INDIANA COMMISSION *for* HIGHER EDUCATION

REQUEST FOR PROPOSAL: 19-008 Re-architecture and Evolution of Data Submission System

Solicitation For: Professional Services – Custom Software Development

6/18/2019

Response Due Date: July 3, 2019

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SECTION ONE
GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

It is the intent of the Indiana Commission for Higher Education to solicit responses to this Request for Proposal (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This RFP is being posted to the Commission's website (http://www.in.gov/che/3171.htm). Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.2 DEFINITIONS AND ABBREVIATIONS

The following are explanations of terms and abbreviations appearing throughout this RFP.

IAC	Indiana Administrative Code
IC	Indiana Code
Commission	Indiana Commission for Higher Education
Contract Award	The acceptance of the Commission's Award Recommendation
CUF	Commercially Useful Function – A business function that supports the scope of this solicitation
Implementation	The successful implementation of the specific service at the Indiana Government Center as specified in the contract resulting from this RFP
Products	Tangible good or manufactured items as specified in this RFP
Proposal	An offer as defined in IC 5-22-2-17
Respondent	An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the respondent who will be ultimately responsible for performance of the contract.
Services	Work to be performed as specified in this RFP
State	The State of Indiana
State Agency	As defined in IC 4-13-1, "state agency" means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of state government.
Total Bid Amount	The amount that the respondent proposes in the Cost Proposal that represents their total, all-inclusive price.

Vendor	Any successful respondent selected as a result of the procurement process to deliver the products or services requested by this RFP.

1.3 PURPOSE OF THE RFP

The purpose of this RFP is to select a vendor that can satisfy the need for implementation of a custom software application that will service the agency's data collection, budget recommendation, and repository of academic programs for the Indiana Commission for Higher Education.

1.4 BACKGROUND

The services sought in this RFP are to support the Commission with its obligations under this project and this law, including the direct outreach, triage of responses and the reporting of data to the General Assembly.

1.5 SUMMARY SCOPE OF WORK

A fundamental role of the Indiana Commission for Higher Education (ICHE) is to provide reports at various levels of aggregation to both the Indiana General Assembly and the residents of the State of Indiana, whom they serve. To fulfill that role, ICHE collects data from our Institutional partners across the state to provide reports and make recommendations to both the Commission Members and the Indiana General Assembly. Our system for storing, analyzing, and processing this data (CHEDSS) is out-of-date and requires a re-architecture and evolution in order to secure our future ability to respond to the needs of a changing world, and to provide additional transparency and new insights on the data we have collected.

The scope of work is to create a new software platform that will (at a minimum) maintain the existing functionality of CHEDSS and allow CHE to expand upon that functionality without the weight of the current system's infrastructure and technical debt.

Primarily, users of the system will access the system in modern web browsers on desktops or laptop computers. Mobile is not a focus of the initial rollout. The users of the system are currently employees of ICHE or employees/designees of Indiana Institutions. Part of our intent it to build as much of the intelligence of how the system works into code, rather than storing it in documentation or in the brains of various ICHE employees. While the documentation (present and future) are still critically important to sustainable operations, there are multiple processes whose only documentation is the code itself.

There are 4 main functions that the current system provides.

Data Submission – Institutions upload several different datasets to CHEDSS in the form of csv files on an annual basis, which represent aggregate and record-level data about students attending their institutions. Data are validated for formatting and data quality as part of the ingestion process. As a part of this validation process, institutions receive file transmission summary results from the system (in the form of warnings and errors) and can resubmit files to correct these issues. The current CHEDSS system also provides aggregate submission reports that are viewable in the web portal to help institutions review and approve their data. Some ICHE staff have access to a submission status log in the web portal that allows ICHE staff to track and manage files submitted by institutions. The web portal directly connects to a Microsoft SQL Server database that stores the data.

Academic Affairs – Repository of the Academic Program Inventory offered at the institutions and their statuses and attributes (e.g. distance education). These programs go through a relatively standard process to be approved and to be added to the repository. Programs are re-evaluated on an ad-hoc basis and changes to the Academy Program Inventory are staged and submitted in CHEDSS upon approval by the Commission Members. ICHE staff have access to search and management features in the current web portal that allow users to search existing records in the Academic Program Inventory and to view a history of changes to Academic Program Inventory records. The current system also produces Program Review Reports, which are aggregate summary reports of program-level data to assist ICHE staff with reviewing academic programs.

Finance – Submission of aggregate Budget and Performance data is submitted by Institutions along with Projects that require capital expenditure. Once data have been submitted and verified, ICHE Finance staff generates a Budget Run (currently an Excel Workbook) that contains all information submitted by Institutions and ICHE staff and some generated/calculated values based on internal formulae. The Budget Run is the main artifact/tool used by ICHE to communicate the entire Higher Education budget for the State of Indiana. In addition to the Budget Run, ICHE staff also have access to view and download aggregate data that institutions and ICHE submit as a part of the budget process. The current system also produces some summary reports with financial data that are viewable and downloadable from the web portal.

