Contract Number *(VA-210625-CAI)*

Contents

[**[STATEMENT OF REQUIREMENTS (SOR)](#_Toc283151016)** [2](#_Toc283151016)](#_Toc87357574)

|  |
| --- |
| **STATEMENT OF REQUIREMENTS (SOR)** **SOR # *Authorized User-yymmdd-01-*CAI**  ***(Project Name)* IV&V** |

**Note:** To complete the Statement of Requirements (SOR) template, replace all italicized text *(italicized text)* with the requested information, complete information tables as requested, and, for questions with a check box, double-click the appropriate check box, and click on “Checked” to insert an “X” next to the selection that reflects Authorized User’s requirement.

1. **Date:** (*Month, Day, 202X*)
2. **Authorized User**: (*Agency or Organization Name*)
3. **Authorized User Contact Information:**

*(Authorized User Point of Contact, Title)*

*(Street Address)*

*(City, State, Zip)*

Phone: (*Telephone Number*)

E-mail: *(E-mail address)*

PLEASE NOTE: ALL questions related to this SOR should be directed to the CAI Account Manager. Suppliers may NOT contact the Authorized User.

1. **Solicitation Schedule:**

*(Enter the dates for each solicitation event below. For small to medium sized projects, allow a minimum of 2 weeks response after Authorized User responds to Supplier questions. For large or complex projects, provide 3-4 weeks response time after Authorized User responds to questions. Estimated project start date should be 10 to 14 business days after award decision to ensure adequate time to execute contracts, complete required background checks, and get a Purchase Order in place.)*

|  |  |
| --- | --- |
| **Event** | **Date** |
| Release SOR | (*mm/dd/yyyy*) |
| Supplier Questions Due to CAI | *(mm/dd/yyyy)* |
| Authorized User Responds to Questions | *(mm/dd/yyyy)* |
| Supplier Response Due | (*mm/dd/yyyy)* |
| Award Decision | (*mm/dd/yyyy*) |
| Estimated Project Start Date | (*mm/dd/yyyy*) |

1. **Evaluation and Scoring**

Supplier’s Response must be submitted in the specified Statement of Work (SOW) format and will be evaluated for format compliance.

Supplier’s Response will be evaluated for technical merit based on its appropriateness to the performance of Authorized User’s requirements, its applicability to the environment, and its effective utilization of Supplier and Authorized User resources.

*(Include any additional evaluation and scoring criteria that will be used).*

1. **Project/Service: (***Project Name, IV&V*)
2. **Specialty Area** (Check one)**:**

|  |  |
| --- | --- |
| Application Development | Information Security |
| Business Continuity Planning | IT Infrastructure |
| Business Intelligence | IT Strategic Planning |
| Business Process Reengineering | Project Management |
| Enterprise Architecture | Public Safety Communications |
| Enterprise Content Management | Radio Engineering Services |
| Back Office Solutions | **IV&V Services** |
| Geographical Information Systems |  |

1. **Contract Type** (Check)**:**

Fixed Price, Deliverable-based

1. **Introduction:**

Project History

*(Brief history of the project, description of the current situation, background of the business situation, architecture, technical environment, etc.)*

Business Need

*(Define the IV&V Reviews required under this SOR)*

Project Complexity

*(Authorized User’s determination of complexity and risk)*

IT Project Management and Organizational Structure

*(Description of project’s management and oversight structure)*

1. **Scope of Work:**

This Statement of Requirements (SOR) defines the IV&V Review Services required by the Authorized User in support of the (*Project Name*) Project. This definition includes the periodic nature of the IV&V Reviews and a description of the IV&V tasks to perform during the course of each review. The IV&V Review of the (*Project Name*) Project is not to be a continuous, integral process within the project itself. Rather, it is a periodically performed, adjunct activity that does not fall within the day-to-day managerial oversight or control of the (*Project Name*) Project Management Team. Respondents to this Statement of Requirements (SOR) should not view their role as providing a “continuous presence” within the (*Project Name*) Project, such as might be the case with Quality Control and Assurance services.

