interfaces developed in the phase. Documentation shall include the ICDs, with outcomes and testing results.
D17	Data Analysis and Transformation Report	This report shall be the result of a full analysis of the legacy data ecosystem and includes a report out of the current state of the Agency's data. The report must also include a comprehensive analysis of the migration efforts to migrate the legacy data into the proposed OMS, including extract, transform and load (ETL) activities. This report must also include a detailed effort estimate regarding the hours required to complete the full transformation of the legacy data, including the multiple waves of data migration, data validation, data migration script repair, and re-migration and testing.
D18	Data Migration Results Report	At the completion of (each) phase, the selected Vendor shall produce a report that describes data migration efforts and results for the phase. These reports will include the results of data cleansing, export, transformation, loading and validation efforts; including an inventory of ETL scripts.

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
D19	ORT Playbook	The Operational Readiness Testing (ORT) Playbook describes the testing activities, schedule, and responsibilities for all parties. This will be the document that all participants will follow in the execution of the ORT.
D20	Test Results Report	The selected Vendor shall present the results to the Agency for each of the following test levels: UAT, Performance Tests, System Tests, Regression Tests, and Integration Tests. Test results shall be traced to the use case/user story and design documentation being tested.
D21	Training Outcomes Report	Once training is complete for (each) phase, the Vendor shall produce a report that describes all classes conducted, numbers of participants in each class, results from participant surveys, and lessons learned that may result in revised training approaches and materials for subsequent phases.
D22	ORT System Demonstration and Readiness Assessment	The Vendor shall deliver a demonstration that clearly exhibits complete system functionality, as well as verification of system performance and security. The ORT Results and Readiness Assessment shall formally record the results of the ORT and provide a comprehensive evaluation of the system, the Agency's organizational readiness, and the ability of the Vendor to implement, maintain, and support ongoing operations.
D23	Go-live Cutover Plan	The Vendor shall submit a Go-live Cutover Plan that clearly describes, in detail, the tasks and activities, including dependencies and resources, to be executed resulting in an operational system for the phase. The plan must also include, at a minimum: • All critical tasks that are required for cutover • Description of final data migration activities • Description of migration of configuration and customization items to the production environment • Final testing and validation of the solution in production, including security testing • The rollback strategy • Communication and Vendor support procedures • Vendor and State roles and responsibilities during the go-live process • Operational Readiness Checklist(s) that defines, in advance, the go/no-go decision, and all aspects of Vendor, solution, and State readiness • Post-cutover monitoring

Project Management Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
		- The on-site and off-site user support provided by the Vendor and the State for the phase - Solution acceptance procedures - Post-implementation production deployment process and activities - Time frames for response and resolution for critical and urgent issues immediately post-go-live.
D24	Go-live Cutover Report	The Vendor shall direct the progress while executing the go-live cutover checklist, and will identify and address issues in real-time as they occur during the go-live period. Within a week after cutover, the Vendor shall present the State with a report that describes the tasks and activities conducted during go-live, as a result of executing the go-live cutover checklist. The report shall include any unexpected barriers and how they were overcome. The report shall also describe any risks or issues that were identified during go-live, with recommendations for mitigation during the operational phase of the system.
D25	Post Go-Live Task Punchlist	The Post-Go-Live Task Punch List is utilized during the Hypercare period to maintain a list of open items. After deployment, there is a sixty-day period where the system operates in production and its performance is closely monitored called Hypercare. During this phase, the Vendor's project team actively supports the system, addressing any break/fix activities, and shall maintain a visible punch list of tasks (the Post Go-Live Task Punchlist) that have been identified. During this period, the team shall also complete and document necessary requirements and may also work on improvements or moving old data, if needed.

Table 6: Security Deliverable Requirements

Security Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
SEC1	Risk Assessment Support	Risk assessments and security audit reports shall be completed on an annual basis by a third-party auditor. The Vendor will participate and support these assessments, addressing recommendations from the assessment reports.
SEC2	System	The Vendor shall develop, execute, maintain, and deliver for the

	Security Plan (SSP)	State's approval an SSP that will document the system's current level of security controls. This is a living document and will be updated no less than annually and when new vulnerabilities are identified and mitigated and when additional functionality and/or components are implemented. The SSP must be approved before any State data is transferred or entered into the solution. The State must approve all revisions of the SSP. • The system must be compliant with Statement on Standards for Attestation Engagements (SSAE-18) SOC 2 Type 2 and has Federal Risk and Authorization Management Program (FedRAMP) Certification, FedRAMP Risk Assessment that indicates compliance, or has a documented NIST 800-53 rev 4 at a "moderate" system risk assessment designation. The system shall comply with the CJIS Security Policy v.6.0 and remain compliant with future versions of this policy; • The solution must adhere to industry-recognized architecture best practices and will be subject to review by the Architecture Review Board; • Explicitly defines the authorization boundary for the system; • Describes the operational context of the information system in terms of mission and business processes; • Provides the security categorization of the information system, as established by the State, including supporting rationale; • Describes the operational environment for the informational system and relationships with or connection to other information systems; • Provides an overview of the security requirements for the system; • Identifies any relevant overlays, if applicable; • Identifies any specific statutory and/or regulatory requirements (above and beyond the requirements stated in the current version of NIST 800-53 rev 4 at a "moderate" system risk assessment designation), if applicable; • Describes the security controls in place or planned for meeting those requirements including a rationale for the tailoring and supplementation decisions; • Is accepted by the authorizing official or designated representative prior to plan implementation; • Is distributed to appropriate personnel; • Is reviewed and updated, at least annually, or whenever changes to the information system/environment of operation occur; and • Is protected from unauthorized disclosure and modification.
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		- Describes in detail the process and plans to update the application to stay current with platforms and infrastructure. - Describes in detail the process to maintain and update security documents to reflect new requirements from federal partners.
SEC3	Penetration Test Report	The Vendor shall provide an independent third party to perform penetration testing that complies with NIST SP 800-53 within six (6) months prior to actual implementation date. Penetration testing must also be performed by an independent third-party on an annual basis and when additions or changes to functionality impact the security framework, architecture or when a new vulnerability exists. Penetration Test Report results shall be supplied to the State and any major or critical vulnerabilities mitigated.
SEC4	Service Organizational Control (SOC) 1 Type II Reports	The Vendor shall provide the completed reports with the results of the service organization control (SOC) 1 Type II audit annually on date identified by the State. The Vendor shall provide a mitigation plan for all areas of non-compliance. Issues found to be non-compliant shall be corrected within the timeframe established by the CJIS Security Policy v 6.0.
SEC5	Security Audit Report	The Vendor shall provide a completed Security Audit Report with results to the State by the 30th (thirtieth) of September each year. The Security Audit Report must include either an electronic data processing (EDP) systems audit using SSAE – 18 at a minimum level service organization control (SOC) 2 Type II or a NIST 800-53 rev 4 assessment at a "moderate" system risk control level. The Vendor shall provide a mitigation plan for all reported deficiencies. Major and critical deficiencies must be corrected within the timeframe established by the CJIS Security Policy v 6.0.
SEC6	Privacy Impact Analysis	The Vendor shall support the State in conducting a Privacy Impact Analysis for each module or module component that includes the following information: - Use of personally identifiable information (PII) and a description of the types of data that will be collected - Sources of PII, populations, and transfer and disclosure mechanisms - Legal environment (legal authorities and State privacy laws) - Details about the entities with which the collected information will be shared - Privacy and security standards for its business partners and other third parties and the agreements that bind these entities - Incident handling procedures - Privacy and/or security awareness programs and materials for its workforce

SEC7	Security Documentation and Security Test	The Vendor will maintain and update security documents to reflect new requirements from federal partners. provide ongoing security management for the system and perform an annual Security Test which includes penetration and vulnerability testing and provide annual updates to the Security Documentation.
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3.5 Data Migration

The Agency plans to migrate selected data from the legacy system, ICON, to the proposed OMS. Additionally, several satellite data sources, including spreadsheets and databases, have been identified for potential migration into the OMS, either electronically or manually based on dataset size and complexity.