Data Warehouse – Processed data are packaged and "warehoused" into a Data Warehouse database paradigm that is used directly by internal CHE employees to answer questions and conduct research. This data processing involves transformations of existing data from the Data Submission stage into a Microsoft SQL Server data warehouse/database environment for easier querying and access by CHE employees. At this time, it is not desired to significantly alter the structure of the processes undergirding the Data Warehouse. However, there are potential add-ons in the form of programmatic interfaces that could sit on top of the Data Warehouse that could further improve functionality and the use of data that are collected.

1.5.1.1 SYSTEM HIGH LEVEL USER STORIES

1. As an ICHE User, I need to be able to "impersonate" non-ICHE users seeing the system with the impersonated user's permissions so that I may assist and diagnose issues.
2. As an Administrative User, I need to be able to create/update/disable users in my context so that ICHE doesn't have to centrally administer user roles and permissions.
3. As a User, I need to authenticate with Two-Factor Authentication.
4. As the System(s), I need to be compliant with FERPA.

1.5.2 DATA SUBMISSION

Data Submission is a mission critical process for ICHE and where CHEDSS got its name. Our public and non-public institution partners supply data to us on an annual basis for us to use for research and reporting purposes. There are multiple data files required to be submitted by each Institution, and each contains either aggregate or record-level information on students at that Institution.

1.5.2.1 FILE SUBMISSION TYPES

Public Institutions are currently required to upload 5 different data sets to ICHE every year through the CHEDSS web portal. These are:

- **Fall Census Enrollment (FE) –** Aggregate-level submission desired to collect aggregated information about fall institutional census date enrollment. Submitted every year.
- **Student Profile (SP) –** Record-level submission per student containing demographic and directory information about the student. This file is used to obtain demographic information on students for research purposes and is also used to match students to the CHEDSS system and to track students in the CHEDSS system longitudinally. Submitted every year.
- **Credits (CR) –** Record-level submission per student containing term-level information about the student's enrollment characteristics and credits earned in various categories. Submitted every year. Student records must match to existing Student Profile records.
- **Degrees Conferred (DE) –** Record-level submission per student containing information about the students receiving a degree and the characteristics of the degree received. Submitted every year. Student records must match to existing Student Profile records.
- **Financial Aid (FA) –** Record-level submission per student containing information about financial aid (grants, loans, work study) provided to students to subsidize their education. Submitted every year. Student records must match to existing Student Profile records.

Currently, the system provides some different file layouts to non-public institutions (i.e. Private or For-Profit Institutions) in the state. These are the **Student Profile (PI)**, **Enrollment (EN)**, and **Degrees Conferred (DP)** layouts. These files collect similar information that is collected from the Indiana public colleges, but the files are often in a more truncated form (either in fewer fields being collected or less granular data being collected- i.e. year enrollment record rather than a term enrollment record).

A currently available, but less frequently used, submission type is the **Data Share (DS)** file. This data share file is defined to enable authorized users to obtain information necessary for audit and evaluation of state and federally funded programs. Authorized users upload student listing information (according to the DS layout), ICHE matches the data to the CHEDSS system, and ICHE returns output data back from the CHEDSS system to the authorized user. In order for the authorized user to be able to access the CHEDSS web portal, they must have a data share agreement on file with ICHE.

Once files are uploaded from any entity, the files need to be validated against a set of existing rules. This validation begins by the web application checking the formatting of the files. If the formatting of the files are successful, the files are directly loaded into tables in a Microsoft SQL Server database where the content and logic of the files are checking using Microsoft SQL Stored Procedures. Once a file goes through this validation process, users can see the success (or errors/warnings) of the files they have uploaded for processing.

The files are currently quite rigid in their requirements and we need to put some rules in place that allow the data to be a bit more flexible to cut down on simple formatting errors. For example, if a field is supposed to be a 4-digit number, and 3 digits are provided, we may be able to assume that the leading digit is a zero. If a particular data row fails a rule, the system needs to inform the user about the invalid data and how it can be corrected (if possible/knowable). The process should attempt to process all rows in the submitted file, even if all rows have similar failures.

ICHE invites user interfaces that allow more front-end flexibility to collect ad-hoc data sets and manage data submissions. Such functionality could include front-end user interfaces that allow ICHE users to create new file submission types, open data submissions, control data reporting periods, implement new data validations, etc. ICHE also invites user interfaces that create improved workflows across ICHE users.

See Appendix C documents for current layouts and definitions.

1.5.2.2 SUBMITTING DATA

The upload and validation process are ripe for improvement in both user experience and process. There are users at Institutions that submit the data, and then users at Institutions that approve the data. Once the data are approved from the Institution's standpoint, the data are placed into a holding area for ICHE review and analysis in a Microsoft SQL Server database environment.

