

OHIO ATTORNEY GENERAL'S OFFICE
REQUEST FOR QUOTES AND QUALIFICATIONS

**AGO RFP – Organizational Change Management Expertise
for Collections Enforcement Business Process Re-Engineering**

AGO-CE-OCM-297219

July 29, 2019

Responses *must* be received and stamped at:

**Ohio Attorney General's Office
Information Technology Services Section
ATTN: RFP REVIEW COMMITTEE (AGO-CE-OCM-297219)
150 East Gay Street, 20th Floor
Columbus, Ohio 43215**

On or before:

August 30, 2019 at 1 PM Eastern Daylight Time

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SECTION 1.0 INTRODUCTION

1.1. Background

Pursuant to R.C. 131.02(A), state agencies are required, and political subdivisions are permitted, to certify unpaid debts to the Ohio Attorney General’s Collections Enforcement Section (“CE”) for collections. The debt types include personal income tax, unemployment compensation benefits, workers’ compensation premiums, and state university medical debt. In addition, CE collects various types of miscellaneous debt for local government clients. There are currently 700 client types associated with nearly 7 million active accounts in the AGO’s collections inventory. The AGO’s Collections Enforcement Section is organized into various sections including Non Legal Operations (accounting and operational support), External Collections (including Special Counsel and Third Party Vendors), Internal Collections, and Legal Operations. The Section has over 125 employees, including attorneys, collections account representatives, account clerks, clerks, legal secretaries and paralegals, and various administrative staff. Currently, the AGO uses a legacy system originally installed in 1996, called the Columbia Ultimate Business Systems (“CUBs”), as the system of record for collections, which includes multiple interfaces related to county liens, state lottery, client and vendor portals, and document storage.

The AGO’s Collections Enforcement Section attempts to recover debt within an established timeframe. During that time, the Section uses technology to perform the collection functions. Without technology, this work would be performed manually and result in unnecessary delays. The technology used by the CE includes predictive dialer and on-line skip tracing. If the CE’s internal staff do not recover a debt within a certain number of days, the account is transferred to one of 79 external collection vendors, either a Special Counsel or a Third Party Vendor, to assist in the collection process. The AGO has multiple methods to accept payments from clients. The debtor can make payments over the Interactive Voice Response (“IVR”), send a paper check, or pay online via systems that allow debtors to review their accounts and make payments online.

1.2. Current Request

The AGO is pleased to release this Request for Proposals (“RFP”) for expertise in organizational change management to assist the AGO’s Collections Enforcement section in the streamlining and implementation of a uniform collections system collectively with our clients and business partners. The effort is being guided by a strategic plan requiring a re-engineering effort in the AGO Collections Enforcement Section. This effort requires the expertise of a Bidder that will use change management principles to lead this Business Process Re-engineering (“BPR”) effort including the facilitation of the development of a strategic plan to guide this BPR.

1.3. Contact

Unless the AGO advises differently, all contact is to be in writing using the State of Ohio Procurement site.

<https://procure.ohio.gov/proc/viewProcOpps.asp?oppID=17082>

All inquiries and responses will be posted to the same web site:

The due date for any inquiry within the intent and scope of this RFP must be received by the **RFP Inquiry Deadline Date/Time** found in the Procurement Schedule table.

1.4. Schedule of Events and Deadlines

The AGO will orient the procurement to the dates indicted in the table below.

Table 1 – Procurement Schedule

No.	Action	Date
1	RFP Released	July 29,2019
2	RFP Inquiry Deadline Date/Time: Written Questions for Clarification Must be Submitted by Bidders	August 16, 2019
3	Contractor Questions Answered (Addendum posted by the AGO as necessary)	August 20, 2019
4	RFP Response Deadline Date/Time: Must be Received From Contractors No Later Than 1:00 p.m. Eastern Standard Time on the specified date	August 30, 2019 1:00 p.m.
5	AGO Review and Evaluation of Proposals, Qualifications, and Technical Solutions	August 2019
6	Evaluation Recommendation to Internal AGO Staff	August 2019
7	Best and Final Offers (“BAFOs”)	September 2019
8	AGO Review and Evaluation of BAFOs	September 2019
9	Apparent Successful Bidder Notification	September 2019
10	Contract Process and AGO Due Diligence	September 2019
11	Signed Contract and Controlling Board Process	October 2019
12	Project Kickoff	November 2019

1.5. Reference Material Web Site

Reference materials related to this RFP will be available on a web site. The web site address is <http://www.ohioattorneygeneral.gov/Business/Services-for-Business/RFP>. The AGO anticipates the site to provide the following:

- *RFP Documents* – Copy of this RFP and any Attachments
- *RFP Communication* – Any documentation related to addenda to the RFP, questions and answers and other announcements.
 - *Addenda* – Contains any addenda or amendments to the RFP or other documentation.
 - *Questions and Answers* – Contains copies of all prospective contractor questions and answers regarding the RFP or other related documents.
- *Editable RFP Forms* – Any editable copies of forms and tables found in the RFP and required in the prospective contractor’s response.

1.6. RFP Response Deadline and Ship-To Address

Bidder’s proposals in response to this RFP (each a “Proposal”) **must** be received by the AGO no later than the date indicated in the Procurement Schedule table above.

Proposals **must** be marked “OCM Proposal” and **must** be shipped or hand delivered to the following address. The phone number is only to meet requirements by shippers, and **must** not for any other communication.

**Ohio Attorney General’s Office
Information Technology Services Section
Phone 614-728-2690
ATTN: RFP REVIEW COMMITTEE (AGO-CE-OCM-297219)
150 East Gay Street, 20th Floor
Columbus, Ohio 43215**

An individual authorized to bind the Bidder to the provisions of the Proposal **must** sign the Proposal. The original Proposal **must** be signed in blue ink. Proposal responses **must** address all requirements of this RFP.

Proposals **must** be received at the above-listed location by the appointed date/time in order to be considered. Bidders submitting a Proposal by mail are reminded to allow adequate mailing time to ensure its timely receipt. Bidders **must** account for potential delays due to increased security or inclement weather.

Proposals received after the due date and time may not be accepted, reviewed or considered for award. Any extension of the deadline date/time will be published by the AGO as a formal RFP amendment. Late Proposals that are not accepted will remain unopened and they will not be returned to the Bidder. Additionally, any Proposal deemed incomplete by the AGO will not receive any additional consideration for award and will not be returned. The AGO may reject all late and incomplete RFP Proposals regardless of the cause or reason.

It is essential that Bidders carefully review all elements in their Proposals. Once opened, Proposals cannot be altered in any way, except as expressly permitted by the processes of this RFP. The AGO may also reject any Proposal that it believes is not in its interests to accept, and the AGO may decide not to do business with any of the Bidders responding to this RFP. Moreover, the AGO may decide to cancel this RFP for any reason, or issue another RFP, if it is in the best interest of the AGO to do so.

The AGO will not be liable for any costs incurred by a Bidder in responding to this RFP, regardless of whether the AGO awards any contract(s) through this process, decides to cancel this RFP for any reason, or issues another RFP if it is deemed to be in the best interest of the AGO to do so.

The AGO is not responsible for the accuracy of any information regarding this RFP and any amendments obtained or inferred through a source different from the inquiry or other processes described in this RFP.

The AGO prohibits multiple Proposals from a single Bidder. If a Bidder submits multiple Proposals, all Proposals from that Bidder will be rejected.

The AGO will notify a Bidder via e-mail or letter if the Proposal was rejected for being late, incomplete or any other reason.

SECTION 2.0 SCOPE

The scope of this engagement includes Organizational Change Management (“OCM”) and other Business Process Re-engineering (“BPR”) services required to support the AGO’s transition from a legacy green screen collections system to a cloud-based, modern, analytics-driven collections solution. Additionally, the scope of this effort encompasses OCM services that support the implementation and rollout of the Collections Modernization effort. This scope of work impacts multiple organizations at the AGO, client agencies and collections partners (i.e. Third Party Vendors and Special Counsel) as well as debtors and other stakeholders.

As part of the OCM proposal, the Bidder will submit a Statement of Work (“SOW”) with a detailed Project Plan and associated schedule that addresses all components identified within this Request For Proposal (“RFP”). The scope of the work outlined in this section includes all mandatory work and deliverables that are to be included in the Bidder’s proposed SOW, but the OCM Bidder is permitted to refine the scope of work in their proposal to include tasks, activities and deliverables that are consistent with recognized OCM methodologies or have been proven to be best practices. Please note that any modifications made to the SOW are subject to approval by the AGO, and the AGO reserves the right to reject and/or modify any or all components of the Bidder’s proposed SOW.

For each phase of the project, the OCM Bidder will propose an OCM SOW that addresses organizational change strategies, activities and deliverables to be executed for each respective phase. The OCM SOW must encompass, at a minimum, the key areas of organizational change defined by the AGO (in no particular order):

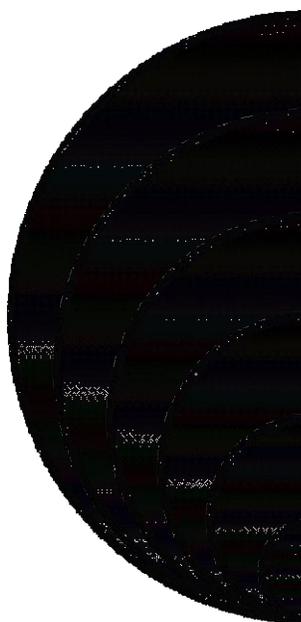
1. Leadership and Stakeholder Management;
2. Solution Alignment
3. Business Readiness
4. Change Agent Network Management
5. Communication Management
6. Organization & Work Design
7. Training & Support

The figure below provides a visual overview of the high-level SOW components of each key area. The OCM Bidder is to use this information in conjunction with the detailed requirements

for each key area (found in the subsequent sections of this RFP) to develop their proposed SOW and Project Plan.