The following table details the Commonwealth’s standards for the required minimum IV&V Reviews:

| Task | Deliverable | Time Period |
| --- | --- | --- |
| Develop an IV&V Review Plan | IV&V Review Plan | To be completed within 15 business days from the date the IV&V Service. Provider is notified of IV&V Task Order approval. |
| Conduct In-Progress IV&V Review(s) | In-Progress IV&V Review Report(s) | Category 1, 2 and 3 Projects: First IV&V in first 6 months; then annual IV&V if project is > 12 months in duration.  If testing is a component of the high complexity project, then a System and Acceptance Test Planning and Execution IV&V Review and Report are required prior to product implementation.  At a minimum, one in-progress review during project execution. Projects with schedules that are > 18 months duration will schedule semi-annual reviews.  Category 4 Projects: In-Progress IV&V Reviews are not required. |

For this SOR, the Authorized User is requesting the following IV&V reviews: *(check all that apply)*

One (1) In-Progress IV&V Review

Two (2) In-Progress IV&V Reviews

More than two In-Progress Reviews *(explain)*

The In-Progress Review(s)  WILL or  WILL NOT require a System Acceptance Test Planning and Execution IV&V Review and Report

The Supplier will provide detailed, structured reports of findings of deficiencies and recommendations for their remediation to the Project Sponsor and the Project Management Division (PMD) of the Virginia Information Technologies Agency (VITA). The Project Sponsor will distribute copies of the reports to the Internal Agency Oversight Committee (IAOC) and Project Manager; PMD will distribute copies to the (*Secretariat Name*) Oversight Committee, the Commonwealth Chief Information Officer (CIO) and Secretary of Technology (SoTech) as required or requested. In addition, the Supplier will make presentations to the IAOC as requested; the PMD will forward copies of such presentations to the (*Secretariat Name*) Oversight Committee, the CIO and Secretary of Technology.

The Supplier will provide periodic, independent analyses of the IV&V Review Areas identified in Attachment 1 by accomplishing the corresponding IV&V Task Items identified in Attachment 2. These analyses will serve to identify, inform and educate the project team, and the various oversight agencies, committees and boards of any areas of weakness and risk to the project, as well as the proposed and recommended solutions for their remediation and/or mitigation of any project risks. Reports and presentations will address technical, financial, and managerial aspects of the project at specified critical milestones

For each IV&V Review Area evaluated, the IV&V Review Report should contain the status of the (*Project Name*) Project, including any pertinent historical background information. The report should also contain a detailed analysis of each applicable IV&V Review Area, which answers the following questions:

* What are the current processes, procedures, practices and technology?
* What is good about the current processes, procedures, practices and technology?
* What about the current processes, procedures, practices, and technology needs

improvement?

* Is there measurable progress since the last IV&V Review?
* Is the project within established budget, schedule and performance parameters?
* What standard is the development organization following (Commonwealth, industry best practice (IEEE, SEI, ISO, etc.), internal agency, contractor)?
* Is the project documentation accurate and up-to-date?

The Supplier should quantify responses to the above questions whenever possible. The IV&V Review Report should contain findings, both positive and negative. The IV&V Review Report should also contain detailed recommendations in each IV&V Review Area specifying what Authorized User and/or (*Development Organization Name*) can do immediately and in the long term to improve the success probabilities of the project. Any technologies, methodologies, or resources recommended should reflect industry “best practices” and be appropriate for the unique circumstances and constraints of the (*Project Name*) Project. The recommendations should also specify a method of measuring progress against the recommendations.

The In-progress IV&V Review Report(s) should also contain any additional and/or modified recommendations at the same level of detail as the initial recommendations, if applicable. All findings and recommendations should be traceable (with a clear and consistent method of identification/numbering) from the time first reported by the Supplier until closure. The Supplier should provide details specifying what Authorized User and/or (*Development Organization Name*) is doing that can be recommended as a best practice for the Commonwealth.

Where applicable, the IV&V Review reports should be prepared consistent with the template provided as Attachment 3. When the template is not applicable, the Project Sponsor must approve the methodology and processes used in the analysis and preparation of the report prior to its use and the Supplier should provide a description of the methodology and processes in the final deliverable. All IV&V Review related standards, processes, procedures, plans, and applicable reference material should be available upon request.

The Supplier will deliver final copies of all deliverables simultaneously to the Project Sponsor and to the PMD per the delivery schedule provided in the Milestone and Deliverable Chart in Section 14 of this SOR.

1. **Period of Performance:**

Implementation of the solution will occur within *(XX)* months of execution of this SOW.

1. **Place of Performance** (Check one)**:**

Authorized User’s Location

Supplier’s Location

Authorized User’s and/or

Supplier’s Location (see explanation below)

*(Define whether the work can be delivered remotely or whether the Authorized User will require onsite work. If a hybrid model is selected, provide specific details on when Supplier will be required to be onsite and/or what activities will be required to be performed at the Authorized User versus Supplier locations.)*

1. **IV&V Review Staffing**
2. **Supplier Personnel**

The roles listed in the table below represent the minimum Supplier personnel requirements for this engagement.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Role** | **Key Personnel (Y/N)** | **Years of Experience** | **Certifications** | **References Required (Y/N)** |
| IV&V Reviewer | Y | 3-7 | PMP | Y |
|  |  |  |  |  |
|  |  |  |  |  |

PLEASE NOTE: The use of offshore resources for any SOW is prohibited.