A large "manual" process that CHE must go through during each Data Submission is Record Linking. This process requires the user to link student records from different schools (or existing school entries) to each other for tracking and data integrity reasons. This process must be completed before the data can be moved to the Data Warehouse for further incorporation and analysis. The matching is done with an existing probabilistic matching algorithm in the CHEDSS system to match student records. For student records that are not automatically matched through the matching algorithm, ICHE staff have the ability to manually match students through a Record Linking interface in the web portal. ICHE would not want to change the underlying probabilistic matching algorithm, but there could be ways to improve functionality and efficiency.

1.5.2.3 DATA SUBMISSION HIGH LEVEL USER STORIES

1. As an Institution Data Submitter, I need to be able to submit required data to ICHE for processing, validation, analysis, and warehousing.
2. As an Institution Data Submitter, I need to be able to review any data files my Institution(s) has submitted.
3. As an Institution Data Submitter, I need to be able to see and understand any errors or warnings for data files my Institution(s) has submitted.

4. As an Institution Data Approver, I need to be able to see the most recent data submitted by my Institution(s) to verify its accuracy/approve the data before it can be submitted to the Data Warehouse.
5. As an Institution Data Administrator, I need to be able to administer users and their permissions at my Institution(s).
6. As an ICHE Data User, I need to be able to pull reports from the Data Warehouse related to Data Submission data.
7. As an ICHE Data User, I need to be able to review any data files and their associated errors files that have been submitted.
8. As an ICHE Data User, I need to be able to do all the actions of an Institution Data Submitter, Institution Data Approver, and Institution Data Administrator so that redundant accounts aren't needed.
9. As an ICHE Data Administrator, I need to be able to configure the list of Institutions, Campuses, and users that are in the system that can submit and approve data.
10. As an ICHE Data Administrator, I need to be able to configure the currently available reporting periods.
11. As an ICHE Data Administrator, I need to be able to perform Record Linking on submitted data.
12. As an ICHE Data Administrator, I need to be able to do all of the actions of an Institution Data Submitter, Institution Data Approver, Institution Data Administrator, and ICHE Data User so that redundant accounts aren't needed.

1.5.3 ACADEMIC AFFAIRS

One of the responsibilities of the Academic Affairs department at ICHE is to manage each institutions Academic Program Inventory (API), which contains a list of academic programs (i.e. degrees) that the school is eligible to confer to its students and a set of attributes for those programs.

From a process perspective, changes to the Academic Program Inventory are initiated by the Institution, and then available to ICHE Staff for review. Based on the type of change, additional oversight and review may be necessary as part of existing offline processes, such as Commission Meetings. Specifically, new programs initiated by Public Institutions must go through a more rigorous process. Minor changes to programs can be pre-approved by initial ICHE staff and then presented to a sub-committee for approval in bulk. Once that sub-committee approves the changes, they can be fully submitted/completed.

1.5.3.1 ACADEMIC AFFAIRS HIGH LEVEL USER STORIES

1. As an Institution API Manager, I need to be able to submit changes to existing programs at my Institution(s).
2. As an Institution API Manager, I need to be able to get a report on available or historical programs at my Institution(s).
3. As an Institution API Manager, I need to be able to submit a new program at my Institution(s).
4. As an Institution API Administrator, I need to be able to do all the actions of an Institution API Manager so that redundant accounts aren't needed.

5. As an Institution API Administrator, I need to be able to administer users and their permissions at my Institution(s).
6. As an ICHE API User, I need to be able to do all of the actions of an Institution API Manager and Institution API Administrator so that redundant accounts aren't needed.
7. As an ICHE API User, I need to be able to get reports on available or historical programs.
8. As an ICHE API User, I need to be able to get reports on data warehouse data related to API entries (available or historical).
9. As an ICHE API Administrator, I need to be able to do all of the actions of an ICHE API User so that redundant accounts aren't needed.
10. As an ICHE API Administrator, I need to be able to pre-approve submitted changes/additions from Institution API Managers.
11. As an ICHE API Administrator, I need to finalize the approval of pre-approved submitted changes from Institution API Managers.
12. As an ICHE API Administrator, I need to get a well formatted printed version of the pre-approved API changes for inclusion in a separate document for the sub-committee meeting.
13. As the System, I need to be able to communicate Academic Program Inventory data to an external system (e.g. Credential Engine) on a regular basis so that external repositories are kept up-to-date with ICHE.

1.5.4 FINANCE

The Finance Team needs to prepare a budget proposal for the Indiana General Assembly every 2 years (i.e. the budget cycle). This is one of the most important process/outcome that the Finance Team at ICHE is responsible for.