Collections Modernization Program

Delivery, Readiness, Rollout and Operations



Leadership & Stakeholders	<ul style="list-style-type: none"> • Executive Steering Committee Strategic Plan & Future AGO Vision • Organization Change Management Strategy & Plan • Stakeholder Assessment • Stakeholder Management Plan
Communication Management	<ul style="list-style-type: none"> • Audience Assessment • Communication Strategy & Plan • Communications Development of Materials and Execution
Business Readiness	<ul style="list-style-type: none"> • Business Readiness Assessment with Gap Analysis • Business Readiness Strategy & Plan • Business Readiness Risk Mitigation Plan • Business Readiness Management Plan & Site Readiness
Organization & Work Design	<ul style="list-style-type: none"> • Organization & Work Design Plan (incl. Policy, Procedures, and Performance Measures) • Organization Impact Assessment • Develop/Implement Performance Management Plan
Training & Support	<ul style="list-style-type: none"> • Training Assessment • Training Strategy & Plan • Training Implementation/Support
Solution Alignment	<ul style="list-style-type: none"> • Solutions Design Assistance • Solution Development Functional/Business Analysis • OCM System Design Analysis
Change Agent Network Management	<ul style="list-style-type: none"> • Network Management Plan

2.1. Overview of Change Management Scope

Change management scope for the project includes stakeholder engagement, communications, training, agency readiness, solution readiness, all of the components of the service management framework, business process reengineering, workforce transition, and the agency rollout strategy and execution.

For clarity, the table below provides a high-level overview of the activities included in the SOW. For the “Bidder Owned” activities, the AGO will expect the Bidder to take primary responsibility and drive the work effort. For the “Bidder Support” activities, the AGO will take primary responsibility but will expect the Bidder to provide support. For the “AGO Owned”

activities, the AGO will be primarily responsible, and it is expected that the Bidder would have limited to no involvement in these areas. The specific requirements of the Bidder are described in detail in the following sections.

The OCM Bidder must work to ensure that the implemented organizational changes are successful, by defining performance measures and quantitative and qualitative outcomes, as well as methodologies and tools for measurement, to be used for evaluating the effectiveness of future-AGO operations and service delivery outcomes. These performance measures will include metrics for gauging effectiveness and efficiency of all involved stakeholders, including internal resources, clients, TVPs, Special Counsel, etc.

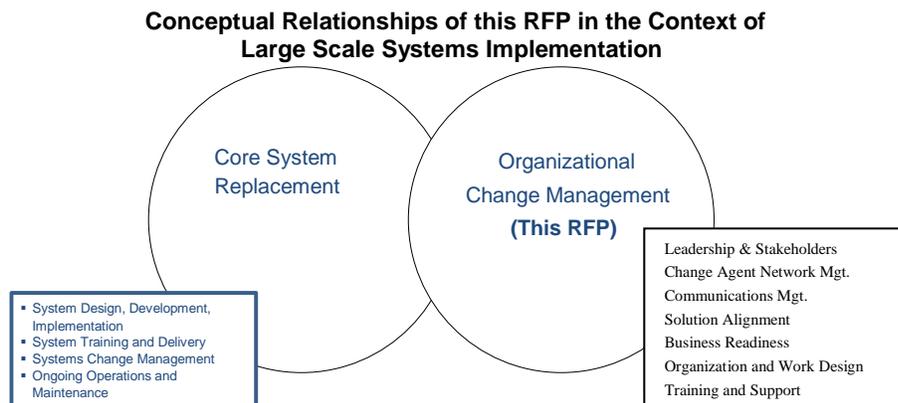
Bidder Scope (Owned)	Bidder Support	AGO Scope (Owned)
<ul style="list-style-type: none"> ▪ Training Approach ▪ Training Logistics ▪ Training Environments ▪ Training Data Sets ▪ Training Material Development and Rollout ▪ Service Management Framework ▪ Workforce Transition Approach and Timeline ▪ Workforce Transition Plan for the System ▪ Communication Development ▪ Communications Plan Maintenance and Updates ▪ Change Readiness Assessments ▪ Stakeholder Analysis: Maintenance and Updates ▪ Training Delivery ▪ Agency/TPV/Special Counsel Readiness for all Project Phases 	<ul style="list-style-type: none"> ▪ Communication Deployment ▪ Recruitment Interview Materials ▪ Staffing Requirements ▪ Onboarding process for impacted Employees ▪ Business Process Reengineering ▪ Workforce Organization Design ▪ AGO Organizational and Structure Design ▪ Management and utilization of AGO Change Agents ▪ Agency/Customer/TPV/Special Counsel interface plan, coordination, and transition 	<ul style="list-style-type: none"> ▪ Collaborations with Unions ▪ Recruitment Interview Execution ▪ Communication Content Direction

The AGO acknowledges the Bidder has experience in this area and seeks to incorporate formal OCM methodologies and tools as well as best practices generally available in the marketplace. This section highlights the AGO’s view of the minimum set of activities, deliverables and

milestones required to deliver the system. The Bidder must include any additional considerations that would increase the overall probability of success and result in a high quality of delivery.

2.2. Change Management Scope as it Relates to Current System Implementation Efforts

Conceptually, the SOW elements described in this RFP are designed to complement and extend the systems integration work in the context of successfully delivering a business solution based on the replacement of the legacy collection system called CUBS. This New Collection System (“NCS”) will be one of two nationally recognized products; DM (Debt Manager) owned by FICO or RevQ owned by Ontario. Via a separate RFP, one will be chosen to enable the modernization effort for the AGO-future vision. The chosen NCS will be implemented in multiple phases in a dual operating environment of the legacy system and the NCS. The legacy system will be used less each time a phase deploys (currently estimated at three phased deployment) to NCS.



The specific scope, roles/responsibilities and contracted systems implementation activities for NCS are found in this section. In general, the following activity areas as they relate to systems implementation are contained here:

NCS Implementation Vendor Tasks that may Relate to OCM SOW

System Development Tasks

- Plan and Prepare Unit Test
- Build Configuration
- Plan Conversion Testing
- Build and Unit Test Application Components
- Build and Unit Test Conversion
- Design Training, Knowledge Transfer and Performance Support Materials
- Develop and Communicate Deployment Plan

System Testing Tasks

- Execute Unit and Subsystem Integration Testing
- Execute Interface Test
- Execute System Qualification and Regression Testing
- Execute Mock Conversions
- Test and Pilot Training Knowledge Transfer and Performance Support Materials
- Conduct Training
- Conduct Readiness Certification and Walkthrough

Continued in next column to the right, above

- Prepare and Execute User Acceptance Testing
- Prepare and Execute Performance Testing

System Deployment Tasks

- Pilot
- Convert Data
- Deploy Help Desk
- Deploy Training, Knowledge Transfer and Performance Support
- Perform Operational Readiness Test
- Migrate to Production
- Conduct and Support Pilot
- Execute Go-Live Plan

Full System Rollout Tasks

- Evaluate Pilot, Modify and Retest System
- Perform Operational / Site Readiness Test
- Deploy Training, Knowledge Transfer and Performance Support
- Assess Go-Live Readiness
- Confirm Go/No Go
- Execute Go-Live Plan

Tasks, activities, deliverables and work products pertaining to this RFP are contained herein.

2.3. Leadership and Stakeholder Management

As with any major change, there must be a defined process to guide the transformation. This process should be designed to empower the Executive Steering Committee in a manner that promotes its ability to take ownership for the oversight of the organizational changes to be implemented. For the Collections Modernization project, the Executive Steering Committee is comprised of the following:

- Executive Sponsor
- Collections Executive Section Chief
- Collections Assistant Section Chief

- Director of Operational Excellence
- IT Executive CIO
- Deputy 1st Assistant AG
- Director of Outside Counsel
- Collections Director SC & TPV
- Collections Transformation Director

The OCM Bidder will work with the Executive Steering Committee to facilitate development, define, and document the future-AGO vision (i.e., a strategic plan) and the associated Change Management Strategy and Plan. The defined future-AGO vision and OCM strategy will be used to guide all OCM related plans and activities.

As part of delivering the SOW, the OCM Bidder is required to solicit and refine the future-AGO vision and goals of the Executive Steering Committee. The future-AGO vision will be a “living blueprint” document that will initially establish an agreement as to the final operating model for all participants of the Executive Steering Committee. As decisions are made (or identified as needed to be made) that result in agreements that inform the final organizational design, these decisions and design impacts will be documented to clarify the vision. The goal of this “living blueprint” is to rapidly identify challenges, obstacles, decisions and rationale to help address resistance to change issues and allow the AGO Leadership team to work to resolve this resistance. Additionally, the SOW associated with this key area also includes identification of impacted stakeholders, as well as a strategy(ies) and plan(s) to manage change adoption among these stakeholders in an effort to realize the future-AGO vision and organizational goals of the Executive Steering Committee.

Once the future-AGO vision is established and agreed, the OCM Bidder must execute a Stakeholder Assessment to ensure that all impacted individuals are accurately identified. This assessment will include, at a minimum, stakeholder specifications (e.g. organization name, job duty and role, approximate number in stakeholder group, etc.), an analysis of each stakeholder group’s level of awareness, as well as an engagement strategy for each respective group.

Additionally, the OCM Bidder will develop and implement a Stakeholder Management Plan that outlines a strategy and action plan for enhancing stakeholder engagement, identifying barriers to the new system and processes adoption, and developing change resistance mitigations for all identified stakeholders.

The AGO requires that the identified stakeholders will include the following stakeholder groups, at a minimum:

- Clients: Ohio Department of Taxation; Ohio Department of Medicaid; Bureau of Worker’s Compensation; Ohio Department of Job and Family Services; Ohio Institutions of Higher Education; Publicly Funded Medical Centers; and Local Governmental entities.
- Special Counsels: (over 70)
- Third Party Vendors: (8)
- AGO Collections Enforcement Staff.

Finally, the OCM Bidder will be responsible for identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section.

