



# **STATE OF INDIANA**

## **Request for Services 26-84994**

### **INDIANA DEPARTMENT OF ADMINISTRATION**

**On Behalf Of  
Family and Social Services Administration**

**Solicitation For:  
Home and Community-Based Waiver Services Case  
Management**

**Submission Due Date and Time:  
January 28, 2026 @ 3:00 PM ET**

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## Contents

<b>Section One General Information and Requested Products/Services .....</b>	<b>4</b>
1.1 Introduction.....	4
1.2 Definitions and Abbreviations .....	4
1.3 Purpose of the Solicitation.....	6
1.4 Summary Scope of Work.....	6
1.5 Solicitation Outline.....	8
1.6 Pre-Proposal Conference .....	9
1.7 Question/Inquiry Process .....	10
1.8 Due Date for Proposals .....	10
1.9 Modification or Withdrawal of Offers.....	12
1.10 Pricing .....	12
1.11 Proposal Clarifications .....	12
1.12 RESERVED .....	12
1.13 Reference Site Visits.....	13
1.14 Type and Term of Contract .....	13
1.15 Confidential Information .....	13
1.16 Taxes .....	13
1.17 Procurement Division Registration.....	13
1.18 Secretary of State Registration .....	14
1.19 Compliance Certification.....	14
1.20 RESERVED .....	14
1.21 RESERVED .....	14
1.22 RESERVED .....	14
1.23 Americans with Disabilities Act .....	15
1.24 Summary of Milestones .....	15
1.25 RESERVED .....	16
1.26 Conflict of Interest .....	16
1.27 Procurement Protest Policy .....	16
<b>Section Two Proposal Preparation Instructions.....</b>	<b>17</b>
2.1 General .....	17
2.2 Executive Summary.....	17
2.2.1 Summary of Ability and Desire to Supply the Required Products or Services .....	17

2.2.2	Signature of Authorized Representative .....	17
2.2.3	Respondent Notification .....	18
2.2.4	Secretary of State.....	18
2.2.5	Other Information.....	18
2.3	<b>Business Proposal</b> .....	18
2.3.1	General (optional).....	18
2.3.2	Respondent's Company Structure .....	18
2.3.3	Company Financial Information.....	19
2.3.4	Integrity of Company Structure and Financial Reporting .....	19
2.3.5	Contract Terms/Clauses.....	19
2.3.6	RESERVED.....	20
2.3.7	Registration to do Business.....	20
2.3.8	Authorizing Document.....	21
2.3.9	RESERVED.....	21
2.3.10	RESERVED.....	21
2.3.11	General Information .....	21
2.3.12	Experience Serving State Governments .....	22
2.3.13	Experience Serving Similar Clients .....	22
2.3.14	RESERVED.....	22
2.3.15	RESERVED .....	22
2.3.16	Cloud Terms and Conditions.....	22
2.4	<b>Technical Proposal</b> .....	22
2.5	<b>RESERVED</b> .....	23
2.6	<b>RESERVED</b> .....	23
	<b>Section Three Proposal Evaluation</b> .....	24
3.1	<b>Proposal Evaluation Procedure</b> .....	24
3.2	<b>Evaluation Criteria</b> .....	24
3.2.1	Adherence to Requirements – Pass/Fail.....	25
3.2.2	Management Assessment/Quality .....	26
3.2.3	Geographic Coverage – 20 points .....	26
3.2.4	RESERVED.....	26
3.2.5	RESERVED.....	26
3.2.6	RESERVED .....	26
3.2.7	RESERVED .....	26
3.2.8	RESERVED.....	26

## **Section One**

### **General Information and Requested Products/Services**

#### **1.1 Introduction**

In accordance with applicable Indiana Code provisions, Rules and Policies, the Indiana Department of Administration (IDOA), acting on behalf of the Family and Social Services Administration (FSSA), requires Home and Community-based Waiver Services Case Management for the Division of Disability Aging and Rehabilitative Services and the Bureau of Disabilities Services. It is the intent of IDOA to solicit responses to this solicitation in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This solicitation is being posted to the IDOA Bidding Opportunities website, at <https://www.in.gov/idoa/procurement/current-business-opportunities/> for downloading. Neither this solicitation 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 solicitation. Other special terms may be used in the solicitation, but they are more localized and defined where they appear, rather than in the following list.