The State of Indiana utilizes Performance Funding, which incentivizes Indiana Public Institutions around specific outcomes, and has reporting requirements for those institutions. Performance Funding incorporates data from the Data Submission Process to be completed and incorporated into the Data Warehouse before its process can begin. We then use this data to budget money for the Indiana Public Institutions based on their performance in pre-defined metrics.

Currently, there is a lot of configuration around how Performance Funding is put together and which Institutions see the data sets they need to report. All of this configuration has to be done at the code-level, and we'd like to see it abstracted away so that it can be configured in the UI of the system, and therefore modifiable by non-IT staff.

1.5.4.1 PERFORMANCE SCHEDULES

Every cycle, Institutions are required to provide aggregate data in a number of different categories. These data are pre-populated from existing data provided from the Data Submissions collected annually. Then Institution users are able to review the data and provide updated/corrected data if necessary. These updated data are only used for the preparation of the budget and do not change the underlying Data Warehouse data that are received from the Data Submission process. If data are corrected, institutions are required to provide a "data audit" or explanation for why the data are being corrected. Both the pre-populated value and the corrected value are saved and presented in the web portal and database for sufficient tracking and transparency.

There are currently 6 different Performance Schedules. Depending on the type of institution, specific schedules may not need to be completed.

- Overall Degree Completion
- At-risk Student Degree Completion
- At-risk Student Graduation Rate
- STEM Degree Completion
- Student Persistence Incentive
- On-time Graduation Rate

See Appendix D documents for Performance Schedules current school instructions and screenshots of the current interface.

1.5.4.2 BUDGET SCHEDULES

Every cycle, Institutions are required to provide financial metrics and enrollment data for their Institutions for prior years (actuals) and present/future years (estimates). These data are then incorporated into the Budget Run to be presented as our recommendation to the Indiana General Assembly.

There are 10 different Budget Schedules, but not all need to be filled out by the Institution (specifically Repair and Rehabilitation and Debt Schedules). Additionally, Executive Summary is a Budget Schedule that allows an Institution to upload a PDF document that becomes part of that institution's "Book", which is a summary of their Budget Schedules along with a PDF that contains whatever other information or documentation that the Institution would like to provide.

- General Operating Budget
- Other Funds Operating Budget
- Student Tuition and Fees
- Student Financial Aid
- Annual Student Headcount
- Annual Student FTE
- Line Item Appropriation Request
- Technical & High Priority Dual Credit
- Repair and Rehabilitation
- Executive Summary

Three budget schedules typically are pre-populated from data from the Data Submissions collected annually. These three schedules are: Annual Student Headcount, Annual Student FTE, and Technical and High Priority Dual Credit. As with the performance schedules, institutions must submit a "data audit" or explanation if they correct the pre-populated data.

See Attachment E documents for Budget Schedules current school instructions and screenshots of the current interface.

1.5.4.3 BUDGET RUN

The primary deliverable/output that the Finance Team at CHE uses CHEDSS for is the Budget Run. To build the Budget Run, several steps need to be completed, many of which require input from Public Institutions. These are encapsulated in the Performance Schedules and Budget Schedules.

During the Legislative session, CHE staff runs multiple Budget Run files with different parameters to account for scenarios that are requested. CHE acts as the steward of this process, and it is anticipated that only ICHE Finance users have the ability to configure and generate Budget Runs. These Budget Runs result in the web portal generating an Excel file spreadsheet based on the desired set of parameters. These parameters for the Budget Runs are able to be controlled and adjusted by ICHE staff through a user interface in the web portal. Some default parameters and data for the Budget Run interface are set/loaded by ICHE technical staff prior to legislative session.

An example of a Budget Run spreadsheet that is exported as a result of this current process can be found here: https://www.in.gov/che/files/CHE%202019-2021%20Budget%20Recommendation%20-%20Final.xlsx

See Attachment F for screenshots of the current interface.

1.5.4.4 BOOK GENERATION

For each Public Institution, we have the ability to generate a "Book" for their institution, which is essentially the PDF they supply via a Budget Schedule and a number of charts and system outputs appended together. Currently, the output is very functional in nature. It includes data tables of the submitted Performance and Budget Schedules and Capital Projects with narratives. We would like the system outputs to be more visually appealing, but still expect to generate this Book output in the future.

1.5.4.5 FINANCE HIGH LEVEL USER STORIES

1. As a College Finance Data Reporter, I need to be able to review and edit Budget and Performance Schedule data and submit changes.
2. As a College Finance Data Reporter, I need to see how the data from Data Submission resulted in the pre-populated data fields in the Budget and Performance Schedule data fields.