In developing a SOW and project plan that addresses all deliverables within this section (see 2.10 and Attachment C) the OCM bidder, at minimum, will take the preceding description of needs and desired approach and the following activities into account:

- Facilitating and supporting the Executive Steering Committee in developing, defining, and documenting the future AGO-vision and goals (i.e., a strategic plan)
- Facilitating and supporting the Executive Steering Committee in developing, defining, and documenting the change management strategy and plan
- Maintaining and updating documentation of vision, goals, strategy, and planning documents to ensure that the “living blueprint” approach is accurately reflected in final documentation
- Identifying impacted stakeholders, conducting stakeholder focus groups, and developing strategies and plans to manage change adoption
- Developing and documenting a detailed stakeholder assessment as well as engagement strategy for each respective group
- Developing, documenting, and implementing a stakeholder management plan including strategies to identify and mitigate change adoption risk
- Identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section

2.4. Solution Alignment

The OCM Bidder will work with AGO and the NCS implementation vendor to ensure that gaps in solution alignment to the requirements and needs of internal and external users as well as to the AGO future-vision and goals are identified. For each identified gap, the OCM Bidder will identify obstacles to alignment, develop strategies to address them, and work with AGO and the NCS implementation vendor to ensure that these strategies are successful in bringing the solution into alignment. This effort includes, but is not limited to: modifications made that affect how

stakeholders use the system, workflow processes, and reporting requirements. The OCM Bidder must support and extend the NCS Implementation vendor's design efforts by actively participating in JAD sessions. The OCM Bidder will verify that the system design addresses the business and functional needs of the future-AGO. The outcomes of the OCM Bidder's participation are to be documented as part of the OCM System Design Analysis. If there is a discrepancy or gap with the system design, the OCM Bidder is required to communicate the details of the discrepancy or gap to the AGO and assist with developing an acceptable resolution of the identified issues (e.g., system, process, reporting or organizational change) as related to the scope of the OCM work.

In developing a SOW and project plan that addresses all deliverables within this section (see 2.10 and Attachment C) the OCM bidder, at minimum, will take the preceding description of needs and desired approach and the following activities into account:

- Reviewing relevant system design artifacts for the NCS such as use cases, functional design document, etc. and identifying OCM requirements and (if applicable) adjustments to these design artifacts to aid the AGO in realizing the goals and requirements of the program
- Actively participating in JAD sessions for NCS to gain a detailed understanding of the system as well as to inform the design and rollout of OCM activities contained in the SOW
- Identifying and analyzing NCS issues that may adversely impact the AGO's ability to realize the future-AGO vision, as well as working to develop pragmatic or (if applicable) programmatic changes to the system as part of its design and development
- Providing recommendations and assistance for addressing and resolving system issues related to organization and work design
- Identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section

2.5. Business Readiness

The SOW associated with this key area entails assessing the business operations, including people, processes and technology. The OCM Bidder will perform and document a comprehensive Business Readiness Assessment, inclusive of assessments of all the organizations that are affected by the replacement of the Core System project, for the defined SOW, to determine the organization's readiness level for change.

The Business Readiness Assessment will provide a comprehensive overview of the current organizational structure, workforce functions, employed technology solutions, as well as

operational, administrative and fiscal processes. The result of the Business Readiness Assessment will accurately define the current business environment. The OCM Bidder must document all workflows and key procedures in the current “As-Is” AGO as they relate to the scope and anticipated impact of the new system.

The SOW will include the development and implementation of a Business Readiness Strategy and Plan that supports and improves the AGO’s ability to accomplish the Future-AGO Vision, while minimizing the occurrence of adverse change impacts and risks. The OCM Bidder will perform a Gap Analysis between the As-Is AGO and the Future-AGO to obtain baseline information needed to support change readiness efforts.

The OCM Bidder will identify existing gaps and/or business alignment opportunities to improve the AGO's ability to achieve the future-AGO vision. For each gap and/or business alignment opportunity, the OCM Bidder will define a change strategy and action plan to ensure strategic alignment with the future-AGO vision. Additionally, the OCM Bidder will prepare a Business Readiness Risk Mitigation Plan. For each gap and business alignment opportunity, the OCM Bidder will evaluate the level of risk, define operational impacts associated with change, as well as provide a risk mitigation strategy.

Since Special Counsels (“SC”) and Third Party Vendors (“TPVs”) have a level of operational autonomy, the operations and organizational composition of each SC and TPV may vary. This necessitates the creation of clearly defined change roadmaps with recommendations for organizational and work changes that ensure that all affected entities successfully transition to the future-AGO, regardless of current organizational structures and operations.

Therefore, OCM Bidder is required to produce a Business Readiness Management Plan that addresses all affected and impacted entities. The plan will include organizational and operational changes that must occur to support the future-AGO vision, utilization of the NCS, as well as alignment with security policies.

The Business Readiness Management Plan will include a financial analysis of cost implications associated with the change roadmaps to assist the AGO in determining the cost-effectiveness and feasibility of the proposed organizational changes. The OCM Bidder is advised that the AGO reserves the right to reject or modify recommendations provided and request alternative strategies to support the transition to the future-AGO vision for utilization of the New Collection System.

In developing a SOW and project plan that addresses all deliverables within this section (see 2.10 and Attachment C) the OCM bidder, at minimum, will take the preceding description of needs and desired approach and the following activities into account:

- Developing, performing, and documenting a comprehensive business readiness assessment for all stakeholders impacted by NCS implementation
- Identifying and documenting all, internally and externally relevant, current state workflows, business functions and processes, and associated personnel or personnel needs which are likely to be impacted by NCS implementation
- Developing and documenting change roadmaps that are unique to internal and external partners that are impacted by NCS implementation
- Developing and documenting a business readiness strategy to inform change readiness needs and planning efforts
- Developing and documenting a current to future state business readiness gap analysis, including facilitation and documentation of operational discovery sessions, and for each gap include a risk assessment and potential operational impact as well as estimated cost to address
- Developing and documenting a business readiness risk mitigation plan to ensure needs and gaps are fully addressed and change adoption risk is minimized
- Developing and documenting a business readiness management plan that addresses all internal and external stakeholders impacted by NCS implementation and includes recommendations for necessary organizational and operational changes
- Identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section

2.6. Change Agent Network Management

In order to ensure successful implementation of the AGO's modernization effort, establishment of a Change Agent Network is critical. Doing so will enhance the AGO's ability to institute and manage large-scale changes throughout the Collections system. The Change Agent Network will be comprised of Change Agents at various levels.

The OCM Bidder is responsible for the coaching and monitoring of Change Agents. This includes defining the appropriate number of Change Agents, outlining roles and responsibilities of Change Agents, providing training and coaching to ensure effectiveness of the Change Agents, and employing a monitoring mechanism to gauge effectiveness of the said Change Agents. The OCM Bidder is to leverage the Change Agents' assets (e.g., organizational knowledge, cultural understanding, technical skills, business acumen, etc.) to promote an effective and efficient transition to the future AGO.

The OCM Bidder is responsible for the development and implementation of the Change Agent Network Management Plan. This plan is to include, but is not limited to: Change Agent roles and responsibilities, Change Agent Readiness Assessment, Change Agent Coaching Plan, Change

Agent Action Plan (including communication activities), Change Agent Network Evaluation Plan, and Change Agent Communication templates.

In developing a SOW and project plan that addresses all deliverables within this section (see 2.10 and Attachment C) the OCM bidder, at minimum, will take the preceding description of needs and desired approach and the following activities into account:

- Meeting with AGO stakeholders to facilitate the identification of Change Agents
- Developing and implementing the Change Agent Readiness Assessment, as well as compiling and analyzing the results
- Reviewing readiness assessment results to identify risks and developing a coaching plan that offsets any identified risks
- Creating materials and aides to assist with Change Agent coaching
- Ongoing review of the Change Agent Network Evaluation results, and revising the coaching and action plan accordingly
- Identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section

2.7. Communication Management

The replacement of the legacy collections system is expected to significantly impact current collections service delivery processes. As a result, there will be changes to how debtors access, navigate and utilize debt collection services. To ensure more optimal consumer outcomes as well as a successful organizational alignment with the new system, the system's operating model, design and system implementation, effective communication is a program imperative.

To ensure effective communications, the OCM Bidder will execute a comprehensive Audience Assessment. This assessment is to include, at a minimum, audience specifications (e.g. organization name, job duty and roles, approximate number in audience group, etc.), preferred modes of communication, and other relevant audience attributes.

The work within this key area will include the creation (and subsequent execution) of a comprehensive Communication Strategy and Plan. The OCM Bidder is responsible for the development of the Communication Strategy and Plan and corresponding materials, collateral and work products that will be used to promote the successful execution and rollout of the Collection Modernization projects and phases. Communications will be collaboratively developed with the New Collection System's ("NCS") Implementation vendor to ensure that coordinated and consistent information is disseminated for the system, related processes and associated organizational changes.

Recognizing that no single method of communication will effectively work for all identified stakeholders, the OCM Bidder is required to document any and all communication strategies, communication resources, roles and responsibilities, work products, and target messages and associated rationale necessary to effect the anticipated changes associated with the new system. These activities must facilitate the design and execution of a consistent and comprehensive communication process throughout the project's lifecycle.

The OCM Bidder will support the AGO in developing communications to all stakeholders including the vision, purpose, and strategy of the project, as well as any associated information related to organizational changes. Periodic and targeted communication will be provided to all users and stakeholders. The OCM Bidder is required to ensure that the target message(s) effectively convey(s) the benefit of the said changes such as improved processes, higher levels of data integrity and reliability for internal decision making, improved operational efficiencies, reduced costs or processing cycle times, benefits to client agencies, and improved customer service for debtors.

In developing a SOW and project plan that addresses all deliverables within this section (see 2.10 and Attachment C) the OCM bidder, at minimum, will take the preceding description of needs and desired approach and the following activities into account:

- Information gathering to facilitate audience identification
- Conducting research to define audience level of awareness
- Determination of most effective way to reach stakeholder/audience groups
- Development of a Communication Strategy and Plan
- Collaborating with AGO and other stakeholders to understand how policy changes should be incorporated into applicable audience messages
- Ensuring accurate understanding of goals and anticipated impact of the project
- Monitoring stakeholder feedback and responses
- Revising communication products based on stakeholder feedback
- Empowering stakeholders to participate in initiatives that will facilitate change
- Identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section

2.8. Organization and Work Design

The Collections Modernization project introduces a completely new self-service, consumer-centric approach to Collections and Debt Management. This new approach implies a transformation in business operations and service delivery for all stakeholders. To ensure operations that support such a model, the OCM Bidder will work with the AGO and NCS implementation vendor to determine how the organizational structure and workforce will be

organized to support collections and debt management functions in the new environment. This may include, but is not limited to: work task definitions, job descriptions creation, work distribution design, work performance guidelines development, performance monitoring establishment, etc. for the functional components.

