IT Governance Design and Implementation

REQUEST FOR QUOTATION

MBE ONLY

State Term Schedule
INTRODUCTION AND BACKGROUND

PURPOSE OF THE REQUEST FOR QUOTATION

Please consider this as the State of Ohio, Department of Agriculture (ODA), Office of Information Technology’s (OIT) Request for Quotation for the following:

**IT Governance Design and Implementation**

The Ohio Department of Agriculture (ODA), Office of Information Technology (OIT) is searching for a highly skilled consultant and/or consultant team to act as a partner in an Advisory and Project Management capacity for the Agency. The selected vendor is to provide professional services to develop and implement an IT Governance framework. The successful vendor should have extensive experience in state government governance, including the ability to conduct all required research, to create the required policy documents suitable for consideration and adoption, and facilitate the implementation of the framework.

The State believes that a framework can be developed and implemented to include governance processes for project prioritization, and that such framework can be easy to implement and can be sustainable. Agency Executive Leadership has agreed that this is an important undertaking, and that all other ODA Divisions/Offices have a role to play in this governance framework; particularly in setting up and prioritizing IT goals and objectives that are in alignment with the Agency’s business goals and objectives.

The primary goal of the IT Governance Implementation project is to implement a governance framework that will align IT goals and objectives with Agency’s business goals and objectives. At the end of the project, the Agency expects:

1) A defined IT Governance framework and processes that is implementable and sustainable in the context of a cabinet-level agency in the State of Ohio.
2) A roadmap for the implementation of the framework, including identification of milestones that are indicative of the Agency’s progress in implementing this framework.
3) A support system and mentoring to guide the Agency through implementation to observe the Agency’s framework processes as they are implemented and provide recommendation for improvement.
4) Establish key performance indicators of IT-Business alignment that demonstrate the value that Information Technology provides to Agency operations, business, budgeting, and achievement of strategic goals.

The State recognizes that several framework models are presently available, and that any of them – as a framework – can be tailored to fit an organization and make it simple, functional and sustainable for the State. Furthermore, the State recognizes the challenges associated with implementing a framework for governance where there was none. Currently, no formalized IT...
governance structure exists at the Agency. The State expects the framework to be comprised of a series of components, each of which have specific key success factors and implementation constraints.

The State prefers candidates that comprise a team with whom Offerors already have experience, as well as team members that have worked collaboratively in the review and design of organizations, high performance processes and customer delivery functions leading to a successful implementation of recommendations. Successful candidates that comprise the team will be self-starters and detail oriented and will be responsible for the conception, development, presentation and follow-up activities associated with each deliverable contained herein.

Candidates must be able to work both independently and as team members to produce on time results to meet all project deliverables and deadlines.

Responses to this Request for Quotation must include:

**Prior Summary Deliverables or Deliverable Extracts** that highlight the Offerors Capability in Assessment, Process Effectiveness, Implementation/Change Plans and IT/Network Process Improvement (tools, systems, training, alignment). Confidential client details should be redacted from these samples.

**Methodology Overview** that provides a discussion of the anticipated approach, process and methods that the Offeror proposes to employ during this engagement and has used in prior engagements for achieving the desired end state of this solicitation. The State invites alternatives to any approaches embodied within this document. Any proposed alternatives shall be clearly identified within the main tasks of the response.

The Offeror shall also discuss expected challenges during the project and potential approaches to these challenges. This part of the proposal will be used to evaluate and understand the extent to which the Offeror understands the project, its magnitude and its complexity.

**One (1) biographical (1 or 2 page) resume for each team position** proposed and other required information. Provide description of your firm’s availability for the Project and the commitment of resources for the project. Availability and commitment of key project personnel shall be included.

**Project Timeline / Project plan** as a brief week-by-week summary of all project activities, key meetings with Agency team members, deliverable review/presentation sessions with Agency leadership and other activities as required for a successful project based on Offeror experience in similar projects. A preliminary schedule showing the key tasks and activities and anticipated
dates necessary to complete the IT Governance Design and Implementation Project should be included.

Vendors need only respond if all deadlines are attainable, regardless of non-workdays, holidays, weather conditions or other interferences.

**Required Deliverables**

Offeror, as part of the project, will design, complete and present four (4) known deliverable categories as follows:

- IT Governance Framework Development
- IT Governance Implementation Roadmap
- Implementation Support/Mentoring
- Project Management

The Offeror shall provide details as to the method of accomplishing the Scope of Work for each of the tasks noted. The Offerors proposal shall address all of the objectives for each task as outlined in the Scope of Work contained below.

**IT Governance Framework Development**

Work collaboratively with the Agency in the development of an effective and sustainable IT governance framework that meets Agency needs, organizational structure, and risk management posture. A framework that creates and revolves around a Technology Council and Governance Board model is most desired. Additionally, the framework should support and augment the State of Ohio Enterprise Project Prioritization (DAS-OIT/EPP) efforts and demands – both software and criteria.