ICON currently contains approximately 4.487 terabytes of data, comprising fields outlined in Tables 7 and 8 below. It also stores over 29 million documents, which will be considered for extraction for integration into the replacement system. The Agency does not intend to transfer data or uploaded documents associated with the Ticketing, Dashboard, Inmate Medical, Pharmacy, and Employee Medical modules (marked * in the tables below); consequently, the total volume of migrated data and documents will be reduced accordingly. The current Vendor will export existing data into CSV files in logical groupings, will provide a document that includes a description of the contents of each CSV file, a comprehensive list of all fields in the CSVs, and a short description of each field. All documents exported from ICON will reflect the offender number, type of document, and date the document was uploaded into the software.

Decisions by the Agency regarding any additional data to be migrated will be guided by the business processes and workflows established within the new OMS. The Vendor is required to develop a comprehensive plan for migrating selected data from ICON and relevant external spreadsheets and databases to the OMS, adhering to industry standards for data migration to support a successful implementation. Deliverable D-05, the Data Migration Plan, described in Table 5 above, includes additional information regarding this plan.

Table 7: Module Tables and Extract Files

System (Module)	Tables	Approximate Number of Extract Files
Food Service	109	34
Security	28	7
Ticketing*	136	25
Trust	218	73
Case Management	1,784	310
Dashboard*	9	3
Inmate Enablement (OMail)	302	59
Commissary	45	13
Critical Incident Reporting	111	19
Intelligence	19	4

Inmate Medical*	232	78
Pharmacy*	56	19
Employee Medical*	108	36
Total	3,157	680

Table 8: Modules and Uploaded Files

System (Module)	Tables
Security	324
Ticketing*	17,159
Case Management	17,832,510
Critical Incident Reporting	10,607
Inmate Medical*	11,877,998
Employee Medical*	123,054

- 3.6 Maintenance and Operations and Service Level Agreement:** Maintenance and Operations (M&O) and enhancements serve to ensure the Vendor provides the proper level of M&O service, including meeting the performance standards identified in the SLAs. This includes identifying an appropriate level of Vendor staffing resources, and ensuring that they are available to reliably operate, maintain, update, and enhance the system.

Table 9 provides a summary of Agency' business needs for M&O and the SLAs.

Table 9: Summary of Business Needs

Area of Need	Description
Operate and Maintain the System	The Vendor will provide M&O services in adherence with the M&O requirements and SLAs.
Ensure Compliance with State and Federal Policies and Requirements	System updates and fixes to the current functionality ensure compliance with all federal and Agency requirements.
Increase Effectiveness, Performance, and Efficiency	System updates and fixes to the implemented functionality increase effectiveness and efficiency in eligibility determination and service delivery.
Improve Integration with External Systems	All interfaces operate without human interaction, interruption, or data corruption.

- 3.6.1 Hypercare.** Hypercare refers to the period of intense support immediately following the go-live of a new system, it ensures that the system is stabilized, the transition to ongoing support is seamless, and users have the resources needed for successful adoption. The Agency plan for post go-live is to first stabilize the system during a Hypercare period and then work with the Vendor to develop plans to address deficiencies and implement

enhancements.

After deployment, there is a sixty-day period where the system operates in production, and its performance is closely monitored. During this phase, the successful Vendor's project team actively supports the system, addressing any break/fix activities, maintains a visible punch list of tasks that have been identified, and begins the knowledge transfer process to ensure smooth operations. During this period, the team also completes necessary requirements and may also work on improvements or moving old data, if needed.

As the "Hypercare" phase progresses, responsibilities gradually shift from the successful Vendor's project team to the DOC's support team. In the first month, the successful Vendor's project team is heavily involved, focusing on product support setup, knowledge transfer, and maintenance. By the second month, the DOC's support team takes on a greater role, expanding throughout the month, continuing knowledge transfer and building a repository of documentation and processes.

3.6.2 Operations and Maintenance / SLA Deliverable Requirements

Table 10 provides a list of the Deliverables related to Operations and Maintenance and the SLAs.

Table 10: Operations and Maintenance / SLA Deliverable Requirements

Operations and Maintenance / SLA Deliverable Requirements		
Deliverable Number	Deliverable	Deliverable Requirement
OM1	Disaster Recovery and Business Continuity Test Report	The Vendor shall conduct an annual test of the Disaster Recovery and Business Continuity Plan and submit the Disaster Recover/Business Continuity Test Report that includes the outcome, corrective action plan, and revisions, if any, to the State.
OM2	Operations Procedure Manual	The Vendor shall develop a comprehensive Operations Procedure Manual which shall provide guidelines for the operation and use of the module(s) and/or module component(s). At minimum, the Operations Procedure Manual shall contain policies, processes, and workflows for the module and/or module component(s), and the post-implementation processes for the following: • Architecture/hosting operations. • Monitoring daily operations performance. • Performing routine maintenance. • Maintaining user documentation. • Online help approach and documentation, as appropriate. • Configuration and change management. • Approach to enhancements and other new requirements. • Maintaining system documentation. • Maintaining training documentation.

		- Reporting status against relevant service level agreements (SLA)s. - Schedule of major and minor releases.
OM3	Configuration Management Database	The Vendor shall provide a Configuration Management Database that tracks all configuration throughout the project and survives into operations.
OM4	Business Rules Catalog	The Vendor shall provide real-time access to a Business Rules Catalog, in an electronic format approved by the State, that documents all business rule logic used by the solution. The Vendor shall update the Business Rules Catalog with all additions or changes.
OM5	M&O Plan	The M&O Plan documents how the Vendor will address M&O requirements. The plan must identify and describe the Vendor's strategy and approach including the resources needed to support the system. The Vendor must update the plan as requested by the Agency to reflect evolving services, priorities, and resources. The plan must also describe how the Vendor will coordinate M&O and other tasks leading up to M&O. The plan must include the following: - Processes and procedures needed for day-to-day system operations, including: - System troubleshooting and system tuning procedures and features. - Processes and procedures for implementing common types of system enhancements (e.g., adding a workflow, building a new notice template, changing the valid values for a lookup, adding document types, and changing database objects). - Software management functions, such as building code and code management. - System interface processing, including API documentation and data exchanges with other systems. - Online and batch processing procedures. - System backup and recovery procedures. - Security procedures, scans, logs, and automated security tools. - Setting and changing system password and user ID. - Managing user permissions and roles. - System processing procedures. - System menu structures and system command mode operations. - Job scheduling.

		○ Job cycles (daily, weekly, monthly, quarterly, annually, and special). ○ Database maintenance and performance optimization management. ○ Log management. ○ Third-party software upgrades. ○ Error recording, reporting, and troubleshooting procedures. ○ The process for maintaining and updating security documents to reflect new requirements from federal partners. ○ The process to maintain the software at a release level no older than one release prior to the current production release. ● Batch job standards and online technical support standards ● Tasks necessary to establish the technical support team for equipment and data communications problem solving ● Vendor's help desk management plan, including coordination, ticket and incident management, and reporting system ● Necessary tools to capture and report on SLAs and facilitate tracing/observability of the health of the system ● Security management plan, with a comprehensive overview of the approach to system and data security (specifying the standards and methodology for securing access to the system, the software, and the data)
OM6	M&O Work Plan and Schedule	The M&O Work Plan and Schedule will document dates for all M&O procedures scheduled for the next six (6) months. The plan must include all tasks for preparation (ordering, installation, testing, etc.) and milestones that show when execution will be complete.
OM7	Defect Remediation Report	The Defect Remediation Report will include a summary of the defects reported, fixed, and backlogged for the month. The Agency will use this report to determine compliance with Critical Incident Resolution and Non-Critical Incident Resolution.
OM8	M&O Status Report	The M&O Status Report will report on system support activities. The monthly report must consist of the following: ● Status of SLAs and performance standards ● Status of operational activities ● Help desk reporting ● Status of tasks, staff assignments, and schedule of work for the upcoming month

		• Status of the work underway • List of tasks completed in the prior month • List of system operation problems
OM9	Operations Transition Plan	The Operations Transition Plan must consist of the following: • Approach to system transition • Resource requirements, roles, and responsibilities • Phases, tasks, and subtasks for system transition • Schedule for system transition, including the date that transition activities will begin and a reasonable completion date • Detailed work plan that shows the tasks to be completed by the Agency and/or incoming Vendor and the Vendor • Knowledge transfer and training plan to prepare staff to support the system • Approach to evaluating the training, validate knowledge transfer, and re-train where necessary.
OM10	Operations Transition Results Report	The Operations Transition Results Report documents the transition of system M&O from the successful to Vendor to the new M&O team. The report must consist of the following: • Description of how the system, including security processes and tools, was transitioned • Description of how the system support requirements, as indicated in the Operations Transition Plan, were satisfied • Description and confirmation of the satisfactory completion of the required training and creation of a new, proficient team capable of providing effective system M&O services • Description and delivery of any outstanding help desk tickets, change orders, or other system changes during the transition phase and how they were resolved in collaboration with the Agency • Description of how support and corrections were accomplished for any defects that existed in the system prior to the final transition date

3.6.3 Service Level Agreement

Vendors are required to review Attachment #5: SLA. Vendors must either: (1) agree to the attached SLA in full, (2) submit a redlined version of Attachment #5 in Microsoft Word with the Vendor's proposal submission, or (3) submit the Vendor's standard SLA for consideration with the Vendor's proposal submission.