3. As a College Finance Data Reporter, I need to be able to submit a new Budget Line Item for my Institution(s) for consideration in the State Budget.
4. As a College Finance Data Reporter, I need to be able to edit an existing Budget Line Item for my Institution(s) under consideration in the State Budget.
5. As a College Finance Data Reporter, I need to review historical Performance and Budget Schedules for my Institution(s).
6. As a College Finance Data Reporter, I need to be able to submit a new Capital Project for my Institution(s) for consideration in the State Budget.
7. As a College Finance Data Reporter, I need to be able to edit an existing Capital Project for my Institution(s) under consideration in the State Budget.
8. As a College Finance Data Approver, I need to be able to do all of the actions of a College Finance Data Reporter so that redundant accounts aren't needed.
9. As a College Finance Data Approver, I need to be able to review and edit Budget and Performance Schedule data submitted by College Finance Data Reporter users prior to CHE use.
10. As a College Finance Administrator, I need to be able to do all of the actions of a College Finance Data Reporter and College Finance Data Approver so that redundant accounts aren't needed.
11. As a College Finance Administrator, I need to be able to administer users and their permissions at my Institution(s).
12. As an ICHE Finance User, I need to be able to submit a new Budget Line Item for ICHE for consideration in the State Budget.
13. As an ICHE Finance User, I need to be able to edit an existing Budget Line Item for ICHE for consideration in the State Budget.
14. As an ICHE Finance User, I need to be able to configure and generate a Budget Run so that I can analyze it.
15. As an ICHE Finance User, I need to be able to generate the Book for each Institution so that it can be presented.
16. As an ICHE Finance User, I need to be able to generate reports on submitted data so that I analyze the information. This includes being able to view the performance and budget schedules that all institutions and ICHE users submit.
17. As an ICHE Finance User, I need to be able to do all the actions of a College Finance Data Reporter, College Finance Data Approver, and College Finance Data Administrator so that redundant accounts aren't needed.
18. As an ICHE Finance Administrator, I need to be able to do all the actions of a College Finance User so that redundant accounts aren't needed.
19. As an ICHE Finance Administrator, I need to be able to configure the currently available reporting periods for Performance Schedules and Budget Schedules separately so that I can control the flow and workflow of data.
20. As an ICHE Finance Administrator, I need to be able to set a specific Budget Run as the "As Passed" budget run to be used in future calculations.

1.5.5 DATA WAREHOUSE

At the heart of current CHEDSS is our Data Warehouse. This is where all the data we receive are ultimately stored for use in reporting, research, and analysis. At this time, it is not desired to significantly alter the structure of the processes undergirding the Data Warehouse. However, there are potential add-ons in the form of programmatic interfaces that could sit on top of the Data Warehouse that could further improve functionality and the use of data that are collected.

There should be a programmatic interface on top of the Data Warehouse that allows it to be accessed by other applications (including applications developed as part of this RFP scope). This interface should pull and push information from other applications to a holding area to be accessed by the Data Warehouse. Data will be pushed to this holding area so that it can be incorporated into the Data Warehouse on the schedule required by the Policy & Research Team. The interface could have built-in loading processes with error catching and warnings based on determined criteria. In addition, ICHE is interested in interfaces that could sit on the Data Warehouse that could act as a platform for posting internal/external reports and dashboards. This could increase the use and visibility of the data that are collected and processed.

1.5.5.1 DATA WAREHOUSE HIGH LEVEL USER STORIES

1. As the CHE Data Warehouse, I need to provide reporting capabilities to other ICHE applications that need data from me.
2. As the CHE Data Warehouse, I need to accept incoming data from other CHE applications and store it for manual incorporation into the Data Warehouse tables.

1.5.6 PROPOSED/SUGGESTED SYSTEM ARCHITECTURE

An architecture that we have internally coalesced around splits the functionality of the current CHEDSS system into 4 discrete applications, one for each function. These separate applications will communicate with each other programmatically to send and retrieve appropriate data from each other. This isn't a prescription to use this architecture, just our initial thoughts and we would welcome alternate architecture/designs or changes/modifications to this architecture.

1.5.7 STAKEHOLDER ENGAGEMENT AND DOCUMENTATION

As part of the solicitation of functional requirements for this scope of work, it is expected that the solution include engagement with internal (ICHE) and external (partner institutions) stakeholders to build and define the requirements of the system.

Respondent should plan and develop an engagement strategy, especially for external stakeholders.

1.5.8 NON-FUNCTIONAL REQUIREMENTS

During the engagement, an ICHE developer will be “embedded” within the vendor’s team to ensure that the solution is being architected and built in alignment to current ICHE technology practices and standards. This will also ensure that knowledge is transferred and maintained from a technical and architectural viewpoint.

At the conclusion of the engagement, ICHE expects to take ownership of primary development and support of the application(s) and all code/assets will be property of the State of Indiana and ICHE. There should be a planned transitional period where the transfer is managed and facilitated between the two teams.

ICHE strongly prefers a solution written in C# and .NET Core with a Microsoft SQL Server database. This will align with our other internal applications and allow our internal development team to move between systems with less friction. Insofar as a Javascript framework is concerned, we are open to recommendations and suggestions for an appropriate framework to use for this application.