1. **Authorized User Staff**

The roles listed in the table below represent Authorized User’s staff and the estimated time each will be available to work on the project.

|  |  |  |
| --- | --- | --- |
| **Role** | **Description** | **% Project Availability** |
|  |  |  |
|  |  |  |
|  |  |  |

Respondents to this SOW must include the experience and skills of representative personnel who the respondent would propose as members of the IV&V Team. The Supplier and Authorized User agree that qualified and experienced personnel are critical to the performance of an IV&V Review and that they will not be removed from this task without prior approval from the Authorized User and that Authorized User will have the right of refusal for any personnel assigned to the IV&V Team. After task award, the Supplier shall secure written approval from Authorized User prior to making any changes in IV&V Team personnel. The Supplier will notify Authorized User, in writing, of any changes in the personnel assigned to the IV&V Team. The qualifications of new personnel should be comparable with those of the replaced personnel. After task award, Authorized User may request replacement of IV&V Team personnel. Such requests will be in writing.

Respondents to this SOW must include the experience and skills of representative personnel who the respondent would propose to perform an IV&V Review of an IT project. These personnel must have a minimum of thirty-six (36) months cumulative experience within the past seven (7) years performing the duties necessary to complete one or more phases (e.g., project management, planning, development, testing, implementation) of a full system, product or service development lifecycle. At least 50% of the IV&V Team Members must have a minimum of twenty-four (24) months cumulative experience within the past seven (7) years performing audit level IV&V reviews. At least one IV&V Team Member must have a Project Management Professional (PMP) Certification.

At a more detailed level, the IV&V Team personnel must collectively demonstrate the knowledge and experience to:

* Review the technical, financial and management aspects of the project in relationship to the project management policies, standards and guidance of the Commonwealth of Virginia.
* Analyze project management; Work Breakdown Structure development and execution, schedule development and execution, resource planning and management, budget formulation and execution, workflow management and reporting, progress tracking.
* Review and analyze project management planning documents; e.g., Project Plan Executive Summary, Project Performance Plan, Work Breakdown Structure, Resource Plan, Project Schedule, Budget Plan, Procurement Plan, Risk Management Plan, Communications Plan, Change and Configuration Management Plan, Quality Management Plan.
* Review and analyze project, product development documents; e.g., Project Status Reports; Change Control Requests; Issue Log; and Issue management documentation.
* Review and monitor development processes, procedures and practices to ensure they are documented, implemented, and analyzed for improvement.
* Assess the project’s Configuration Management function by reviewing CM reports and making recommendations regarding appropriate processes and tools to manage product changes.
* Assess the project’s Quality Management function by reviewing QM reports and making recommendations regarding appropriate processes, procedures, practices and tools to assure product quality.
* Assess the project’s Risk Management function by reviewing RM reports and making recommendations regarding appropriate processes, procedures, practices and tools to manage product planning, development, and implementation risks.
* Perform a detailed review of project deliverables and acceptance criteria for accuracy, completeness, and adherence to contractual and functional requirements.
* Perform a detailed review of the product documentation (Requirements, Design, Training, Test, and Management Plans, etc.) for accuracy, completeness, and currency.
* Perform a detailed review of the product architecture for feasibility, consistency, and adherence to industry, Federal or Commonwealth standards.
* Inventory and review application software, for completeness and adherence to programming standards for the project.
* Analyze application, network, hardware and software operating platform performance characteristics relative to expected/anticipated/contractually guaranteed results and industry standards.
* Review the processes, procedures and practices used within the project for tracking business and technical requirements to their source and review the processes, procedures and practices established during the planning phase for requirements traceability throughout the subsequent development and implementation phases. Review the traceability of product requirements through the design, development, testing, and training tasks of the project.
* Assess and recommend improvement, as needed, to assure the planned operations and maintenance performance of the product.
* Assess and recommend improvement, as needed, to assure product testing is being performed adequately through review of test plans or other documentation and through direct observation of testing where appropriate.
* Assess and recommend improvements, as needed, to assure appropriate user and developer training is planned and accomplished.
* Review product hardware and software configurations and report on any compatibility and obsolescence issues.
* Review and analyze product performance studies to determine if the product is performing as planned.
* Effectively document IV&V Review findings and recommendations, observed best practices and captured lessons learned.