Section 4. Administrative Information

4.1 Compliance with Solicitation

It is the Vendor's responsibility to read this entire document, all attachments, and any addenda thereto and to comply with all requirements specified herein.

4.2 Vendor Business Registration

Vendors must register with the Iowa Secretary of State before the Agency will enter into a Contract with the Vendor; registration is not required before the Notice of Intent to Award ("NOIA") is issued. See the Secretary of State's [business filing page](#). Vendors are responsible for maintaining current and accurate registration information during the Contract term.

4.3 Restriction on Vendor Communication

From the issue date of this solicitation until a NOIA is issued, Vendors may contact only the Issuing Officer concerning this solicitation. The Issuing Officer is the sole point of contact for the solicitation from the date of issuance until a NOIA is issued, except as otherwise directed by the Issuing Officer or as otherwise noted in the solicitation. The Issuing Officer will respond only to written questions regarding the procurement process. Oral questions related to the interpretation of this solicitation will not be accepted unless expressly noted otherwise. Vendors may be disqualified if they contact any State employee other than the Issuing Officer about the solicitation, except that Vendors may contact the State TSB Office on issues related to the preference for TSBs. This section will not be construed as restricting communications related to the administration of any Contract currently in effect between a Vendor and the State.

4.4 Downloading the Solicitation from the Internet via IMPACS

The solicitation documents and any addenda to the solicitation will be posted at the IMPACS website: <https://bids.scquest.com/apps/Router/PublicEvent?CustomerOrg=DASlowa>. The version of the solicitation posted on IMPACS is the official version. The Agency will only be bound by the official version of the solicitation documents. The Vendor is responsible for checking IMPACS periodically for addenda to this solicitation, particularly if the Vendor downloaded the solicitation, as the Vendor might not automatically receive addenda.

4.5 Procurement Timetable

The dates provided in the procurement timetable on the solicitation cover sheet and IMPACS are provided for informational and planning purposes. The Agency reserves the right to change the dates. If the Agency changes any of the deadlines for Vendor submissions, the Agency will issue an addendum to the solicitation and notify registered Vendors.

4.6 Questions, Requests for Clarification, and Suggested Changes

Vendors who indicate their intent to submit a response to the Solicitation in IMPACS can submit written questions, clarifications, or proposed changes regarding the Solicitation. Oral questions are not accepted. Vendors are not permitted to include assumptions in their proposals. Instead, Vendors shall address any perceived ambiguity regarding this RFP through the question-and-answer process. Please reference the page and section numbers of the Solicitation when submitting each question or comment. Questions must be submitted individually. Vendors are not permitted to submit questions as an attachment. To reduce the number of repeat questions, please refer to the IMPACS Q&A Board prior to submitting your questions. If the Agency should provide a written response, such responses will be provided on or before the date listed on the Solicitation cover sheet and IMPACS. If the Agency decides to adopt a suggestion that modifies the Solicitation, the Agency will issue an addendum to the Solicitation. Failure to raise a question, request for clarification, or suggestion through this process will

constitute a waiver of any objection or argument as part of any subsequent Vendor appeal. This waiver is intended to ensure the State can correct any material issues or errors in an efficient fashion and in a manner that is fair to all Vendors. Questions must be posted in IMPACS, and the Agency will post responses within IMPACS.

4.7 Submission of Proposals

The Vendor must submit the Proposal in the State's [IMPACS Electronic Procurement System](#) before the "Proposals Due" date and time listed on the RFP cover sheet. This is a mandatory specification and will not be waived by the Agency. Any Proposal received after this deadline will be rejected. Vendors submitting Proposals must allow ample upload time to ensure timely receipt of their Proposals. It is the Vendor's responsibility to ensure that the Proposal is received prior to the deadline. Electronic mail and faxed Proposals will not be accepted. There is a 50MB per file size limitation but no limit to the number of files. Vendors must furnish all information necessary to enable the Agency to evaluate the Proposal. The Vendor is solely responsible for the proposal's preparation costs. Oral information will not be considered and is not part of any proposal.

4.8 Release of Claims

By submitting a proposal, the Vendor agrees that it will not bring any claim or cause of action against the Agency based on any misunderstanding concerning the information provided in the solicitation or concerning the Agency's failure, negligent or otherwise, to provide the Vendor with pertinent information in this solicitation.

4.9 Disposition of Proposals

Except as otherwise provided herein, all proposals submitted in response to this solicitation become the property of the State and will not be returned to the Vendor. Once the Agency issues a NOIA the Contract, the contents of all proposals will be subject to relevant open records laws, including but not limited to Iowa Code chapter 22. Vendors must complete Form 22 to assert confidentiality over relevant portions of submitted proposals.

4.10 Form 22 - Request for Confidentiality

The Agency's release of public records is governed by Iowa Code chapter 22 and corresponding fair information practices rules. Vendors must complete a confidentiality Form (Form 22) within IMPACS detailing all claims Vendor makes regarding confidentiality. By claiming confidentiality within a submission, Vendor is asserting that the information *does, in fact, qualify for confidential treatment under Iowa or other applicable laws*.

Failure to request confidential treatment will be treated as a waiver of such claims. Blanket requests to maintain an entire proposal as confidential will be categorically rejected. Vendors may not request confidential treatment with respect to information or sections of their proposals specifically identified by the Agency in the solicitation as being non-confidential or subject to public disclosure.

In the event the Agency receives a public request for information marked confidential, the Agency will provide written notice to the Vendor seventy-two (72) hours prior to the release of the information to allow the Vendor time to seek injunctive relief.

4.11 Copyright Permission

By submitting a proposal, the Vendor agrees that the Agency may copy the proposal to facilitate the evaluation of the proposal or to comply with open records laws to the extent required by law.

By submitting a proposal, the Vendor represents and warrants that such copying will not violate any third-party intellectual property rights.

4.12 Amendment and Withdrawal of Proposal

Vendors can amend or withdraw their proposals in IMPACS at any time before the submission deadline.

4.13 Late Proposals

Late proposals, regardless of cause, will not be considered for evaluation. It is the Vendor's sole responsibility to ensure delivery prior to the deadline stated on the solicitation cover sheet and IMPACS.

4.14 Response Opening

The Agency will open proposals after the deadline for submission of proposals has passed. The proposals will remain confidential until the Agency has issued a Notice of Intent to Award. *See Iowa Admin. Code r. 7-2506.102(5)*. However, the names of the Vendors who submitted timely proposals will be available after the proposal opening. The announcement of Vendors who submitted proposals by the deadline for submission does not mean that an individual proposal has been deemed technically compliant or accepted for evaluation.