Unit tests should be delivered as part of the codebase and should meet a minimum of 90% coverage with **critical codepaths** at 100% coverage. Technical and business-level documentation should also be delivered as part of each deliverable. Secure coding practices should be followed and an independent third-party application test should be planned prior to production release.

1.6 RFP OUTLINE

The outline of this RFP document is described below:

Section	Description
Section 1 - General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP.
Section 2 - Proposal Preparation Instructions	This section provides instructions on the format and content of the RFP including a Cover Letter, Business Proposal, and a Cost Proposal.
Attachment A	M/WBE Participation Plan Form
Attachment A1	IVOSB Participation Plan Form
Attachment B	Q&A
Attachment C	Current CHEDSS File Format Documentation
Attachment D	Current CHEDSS Performance Schedule Documentation
Attachment E	Current CHEDSS Budget Schedule Documentation
Attachment F	Current CHEDSS Budget Run Screenshots/Interface

1.7 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted in writing by the deadline of June 5, 2019 at 5:00pm Eastern Time. Questions/inquiries must be submitted in Attachment B, Q&A Template, via email to mhawryluk@che.in.gov and must be received by the time and date indicated above.

Following the question/inquiry due date, the Q&A document will be posted to the Commission's website. If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for proposals, an addendum will be posted to the website as well. The Commission may extend the due date and time of proposals to accommodate such additional information requirements, if required.

1.8 DUE DATE FOR PROPOSALS

All proposals must be received at the email address in section 1.9 below no later than the Response Due Date listed below. Responses are limited to no more than 20 pages, excluding appendices, and must include description of the entity interested in providing the services, including:

- Cover Letter
- Business Proposal
- Cost Proposal & Timeline
- Appendices (if necessary)

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Key RFP Dates

Activity	Date
Issue of RFP	May 22, 2019
Deadline to Submit Written Questions	June 5, 2019
Response to Written Questions/RFP Amendments	June 18, 2019
Submission of Proposals	July 3, 2019

Short-List Determination & Presentation Invites Sent	July 10, 2019
Presentations Complete	July 26, 2019
Vendor Selection Complete	July 31, 2019

No more than one proposal per Respondent may be submitted.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

1.9 COMMUNICATION WITH THE COMMISSION

All communication, including responses, questions concerning the services being sought, or the response requirements, should be directed to:

mhawryluk@che.in.gov
317-232-2797

1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date. Any attempt to manipulate the format of the document, attach caveats to pricing, or submit pricing that deviates from the current format will put your proposal at risk. If the proposal is accepted, the pricing must remain firm during the term of the contract unless the scope of work required by the Commission changes.

1.11 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFP file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must indicate so in the Cover Letter. Confidential Information must also be clearly marked. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

There are certain public records which are excepted from the Access to Public Records Act. A list of these items can be found at IC 5-14-3-4.

1.12 TAXES

Proposals should not include any tax from which the State is exempt (IC 6-2.5-5-16).

1.13 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State (IC 5-22-16-4). The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit organizations, and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana
Corporation Division
402 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576
www.in.gov/sos

1.14 PAYMENTS

All payments will be 35 days in arrears and via ACH/electronic deposit from the Indiana Auditor of State's office. Invoices must detail expenses and charges in accordance with any purchase orders issued; total payment shall not exceed accepted bid amount. Prior to being paid, vendors must submit a W9 and Direct Deposit form which can be found at the following link: http://www.in.gov/auditor/2340.htm.

1.15 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to setoff such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof such as payment to the State.

1.16 CONFLICT OF INTEREST

Any person, firm or entity that assisted with and/or participated in the preparation of this RFP document is prohibited from submitting a proposal to this specific RFP. For the purposes of this RFP "person" means a state officer, employee, special state appointee, or any individual or entity working with or advising the State or involved in the preparation of this RFP proposal. This prohibition would also apply to an entity who hires, within a one-year period prior to the publication of this RFP, a person that assisted with and/or participated in the preparation of this RFP.

1.17 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, Executive Order 13-04 and IC 5-22-14-3.5, it has been determined that there is a reasonable expectation of minority, woman, and Indiana veteran business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore, a contract goal for Minority Business Enterprises, Woman Business Enterprises, and Veteran Business Enterprises have been established and all respondents submitting a MWBE or IVOSB Subcontractor Commitment Form will be expected to comply with the regulation set forth in 25 IAC 5, Executive Order 13-04 and IC 22-14-3.5.

Failure to address these requirements may impact the evaluation of your proposal.

1.18 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITMENT (MWBE)

In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a Minority & Women's Business Enterprises RFP Subcontractor Commitment Form. The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women's Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at http://www.in.gov/idoa/2352.htm.