The OCM Bidder will develop an Organization and Work Design Plan to support the change activities (from the Business Readiness Management Plan) for the AGO to review and provide approval for implementation. This plan must address organizational work and process details associated with consumer assistance, use of imaging and document management technologies/capabilities in the system, applicable administrative and fiscal tasks, consumer notices and communications, and other case management required functions. The SOW for this key area requires the design and/or re-engineering of organizational workflows (as applicable), procedures and policies that support effective use of AGO resources (i.e., people, processes and technology) in the new environment.

The OCM Bidder will collaborate with the AGO and NCS Implementation vendor, and other various stakeholders, to define, refine, and finalize the future AGO processes and work design in accordance with the NCS implementation plan. Inputs to this SOW must include (at a minimum): the Business Process Analysis, Business Readiness Assessments, Business Readiness Strategy and Plan, Business Readiness Management Plan, applicable NCS Implementation design, development or testing artifacts (e.g., use cases, workflows, wireframes, etc.), and system process flows among its major components.

The OCM Bidder must work with the AGO and other stakeholders, to define and implement the new organizational structure and aspects of the relationships, such as work pass-offs, roles and responsibilities, etc. The OCM Bidder is responsible for assisting the AGO and other stakeholders with defining business rules for workload management (case/work allocation and distribution), work tasks, job descriptions, etc.

The OCM Bidder will perform an Organizational Impact Assessment. This assessment must identify organizational aspects (i.e., people, processes and technology impacted by the changes) in a matrix form that facilitates tracking and monitoring of the identified impacts. Additionally, this assessment must document the details of each change impact, including specific personnel with job task changes, position reclassifications, realigning consumer assistance operations, transitioning from physical case files to digital case files, etc.

The OCM Bidder must work to ensure that the implemented organizational changes are successful, by defining performance measures and quantitative and qualitative outcomes to be used for evaluating the effectiveness of future-AGO operations and service delivery outcomes. These performance measures will include metrics for gauging effectiveness and efficiency of all

involved stakeholders, including internal resources, clients, TVPs, Special Counsel, etc. The OCM Bidder will develop and implement a Performance Management Plan that inventories and defines all performance metrics, measurement criterion, sources and timing, as well as the process for data collection and evaluation of the defined metrics. For metrics in which data maybe acquired from the Collections System, the OCM Bidder is required to work with the NCS Implementation vendor to ensure that standard reports are implemented and distributed via the system.

In developing a SOW and project plan that addresses all deliverables within this section (see 2.10 and Attachment C) the OCM bidder, at minimum, will take the preceding description of needs and desired approach and the following activities into account:

- For Collections Modernization related tasks, align the OCM Bidder SOW and Project Plan with concurrent NCS Implementation Vendor work plan(s) to help ensure that OCM efforts are consistent and comply with the system replacement effort
- Reviewing existing process documentation, standards, quality levels and other “as-is” environment artifacts and capabilities which may vary between TPVs and Special Counsels that need to be standardized as a result of the new system implementation
- Acquiring a comprehensive understanding of the functionality the NCS for each project phase, including user interface, user screens, navigation, data validation capabilities, data reporting repositories, and system interfaces
- Meeting regularly with AGO and other stakeholders to obtain input on organization and work design
- Performing business process modeling; develop overall business models for the future AGO germane to each phase
- Developing and refining workflows for the future AGO applicable to each phase utilizing the business process management services that are part of the overall solution architecture
- Advising the NCS Implementation vendor on future AGO processes to support use case development based on existing processes, perceived impact(s) to existing processes, and AGO desired outcomes arising from the implementation of the new system
- Ensuring that all new business processes and procedures are compliant with AGO and Federal policies and regulations, and should job descriptions need to be modified or enhanced, work with the AGO to ensure that job descriptions are contemporary with the new systems and operating environment
- Working with AGO to map work functions to job classification and positions in the new environment

- Working with AGO to define the knowledge, skills, abilities and other attributes (“KSAOs”) required to operate in the new environment
- Determining organizational impacts and gaps for people, processes and technology. This may include identifying KSAO gaps, technology barriers, resources limits, etc.
- Assisting the AGO with modifying recruiting profiles to reflect new KSAOs
- Identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section

2.9. Training and Support

Training is crucial to the success of the AGO’s Collection Enforcement streamlining and modernization efforts as well as the Collection System implementation. The OCM Bidder will review the training plan(s) developed by the NCS Implementation vendor. After reviewing the NCS Implementation vendor's training plan, the OCM Bidder is to identify, scope and review with the AGO any additional training needs. This information will be documented as part of the Training Assessment.

The OCM Bidder will work with the AGO and the NCS Implementation vendor to develop and implement the OCM Training and Support Plan. This plan will augment the NCS Implementation vendor's training plan and to include training areas that are out of scope for the NCS Implementation vendor. The OCM Training and Support Plan must include a strategy and implementation plan for formal training, just-in-time training, knowledge transfer, remedial/refresher training, and solution rollout support activities for all identified impacted internal and external stakeholders, including SCs, TPVs, and clients. Additionally, the plan will include appropriate delivery methods and curriculum such as eLearning, on-line tutorials, classroom sessions, and the development user-friendly documentation such as on-line procedure manuals, job aids, FAQ and knowledge bases.

The OCM Bidder is responsible for developing and distributing (where applicable) materials to support the execution of training and rollout/post go-live support (e.g., training handouts, presentations, work aides, work reference sheets, etc.).

In developing a SOW and project plan that addresses all deliverables within this section (see 2.10 and Attachment C) the OCM bidder, at minimum, will take the preceding description of needs and desired approach and the following activities into account:

- Work with the AGO to identify specific training needs of stakeholders

- Working with the NCS implementation vendor and AGO to create and refine training curriculum
- Identify AGO participants to schedule JAD participation, refine curriculum, participate in pilots, communications, training and follow-ups as required and applicable
- Developing, printing and compiling training and support materials
- Delivering training via the various modes identified in the Training and Support Plan
- Reviewing newly defined organizational and system processes, policies and procedures to aid the development of training curriculum and training material content
- Ensuring that user-related workflows and job tasks are included in the Training curriculum and materials
- Designing post implementation Training support and remedial Training for new and/or existing employees
- Identifying AGO and NCS implementation vendor resources needed for developing all associated deliverables within this section

Collections training is comprised of training efforts: These training efforts are collectively divided into the following delivery areas:

- Training Development
- Training Delivery
- Training Data Sets
- Post-Training Responsibilities

Each will be discussed in turn below.

2.9.1. Training Development

End-to-end process training is expected to incorporate all relevant AGO policies, procedures and guidance as agreed. Existing training materials may be leveraged for many of the major processes, but it is the Bidder's responsibility to make the necessary updates or enhancements to these materials and create any additional content necessary to turn them into comprehensive end-to-end process training for the in scope Collections operational processes.

It is expected that all training materials will be developed in close cooperation with the AGO business owners and each of these deliverables will require AGO signoff. The deliverable descriptions provided in the next few paragraphs outline the current view of the AGO with respect to training and may not include all of the final requirements for the deliverable.

The Bidder will:

- Be responsible for the development of end-to-end process training materials for all applicable processes related to the OCM effort, including those that impact AGO employees
- Develop training materials to support the successful transition of existing AGO employees to the new Collections operations
- Deliver to the AGO a comprehensive Training and Support Plan approach and detailed timeline for the following deliverables:
 - Training approach, including support strategy during process and system rollout
 - Curriculum design
 - Annotated outlines
 - Course designs
 - Comprehensive training pilot
- Outline the Bidder's governing principles and methodology for instructional design, including the methodology for determining training course delivery method(s) as well as selecting training development tools and software
- Include the templates and style guides that will be utilized for training material development and the methodology for conducting task-to-role-to-course mapping
- Develop curriculum designs including a course listing with course descriptions and the rationalization for the division of materials between courses
- Develop estimates for course length and timing and a task-to-course mapping
- Create an annotated outline for each course, including designs for hands-on exercises, scenarios, teach-backs, and role-to-course mapping
- Lead a comprehensive training pilot including a complete walkthrough of each training course with the AGO training lead, training owners and key business stakeholders. This pilot will serve as a dress rehearsal to verify all significant training issues have been identified and resolved prior to this point. The pilot must be conducted early enough in the timeline to allow the full integration of AGO feedback prior to train-the-trainer.
- Develop training courseware, including job aids, roles and responsibilities, common error identification and remediation, and other operational functions as required to support the system
- Work with AGO resources to develop system and business scenarios that are "real life" and applicable to AGO/local employees to support training
- Work with the AGO training owners to build the necessary understanding of the needs and requirements of the end user populations
- Collaborate with AGO to ensure that existing training materials remain viable and relevant while updates are being made

- Identify the required performance skills and any prerequisites necessary to utilize and understand the training and develop any training materials necessary to address skill gaps
- Design and build training exercises to allow trainees to apply what they have learned
- Revise training materials based on early experiences and feedback from training delivery personnel to enhance and streamline ongoing training materials
- Establish and follow procedures for ensuring that the training materials are accurate and up-to-date

2.9.2. Training Delivery

The Bidder may be required to lead training delivery. The AGO will determine the extent of Bidder involvement in training delivery in addition to the minimum requirements listed below at a later date.

As part of this activity area, the Bidder will:

- Conduct detailed train-the-trainer workshops to prepare trainers for course delivery by focusing on the process and technical aspects of the training curriculum, including adult learning principles and facilitation techniques
- Augment the training staff where necessary as part of the Staff Augmentation Section 2.14
- Provide a training program that is scalable to the number of Stakeholders utilizing the system
- Design training reviews for both end user-training and train-the-trainer; implement a method for evaluating the effectiveness of training that accurately measures whether or not real learning has occurred and how it can be demonstrated
- Establish a plan for tracking and reporting on training attendance and effectiveness measures for both trainees and train-the-trainer
- Develop an approach and build any necessary tools to enable daily communication with trainers on any training updates
- Perform knowledge transfer to embed the training capabilities
- Develop an approach and plan for employee support after they have attended training but before go-live
- Establish a plan and build any necessary tools to manage the escalation of questions from training sessions and the communication of answers back out to trainers

2.9.3. Training Data Sets

It is the Bidder's responsibility to establish and maintain data sets within each environment that are sufficient to support the training development and delivery requirements outlined above.