This task will consist of the following:

- Evaluate, no more than three, existing IT governance frameworks (Cobit, VAL IT, etc.).
- Identify the opportunities to leverage these frameworks in order to define an implementable and sustainable IT governance process that meets the needs and requirements of the State.
- In collaboration with the State, define the governance structure, components and processes.
- Prepare Technical Memorandum: IT Governance Framework Definition, outlining the process leading to the definition and documenting the framework structure, components and processes. Suggested and recommended Policies, Procedures, Directives, and other documents required for implementation should be included.

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1 Offerors are not limited by the identified deliverables and may wish to expand on them as deemed necessary and appropriate.
• Present proposed IT Governance framework to Agency leadership.

The Offeror will need to demonstrate in their proposal a process and methodology to guide the development of the framework. All delivered requirements documents should be in MS Word.

**IT Governance Implementation Roadmap**

The intent of this deliverable is to create a roadmap for implementation to be used as a communication tool with business stakeholders and to manage expectations. In doing so, governance components and processes may need to be prioritized in order to best utilize resources, ease the introduction of governance to the organization, and maintain progress on current IT initiatives.

This task will consist of the following:

- Workshops to prioritize sequence of implementation.
- A roadmap that communicates the implementation of the IT governance framework, inclusive of reasonable time estimates to accomplish.
- Identify key milestones to effectively report implementation progress.
- Identify key success factors for implementation.
- Identify metrics to evaluate the effectiveness of the IT Governance framework.

**Implementation Support/Mentoring**

Provide support and mentoring to the State throughout the implementation. Given that the roadmap is not yet defined, this task should be proposed as budget of hours to be used, as needed, throughout the implementation. Potential tasks include observation, facilitation, assessment of key governance activities, and developing recommendations for improvement. Offeror will provide assistance and expertise during the implementation to introduce the concept, benefits, and processes to ensure that a successful roll-out occurs.

This task will consist of the following:

- Meetings and presentations with the Agency leadership and other identified stakeholders.
- Periodic evaluation reports of progress and recommended actions to ensure progress and success of the implementation.

**Perform Project Management Functions**

Provide effective project management for the duration of the project, including development of a project schedule, resource management, budget management, project documentation, and the timely provision of all identified project deliverables. Proposal shall include a reasonable approach for project status reporting.

This task will consist of the following:

- Project Plan.
- Project Budget Management Process.
- Project Schedule.
• Status Reports.
• Risk/Issue Management Process.

Deliverable Schedule and Contractor Fees

<table>
<thead>
<tr>
<th>Project Not to Exceed Price Total</th>
<th>Project Completion</th>
<th>$ Offeror Not to Exceed²</th>
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<td>{Offeror to Provide}</td>
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Project Location and Work Conditions:

Normal business hours for the State are (between 8:00 AM and 5:00 PM) Monday through Friday, 40 hours a week. Consultant(s) may be required to work additional hours based on operational need. The majority of the work effort must be performed onsite at State project locations in Reynoldsburg and the Greater Columbus Area.

IMPORTANT NOTE: The State will only consider quotes that have all of the following required information:

1. Cover Letter (include email address)
2. State Term Schedule Number
3. MBE or EDGE Certification
4. STS Labor Category Code, # of hours, and hourly rate
5. Request for Quotation number
6. Cost breakdown as described in the Fee Schedule/Rate section of this bid document.
7. Quote date expiration (At least 30 days)

ADMINISTRATIVE

DUE DATES

All quotations are due by 1:00 PM, EDT, on February 21, 2017. Any quotation received at the designated location after the required time and date specified for receipt shall be considered late and non-responsive. Any late quotations may not be evaluated for award.

² The Offeror will provide, as part of their quotation a breakdown of hours by STS contractor category with hourly rate and number of hours for each resource. All quotes need to be based on time and materials and all invoices should reflect the hours and rate. All deliverables must be met and total cost will not exceed the “Not to Exceed” offer.
## SCHEDULE OF EVENTS

<table>
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<tr>
<th>Event</th>
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<tr>
<td>1. RFQ Distribution to Suppliers</td>
<td>February 13, 2017</td>
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<td>2. Question and Answer Period</td>
<td>February 13, 2017 to February 17, 2017</td>
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<td>3. Proposal/Quotation Due Date</td>
<td>1:00 PM EDT, February 21, 2017</td>
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<td>4. Target Date for Review of Proposal/Quotation</td>
<td>February 22, 2017 to February 24, 2017</td>
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<td>5. Anticipated decision and selection of Supplier</td>
<td>February 27, 2017</td>
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<tr>
<td>6. Anticipated commencement date of work</td>
<td>March 20, 2017</td>
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EVALUATION FACTORS FOR AWARD

EVALUATION
The following will be considered in determining the supplier to be selected for this engagement, according to a standardized scoring methodology:

1. Qualifications and commitment of proposed key project personnel (30% of total score)
   - The experience of proposed project personnel. Key project personnel must have held responsible project positions for similar projects.
   - The ability of the firm to provide appropriate back-up personnel for key project positions.
   - The degree to which the project personnel and team bring experience in the full range of skills needed to accomplish the Scope of Work.
   - The specific commitments made in the proposal for staffing key project positions, including percent of Project Manager’s time dedicated to the project.