If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety. The amount entered in "TOTAL BID AMOUNT" should match the amount entered in the Cost Proposal.

Failure to meet these goals will affect the evaluation of your Proposal. The Commission reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

Prime Contractors must ensure that the proposed subcontractors meet the following criteria:

- Must be listed on the IDOA Directory of Certified Firms, **on or before** the proposal due date.
- Prime Contractor must include with their proposal the subcontractor's M/WBE Certification Letter provided by IDOA, to show current status of certification.
- Each firm may only serve as one classification – MBE, WBE, or IVOSB (see section 1.18).
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.

- **Must serve a Commercially Useful Function (CUF). The firm must serve a value-added purpose on the engagement, as confirmed by the State.**
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at http://www.in.gov/idoa/2352.htm.
- Must be used to provide the goods or services specific to the contract.
- National Diversity Plans are generally not acceptable.

MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR LETTER OF COMMITMENT (MWBE)

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project, and approximate date the subcontractor will perform work on this contract. The State may deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount, subcontract amount as a percentage of the "**TOTAL BID AMOUNT"** and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State's M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women's Business Enterprises Division at (317) 232-3061 or http://www.in.gov/idoa/2352.htm.

1.19 INDIANA VETERAN OWNED SMALL BUSINESS SUBCONTRACTOR COMMITMENT (IVOSB)

In accordance with Executive Order 13-04 and IC 5-22-14-3.5, it has been determined that there is a reasonable expectation of Indiana Veteran Owned Small Business subcontracting opportunities on a contract awarded under this RFP. The IVOSB Subcontractor Commitment Form is to be submitted alongside the Respondent's proposal. The Form must show that they are participating in the proposed contract and IVOSB firms that meet the requirements listed at the Veteran's Business Program website (http://www.in.gov/idoa/2862.htm).

If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety. The amount entered in "**TOTAL BID AMOUNT**" should match the amount entered in the Cost Proposal.

Failure to address these goals may impact the evaluation of your Proposal. The Department reserves the right to verify all information included on the IVOSB Subcontractor Commitment Form.

Prime Contractors must ensure that the proposed IVOSB subcontractors meet the following criteria:

- Must be listed on Federal Center for Veterans Business Enterprise (VA OSDBU) registry or listed on the IDOA Directory of Certified Firms, **on or before** the proposal due date.
- Prime Contractor must include with their proposal the subcontractor's veteran business Certification Letter provided by either IDOA or Federal Govt. (VA OSDBU), to show current

status of certification.

- Each firm may only serve as one classification – MBE, WBE (see Section 1.17) or IVOSB.
- IVOSB must be registered with the Secretary of State (see section 2.3.2).
- A Prime Contractor who is an IVOSB must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- **Must serve a Commercially Useful Function (CUF). The firm must serve a value-added purpose on the engagement, as confirmed by the State.**
- Must provide goods or service only in the industry area for which it is certified as listed in the VA OSDBU or IDOA Certified Firm directories http://www.in.gov/idoa/2352.htm.
- Must be used to provide the goods or services specific to the contract.

INDIANA VETERAN OWNED SMALL BUSINESS RFP SUBCONTRACTOR LETTER OF COMMITMENT

A signed letter(s), on company letterhead, from the IVOSB must accompany the IVOSB Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the IVOSB of its subcontract amount, a description of products and/or services to be provided on this project, and approximate date the subcontractor will perform work on this contract. The State reserves the right to deny evaluation points if the letter(s) is not attached. The State may deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount, subcontract amount as a percentage of the "**TOTAL BID AMOUNT"** and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the policies and processes involving the State's IVOSB Program. Questions involving the regulations governing the IVOSB Subcontractor Commitment Form should be directed to: indianaveteranspreference@idoa.in.gov.

1.20 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq*. and 47 U.S.C. 225).

SECTION TWO
PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All respondents are required to format their proposals in a manner consistent with the guidelines described below.

- Each item must be addressed in the Respondent's proposal.
- The Cover Letter must be in the form of a letter. The Business Proposal must be organized under the specific section titles as listed below.
- The electronic copies of the proposal should be organized to mirror the sections below and the attachments.
- Please submit all attachments in pdf format.
- Confidential information must also be clearly marked in a separate folder/file.

2.2 COVER LETTER

The Cover Letter must address the following topics.

2.2.1 AGREEMENT WITH REQUIREMENT LISTED IN SECTION 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

2.2.2 SUMMARY OF ABILITY AND DESIRE TO SUPPLY THE REQUIRED PRODUCTS OR SERVICES

The Cover Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section 1.5 of this RFP. The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

2.2.3 SIGNATURE OF AUTHORIZED REPRESENTATIVE

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.2, must sign the Cover Letter. **In the Cover Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.**

2.2.4 RESPONDENT NOTIFICATION

Unless otherwise indicated in the Cover Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Commission of any changes in any address that may have occurred since the origination of this solicitation. The Commission will not be held responsible for incorrect vendor/contractor addresses.