As part of this activity set, the Bidder will:

- Document data set organization, integration across modules, location of source information, and any other information required to understand how data sets were built
- Conduct knowledge transfer to the AGO
- Comply with all appropriate data sub-setting and masking requirements as directed by the AGO

2.9.4. Post-Training Responsibilities

After training is completed, the Bidder will:

- Revise all training materials in a final form to the satisfaction of the AGO, provided revisions do not alter the approved training design, and transition the materials to the AGO
- Requested changes to the approved training design, would require an approved change request
- Establish procedures and documentation for ensuring that the training team is informed of all updates to production after go-live and the training environments are included on the relevant migration paths
- Merge the data within the existing training environments with the data in the final system training environments
- Facilitate a post-training analysis to gather and document lessons learned and update communication and training plans accordingly

2.10. Master OCM Deliverables List

OCM Deliverables, including assessments, plans and other work products are described in the table below. The OCM Bidder is required to provide hard and digital copies of all Deliverables. Digital copies must be in a writeable format.

Additionally, the OCM Bidder will work with the AGO and the NCS Implementation vendor to determine a product delivery and Project Schedule that supports the design, development and implementation of the new Collections System.

Deliverable / Activity Area	General Scope	Phase 1	Phase 2	Phase 3
Project Planning and Delivery				
Project Plan	All activities & deliverables	X	X	X
Project Communications Plan	All activities & deliverables	X	X	X
Project Quality Management Plan	All activities & deliverables	X	X	X
Weekly Status Report	All activities & deliverables	X	X	X
Monthly Status Report	All activities & deliverables	X	X	X
Quarterly Report	All activities & deliverables	X	X	X
Change Control Process	All activities & deliverables	X	X	X
Action Plan (if applicable)	All activities & deliverables	X	X	X
Collections Modernization Deliverables				
Executive Steering Committee Strategic Plan & Future AGO Vision	Leadership & Stakeholders	X		
Organization Change Management Strategy and Plan	Leadership & Stakeholders	X	X	X
Stakeholder Assessment	Leadership & Stakeholders	X	X	X
Stakeholder Management Plan	Leadership & Stakeholders	X	X	X
Network Management Plan	Change Agent Network Management	X	X	X
Audience Assessment	Communication Management	X	X	X
Communication Strategy and Plan	Communication Management	X	X	X
Communications Development of Materials and Execution	Communication Management	X	X	X
Solutions Design Assistance	Solution Alignment	X	X	X
Solution Development Functional/Business Analysis	Solution Alignment	X	X	X
OCM System Design Analysis	Solution Alignment	X	X	X
Business Readiness Assessment with Gap Analysis	Business Readiness	X	X	X
Business Readiness Strategy and Plan	Business Readiness	X	X	X
Business Readiness Risk Mitigation Plan	Business Readiness	X	X	X
Business Readiness Management Plan & Site Readiness	Business Readiness	X	X	X

Deliverable / Activity Area	General Scope	Phase 1	Phase 2	Phase 3
Organization and Work Design Plan (incl. Policy, Procedures, and Performance Measures)	Organization and Work Design	X	X	X
Organization Impact Assessment	Organization and Work Design	X	X	X
Develop/Implement Performance Management Plan	Organization and Work Design	X	X	X
Training Assessment	Training and Support	X	X	X
Training Strategy and Plan	Training and Support	X	X	X
Training Implementation/Support	Training and Support	X	X	X

2.11. OCM Work Requirements And Schedule of Activities

2.11.1. Overview

The OCM Bidder is required to:

- Locate a project manager and the proposed core team on-site at the primary AGO project location in the Downtown Columbus Area and deploy additional subject-matter experts and other resources as required to perform the contracted responsibilities
- Report to and officially send all contracted deliverables (plans, assessments, monthly and quarterly reports, dashboards, etc.) to the AGO
- Fully integrate with the AGO, and NCS Implementation vendor teams including participation in executive and project management meetings and in AGO and/or NCS Implementation vendor meetings and reviews of work products
- Complete assessments, activities, work products and other deliverables as described in this RFP

2.11.2. Project Initiation Activities

A schedule of project start-up activities is provided in the table below.

Start-Up Activity	General Description	Timeframe
Kick-off Meeting	A planning meeting to establish the working relationship between the OCM Bidder and the AGO. Background information and materials relevant to the project will be provided to the Bidder. At this meeting, the OCM Bidder will work with the AGO to define timelines and frequencies of the project management documentation and Deliverables.	Within one (1) week following arrival of the OCM team on site
Implement Quality Management and Change Control Process	Work with the AGO to develop a mutually agreeable quality management and change management plan for work contained in the scope of the OCM Bidder or as the scope and quality of Bidder work may be impacted by the AGO or NCS Implementation (s). Implement this plan and maintain it on an ongoing basis throughout the project.	Within thirty (30) calendar days following the arrival of the OCM team on site
Collections Colloquium	A meeting to establish the working relationship between the AGO and the NCS Implementation vendor and OCM Bidder. During this meeting, the OCM Bidder and NCS Implementation vendor are to work together to define the OCM product delivery and Work schedule that supports the design, development and implementation of the Collections System. The Work schedule must ensure that all process design and re-engineering Work that impacts the system design is completed in the first 180 days from project Kickoff	Within two (2) weeks following arrival of the final Bidder on site
Initial Interview with Major Stakeholders	Summary report of interviews with key project stakeholders (executive sponsors and other key executives, AGO, NCS Implementation vendor, and others) (approximately 30 interviewees) to assess their understanding of the project, expectations, concerns, commitment, and leadership in driving change. This will be a precursor to working with the Executive Steering Committee to develop a project Future-AGO Vision and the Change Management Strategy and Plan.	Within one (1) month of arrival on site
Ongoing Activities	In addition to the work contained in this RFP, the Bidder will support the AGO in performing activities designed to: 1) assess the ongoing effectiveness of the program	Ongoing, dependent on project phase, release scope

inclusive of coaching, monitoring and other mutually agreeable methods to foster successful organizational change; and 2) Support the AGO in the execution of communications, attending CRP/JAD sessions with the NCS Implementation.	and change phase.
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2.12. Project Management Activities

The OCM Bidder is required to employ standard project management methodologies and practices in order to execute the SOW required for this OCM effort. This includes performing tasks associated with managing Work defined in the OCM Bidder’s SOW and Project Plan, as well as producing the Project Management documentation and Deliverables defined in this RFP. During the Kick-off Meeting, the OCM Bidder will work with the AGO to define timelines and frequencies of the Project Management documentation and Deliverables.

2.13. Project Reporting Activities

The OCM Bidder is required to inform the AGO and NCS Implementation vendor about progress, issues, and concerns on a routine basis, as defined in this RFP. The OCM Bidder’s Project Manager or designee will submit a written status reports, in compliance with this RFP, to the AGO detailing progress, issues, risks, and concerns with the organizational change management aspects of the project. Additionally, quarterly briefings are to be provided to the AGO.

2.14. OCM Cost Estimate

OCM Bidders are required to submit a firm fixed-price for Organizational Change Management Expertise for the AGO’s Collections Enforcement section. The OCM Bidder must submit their firm fixed-prices for the deliverables in each of the key SOW areas in the editable Attachment C. A total for all the work from the individual line items will be summed as the “Total for entire OCM SOW” (see Att. C).

A prospective Bidder **must** propose in their SOW how the selected Bidder will perform all tasks and subtasks and provide all Deliverables as defined in this RFP. A Deliverable is deemed complete **only upon the AGO’s approval and acceptance**, regardless of the number of attempts it takes the selected Bidder to provide a successful Deliverable.

The OCM Bidder will use the worksheets in Attachment C when presenting deliverable costs for their response to the RFP in the “Cost Inputs” worksheet and T&M hourly rates in the “Staff Cost” worksheet.

Cost estimates are to be provided to support the three implementation phases for the New Collection System. The “Total for entire OCM SOW” cost from the Att. C worksheet will be used for Evaluation purposes. If staff augmentation is needed for other purposes (other than this

SOW), the AGO may utilize the resources listed in Att. C's "Staff Cost" worksheet. Note: Staff augmentation may also possibly be used to support Operations (after all three phases are implemented).

2.15. Staff Augmentation Cost Estimate

In the event that the AGO may want to use the OCM Bidder for staff augmentation for other aspects of the overall Collections Modernization project, please submit hourly labor rates for each of the labor categories denoted below in Att. C "Staff Cost" worksheet.. Note that staff augmentation may also be used for post-implementation or operational needs.

- Project Director
- Project Manager
- Functional Lead/Manager
- Business Analyst
- Training Lead/Manager
- Training Specialist
- Business/Process Architect
- Change Management Lead
- Communications Lead/SME
- Communications/Network Specialist
- Process Optimization Expert
- Process Optimization SME
- Process Documenter/Tech Writer
- Quality Assurance Manager
- HR/Role SME
- Financial Process SME
- Technical Writer
- (Bidder may suggest other titles or descriptions of available staff)

SECTION 3.0 CONTRACT SAMPLE

The AGO desires to procure change management assistance in the implementation and operation of a new collections system within the scope of this RFP. To further this request, a sample contract is attached to this RFP as Attachment D.

SECTION 4.0 TERMS AND CONDITIONS

This section enumerates and defines the terms and conditions that apply to this RFP, and that govern any verbal and written communication under this RFP, and to any ensuing contractual relationship that the AGO may enter into with a Bidder.

4.1. Scope of Work Generally, Budget and Payment

The ASB is responsible for furnishing all personnel, facilities, equipment, material, supplies, and support and management services and *must* perform all functions necessary to satisfy the requirements of this RFP.