4.15 Proposal Corrections

Vendors are expected to follow the requirements set forth in this Solicitation. However, it is not the Agency's intent to disqualify proposals that suffer from correctable flaws. At the same time, it is important to maintain fairness for all Vendors in the procurement process. Therefore, the Agency reserves the right to, in its sole discretion, permit cure of variances, waive variances, or disqualify Vendors for reasons that impact the fairness of the competition. In the event that the Agency waives or permits cure of variances, such waivers or cures will not modify the Solicitation or excuse the Vendor from full compliance with the Solicitation and Contract requirements. The reasons Proposals may be disqualified include but may not be limited to, the following:

- 4.15.1** Vendor initiates unauthorized contact regarding this RFP with employees other than the Issuing Officer (See RFP Section).
- 4.15.2** Vendor fails to comply with the RFP's formatting specifications so that the Proposal cannot be fairly compared to other bids (See RFP Section).
- 4.15.3** Vendor fails, in the Agency's opinion, to include the content required for the RFP.
- 4.15.4** Vendor fails to be fully responsive in the Vendor's response to section 2, Scope of Work, states an element of the Scope of Work cannot or will not be met, or does not include information necessary to substantiate that it will be able to meet the Scope of Work specifications.
- 4.15.5** Vendor's response materially changes the Scope of Work specifications.
- 4.15.6** Vendor fails to submit the RFP attachments (See RFP Section).
- 4.15.7** Vendor marks the entire Proposal confidential, makes excessive claims for confidential treatment, or identifies pricing information in the Cost Proposal as confidential (See RFP Section).
- 4.15.8** Vendor includes assumptions in its Proposal (See RFP Section); or
- 4.15.9** Vendor fails to respond to the Agency's request for clarifications, information, documents, or references that the Agency may make at any point in the RFP process.
- 4.15.10** Vendor is a "scrutinized company" included on a "scrutinized company list" created by a public fund pursuant to Iowa Code section 12J. This list is maintained by the Iowa Public Employees' Retirement System. The list is currently found here: <https://ipers.org/investments/restrictions>.

4.16 Proposal Clarification

The Agency reserves the right to contact a Vendor to seek clarification of a proposal. The clarification process cannot be used as a means to substantively rewrite a proposal, but the process can be used as a way to correct misstatements in the document or clarify inconsistencies. Proposal pricing cannot be altered through the clarification process outside of a best and final offer (BAFO). An individual authorized to legally bind the Vendor must sign responses to any request for clarification.

4.17 Vendor Presentations

Vendors can be required to make a presentation. Determining the need for presentations and the location, order, and schedule of the presentations is at the Agency's sole discretion. The Agency can request a presentation for any proposal without the obligation to request presentations for all proposals. The presentation may include slides, graphics, and other media selected by the Vendor to illustrate the Vendor's proposal, provided that no new matter is introduced to the proposal. Proposal clarification can occur during the presentation.

4.18 Reference Checks

The Agency can contact references as part of the proposal evaluation process and take information obtained through those contacts into consideration in the proposal evaluation process as part of the proposal evaluation process and take information obtained through those contacts into consideration in the proposal evaluation process.

4.19 Criminal History and Background Investigation

The Agency reserves the right to perform a criminal history check and background investigation(s) of the Vendor, its officers, directors, shareholders, partners, and managerial and supervisory personnel who will be involved in the performance of the Contract. By submitting its proposal, Vendor hereby authorizes the Agency to conduct criminal history and/or other background investigation(s) of the Vendor, its officers, directors, shareholders, partners, and managerial and supervisory personnel who will be involved in the performance of the Contract and will fully cooperate with the Agency in obtaining any required waivers or releases required to complete any such criminal history check and background investigation(s).

4.20 Ancillary Information and Evaluators

The Agency reserves the right to obtain and consider information from other sources concerning a Vendor, including but not limited to the Vendor's performance under other contracts, the qualifications of any subcontractor identified in the proposal, the Vendor's financial stability, past or pending litigation or debarments, and other publicly available information such as SMEs or information supplied from current Contract managers or SMEs. Such information may be used in evaluating Vendor's proposal, verifying the information contained in the proposal, or assessing Vendor's qualifications and the qualifications of any subcontractor identified in the proposal. The Agency can consider information elicited in or supplied in response to one section of the solicitation when evaluating the Vendor's proposals in the context of other sections of the solicitation.

Contract managers or other personnel who might have personal experience with prospective Vendors can possess extraordinarily valuable program expertise, such that they are valuable, if not indispensable, assets to an evaluation committee. Therefore, Contract managers and other personnel may serve on the evaluation committee in evaluating proposals submitted in response to this solicitation. Contract managers and other personnel serving as evaluators will guard against the interjection of bias for or against other personnel who may have personal experience with prospective Vendors or any incumbent. Evaluators may consider their experiences with all Vendors and any other

extrinsic evidence known to them if relevant to what is being evaluated.

4.21 Verification of Proposal Contents

The Vendor's proposal is subject to verification. If the Agency finds any misleading or inaccurate information at any point during proceedings, it can reject the proposal, withdraw the NOIA, and award the Contract to another Vendor. If misleading or inaccurate content is discovered after a Contract is executed, the Agency can void the proposal or Contract, terminate the Contract, or pursue remedies such as suspension, debarment, or damages for breach of Contract.

4.22 Best and Final Offer

The Agency may request a BAFO from Vendors during the evaluation process. If the Agency chooses to request a BAFO, the Issuing Officer will provide written instructions, and Vendors will have five (5) business days from the date of the Agency's request to submit their BAFOs. The BAFO must be accompanied by a transmittal letter signed by an authorized representative. Vendors will not be required to submit a BAFO if they believe the original offer is competitive; however, if a Vendor submits a BAFO, the BAFO will replace the original Cost Proposal in scoring.

4.23 Award Notice and Acceptance Period

A NOIA will be sent to all Vendors submitting a timely proposal. Negotiation and execution of the Contract(s) should be completed within thirty (30) days from the date of the NOIA or as soon as reasonably possible thereafter, depending on the complexity of the negotiations. The Agency expects timely completion of this process and may, in its sole discretion, cancel the award and proceed with another Vendor if an executed Contract is not delivered within a reasonable time frame.

4.24 Exclusivity

Any Contract resulting from this solicitation will not be an exclusive Contract.

4.25 No Minimum Guaranteed

The Agency does not guarantee any minimum level of purchases under the Contract.

4.26 No Commitment to Contract/No Rights Until Execution

The Agency reserves the right to reject any or all proposals received in response to this solicitation at any time prior to the execution of the Contract. Issuance of this solicitation in no way constitutes a commitment by the Agency to award a Contract. No Vendor will acquire any legal or equitable rights regarding the Contract unless and until the Contract has been fully executed by the Vendor and the Agency. See Contract Terms & Conditions and Contract Administration – Section 7 for additional information on the contracting process and the terms and conditions governing any resulting Contract.

4.27 Use of Subcontractors

The Agency acknowledges that the Vendor can contract with third parties to perform any of the Vendor's obligations. The Agency reserves the right to provide prior approval for any subcontractor used to perform services under any Contract that may result from this solicitation.

4.28 Restrictions on Gifts and Activities

Iowa Code chapter 68B restricts gifts that may be offered or received by a State official or employee. Violations of chapter 68B or other attempts to bribe a public official can result in civil or criminal sanctions.

4.29 Vendor Continuing Disclosure Requirement

To the extent that Vendor is required by this solicitation to report any incidents, including but not limited to contractual penalties, disbarments, or felony convictions, the disclosure obligation is

continuing. Incidents occurring after the submission of a proposal and with respect to the Vendor after the execution of a Contract will be disclosed within thirty (30) days from the date of the incident, regardless of any appeal rights. Failure to disclose may result in proposal disqualification or Contract termination. If an omission is brought to the attention of an Agency as part of the appeal process set forth below, and the omission is determined to be potentially material, the appropriate remedy is for the applicable tribunal to remand the matter back to the Agency for it to determine whether the omission was, in the Agency's sole discretion, material, and whether to cancel the award and award the Contract to another Vendor.

4.30 Appeals

4.30.1 Generally. A Vendor whose proposal has been timely filed and who is aggrieved by the NOIA may appeal the decision by filing a written Notice of Intent to Appeal in accordance with Iowa Administrative Code rule 7-2506.102(1) to the Issuing Officer. The Notice of Intent to Appeal must be filed within five (5) business days of the NOIA date. Following the Agency's receipt of the Notice of Intent to Appeal, the Agency will transmit to the Appellant the materials required by and in accordance with Iowa Administrative Code rule 7-2506.102(2). An Appellant will not be entitled to additional discovery, materials, or information in furtherance of the Appeal unless and until the proceedings advance to a second-tier review in accordance with Iowa Administrative Code rule 7-2506.102.