Award Recommendation	IDOA's summary, typically in letter format, of the solicitation and suggestion on respondent selected for the purposes of beginning contract negotiations.
Contract Award	The acceptance of IDOA's Award Recommendation by the agency being supported in conjunction with the public posting of the Award Recommendation.
Full Time Equivalent (FTE)	The State defines FTE as a measurement of an employee's productivity when executing the scope of work in this solicitation for a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE
IAC	Indiana Administrative Code
IC	Indiana Code

Installation	The delivery and physical setup of products or services requested in this solicitation
Other Governmental Body	<p>An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following:</p> <ol style="list-style-type: none"> <li>1) The judicial branch</li> <li>2) The legislative branch</li> <li>3) A political subdivision as defined in IC 5-22-2-22 and IC 36-1-2-13 (includes school corporations, municipal corporations, Legislative body, Taxing district, Town, Township, and Unit)</li> <li>4) A State educational institution</li> </ol>
Prime Contractor	As used in <b>Attachments A</b> and <b>A1</b> , refers to the entity responding to the solicitation.
Products	Tangible goods or manufactured items as specified in this solicitation
Proposal	An offer as defined in IC 5-22-2-17
Respondent	An offeror as defined in IC 5-22-2-18; and any entity or person who does business with the State and is registered as same. 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 company who will be ultimately responsible for performance of the contract.
Services	Work to be performed as specified in this solicitation
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
Subcontractor	As used in <b>Attachments A</b> and <b>A1</b> refers to the entity entering into a contract with the Prime Contractor for a portion of the scope of the solicitation.

VSC (Valuable Scope Contribution)	The benefit the proposed certified subcontractors(s) must provide to the project set forth in the solicitation.
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### 1.3 Purpose of the Solicitation

The purpose of this solicitation is to select a respondent that can satisfy the State's need for Home and Community-based Waiver Services (HCBS) Case Management. It is the intent of FSSA to contract with up to a total of 9 entities to provide quality Home and Community-based Waiver Services Case Management across the state for the Division of Disability Aging and Rehabilitative Services and the Bureau of Disabilities Services. Respondents may choose to serve statewide or to serve one or two regions. A description of the regions is in Exhibit 1 with the estimated number of people served in each county.

It is the desire of the state to contract with at least two Case Management Organizations (CMOs) in each region that provide high quality, conflict-free case management services. Preference will be given to those respondents who are able to provide high quality, conflict-free case management services statewide. The State reserves the right to award fewer or greater than 9 total providers.

### 1.4 Summary Scope of Work

Through this procurement, Indiana FSSA strives to contract with high-performing Case Management Organizations (CMOs) who will partner to help advance Indiana's mission to deliver person-centered programs that support individuals of all ages with disabilities to live their best lives through community and residential support while emphasizing self-determination, individual choice, and community inclusion.

Contracted CMOs will be required to provide case management services to all BDS administered Home and Community Based Services (HCBS) waivers, including the Health & Wellness, Traumatic Brain Injury, Family Support, and Community Integration and Habilitation waivers. In addition, the contracted CMOs will provide case management services to Indiana PathWays for Aging Fee-for-Service population.

As discussed herein, providers eligible to furnish these services must be enrolled as an Indiana Health Coverage Programs (IHCP) provider at the time of furnishing those services. The providers selected in this process will enter into an additional contract with the State beyond their IHCP Provider Agreement, though the terms related to covered services and payment shall remain governed by the Provider Agreement.

CMOs will support and lead the ongoing monitoring and improvement of our HCBS delivery

system and collaborate with the State and other CMOs to achieve the goals of:

- Person centered development and delivery of HCBS waivers that:
  - Are in compliance with waiver service definitions, limitations and within the scope and intent of waiver services; and
  - Demonstrate stewardship by considering how to address the individuals' needs as well as health and safety issues within available state resources, assuring Medicaid is the payer of last resort, and whenever possible relying on non-Medicaid resources, such as Medicare and other community options.
- Quality and timely case management activities as outlined in the waiver service definition, contract, and supporting guidance.
- Increasing understanding, access, and use of integrated supports that provide an array of supports to individuals with disabilities and their families that foster self-determination and decrease reliance on paid supports.
- Comprehensive and conducive facilitation of transition activities and education before, during, and after waiver reset

CMOs will also be expected to collaborate with FSSA and other CMOs to design and implement initiatives and interventions that support these goals. This collaboration will be achieved through activities facilitated by the State. CMOs will be expected to share insights and best practices and to otherwise actively participate in and contribute to these quality improvement activities. CMOs will also be expected to collaborate with one another to develop, implement and assess the impact of performance improvement initiatives and to assure smooth transitions when Individuals choose to change CMOs.