The AGO reserves the right to conduct negotiations with one or more Bidders during the RFP review process. Bidders may negotiate only the specific aspects of the RFP that the AGO, in its sole discretion, selects for negotiation. Negotiated terms may include, in the AGO's sole discretion, compensation, though compensation will not be the sole factor in determining an award.

In consideration of the selected contractor's promises and satisfactory performance of the scope of work, the AGO will pay the selected contractor the amount(s) identified in the response to this RFP (the "Fee") as negotiated. In no event will payments under the resulting contract exceed the "not-to-exceed" amount in response to the RFP. The selected contractor's right to the Fee is contingent on the completion and satisfactory performance of the scope of work as set forth in the resulting contract, or, in the case of milestone payments or periodic payments of an hourly, daily, weekly, monthly, or annual rate, all relevant parts of the scope of work tied to the applicable milestone or period.

4.2. Requirements specific to the State of Ohio

In addition to the requirements set forth below, please refer to the sample contract in Attachment D for additional Ohio requirements.

4.2.1. Reimbursable Expenses

The AGO will only pay for deliverables specified in Attachment C of this RFP or the resulting contract and any amendments thereto. The Apparent Successful Bidder ("ASB") *must* assume all expenses that it incurs in the performance of the contract that are not identified as reimbursable in the RFP documents or the resulting contract.

4.2.2. Warranties and Certifications

By submitting a Proposal, the Bidder warrants and certifies that it:

1. Is eligible for award of a contract by the AGO, pursuant to Ohio Revised Code Sections 9.24, 125.11, 125.25, and 3517.13.
2. Has read the RFP, understands it, and agrees to be bound by its requirements.
3. If awarded a contract arising out of this RFP, the Bidder **must** negotiate such contract in good faith, which contract **must** be in a form provided by the AGO.
4. Has not included any legal terms or conditions for the contract in its Proposal, unless specifically permitted by the AGO.
5. Has familiarized itself with the ethics statutes governing state employees and appointees, including those concerning employment of former government employees, gifts, and lobbying.
6. Will not, nor will permit any subcontractor, or any person acting on behalf of the Bidder or a subcontractor, discriminate, by reason of race, color, religion, sex, sexual orientation, age, genetic information, disability, military status, national origin, or ancestry, against any citizen of this state in the employment of any person qualified and available to perform the work under any contract resulting from this RFP.

4.2.3. Public Record Information

The AGO is subject to the requirements of the Ohio Public Records Act contained in Ohio Revised Code Section 149.43 et seq. Accordingly, Bidders **must** understand that information and other materials submitted in response to this RFP or in connection with any contract resulting from this RFP may be subject to disclosure as a public record, except to the extent the materials are protected from disclosure by applicable state and/or federal laws.

By submitting a Proposal, the Bidder agrees that if, after a request for disclosure, litigation is brought attempting to compel production of the material or to protect the materials from production, the Bidder **must** be solely responsible, at its sole cost, for any defense, and for establishing the basis for non-disclosure of the material. If an appropriate tribunal determines that the material **must** be disclosed or fails to protect the material from disclosure, the AGO will release the material and the Bidder **must** indemnify and hold the AGO harmless and immune from any and all claims for injury or damages arising out of the litigation including, but not limited to, attorneys' fees.

4.2.4. Trade Secret Information

All Bidders are strongly discouraged from including in a Proposal any information that the Bidder considers to be a trade secret, as that term is defined in Ohio Revised Code 1333.61(D)

below. All information submitted in response to this RFP is public information unless a statutory exception exists that exempts it from public release. If any information in the Proposal is to be treated as a trade secret, the Bidder **must**:

- Identify each and every occurrence of the trade secret information within the Proposal with an asterisk before and after each line containing trade secret information and underline the trade secret information itself; and
- Include a page that lists each page in the Proposal that includes trade secret information and the number of occurrences of trade secret information on that page.

To determine what qualifies as trade secret information, refer to the definition of trade secret as set forth in Ohio Revised Code 1333.61(D), which is reproduced here for reference:

Trade Secret means information, including the whole or any portion or phase of any scientific or technical information, design, process, procedure, formula, pattern, compilation, program, device, method, technique, or improvement, or any business information or plans, financial information, or listing of names, addresses, or telephone numbers, that satisfies both of the following:

- (1) It derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.
- (2) It is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

4.2.5. Background Check

An AGO background check may be performed, as required by the AGO, on each ASB staff member and any subcontractor employees who will work on the project, at the ASB's expense. Results of the background checks **must** be made available to the AGO once completed. Any ASB staff member or subcontractor employee who fails the background check **must** be replaced. The ASB **must** have alternate staff members available immediately to replace key personnel that do not pass the background check as part of its staffing plan. The AGO, in its sole discretion, will determine whether the ASB's staff member or subcontractor employee passed or failed the background check.

4.3. Program Management

The intent of the AGO is to put into operation an NCS. By submitting a Proposal to this RFP, Bidders accept the general program management rules laid out in this sub-section.

4.3.1. CE and ITS Master Plan

The AGO will maintain a CE and ITS Master Project Plan (“MPP” or “Plan”). This Plan, along with a milestone schedule, will be established and updated in reasonable consultation with, and consideration of, the ASB. The AGO will provide a program manager to administer that Plan; however, the substantive elements of that Plan will be provided by the ASB. Note that this Master Project Plan will also contain plans and other milestones from other contracted vendors for the CE and ITS sections. For instance, the NCS implementer, SAGE implementers, etc., will be involved with CE and ITS as part of this project and will be integrated into the Plan and schedule.

4.3.2. ASB’s Duty to Implement Its Respective Plan Without Delay

During the implementation phase of the NCS, until the entire system is accepted by the AGO, the ASB is responsible for implementing its OCM plans without delay, independent of any other contractors and of the CE and ITS MPP, except in the following circumstances:

- *Obligation to Respect Other Contractors’ Dependency* – Where another contractor’s plan provides necessary input, progress, work steps and deliverables to the ASB’s plan, the ASB **must** hold those steps in its plan that require or benefit from the other contractor completing that work that is a dependency, until such time as the dependency is resolved. The ASB waives any right to hold the AGO responsible in any way for delays caused by another contractor’s performance.
- *Obligation to Respect CE and ITS MPP’s Dependency* – Where the CE and ITS MPP provides input, progress, work steps and deliverables that are necessary or beneficial to the ASB’s plan, the ASB **must** hold those steps in its plan that require or benefit from the CE and ITS MPP delivering the work or outcome that is a dependency, until such time as the dependency is resolved. The ASB waives any right to hold the AGO responsible in any way for delays in the performance of the CE and ITS MPP that are reasonable or reasonably outside of the control of the AGO.

4.4. OCM Support

The ASB’s support services responsibilities **must** include responding to and tracking problems reported, resolving deficiencies, and controlling configuration of OCM processes, on site and remotely as necessary, pursuant to the contract resulting from this RFP.

4.5. Security and Data Access Breach

The ASB **must** notify the AGO immediately, and in no more than twelve hours after discovery, of the suspicion or discovery of a security incident. When the ASB becomes knowledgeable of

the existence of either a verified or suspected security incident, it will compile information related to the incident, and email the information as an encrypted attachment to AGOSOG@OhioattorneyGeneral.gov and call the AGO Chief Information Security Officer and Project Manager. Security incidents include the following: breaches of any data and/or files contained in or related to the NCS; unauthorized access or disclosures; malware events; etc.

4.6. Place of Work, Contractors and Data

All work performed under the resulting contract *must* be performed within the territory of the United States. AGO data *must not* be stored, accessed from, or transmitted outside of the United States without the AGO's written permission provided in advance.

4.7. Subcontractors

Bidders may propose subcontractors. Subcontractors *must not* assume less compliance than Bidders' staff within the terms and conditions of this RFP and must be approved by the AGO. Any subcontractors added post award of this RFP may require at least 45 days for approval prior to start.

4.8. Consent and Security Requirements

Bidders are advised that all AGO contractors and their subcontractors *must* consent to and implement the AGO workplace and security policies as communicated by the AGO.

Bidders *must* acknowledge that the NCS and all work for the development, implementation and operation of the NCS, including OCM, are subject to the requirements of IRS Publication 1075. Bidders must describe their familiarity and experience with the requirements of Publication 1075, and further describe and affirmatively demonstrate how the proposed OCM solution will be compliant with Publication 1075.

4.9. Taking Exceptions

Generally, Bidders *must not* take exception to any statement in Subsections 4.2, and 4.5-4.8. Bidders considering taking exceptions are directed to review the subsection titled "Exceptions, Assumptions, and Deviations."

SECTION 5.0 RESPONSE PREPARATION INSTRUCTIONS

Response preparation instructions relative to form and manner are provided in the sections below. Specific content requirements are provided in Section 5.0 Required RFP Response Content.

5.1. Paper Copy - Requirements

The RFP response *must* be submitted with one original, **five** conforming paper copies, and one electronic copy on a USB drive. Computer-generated pages *must* use Arial or Times New Roman fonts at a pitch of 12 points or larger; 10-point Times New Roman font may be used in presenting tables where the data would otherwise not easily fit onto the page width; and 9-point Times New Roman font may be used in embedded graphics. Response page size *must* not exceed 8-1/2 inches by 11 inches. A page is defined as one printed side of one 8-1/2" by 11" sheet of paper. Folded pages *must* fold entirely within the volume. Each 8-1/2" by 11" section of a folded page counts as one page. Larger sheets will count as two or more pages. For example, an 11" by 17" folded sheet counts as two pages. Each response page will be numbered sequentially with a unique number. There *must* be no less than 1½ spaces between lines.

5.2. Electronic Copy Requirements

The prospective contractor *must* provide one USB drive containing the electronic version of the paper copy. Media will not be returned.

Please note the following electronic copy requirements:

- Submitted files must be fully searchable, printable, and unlocked.
- Files must not be password protected.
- USB drive must be labeled with a text file to indicate the prospective contractor name, solicitation name, and date of submission.
- The prospective contractor must screen the USB drive for computer viruses prior to submittal and include a letter certifying it to be virus-free.