4.30.2 Appeal Bond/Security. Pursuant to Iowa Admin. Code chapter 7-2506, the bonds applicable to appeals from the NOIA are as follows:

4.30.2.1 First-tier appeal bond: 5% of the contract value, as determined by the Agency. Iowa Admin. Code r. 7-2506.102(4).

4.30.2.2 Second-tier appeal bond: 10% of the contract value, as determined by the Agency. Iowa Admin. Code r. 7-2506.103(2)(b).

4.30.2.3 Stay of proceedings bond: as required by rule. Iowa Admin. Code r. 7-2506.105(1).

All bonds are due on the date of the corresponding appeal or application for a stay of proceedings. The Appellant forfeits an appeal bond or security if, as determined by the Agency, following resolution of the appeal, the appeal is determined to have had little or no factual or legal basis and was primarily filed to frustrate the procurement process or cause hardship for the Agency or another Vendor. Failure to supply the Agency with an appeal bond or security required by this section will result in the dismissal of the appeal. An appeal bond or security may be by certified check, cashier's check, certificate of deposit, irrevocable letter of credit, bond, or other security acceptable to the Agency. These requirements will not be waived by the Agency.

4.31 Choice of Law and Forum

This solicitation will be governed by the laws of the State of Iowa without giving effect to the choice of law principles of Iowa law. Any litigation in connection with this solicitation will be brought and maintained in the State or federal courts sitting in Polk County, Iowa.

4.32 Order of Precedence

If there is a conflict between a specific provision in this solicitation or those in any resulting Contract documents, the conflict will be resolved according to the following priority, ranked in descending order: (1) the Contract; (2) the solicitation; (3) the proposal.

Section 5. Form and Content of Proposals

- 5.1** These instructions describe and define the format and content of the Proposal. They are designed to facilitate a uniform review process. Failure to adhere to the Proposal format may result in the rejection of the Proposal. Table 11 below provides a description of the Proposal format.

Table 11: Proposal Format

Subject	Specifications
Proposal General Composition	The Proposal will be divided into two parts: (1) the Technical Proposal, inclusive of Appendix 1 and 2, and (2) the Cost Proposal. The Technical Proposal and the Cost Proposal will be labeled as separate electronic files. The files will be labeled with the following information: RFP-532-2530-2027 - Vendor Name -Technical Proposal (Inclusive of Appendix 1 and 2 as a PDF and Appendix 2 as an Excel file) RFP-532-2530-2027 - Vendor Name – Appendix 3 Cost Proposal Vendors must start M&O costs according to their estimated project schedule based on their estimated system acceptance date. The Agency will not pay Maintenance, Support, Hardware, Hosting, and License Costs during implementation. Proposals shall be provided in PDF format. Files shall be text-based and not scanned image(s) and shall be searchable and not password protected or contain restrictions that prevent copying, saving, highlighting, or printing of the contents. All files must be attached to the Vendor’s submission in IMPACS. Proposals will not contain promotional or display materials. If a Vendor proposes more than one solution to the RFP, each will be labeled and submitted as a separate Proposal and evaluated separately. The Proposal will be submitted in digital format via IMPACS. Proposals must be formatted for printing on 8.5" x 11" paper (one side only). Complex charts, graphs, and diagrams may be formatted for printing on legal-sized or larger paper. Proposals must be typewritten. The font must be 11 points or larger (excluding charts, graphs, or diagrams). Acceptable fonts include Times New Roman, Calibri, Arial, and Gill Sans MT.

Subject	Specifications
	NOTE: The Technical Proposal is limited to 150 pages, inclusive of existing language from Appendix 1.
Request for Confidential Treatment	If the Vendor designates any information in its Proposal as confidential pursuant to RFP Section 4, the Vendor must also submit a public copy of the Proposal from which confidential information has been redacted as provided in RFP Section 4. This copy must be marked “Public Copy”. Vendors <u>will not</u> seek confidential treatment of their Cost Proposal, in whole or in part. RFP-532-2530-2027 - Vendor Name - Public Copy See RFP Section 3.10 Form 22 – Request for Confidentiality for additional information regarding confidential treatment.
Exceptions to RFP/Contract Language	Exceptions to Terms and Conditions will be set forth in RFP Section 8. If the Vendor objects to any term or condition of the RFP or attached Sample Contract, the Vendor must follow all instructions in Group 2: Terms and Conditions of the questions section in IMPACS.
Required Attachments in IMPACS	The following attachments can be found in the IMPACS solicitation Buyer Documents section. Attachment 1: Vendor Information Form Attachment 2: Subcontractor Disclosure Form Attachment 3: Resource Usage Attachment 4: Interfaces Attachment 5: SLA Attachment 6: Sample Contract Attachment 7: Cost Proposal Template

Section 6. Technical and Cost Proposal Contents

This section lists the required proposal contents related to this solicitation. By submitting a proposal, the Vendor agrees to meet all stated scope in Section 3 and any other terms and conditions stated in this solicitation. Items in this section will be considered when evaluating and scoring the Vendor's Technical Proposal. The following documents and responses will be included in the proposal in the order given below ("Proposal Contents").

6.1 Technical Proposal Organization Guidelines

- 6.1.1 The transmittal letter serves as a cover letter for the Technical Proposal. The Vendor will prepare an executive summary and overview of the goods and/or services it is offering, including all the following information:
 - 6.1.1.1 Statements that demonstrate that the Vendor has read, understands, and agrees with the terms and conditions of the Solicitation, including all addenda and attachments hereto.
 - 6.1.1.2 Confirmation that the Vendor has read the Scope of Work, and that the Vendor understands the scope and nature of the goods and/or services being solicited.
 - 6.1.1.3 An overview of the goods and/or services Vendor is offering in response to this Solicitation.
 - 6.1.1.4 An overview of the Vendor's plans for complying with the specifications and requirements of this Solicitation.
 - 6.1.1.5 Any other summary information the Vendor deems to be pertinent.
 - 6.1.1.6 An individual authorized to legally bind the Vendor will sign the transmittal letter and include the Vendor's mailing address, email address, and telephone number.
- 6.1.2 The Vendor will provide the following information regarding its experience:
 - 6.1.2.1 Number of years in business.
 - 6.1.2.2 Number of years with experience providing the types of goods and/or services sought by the Solicitation.
 - 6.1.2.3 Description of technical experience in providing the types of goods and/or services sought by the Solicitation.
 - 6.1.2.4 A list of all goods and/or services similar to those sought by this Solicitation that the Vendor has provided to other businesses or governmental entities.
 - 6.1.2.5 References from three (3) previous customers or clients knowledgeable of the Vendor's performance in providing goods and/or services similar to the goods and/or services described in this Solicitation, and a contact person and telephone number for each reference.
 - 6.1.2.6 Description of experience managing subcontractors, if the Vendor proposes to use subcontractors.

6.1.3 Appendix 1 Tabs 1 - 10

Proposal Response Forms is a Word document that provides detailed instructions and requirements for the Vendor as it relates to the documents to be submitted as their RFP response and Services required for the project. Vendors are instructed to organize Proposals in a tabbed

format and to insert the completed Tab forms (Appendix 1 – Proposal Response Forms) in the corresponding Tabs as a part of their response to the Proposal. In addition to the information captured through the questions and tables in Appendix 1 – Proposal Response Forms, Vendors should provide complementary narrative information, diagrams, and images to help substantiate and support their proposal response to each Tab section.

Vendors are instructed to complete all Tabs within Appendix 1 – Proposal Response Forms as a part of their response to the Technical Proposal. Table 12 contains the organization guidelines for Proposal responses.