2.2.5 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.* (see section 1.11).

Provide the following information:

- List all documents where claiming a statutory exemption to the APRA;
- Specify which statutory exception of APRA that applies for each document;
- Provide a description explaining the manner in which the statutory exception to the APRA applies for each document.

2.3 BUSINESS PROPOSAL

2.3.1 TERMS

Funding for this project will come from state funds. Vendors must be able to agree to the terms and conditions of the Commission's standard Professional Services Agreement. All payments will be 35 days in arrears and via ACH/electronic deposit from the Indiana Auditor of State's Office. Invoices must detail expenses and charges in accordance with any purchase orders issued; total payment shall not exceed the accepted bid amount. Any and all travel reimbursed via this contract will be subject to the reimbursement rates in the State Travel Policy (vendors should review it on the following website http://www.in.gov/idoa/2459.htm).

2.3.2 REGISTRATION TO DO BUSINESS

Vendors must be registered, and be in good standing, with the Indiana Secretary of State (IC 5-22-16-4). Vendors may do so at http://www.in.gov/sos/business/3648.htm.

2.3.3 REFERENCES

The Respondent must include a list of at least 3 clients for whom the Respondent has provided products and/or services requested in this RFP. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information.

2.3.4 SUBCONTRACTORS

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the Business Proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority, Women, or Veteran Owned Business under IC 4-13-16.5-1 and Executive Order 13-04 and IC 5-22-14-3.5. See Sections 1.18, 1.19 and Attachments A/A1 for Minority, Women, and Veteran Business Information.

2.3.5 CONTACT INFORMATION

Provide company's contact information and any other general information necessary.

2.3.6 SIMILAR WORK EXPERIENCE

Please describe your company's experience in serving clients of a similar size to the State that also had a similar scope. Please provide specific clients and detailed examples. A description of the most complex project your company has worked on and your role in that project will be helpful.

2.3.7 COMPANY'S TECHNICAL INFORMATION

Please provide any information about your company that will allow the Commission to evaluate the technical aspects proposed by your company as it relates to fulfilling the Scope of Work (Section 1.5) for the service(s) needed by the agency. Please also provide any certifications or qualifications that are required per Section 1.

2.3.8 ENGAGEMENT STRATEGY

Please provide any information about how you plan to engage with Internal and External Stakeholders, and what ICHE's and your responsibilities will be during these engagement(s). This should include timelines and required personnel from both teams.

This should include both requirements gathering processes and implementation/development processes. Please provide details on what regular meetings (e.g. Sprint Meetings) would be required, which SDLC process will be followed (e.g. Agile, Waterfall), and what the pre-conditions and post-conditions of each of these meetings will be. Define your company's strategies for Project Management (including Risk/Issue Management and Escalation).

2.3.9 PROPOSED SYSTEM ARCHITECTURE

Please provide a high-level system architecture of your proposed solution. Diagrams with supporting copy/text would be useful in understanding/evaluating the architecture.

2.4 COST PROPOSAL & TIMELINE

Please provide a brief narrative in support of each item requested in Summary Scope of Work. The narrative should include Respondent's proposed costs and should be focused on clarifying how the Commission's proposed prices (if provided) correspond directly to the Respondent's proposed costs.

The proposal should include milestones and timelines for major requirements, development, release, and training deliverables. We are planning/expecting to have the Finance portion of the system ready for production use by July 1, 2020 for generation of 2021-2023 Budget Runs.

2.5 EVALUATION

Evaluation of the proposal will be based on the chart below. For detailed information on the evaluation process, please reference the Proposal Evaluation Procedures listed on the Commission's website at the following link: http://www.in.gov/che/3171.htm.

Once each proposal is scored, a short-list will be created of potential vendors that will be asked to present their proposal and answer questions from the ICHE staff. During this presentation, it will be critical to have the team that will be working on the project to be present so that ICHE staff can properly evaluate the team that would be working on the project.

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Proposal Document Proposed Solution Engagement Strategy Technical Capability Proposal Cost/Value/Timeline	**70 available points**
3. Presentation	**15 available points**
5. Minority Business Enterprise Subcontractor Commitment (*not required for RFP submission)*	**5 points** (1 bonus point is available, see Section 1.18)
6. Women Business Enterprise Subcontractor Commitment (*not required for RFP submission)*	**5 points** (1 bonus point is available, see Section 1.18)
7. Indiana Veteran Business Enterprise (IVOSB) Subcontractor Commitment (*not required for RFP submission)*	**5 points** (1 bonus point is available, see Section 1.19)
Total	**100 (103 if bonus awarded)**

The Commissioner of the Commission for Higher Education or their designee will, in the exercise of their sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

-- End of Request for Proposal --