5.3. Master Copy

Proposals submitted on paper are considered the master copy for purposes of scoring. In case of differences between the Proposal submitted on paper and the Proposal submitted electronically, the Proposal submitted on paper binds the Bidder and supersedes the electronic submission.

5.4. Cost Data

All information pertaining to cost or pricing data **must** be included exclusively in the Cost Proposal section. Under no circumstances may cost or pricing data be included elsewhere in the Proposal, including on the cover letter or the Executive Summary.

5.5. General Response Requirements

This subsection provides specific information and requirements that apply to the Proposal overall. “Bidder” means the proposer who is qualified under the terms of this RFP.

5.5.1. Exceptions, Assumptions, and Deviations

- Bidders **must not** take exception to any statement in Subsections 4.2, and 4.5-4.8.
- The listing of exceptions, assumptions, or deviations will not automatically cause a Proposal to be deemed unacceptable.
- A large number of exceptions, assumptions, or deviations or one or more significant exceptions, assumptions, or deviations not providing sufficient benefit to the AGO may result in rejection of the Proposal(s) as unacceptable. The interpretation of “large,” “significant” and “sufficient” is at the discretion of the AGO.
- Any exceptions, assumptions, or deviations taken to the terms and conditions described in Section 4.0, but not in Subsections 4.2, and 4.5-4.8, **must** contain sufficient amplification and justification to permit evaluation.
- For each exception or deviation taken, the expected benefit to the AGO **must** be explained.
- Requests for exceptions, assumptions, or deviations and their justifications will not be counted in the page number limitations specified.
- In each Proposal volume, if the Bidder presents exceptions, assumptions and deviations, the Bidder **must** restate the identical exceptions, assumptions, and deviations. Subsection 5.2 describes the Proposal volumes required.
- The AGO reserves the right to reject any and all exceptions, assumptions, and deviations.

5.5.2. Discrepancies

If a Bidder believes that the requirements in these instructions contain an error, omission, a conflict internal to this solicitation, or are otherwise unsound, the Bidder **must** immediately notify the AGO in writing, with supporting rationale. Failure to notify the AGO **will not** give rise to a Bidder’s claim that in substance hinges on an error, omission, a conflict internal to this solicitation or unsound instructions brought to the AGO after a Bidder has submitted a Proposal.

5.5.3. News Releases

Bidders **must not** make any news releases pertaining to solicitation activity or the award of this solicitation without prior approval by the AGO.

5.5.4. Discussions

The AGO reserves the right to award this RFP based on the initial Proposal, as received, without discussions.

5.5.5. Proposal Validity Period

The Bidder **must** provide a Proposal that is valid for a minimum of six (6) months from the Proposal due date.

5.5.6. Notional Schedule

The notional schedule is provided below. This schedule is intended to reflect the AGO's desired schedule and is not prescriptive. The Bidder **must** schedule the work in accordance with its best judgment with respect to schedule achievability, cost, risk, and benefit to the AGO. The AGO is open to accelerating this schedule upon mutual agreement.

Event	Months after Contract Award
Contract Awarded	Dec. 2019
Discovery Period Complete	5-7
Enable the AGO to reach its goal of modernizing the CE business and its processes. This will be accomplished using change management expert processes during the first, second, and third phase of the NCS implementation	18, 24, 36

SECTION 6.0 REQUIRED RFP RESPONSE CONTENT

A complete response to this RFP *must* include all requests described in this section.

6.1. Naming Convention

Bidders *must* use the Proposal heading naming conventions described throughout Section 6.0. This ensures ease of reference for the AGO evaluation team as well as Bidder reference for submitting a complete Proposal.

6.2. Transmittal Letter

The Transmittal Letter *must* be in the form of a standard business letter and be signed by an individual authorized to legally bind the Bidder. The Transmittal Letter *must*:

1. Identify the submitting organization;
2. Identify the name and title of the person authorized by the organization to contractually obligate the organization;
3. Identify the name, title, telephone number and e-mail address of the person authorized to negotiate the contract on behalf of the organization;
4. Identify the names, titles and telephone numbers of persons to be contacted for clarification of the Proposal;
5. Explicitly indicate acceptance of the Terms and Conditions stated in RFP Section 4.0;
6. Be signed by a person authorized to contractually obligate the organization;
7. Acknowledge receipt of any and all amendments to this RFP.

6.3. Proposal Checklist

The Bidder *must* complete the Proposal Checklist, which is found in Attachment E of this RFP. The purpose of the checklist is to enable a quick determination of Proposal completeness and to ensure the Bidder is clear on all required components.

6.4. RFP Response

The RFP response *must* be organized and contain information as specified in the following paragraphs.

6.4.1. For reference only, a summary table is included here first.

Section Ref.	RFP Response	Page Limit
-	Transmittal Letter	1
-	Table of Contents	N/A
A	Executive Summary	1
B	Project Organization, Reporting Structure, Staffing, and any Subcontracting Plan	6
C	Key Personnel Resumes	2 each
D	High-Level Schedule Summary	1
E	Prospective Bidder Qualifications Strengths and Stability (using Attachment G)	10
F	Statement of Work	25
G	References (using Attachment F)	2 each
H	Cost Proposal (using Attachment C)	N/A
I	Exceptions, Assumptions, and Deviations	N/A
J	Trade Secrets	N/A
K	MBE credentials	1

Bidders **must** use the section reference naming conventions outlined in the table above in their Proposal. Any content **must** reference first the corresponding Section Reference letter and then the Content Description label in the table above along with any Attachment name provided in this RFP document.59B

6.4.2. Table of Contents

The RFP response **must** contain a table of contents clearly identifying the organization of the page numbers, exhibits, attachments, and appendices.

6.4.3. Section A – Executive Summary

The Executive Summary **must** provide an overview of the Bidder’s qualifications and the proposed approach to satisfying the requirements of this solicitation.

The Executive Summary **must** not contain any system cost or pricing information.

6.4.4. Section B – Project Organization, Reporting Structure, Staffing and Subcontracting Plan

Bidders **must** provide in this section their plans for managing and accomplishing the RFP's SOW. This section **must** include the following components:

- a) *Management* – The Proposal **must** describe the Bidder's management organization and the reporting structure of the project within the Bidder's organization.
- b) *Staffing Plan* – The Bidder's staffing plan **must** include:
 - The identity and qualifications of key staff that will be assigned to the project, including subcontractors. Key staff are all staff involved with this project; executives, managers, project managers, and project leads (development, infrastructure, training, etc.); and
 - The Bidder's commitment to provide qualified staff for performance of the NCS implementation project. The AGO will require on-site staffing levels for the implementation and operations phases appropriate to meet and exceed contracted service levels. The AGO expects the Bidder to propose full time on-site support during the operational phase of the project.
- c) *Commitments* – Bidders **must** include positive statements indicating that the Bidder understands and commits that:
 - This NCS implementation project must not be adversely impacted by any other projects the Bidder is conducting.
 - Key personnel assigned to this OCM project will not be reassigned unless agreed to by the AGO.
 - After contract award, any changes of key personnel require the AGO's approval.
 - All personnel that will work on-site at sites designated by the AGO must be pre-approved for site access via background checks to be administered by the AGO
 - A decision by the AGO to deny or withdraw site access privileges for any Bidder employee or subcontractor is final.
 - In the event that the AGO denies access to, or requests removal of, specific Bidder personnel, Bidder will provide an acceptable replacement within a period of time that does not negatively impact the implementation and operation of NCS and related sub-systems and interfaces, pursuant to the resulting contract.
 - All personnel must use the AGO's network and equipment for any and all work, regardless if on or off-site.
 - Subcontracting Plan – If a Bidder proposes to subcontract any part of the work, the Bidder's Proposal must include a Subcontracting Plan.
 - The Subcontracting Plan must identify all vendors that are proposed as subcontractors for NCS implementation and support.

- The subcontracting portion of the Proposal must include a description of each proposed subcontractor's role in the project, qualifications to perform that role, management structure, key staff assignments and qualifications of assigned staff.
- The Plan must also include references for subcontractors (Att. F)
- The Plan must also include the strength and stability form (Att. G)
- The AGO may request further information related to subcontractors at any time.
- Bidders are responsible for ensuring that each subcontractor acknowledges and is contractually bound by the staffing plan commitments listed above.

6.4.5. Section C – Key Personnel Resumes

This section **must** contain resumes for all proposed key personnel. Resumes **must** contain sufficient information to enable the AGO to determine the appropriateness and adequacy of the proposed person's education, experience, training, and certifications as they relate to the position for which the applicant is proposed.

This **must** also apply to key personnel of subcontractors as well. Key personnel are all staff involved with this project; executives, managers, project managers, and project leads.

6.4.6. Section D – High Level Schedule Summary

The Bidder **must** submit a high-level schedule summary minimally representing the major milestones and contract Deliverables associated with this RFP. For purposes of the response evaluation only, prospective contractors should assume a start date when a contract is awarded (see Notational Schedule).

6.4.7. Section E – Prospective Contractor Qualifications, Strengths and Stability

The Bidder **must** submit a narrative of past (within the past 4 years) projects and tasks that are relevant to the Deliverables described in this RFP, especially Section 2.0 Scope. Any work related to these Deliverables is desirable as well.

Please include, for example, any Bidder project related to collection entities, call centers, law firms involved with collection, accounting, etc.) when discussing bidder qualifications. In addition, include whether any projects were required to specifically meet compliance standards (IRS Publication 1075, HIPAA, etc.). Also include any professionally recognized tools, methodologies and standards used by the Bidder.

Also, note whether the work described will include a corresponding contact in the Reference section of the response.

Bidders **must** complete the Vendor Strength and Stability Form in Attachment G. If the Proposal involves multiple contractors, be sure to include relevant information for each contractor. Please provide clear and concise responses to each question, and include the following:

1. A copy of the most recent audited financial statement or audit;
2. A document evidencing bonding or application for bonding, as applicable;
3. Current tax documents evidencing legal status (i.e., for profit or nonprofit corporation, partnership) and federal tax identification number;
4. Documents evidencing current liability insurance; and
5. Documentation evidencing current registration to do business in the State of Ohio.