Table 12: Technical Proposal Organization Guidelines

Proposal Tab No.	Technical Proposal Section
Tab 1	Software Solution
Tab 2	Project Schedule
Tab 3	Project Approach and Implementation Methodology
Tab 4	Key Proposed Personnel and Team Organization
Tab 5	System and Application Architecture
Tab 6	Data Migration Plan
Tab 7	Security and Software Hosting
Tab 8	Testing and Quality Assurance Plan
Tab 9	Training Plan
Tab 10	References

6.1.4 Appendix 2: Excel and PDF

Functional and Technical Requirements is an Excel document that provides detailed requirements and capabilities related to software features and functions, as well as potential interfaces. This spreadsheet is to include Vendor’s response as detailed in Appendix 2 – Functional and Technical Requirements, which is an Excel document to be filled out by the Vendor. Vendors are to provide Appendix 2 in both Excel and PDF format.

6.1.5 Appendix 3: Cost Proposal

The Vendor’s Cost Proposal will include an all-inclusive, itemized total cost in U.S. Dollars (including all expenses, etc.). All pricing will be FOB Destination, freight cost, and all expenses included and based on Net 60 Days Payment Terms. A template (Appendix 3: Cost Proposal Template) is provided in IMPACS. Please follow the detailed instructions in the template. Cost proposals cannot be marked confidential.

6.1.5.1 Firm Offer

The Vendor will guarantee that the goods and/or services offered in the proposal are currently available and that all proposal terms, including price, will remain firm for the number of days indicated on the solicitation cover sheet following the deadline for submitting proposals.

Section 7. Evaluation and Selection

7.1 Introduction

Proposals that are submitted in a timely manner and not rejected will be reviewed and evaluated in accordance with the Evaluation and Selection section of the Solicitation to determine which proposal or proposals provide the greatest benefit to the State. The Agency will not necessarily award the Contract to the Vendor offering the lowest cost to the Agency. Instead, the Agency will award to the Vendor whose proposal the Agency believes will provide the best value to the State.

7.2 Evaluation Committee

The Agency will conduct a comprehensive, fair, and impartial evaluation of proposals received in response to this Solicitation. The Agency will use an evaluation committee to review and evaluate the technical proposals. Based on the evaluation results, the evaluation committee will recommend an award to the Agency decision-maker. The Agency reserves the right to utilize artificial intelligence (AI) tools to validate the competitive Solicitation evaluation process. Evaluators may consider insights or analyses generated by AI throughout the evaluation. Any use of AI will be subject to and in compliance with applicable agencies AI use policy.

7.3 Technical Proposal Evaluation and Scoring

Proposals deemed by the Issuing Officer to be responsive to the Solicitation will be evaluated by the evaluation committee. The committee will evaluate technical proposals using a consensus scoring model and the Solicitation's scoring rubric. Technical Proposals will be evaluated and scored by the evaluation committee based on the evaluation categories identified in the Scored Technical Specifications Section of Section 5 and in accordance with the relative weights accorded each evaluation category as set forth in Technical Proposal and Presentation Points section at the end of this document.

7.3.1 Proposal Scoring and Evaluation Criteria

The evaluation committee will use the method described in this section to assist with determining the relative merits of each Technical Proposal.

7.3.2 Scoring Guide

Points will be assigned to each evaluation component as shown in Figure 2 below, unless otherwise designated:

Figure 2: Scoring Guide



7.4 Cost Proposal Scoring

The Cost Proposal for each Vendor will be evaluated in comparison with the other Cost Proposals received; however, the number of points possible will be proportional to each Vendor's technical evaluation score.

7.4.1 Method for Vendor Possible Cost Points – Step 1

The technical evaluation points received (numerator) are divided by the total possible technical points (denominator) listed in Section 9, then multiplied by the total possible cost points listed in Section 9. This provides the total points possible for the Vendor in the cost evaluation. The equation is illustrated below.

$$\text{Vendor Possible Points} = \frac{\text{Technical Evaluation Points}}{\text{Total Possible Technical Points}} \times \text{Total Possible Cost Points}$$

7.4.2 Method for Vendor Possible Cost Points – Step 2

To determine the Cost Proposal points to be awarded to the Vendor, the lowest Cost Proposal from all proposals being evaluated (numerator) is divided by the Vendor's Cost Proposal being evaluated (denominator), then multiplied by the Vendor's possible points, determined by the equation above. The equation is illustrated below.

$$\text{Cost Proposal Points} = \frac{\text{Lowest Cost Proposal}}{\text{Cost Proposal Being Evaluated}} \times \text{Respondent Possible Points}$$

For example:

- Total Technical Points = 800
- Total Cost Points = 200

Step 1: Technical Evaluation

Vendor A scores 400 out of 800 on the technical evaluation. That is 50% of the technical points. The maximum cost points they can earn is:

$$\frac{400}{800} \times 200 = 100 \text{ cost points}$$

Step 2: Cost Evaluation

Now compare Cost Proposals:

- Lowest Cost Proposal = \$100,000
- Vendor A Cost Proposal = \$125,000
- Points Possible for Vendor A = 100 (from Step 1)

Now calculate the cost points awarded:

$$\frac{100,000}{125,000} \times 100 = 80 \text{ cost points}$$

Final Result for Vendor A:

- Technical Points = 400
- Cost Points = 80
- Total Score = 480 out of 1000

7.5 Total Score

The Vendor's Technical Proposal points will be added to its Cost Proposal points to obtain the total points awarded for the proposal.

7.6 Tied Score and Preferences

In the event of a tied score, the award will be determined as follows:

- 7.6.1 Whenever a tie involves an Iowa Vendor and a Vendor outside the State of Iowa, first preference will be given to the Iowa Vendor. Ties involving Iowa-produced or Iowa-manufactured products and items produced or manufactured outside the State of Iowa will be resolved in favor of the Iowa product. Whenever a tie involves one or more Iowa Vendors and one or more Vendors outside the State of Iowa, the drawing process outlined in subparagraph 10.12(3)(e)(3) will be held among the Iowa Vendors only.
- 7.6.2 If a tie does not include an Iowa Vendor or Iowa-produced or Iowa-manufactured product, preference will be given to a Vendor based in the United States or products produced or manufactured in the United States over a Vendor located or products produced or manufactured outside the United States.
- 7.6.3 If a tie neither includes an Iowa Vendor or Iowa-produced or Iowa-manufactured product nor a United States Vendor or United States-produced or United States-manufactured product, a drawing may be held in the presence of the Vendors that tied or in front of at least three disinterested parties. All drawings will be documented. Iowa Admin. Code r. 129– 10.13(3)(e).

7.7 Recommendation of the Evaluation Committee

The evaluation committee will present a final ranking and recommendation(s) to the Award decision-maker for consideration. In making this recommendation, the committee is bound by the total scores awarded through the evaluation process. The Award decision-maker will either accept the committee's recommendation or reject the recommendation and cancel the Solicitation.

Section 8. Contract Terms & Conditions and Contract Administration**8.1 RFP Specifications, Requirements, and Terms**

The resulting Contract includes the RFP's specifications, requirements, and terms; any RFP amendments; the Contract Terms and Conditions (Attachment #6); the offer of the Vendor contained in its Proposal; and any other terms deemed necessary by the Agency, including those listed in sections 8.5 and 8.6.

8.2 Contract Terms and Conditions

The Contract terms and conditions for the Vendor are included in this RFP as Attachment #6 and posted in the [IMPACS](#) solicitation.

8.3 Exception to Any Terms and Conditions

If the Vendor takes exception to any Terms and Conditions, the Vendor must submit a separate electronic file consisting of a redlined Microsoft Word document of the Terms and Conditions. Any exceptions should be accompanied by an explanation for the modification. Objections raised during the solicitation process may be considered during the evaluation and Contract negotiations. Objections not raised during the solicitation process are waived and will not be considered at later stages. The Agency's receipt of objections to the Terms and Conditions does not imply acceptance or agreement to any proposed objections. The Contract(s) awarded by the Agency will include the specifications, terms, and conditions outlined in the original solicitation. It may also include any written changes or clarifications made by the Agency through amendments or addenda, the Vendor's proposal, and any other necessary terms decided by the Agency.