It is desired that each IV&V Team Member possess the following:

* A minimum of 4,000 hours experience within the past ten (10) years in risk assessment and mitigation strategy/technique development. The hours of experience do not need to be continuous.
* A minimum of 14,000 hours experience development experience within the past fifteen (15) years in the full system, product or service development lifecycle. The hours of experience do not need to be continuous.

It is desirable that at least one IV&V Team Member have:

* A minimum of one (1) previous engagement managing an IV&V review whose scope included meeting Federal or State administrative and technical regulations.
* At least 10,000 hours experience within the past seven (7) years in the technical environment employed by the project. The hours of experience do not need to be continuous.

1. **Milestones and Deliverables:**

The minimum required milestones and deliverables and the estimated completion date for each deliverable are listed in the following table.

*(Modify the milestones and deliverables in the table as necessary to reflect the requirements of this specific SOR)*

| **Milestone Event(S)** | **Deliverable** | **Estimated Completion Date** |
| --- | --- | --- |
| Develop IV&V Plan | IV&V Plan | (*Date*) |
| Conduct In-Progress IV&V Review(s) | In-Progress IV&V Review Report(s) | (*Date*) |
| Conduct Test Planning and Execution IV&V Reviews | Test Planning and Execution IV&V Review Report | (*Date*) (if not coincident with the delivery of one of the In-Progress IV&V Review Reports) |
| Prepare and deliver presentations to IAOC | Formal presentations on each Review Report | To coincide with reports and as required, with at least ten (10) business-day notice. |

The Project Sponsor reserves the right to extend the due date of any deliverable if appropriate, due to document size, schedule or changes in scope. The Supplier must notify the Project Sponsor of any anticipated delay of a deliverable, as far in advance of the due date as possible.

The Supplier should provide all deliverables in hardcopy form and in electronic form, using the following software standards (or lower convertible versions):

|  |  |
| --- | --- |
| **Deliverable Type** | **Format** |
| Text Document | Microsoft Word 2007 |
| Spreadsheets | Microsoft Excel 2007 |
| Presentation | Microsoft PowerPoint 2007 /  Visio 2007 (standard) |
| Project Management | Microsoft Project 2007 (standard) |

1. **Travel Expenses**

Supplier travel expenses, if required, must be included in the total fixed price of the solution

1. **Payment** (Check all that apply)**:**

Payment made based on successful completion and acceptance of deliverables

All payments, except final payment, are subject to a *(XX)*% holdback

1. **Acceptance Criteria:**

The Project Sponsor will accept or reject the individual IV&V Review Reports and Presentations. The Supplier will provide draft reports and presentations to the Project Sponsor prior to release of the final versions. The Project Sponsor cannot approve, modify, or reject a report prior to submission but may provide comments and feedback on drafts within five (5) business days of receipt of a draft. The Supplier will submit final draft reports to the Project Sponsor for final deliverable acceptance. The Project Sponsor will review and return comments within five (5) business days of receipt of each final draft report. The Supplier will then submit final reports within two (2) business days.

The Project Sponsor shall not unduly withhold acceptance of deliverables. The Project Sponsor must approve all deliverables. In all cases, payment to the Supplier will be contingent upon the Project Sponsor approval of each deliverable. No IV&V Review will be complete until the Project Sponsor has received and approved all review-related documentation. The Project Sponsor will have five (5) days from receipt of the final deliverable to provide Supplier with the signed Acceptance Receipt.

Each respondent to this SOW must include a description of the actions it will take to produce the deliverables and obtain approval. The Project Sponsor must approve, in writing, changes to milestones, deliverables or other material changes to the task order prior to implementation of any changes.

1. **IV&V Review Roles and Responsibilities:**

*(Use this chart to clearly define the Authorized User versus Supplier responsibilities/tasks.)*

| **Responsibility Matrix** | **Supplier** | **Authorized User** |
| --- | --- | --- |
| *(Responsibility 1)* |  |  |
| *(Responsibility 2)* |  |  |
| *(Responsibility 3)* |  |  |

1. **Criminal Background Checks and Other Security Requirements (**check all that are required):

Standard CAI Required Background Check

Agency Specific Background Check

*Please provide any details surrounding agency specific background check and/or other security requirements.*

1. **Performance Bond** (Check one)**:**

Required for *(XXX)*% of the SOW value

Not Required

1. **Reporting** (Check all that are required):

**Weekly Status Update**

The weekly status report, to be submitted by Supplier to Authorized User, should include: accomplishments to date as compared to the project plan; any changes in tasks, resources or schedule with new target dates, if necessary; all open issues or questions regarding the project; action plan for addressing open issues or questions and potential impacts on the project; risk management reporting.