6.4.8. Section F – Statement of Work

This section **must** have two parts.

- An Executive Summary
- Detailed Statement of Work (“SOW”) sufficient for inclusion into a contract.

The prospective Bidder **must** submit a description of a general plan to provide the Scope of Work and its tasks and deliverables and executables found in ‘Section 2.0 Scope’ of this RFP. The SOW **must** illustrate that the Bidder understands the specific items outlined by this section.

In addition, attention **must** be given to the concepts below, with an explanation of how the Bidder’s SOW solution addresses these needs in a predictable manner:

- The AGO will acquire or have acquired new systems such as a New Collection System (“NCS”) that will be implemented by a NCS Implementation vendor and the Bidder will need to interact predictably with the vendor and the AGO.
- The AGO requires minimal disruption to external users (such as clients, special counsel, third party vendors, external system owners, etc.).
- The NCS will be a phased implementation where a dual system environment will exist with the legacy system that **must** be supported along with the NCS until all phases are completed and all data converted. The NCS implementer will design sub-system and interfaces to work in a dual environment. This will necessarily require an environment where staff will be working with both systems. The AGO requires particular OCM attention to this situation to ensure the NCS is implemented successfully across the phases
- AGO Responsibilities. The Contractor will have access to AGO subject matter experts, business analysts, project managers, business managers, etc. The AGO will also provide a work environment for contractor staff when on-site. The Bidder **must**

indicate the responsibilities of the AGO that are expected as the OCM process proceeds.

- On-or-Off site. The Bidder **must** explain their plans for contractor staff's schedule/durations and duties when on-site at the AGO location. This should include information about the staff's responsibilities, duties, and tasks. It is assumed that much of the activities to create the Deliverables will require on-site presence.

6.4.9. Section G – References

Bidders **must** provide **four (4) references** for equivalent functional and performance capabilities that demonstrate the Bidder's ability to meet the requirements of this solicitation with proven experience. If a subcontractor is planned, then this requirement is applicable as well.

It is preferable, but not required, that at least one of the four references include a client that also adheres to the requirements of IRS Publication 1075.

These references must be in the United States. Information that **must** be supplied for each reference is on the form in Attachment F, but consists of:

- Agency and department, address, and date of contract;
- Point of contact for the client reference (name and title, telephone, and email);
- Brief system overview description; and
- Brief comments about the success and learnings involved with this implementation.

Please be advised that the AGO may contact the Bidder references to confirm the information provided. By submitting a Proposal, the Bidder consents that the AGO may independently contact and inquire with other customers of the Bidder, for the purpose of this evaluation. Bidders **must** have satisfactorily completed the qualifying work, as verified by their references, in order to receive evaluation points for this requirement.

6.4.10. Section H – Cost Proposal

The prospective contractor **must** submit this cost section to accomplish the work necessary for the Deliverables of this RFP.

NOTE:

- ALL COST PROPOSALS MUST CLEARLY IDENTIFY ALL FINANCE CHARGES AND RATES IF APPLICABLE.
- ALL COST PROPOSALS SUBMITTED WILL BE CONSIDERED TO REFLECT PRICES FOR DELIVERING ALL REQUIRED SERVICES AND ENSURING COMPLETE AND SUCCESSFUL IMPLEMENTATION AND ONGOING OPERATION OF THE PROPOSED SOLUTION.

6.4.11. Section I - Exceptions, Assumptions, and Deviations

The Bidder **must** submit a section identifying any exceptions, assumptions, or deviations to this RFP. If there are none, please state “NO EXCEPTIONS, ASSUMPTIONS or DEVIATIONS in the RFP RESPONSE” when completing this section of the Proposal.

- a. Bidders **must not** take exception to any statement in Subsections 4.2, and 4.8-4.12.
- b. The listing of exceptions, assumptions, or deviations will not automatically cause a Proposal to be deemed unacceptable.
- c. A large number of exceptions, assumptions, or deviations or one or more significant exceptions, assumptions, or deviations not providing sufficient benefit to the AGO may result in rejection of the Proposal(s) as unacceptable. The interpretation of “large,” “significant” and “sufficient” is at the discretion of the AGO.
- d. Any exceptions, assumptions, or deviations taken to the terms and conditions described in Section 4.0, but not in Subsections 4.2, and 4.8-4.12, **must** contain sufficient amplification and justification to permit evaluation.
- e. For each exception or deviation taken, the expected benefit to the AGO **must** be explained.
- f. Requests for exceptions, assumptions, or deviations and their justifications will not be counted in the page number limitations specified.
- g. In each Proposal volume, if the Bidder presents exceptions, assumptions and deviations, the Bidder **must** restate the identical exceptions, assumptions, and deviations. Subsection 5.2 describes the Proposal volumes required.
- h. The AGO reserves the right to reject any and all exceptions, assumptions, and deviations.

6.4.12. Section J - Trade Secrets

The RFP response **must** include a section identifying any trade secrets included in the response, per the instructions in paragraph 4.2.4, Trade Secret Information. If there are none, please state “NO TRADE SECRETS in the RFP RESPONSE” when completing this section of the response.

6.4.13. Section K - Minority Business Enterprise (“MBE”) Program

The MBE program is designed to assist minority businesses in obtaining state government contracts for goods and services. The State of Ohio developed the program because it recognized the need to encourage, nurture and support the growth of minority businesses to foster their development and increase the number of qualified competitors in the marketplace.

The RFP response **must** state if the Bidder or any subcontractor is MBE eligible and if so, must become MBE certified to take advantage of this program and the points allocated by the RFP Response Deadline.. Information related to eligibility and certification can be found at: <https://das.ohio.gov/Divisions/Equal-Opportunity/Business-Certification/Minority-Business-Enterprise-MBE-Program>

SECTION 7.0 EVALUATION PROCESS

The AGO will evaluate responses utilizing a best-value methodology. The subsections below describe the criteria and steps that evaluators will use to evaluate prospective contractor responses.

7.1. Evaluation Steps

This subsection provides an overview of the process that will be used to evaluate responses. It is important to note that the basis for contractor selection is not response scoring alone but a more extensive sequence of events, as outlined below.

7.1.1. Step 1 – Response Preparation Compliance Review

Each response will be reviewed for compliance with the Response Preparation Instructions included in this RFP. This includes a pass/fail component for the following:

- a) Mandatory submission requirements.
- b) Degree of compliance to the Terms and Conditions. For example:
 - In a failed response, the prospective contractor rejects the AGO's Terms and Conditions and substitutes its own language that is not acceptable to the AGO;
 - In an acceptable response, the prospective contractor accepts the AGO's Terms and Conditions as is, and/or with minor non-substantive changes, and/or adds language that provides mutually beneficial terms and conditions, and/or provides changes that enhance the utility of the resulting contract (such as other arrangements that improve the contractor/client relationship or service involved).

7.1.2. Step 2 – Response Scoring

In this step, the AGO will score the responses that in step 1 have not been rejected or deemed unacceptable. Scoring will be carried out across four logical groups of criteria:

- a) Contractor experience and staffing related to Deliverables: Points assigned relative to an evaluation of the prospective contractor's expertise judged by experience, references, and current staffing resumes, as well as previous experience with either the Ontario or FICO systems.
- b) Approach to Deliverables: Points assigned to an evaluation of the method and ability to execute on the Deliverables by considering organization, proposed approach, and considering any exceptions, assumptions, and deviations.
- c) Cost: Points assigned relative to cost.

- d) MBE: Points that are applied if Bidder or sub-contractor is MBE qualified.

The outcome of this step is a tabulation of awarded points to each prospective contractor.

7.1.3. Step 3 – Best and Final Offer

This step provides the option for the AGO to request one or more Bidders to adjust their scope and pricing to reflect any new information discovered during any Bidder interaction initiated only by the AGO with any questions related to the Bidders deliverable proposal. The outcome of this step, if applicable, is the submission of BAFO(s).

7.1.4. Step 4 – Identification of the Apparent Successful Contractor

In this step, the AGO will tabulate, compile and verify all scores, benchmarks and observations. Using a best-value perspective, the AGO will identify the apparent successful contractor.

7.1.5. Step 5 – Contract

In this step, the AGO and the apparent successful contractor will engage in contract negotiations. Contract negotiations may fail, and in this case the AGO would return to one of the prior steps. The outcome of this step will be a signed contract.

7.2. Scoring Criteria and Weights

The table below outlines the scoring criteria and weights that will be applied during scoring in step 2 of the overall evaluation process.

Scoring Category	RFP Response Sections	Points
Contractor Qualifications and Experience related to the RFP Deliverables	C, E, G	40
SOW and Approach and Ability to Execute on RFP Deliverables	B, D, F, and I	40
Cost	H	15
Minority Business Enterprise Certified	K	5
TOTAL		100%

SECTION 8.0 ATTACHMENTS TO RFP

All Attachments are found on the same website as this RFP. They are in a pdf format, but also as editable documents where applicable.

8.1. Attachment A – Current Environment Summary

This Collections Enforcement legacy system is made up of a primary collection system (“CUBS”) along with multiple sub-systems and interfaces. This summary is being provided as informational to this RFP, but was also provided as a technical attachment for the NCS system, too. Note the architectural diagram within this summary that illustrates the complexity of the system.

8.2. Attachment B – Requirements Traceability Matrix (“RTM”)

This Attachment is informational only. It is a set of business requirements for the NCS system to replace the current legacy system. It is in the format of a traceability matrix.

8.3. Attachment C – Price Proposal

The Attachment C is where costs are itemized for the deliverables from the Bidder. The form is available as an editable form and the total cost is used for evaluation purposes.

8.4. Attachment D – Contract Sample

8.5. Attachment E – Proposal Checklist and Cross-Reference

The Attachment E is a quick checklist to be used by the Bidder to help insure that the RFP response has all the material required.

8.6. Attachment F – Bidder Reference Forms

The Attachment F is to be completed for References by the Bidder. This would include any sub-contractors to be used for the Bidder’s SOW plans.

8.7. Attachment G – Bidder Strength and Stability Form

The Attachment G is to be completed by the Bidder. This would include any sub-contractors to be used for the Bidder’s SOW plans.