2. Experience and past performance of the firm on similar projects (20% of the total score)
   - The Offeror’s experience in conducting projects of similar nature and complexity.
   - Similarity of past projects with the State’s context (i.e., IT Governance Design and Implementation for State Agency)
   - The firm’s ability to draw upon this experience to benefit the project.
   - The firm’s history of innovations in applicable project areas.

3. Method of Accomplishing the Scope of Work (30% of the total score)
   - Proposed organization of the work effort, including:
     - collection, organization and presentation of information,
     - allocation of project staff to the different tasks and subtasks,
     - project communications,
   - Innovations, alternatives, and enhancements to the Scope of Work presented in the proposal.
   - Unique capabilities with high-impact applicability to the project.
   - Understanding of the appropriate levels of effort (hours) for various task areas. This evaluation will be based upon the estimated hours of effort for task areas as presented in the proposal.
   - Appropriate management controls

4. Cost Consideration (20% of the total score)
   - The contractor will not be permitted to substitute personnel for those submitted for RFQ evaluation (during the RFQ evaluation or at project start-up), except when a candidate’s unavailability is no fault of the contractor (e.g., Candidate is no longer employed by the Contractor, is deceased, etc.). Note: If a substitution situation occurs, the proposal will be re-evaluated. If the substitution gives the contractor an unfair advantage during the RFQ process, the proposal may be eliminated or the other suppliers will also be given the chance to submit substitutions of personnel also.
• All proposals will be evaluated for meeting the requested information. Incomplete proposals will not be reviewed. The proposals that provided the requested information will be evaluated for at least the highest prioritized candidate. The proposals will be scored based on the criteria requested above. We reserve the option to interview the top candidates. Candidate substitutions between the proposal evaluation and interview periods are highly discouraged (see above). If ODA has other qualified candidates, the contractor’s proposal requesting a substitution will be denied at this stage and the proposal will be eliminated from evaluation. If ODA does not have enough qualified candidates due to the substitution, all received proposals will be asked to confirm their candidates, given a couple of days to provide replacements, and the entire process will start over.

TERM AND CONTRACT
- The contract will be for **Time and Material** through State Term Schedule (STS) contract and must reflect or be lower than STS rates, and must use STS categories.
- The term will be until June 30, 2017.
- No additional costs, such as travel, meals, lodging, taxes, parking or other associated costs may be charged separately for this work. The supplier’s sole compensation for the duties described herein shall be the billings at the supplier’s hourly rate.
- All contractors shall read, acknowledge and follow DAS/ODA policies, rules and guidelines.
- All work performed by the supplier shall be deemed a “work-for-hire,” and shall be the sole property of the State of Ohio. The supplier may not use such work without ODA’s written consent.
- Contractors shall use supplier provided equipment (i.e. laptop computers, mobile phones, etc.) and will follow State security policies.
- The contractor, as a component of the project kick-off meeting, will be required to sign any state policy documents that are deemed appropriate by the ODA-OIT.

STATUS REPORTING
The contractor will provide weekly status reports to the Agency. The contractor will be responsible for meeting all timelines designated by assigned Project Manager. Weekly timesheets will be reviewed and signed by the OIT Project Manager. Invoices must be accompanied by timesheets and submitted **monthly** for payment.

NON-DISCLOSURE AGREEMENT
Both candidate and company will be required to sign a non-disclosure agreement which prevents disclosure of any data obtained while on the engagement which can be used to personally identify any parties at any time either during or after the engagement.
GUIDELINES FOR QUOTATION PREPARATION

QUOTATION SUBMITTAL

Each Supplier must submit four (4) complete, sealed and signed copies of its quotation (excluding cost information), and each quotation must be clearly marked “IT Governance Design and Implementation” on the outside of its envelope along with Suppliers name.

The cost information MUST be signed, and submitted in a SEPARATELY SEALED ENVELOPE. The envelope must be clearly marked “IT Governance Design and Implementation” on the outside of its envelope along with the Supplier’s name.

A single electronic copy of the complete quotation must also be submitted with the printed quotations. Electronic submissions should be on a CD, DVD or USB memory stick. The electronic copy MUST be submitted in a SEPARATELY SEALED ENVELOPE.