8.4 Objections Raised During the Solicitation Process

Objections raised during the solicitation process may be considered during the evaluation and Contract negotiations. A Proposal that includes substantive objections may result in the Agency rejecting the Proposal. The Agency reserves the right to either award a Contract(s) without further negotiation with the Vendor or to negotiate Contract terms with the Vendor if the best interests of the State would be served. As such, if any proposed modifications are not determined to be in the best interests of the State or appear to pose a substantial impediment to reaching an agreement, the Agency may, in its sole discretion:

- 8.4.1** Issue a NOIA in favor of the Vendor but decline to agree to or further negotiate any proposed modifications to terms and conditions identified by the Vendor in its Proposal.
- 8.4.2** Issue a NOIA in favor of the Vendor and identify in the Notice proposed modifications to terms and conditions identified by the Vendor in its Proposal with which the Agency will or will not agree or further negotiate.
- 8.4.3** Enter open-ended negotiations with the Vendor, provided that any such negotiations will be limited to the proposed modifications to terms and conditions identified by the Vendor in its Proposal.
- 8.4.4** Change the Agency's recommendation for Award and issue a NOIA to a Vendor whose proposal does not pose as great of a challenge to the Agency.

Any ambiguity, vagueness, inconsistency, or conflict, either internal to such modification(s) or arising when read in conjunction with other portions of the Contract, will be construed strictly in favor of the State. Only those proposed modifications identified in the NOIA issued by the Agency as terms and conditions with which the Agency will or will not agree or further negotiate will be part of the Contract, and the State may ignore all proposed modifications, accept one or more and ignore others, accept all or, through negotiations after an award, agree to compromise language concerning one or more proposed modifications to be incorporated into a final Contract between the parties. By executing and submitting

its Proposal in response to this RFP, the Vendor understands and agrees that the State may exercise its discretion not to consider any or all proposed modifications from the Vendor and may accept the Vendor's proposal under the terms and conditions of this RFP and the Terms and Conditions.

8.5 Contractual Terms and Conditions – No Material Changes/Non-Negotiable

Notwithstanding anything in this RFP to the contrary, Vendor may not take exception to or propose including language in any resulting Contract that conflicts with or is otherwise inconsistent with the following:

8.5.1 Indemnification

Without specific authority to do so, the State or agencies cannot enter into agreements indemnifying Respondents or any other entity against third-party claims. A clause that intends to seek indemnification from the State, whether or not the clause contains the words "indemnity" or "indemnify," is not a clause to which the State may agree. The State will not agree to the clause that includes the language "to the extent permitted by law" because, as explained, the State cannot indemnify Respondents to any extent. Iowa Code § 8.94(1).

8.5.2 Limitation of Liability

Iowa Code section 8.96 establishes the framework to allow for the State to agree to a contractual limitation of liability clause in limited circumstances. Any request by Respondent for the State to limit damages in any manner inconsistent with Section 8.96 will be rejected.

8.5.3 Attorney General Representation and Jurisdiction & Venue

Iowa Code chapter 13 establishes that the Iowa Attorney General is the State's attorney for all purposes, including management of litigation and claims against the State. The State may not preempt the Attorney General's authority by agreeing in advance to control the way litigation may be managed in the event of a dispute. *See* Iowa Code § 8.94(3). Likewise, the State cannot agree to the jurisdiction or laws of another state or its courts, cannot agree to venue in another state, and cannot agree to participate in any form of alternative dispute resolution. Iowa Code §§ 8.94(5), 8.94(8), 8.94(10), 8.95.

8.5.4 Confidentiality

All Iowa State Agencies are subject to Iowa Public Records Laws. The State cannot agree to contractual terms that attempt to prevent it from disclosing or disseminating records that constitute Public Records under Iowa Code chapter 22. Iowa Code § 8.94(6), (7).

8.5.5 Unliquidated Expenses (*i.e.*, Attorney Fees, Add-ons, or Cost Increases)

The State may not agree to clauses that obligate it to pay for claims that might exceed its current funding appropriation. The State may only obligate funds appropriated to it by the Iowa Legislative Assembly and may only obligate those funds for the purposes for which the funds were appropriated. Iowa Code § 8.94(9).

8.6 Special Terms and Conditions

8.6.1 Term Length

The Contract will have an initial term of five (5) years beginning on the date of Contract execution (the "**Effective Date**"). At the end of the Contract's initial term, the State will have the option, in its sole discretion, to renew the Contract on the same terms and conditions for up to a total of five (5) additional one-year terms not to exceed a total Contract term of ten (10) years. The State will give the Vendor written notice of its intent on whether to exercise each option no later than sixty (60) days before the end of the Contract's then-current term.

8.6.2 Solution Availability

The Vendor represents and warrants that the proposed solution will remain available and viable for not less than ten (10) years from the date of Contract execution and that the proposed solution will not be retired or discontinued during the Contract term, including optional renewals.

8.6.3 Compliance with Laws

The Vendor represents and warrants that the Vendor and Vendor-provided deliverables will at all relevant times comply with all applicable State and federal laws, including, but not limited, to those relating to electronic and information technology accessibility requirements, including applicable provisions of Section 508 of the Rehabilitation Act of 1973 and Title II of the Americans with Disabilities Act of 1990, each as amended, including any implementing regulations and successor standards applicable to public entities serving a population of 50,000 or more (collectively, "Accessibility Standards"). At minimum, Vendor shall conform to the Web Content Accessibility Guidelines as adopted or incorporated by applicable law, or any successor guidelines, whichever imposes the greater accessibility requirements.

8.6.4 Accessibility Conformance Report

For any Deliverable that includes electronic and information technology, Vendor shall provide an Accessibility Conformance Report ("ACR") documenting conformance with the Accessibility Standards. An ACR is based on the Voluntary Product Accessibility Template ("VPAT") developed to demonstrate conformance with Section 508 of the Rehabilitation Act. Vendor shall provide the ACR upon delivery of the applicable Deliverable and shall provide an updated ACR upon any material change to the Deliverable's user interface or accessibility-affecting functionality, at least annually during the term of the Contract and upon Contract renewal.

8.6.5 Compliance with Iowa Department of Management Policies

Vendor shall comply with all applicable policies issued by the Iowa DOM, as published at <https://policies.iowa.gov> and as may be amended from time to time. Vendor acknowledges that such policies are incorporated herein by reference to the extent applicable to Vendor's performance under this Contract.

8.7 Payments**8.7.1 Payment Methods**

The State of Iowa, in its sole discretion, will determine the method of payment for goods and/or services as part of the Contract. The State Pcard and EAP are preferred payment methods, but payments may be made using any of the following methods: Pcard/EAP, EFT/ACH, or State Warrant. Vendors will indicate in their Cost Proposals all of the payment methods they will accept. This information will not be scored as part of the Cost Proposal or evaluated as part of the Technical Proposal.

8.7.2 Electronic Funds Transfer (EFT) by Automated Clearing House (ACH)

The State of Iowa may make payment by EFT by ACH. Payments are deposited into the financial institution of the claimant's choice three working days from the issue date of the direct deposit.

https://das.iowa.gov/sites/default/files/acct_sae/man_for_ref/forms/eft_authorization_form.pdf

8.7.3 State Warrant

The State of Iowa's warrant drawn on the Treasurer of State is used to pay claims against the departments of the State of Iowa. The warrant is issued upon receipt of proper documentation from

the issuing department

8.7.4 Credit card or ePayable

The State of Iowa's Purchasing Cards (Pcards) and ePayable solution (EAP) are commercial payment methods utilizing the VISA credit card network. The State of Iowa will not accept price changes or pay additional fees if the Vendor uses the Pcard or EAP payment methods. Pcard-accepting Vendors must abide by the State of Iowa's Terms of Pcard Acceptance. Vendors must provide a statement regarding their ability to meet the requirements in this subsection, as well as identify their transaction reporting capabilities (Level I, II, or III).