**Other(s)** (Specify): As defined in the Scope of Work and Deliverables sections of this SOR.

1. **Federal Funds** (Check one):

Project will be funded with federal grant money

No federal funds will be used for this project

1. **Training and Documentation:**
2. **Training:**

Required as specified below

Not Required

Training Requirements:

*(Specify specific training requirements)*

1. **Documentation:**

Required as specified below

Not Required

Documentation Requirements:

As detailed in Section 10 (Scope of Work) and Section 14 (Milestones and Deliverables) of this SOR

1. **Instructions Regarding Freedom of Information Act and Public Availability/Inspection of Records**

Authorized User reserves the right to use, copy, and reproduce all submitted documents, data, and other information in any manner Authorized User may deem appropriate in evaluating the fitness of the solution(s) proposed, and in complying with applicable law. All data, materials, and documentation originated and prepared for Authorized User shall be subject to public inspection in accordance with the *Virginia Freedom of Information Act*.

Consistent with the Code of Virginia, Authorized User will, as permitted by law, hold confidential trade secrets or proprietary information that is submitted by a Supplier in connection with the transaction contemplated by this SOR if the Supplier, to Authorized User’s satisfaction:

1. invokes the protections of the Code of Virginia in writing prior to or upon submission of the data or other materials,
2. identifies specifically the data or other materials to be protected, and
3. states the reasons why protection is necessary.

**FAILURE TO COMPLY WILL RESULT IN THE DATA OR OTHER MATERIALS BEING RELEASED TO SUPPLIERS OR THE PUBLIC AS PROVIDED FOR IN THE VIRGINIA FREEDOM OF INFORMATION ACT.**

The Supplier will use this form to identify the information that they deem trade secrets or proprietary information. **The designation of an entire proposal or SOR as proprietary or trade secret is not acceptable, and pricing may not be designated as a trade secret or proprietary information.**

**Supplier Trade Secrets / Proprietary Information Designations Table**

| **SOR/Other Document** | **Section/Page** | **Trade Secret / Proprietary Information** | **Reason** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. **Additional Terms and Conditions:**

The services to be provided are subject to the following additional provisions:

1. Conflict of Interest Exclusion:

Any contractor (and its subcontractors) serving in the role of a Supplier for the *(Project Name)* Project is prohibited from soliciting, proposing or being awarded any initiation, planning, execution and control or closeout phase work (excluding IV&V services) on the *(Project Name)* Project.

1. Effective July 1, 2020, the Code of Virginia requires contractors with the Commonwealth who spend significant time working with or in close proximity to state employees to complete sexual harassment training.  As a result of the new code, VITA and the Department of Human Resource Management (DHRM) are requiring that all contractors working through the CAI contract complete DHRM's "Preventing Sexual Harassment" training.  This training is available as either a short video or a written transcript on the DHRM website: <https://www.dhrm.virginia.gov/public-interest/contractor-sexual-harassment-training>. The selected Supplier must agree that any assigned resource will complete the training.
2. The selected Supplier must agree that any assigned resource will review and conform to the IT Contingent Labor Program (ITCL) Contractor Code of Conduct. The Code of Conduct can be reviewed on VITA’s website at the following link:

<https://www.vita.virginia.gov/media/vitavirginiagov/supply-chain/pdf/Contingent-Worker-Code-of-Conduct.pdf>

1. **Scheduled Work Hours:**

On an as needed basis, to be coordinated with the Authorized User’s Project Sponsor and Project Manager.

1. **Facility and equipment to be provided by Authorized User:**

The Authorized User may provide furniture and equipment within limited workspace on a temporary basis. Permanent office space, furniture and equipment are the responsibility of the Supplier. While on-site at the project location, the Authorized User will provide access to a copier, fax, the agency LAN and the internet (for up to two connections). Authorized User will also provide temporary desk space. The Supplier must provide any cell phones, personal computers or laptops required by the IV&V Review Team. The VITA technical staff supporting the agency’s network must verify that any personal computers or laptops meet minimum-security configuration standards (e.g., current virus protection) before any equipment may be connected to the agency’s LAN.

Authorized User will also provide access to all *(Project Name)* Project related information, including, but not limited to, technical documentation and project status and financial data and to project and contractor personnel for information related to the project.

1. **Other**

Attachment 1: IV&V Mandatory Review Areas

Attachment 2: IV&V Review Areas and Task Items

Attachment 3: IV&V Review Report Template