The State will not be liable for any costs incurred by any offeror in responding to this RFQ, even if the State does not award a contract through this process. The State may decide not to award a contract at the State’s discretion. The State may reject late quotations regardless of the cause for the delay. The State may also reject any quotation that it believes is not in its interest to accept and may decide not to do business with any of the Suppliers responding to this RFQ.

Quotations MUST be submitted to the State’s Procurement Representative:

Daniel Cartwright
Ohio Department of Agriculture
8995 East Main Street
Reynoldsburg, OH 43068

PROPRIETARY INFORMATION

All quotations and other material submitted will become the property of the State and may be returned only at the State's option. Proprietary information should not be included in a quotation or supporting materials because the State will have the right to use any materials or ideas submitted in any quotation without compensation to the Supplier. Additionally, all quotations will be open to the public after the contract has been awarded.

The State may reject any Proposal if the Supplier takes exception to the terms and conditions of this RFQ.

WAIVER OF DEFECTS

The State has the right to waive any defects in any quotation or in the submission process followed by a Supplier. But the State will only do so if it believes that is in the State's interest and will not cause any material unfairness to other Suppliers.
REJECTION OF QUOTATIONS

The State may reject any quotation that is not in the required format, does not address all the requirements of this RFQ, or that the State believes is excessive in price or otherwise not in its interest to consider or to accept. The State will reject any non-STS responses.

EVALUATION OF QUOTATIONS Clarifications and Corrections

During the evaluation process, the State may request clarifications from any Supplier under active consideration. It also may give any Supplier the opportunity to correct defects in its quotation. But the State will allow corrections only if they do not result in an unfair advantage for the Supplier and it is in the State’s best interest.

Requirements

This RFQ asks for responses and submissions from Suppliers. While each criterion represents only a part of the total basis for a decision to award the contract to a Supplier, a failure by a Supplier to make a required submission or meet a requirement will normally result in a rejection of that Supplier's quotation. The value assigned to each criterion is only a value used to determine which quotation is the most advantageous to the State in relation to the other quotations that the State received. It is not a basis for determining the importance of meeting any requirement to participate in the quotation process.

The evaluation process may consist of up to three distinct phases:
1. The procurement representative’s initial review of all quotations for defects;
2. The evaluation committee's evaluation of the quotations; and
3. Interviews (optional).

Initial Review

The procurement representative normally will reject any incomplete or incorrectly formatted quotation, though the procurement representative may elect to waive any defects or allow a Supplier to submit a correction. If a late quotation is rejected, the procurement representative will not open or evaluate the late quotations. The procurement representative will forward all timely, complete, and properly formatted quotations to an evaluation committee, which the procurement representative will chair.

Committee Review of the Quotations

The State’s review committee will evaluate and numerically score each quotation that the procurement representative has forwarded to it.

The evaluation will result in a point total being calculated for each quotation. Those Suppliers submitting the highest-rated quotations may be scheduled for the next phase. The number of quotations forwarded to the next phase will be within the committee's discretion, but regardless of the number of quotations selected for the next phase, they will always be the highest rated quotations from this phase.

At any time during this phase, the State may ask a Supplier to correct, revise, or clarify any portions
of its quotation.

The State will document all major decisions in writing and make these a part of the file along with the evaluation results for each quotation considered.

Once the technical merits of a quotation are considered, the costs of that quotation will be considered. But the State may also consider costs before evaluating the technical merits of the quotations by doing an initial review of costs to determine if any quotations should be rejected because of excessive cost. And the State may reconsider the excessiveness of any quotation's cost at any time in the evaluation process.

**Interviews**

The State may record any presentations, demonstrations and interviews. An on-site interview may be required prior to the selection of a candidate.

**Determination of Responsibility**

The State may review the highest-ranking Suppliers or its key team members to ensure that the Supplier is responsible. The Contract may not be awarded to a Supplier that is determined to be not responsible. The State’s determination of a Supplier’s responsibility may include the following factors: the Supplier’s and its key team members’ experience, past conduct on previous Contracts, past performance on previous Contracts, ability to execute this contract properly and management skill. The State will make such determination of responsibility based on the Supplier’s quotation, reference evaluations and any other information the State requests or determines to be relevant.

**Changing Candidates**

The major criterion on which the State bases the award of the contract is the quality of the Supplier's candidate(s). Changing personnel after the award may be a basis for termination of the contract.

**Contract Award Process**

Dependent upon funding availability, it is the intention of ODA to award one contract under the scope of this RFQ and as based on the RFQ Calendar of Events schedule, so long as ODA determines that doing so is in the State’s best interests and ODA has not otherwise changed the award date. Any award decision by ODA under this RFQ is final. After ODA makes its decision under this RFQ, all Offerors will be notified in writing of the final evaluation and determination as to their proposals.

ODA anticipates making one award depending on program needs and the fit of the Offeror to the scope of this RFQ.