8.7.5 Terms and Conditions for State of Iowa Purchasing Cards

The State of Iowa will pay the Vendor's invoices using its Purchasing Card Program (Pcard) whenever possible. The Pcard is a VISA credit card issued by U.S. Bank to allow authorized employees to make purchases on behalf of the State. It is a faster, more convenient alternative to traditional invoicing and remittance processing, allowing U.S. Bank to pay the Vendor directly, generally within 48 hours of the transaction. The Vendor will comply with security measures for Pcard payments including:

- 8.7.5.1** The Vendor will comply with Payment Card Industry Data Security Standard (PCI DSS) to ensure confidential card information is not compromised;
- 8.7.5.2** The Vendor will adhere to Fair and Accurate Credit Transactions Act requirements that limit the amount of consumer and account information shared for greater security protection.
- 8.7.5.3** The Vendor will not write down card numbers or store card information. When accepting orders by phone, the Vendor will process the transaction during the call and send itemized receipts (excluding card numbers) to the cardholder by fax, email, or mail (with postage prepaid).
- 8.7.5.4** The Vendor will process payment for items when an order is placed only for items currently in stock and available for shipment and only for services already rendered.
- 8.7.5.5** The Vendor will confirm that the name of the purchaser matches the name on the card.
- 8.7.5.6** The Vendor will ensure Internet orders are processed via secure websites featuring Verisign, TRUSTe, BBB Online, or "https" in the Web URL address.
- 8.7.5.7** The Vendor will shred any documentation with credit card numbers.

8.7.6 Payment Terms

Per Iowa Code 8A.514 the State of Iowa is allowed sixty (60) days to pay an invoice submitted by a Contractor.

8.7.7 Vendor Discounts

The Vendors will state in their Cost Proposals whether they offer any payment discounts.

8.7.8 Prompt Payment Discount

If an incentive for earlier payment is offered, the State can agree to pay in less than sixty (60) days.

8.7.9 Invoices

Any invoices submitted must comply with applicable rules concerning payment of claims,

including but not limited to those set forth in Iowa Administrative Code chapter 11—41.

8.8 Insurance

The Contract will require the Vendor to maintain insurance coverage(s) in accordance with the insurance provisions of the General Terms and Conditions and of the type and in the minimum amounts set forth below unless otherwise required by the Agency. Table 13, below, describes the insurance requirements.

Table 13: Insurance Requirements

Type of Insurance	Limit	Amount
General Liability (including contractual liability) written on an occurrence basis	General Aggregate	\$2 million
	Products –	
	Comp/Op Aggregate	\$1 million
	Personal injury	\$1 million
Excess Liability, umbrella Form	Each Occurrence	\$1 million
	Aggregate	\$1 million
Technology Errors and Omissions Insurance	Each Occurrence	\$5 million
	Aggregate	\$5 million
Workers Compensation and Employer Liability	As Required by Iowa law	\$2 million
Cyber Liability / Network Security	Each Occurrence	\$5 million
	Aggregate	\$5 million

Acceptance of the insurance certificates by the Agency will not act to relieve the Vendor of any obligation under the Contract. It will be the responsibility of the Vendor to keep the respective insurance policies and coverages current and in force during the life of the Contract. The Vendor will be responsible for all premiums and deductibles and for any inadequacy, absence, or limitation of coverage. The Vendor will have no claim or other recourse against the State or the Agency for any costs or loss attributable to any of the foregoing, all of which will be borne solely by the Vendor. Notwithstanding any other provision of the Contract, the Vendor will be fully responsible and liable for meeting and fulfilling all of its obligations under this section of the Contract.

8.9 Performance Security

The Contract may require the Vendor to provide security for performance [e.g. performance bond, escrow, letter of credit, liquidated damages]. Agency will retain ten percent (10%) of each payment due under the Contract. The Agency will pay the retained amount only after all deliverables have been completed by the Vendor and accepted by the Agency.

8.10 Quarterly Report

The Vendor will provide an electronic detailed quarterly report on all sales made under this agreement within the State of Iowa via Email to the Iowa DOM,

ITContracts@dom.iowa.gov

The report file format will be compatible with Microsoft Excel. At a minimum, the report will include the date of sale, customer name and address, full product description, SKU Numbers, quantity, invoice number, unit, and extended invoice prices. The State reserves the right to request more detailed information (ad hoc

reporting) at any time and on an individual or specific basis for a specific product, department, time frame, or a range of products, departments, or time frames.

Table 14: Quarterly Reporting Schedule

State Fiscal Year - Quarterly Reporting Schedule		
Quarter 1	July 1 st - September 30 th	Due October 31 st
Quarter 2	October 1 st – December 31 st	Due January 31 st
Quarter 3	January 1 st – March 31 st	Due April 30 th
Quarter 4	April 1 st -June 30 th	Due July 31 st

8.11 Administrative Fee

Without affecting the approved Goods or Services prices or discounts specified in the Master Agreement, the State of Iowa will receive a one percent (1.00%) administrative fee on all sales made within the State of Iowa against this agreement. The administration fee due to the State of Iowa will be paid quarterly by the Vendor directly to the State, made payable to the "Iowa Department of Management."

8.12 Vendor Performance

The Vendor may be assessed throughout the term of the resultant Contract based on performance questionnaires completed by State staff. By submitting a proposal pursuant to this RFP, Vendor consents to the State's performance evaluation, use of performance evaluations in future procurements, and publication of performance results.

8.13 Order of Precedence

If there is a conflict or inconsistency between any documents comprising the Terms and Conditions, such conflict or inconsistency will be resolved according to the following priority, ranked in descending order:

- (1) Any terms in this Section 8 (Contract Terms and Conditions & Administration).
- (2) The General Terms and Conditions to the extent referenced and linked to on the RFP cover page of the Contract.
- (3) If the General Terms and Conditions are not linked to on the RFP cover page, or any terms and conditions attached to and accompanying this RFP as Attachment 6.
- (4) Any terms and conditions specifically set forth in this Section 8 (Contract Terms and Conditions & Administration) under a subsection with a title other than Special Terms & Conditions.

Section 9. Technical Proposal and Presentation Points

There are 1,300 total points available.
The Technical Proposal has 800 possible points, the Presentation has 300 possible points, and the Cost Proposal has 200 possible points.

Table 15: Technical Proposal Points

Criteria	Description	Points
Functionality	This criterion considers but is not limited to the following: - The Vendor's written responses to the Functional and Technical Requirements for proposed functional areas and overall software solution. - The ability for the proposed software to integrate with the State's systems environment. (This criterion refers to Appendix 2)	200
Technical	This criterion considers but is not limited to the following: - Alignment of the proposed software to the State's preferred technical specifications. - The Vendor's written response to each Potential Interface. - The level of integration among proposed functional areas. (This criterion refers to Appendix 1, Tab 5 and 7, as well as Appendix 2, Tabs 30 - 32)	125
Approach	This criterion considers but is not limited to the following: - The described approach to implement an OMS to achieve the State's goals and objectives. - The alignment of the proposed implementation timeline to the State's desired timeline. - The distribution of implementation tasks among State and Vendor teams. - The proposed resources hours among State and Vendor teams. - The Vendor's approach to key implementation tasks including but not limited to data migration, testing, and training. - The Vendor's planned ongoing support and maintenance services. (This criterion refers to Appendix 1, Tabs 1 – 4, 6, 8 – 9)	300
Vendor Experience	This criterion considers but is not limited to the following: - The Vendor's experience delivering the services requested in the RFP. - The Vendor's experience with similar implementations for	100

Criteria	Description	Points
	comparable organizations. - The Vendor's experience deploying comparable interfaces to the State's related applications. - The feedback received from references related to the Vendor's performance in the implementation including meeting project objectives and timelines, as well as the knowledge, skills, and experience of implementation staff; capabilities of the software; and ongoing Vendor performance with support and maintenance. - The relevance of references related to organization size and location, structure of the organization, entity type (e.g., State DOC/County/City), comparable scope, similar software version, and deployment model. (This criterion refers to Appendix 1, Tab 10, as well as Attachments A and B in IMPACS)	
Proposed Staff Experience	This criterion considers but is not limited to the following: - The experience of named staff delivering services requested in the RFP. - The experience of named staff with similar implementations for comparable organizations. - The qualifications of named staff to deliver the services requested in the RFP with a focus on business process optimization. (This criterion refers to Appendix 1, Tab 4)	75

Table 16: Presentation Criteria

Criteria	Description	Points
Overview	This criterion considers new information learned through Vendor overview and software navigation overview.	50
Functionality	This criterion considers new information learned through Vendor demonstrations including but not limited to the demonstrated user interface and the alignment of demonstrated functionality with preferred tables.	200
Response to Additional Questions	This criterion considers new information learned through response to questions provided prior to presentation/demonstration.	50