FSSA anticipates that such initiatives in Contract Year 1 are likely to focus on some or all of the following areas:

- Ensuring Case Managers have a thorough understanding of home and community-based waiver services, including their scope, limitations, and intended purpose.
- Ensuring case managers appropriately facilitate individualized support team meetings and the development of a Person-Centered Individualized Support Plan (PCISP) that is strength based, person centered and offers opportunities for integrated supports.
- Ensuring that individuals and their families have the knowledge, support, and resources to access and utilize all available integrated support options including but not limited to their own personal strengths and assets, relationships, technology, local community resources, and eligibility specific supports inclusive of those not covered by Medicaid.
- Accurately informing and supporting Individuals and their families prior to and during the transition to the upcoming new array of HCBS waivers.
- Ensuring that Case Managers have successfully completed all required training and demonstrate competence in conducting case management activities
- Improving the experience of individuals and their families accessing BDS HCBS.

As such, FSSA is seeking CMOs that align with the state's priorities and vision. For example, CMOs will be expected to:

- Proactively aggregate and analyze operational data to identify areas where improvements can be made within their organization and develop appropriate interventions. This may include but is not limited to enhanced training, mentorship or supports for case managers who do not demonstrate a full command of the skills and knowledge needed to provide high quality and timely case management and assessment services
- Develop and deploy innovative and effective local community partnerships and participant engagement strategies that enhance integration and inclusion in the individuals community with and without the use of Medicaid resources;
- Have robust education and outreach campaigns, as well as internal training programs, to help streamline the waiver transition while maintaining or improving participant experience.

FSSA encourages Respondents to carefully consider ways they can propose investments and innovations that go above and beyond today's status quo to support FSSA's priorities.

### **Technology Security Standards**

The State has robust and comprehensive security standards that permeate all levels of the organization. The Indiana Office of Technology (IOT) has been tasked with establishing and maintaining these security standards. The security standards include assessing security risks, developing, and implementing effective security procedures, and monitoring the effectiveness of those procedures. If the proposed solution involves information technology-related products or services, all such products or services are to be compatible with any of the technology standards found in [Information Security Framework \(https://www.in.gov/iot/iot-vendor-engagement/\)](https://www.in.gov/iot/iot-vendor-engagement/) that are applicable, including the assistive technology standard. Respondents will be required to sign a Non-Disclosure Agreement (NDA) to access the IOT Information Security Framework; Respondent's should review the IOT Information Security Framework, and ensure their proposed solution meets all standards therein.

These figures are only an estimate and are not to be construed as an amount to be offered under this solicitation. **However, when completing Minority and Women's Business Enterprises Participation Plan Form (Attachment A), Indiana Veterans' Participation Plan Form (Attachment A1), and the Indiana Economic Impact Form (Attachment C) please use the total bid amount from the Cost Proposal (Attachment D).**

### **1.5 Solicitation Outline**

The outline of this solicitation document is described below:



Section	Description
Section One – General Information and Requested Products or Services	This section provides an overview of the solicitation, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this solicitation
Section Two – Proposal Preparation Instruction	This section provides instructions on the format and content of the solicitation including an Executive Summary, Business Proposal, Technical Proposal, and a Cost Proposal
Section Three – Proposal Evaluation Criteria	This sections discusses the evaluation criteria to be used to evaluate Respondents’ proposals
Attachment A	RESERVED
Attachment A1	RESERVED
Attachment B	Sample Contract
Attachment C	RESERVED
Attachment D	RESERVED
Attachment E	Business Proposal Template
Attachment F	Technical Proposal Template
Attachment G	Q&A Template
Attachment H	RESERVED
Attachment I	Pre-proposal Network Opportunities Form
Attachment J	Attestation Form
Attachment K	Scope of Work
Attachment L	AI – Technical Questions
Attachment M	Infrastructure Overview
Exhibit 1	State Map and Counts
Exhibit 2	Performance Rewards and SLAs

## 1.6 Pre-Proposal Conference

A pre-proposal conference will be held at the date, time and location specified in [Section 1.24](#). At this conference, potential respondents may ask questions about the solicitation and the

solicitation process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information provided at the conference, unless it is later issued in writing, also is not binding on the State.

The pre-proposal conference provides an opportunity for potential Prime Contractors and potential Subcontractors to connect. The State strongly encourages potential Prime Contractors and potential Subcontractors to complete and submit **Attachment I** directly to [rfp@idoa.in.gov](mailto:rfp@idoa.in.gov) no later than the time and date outlined in [Section 1.24](#). Compiled company contact information will be posted to the solicitation website to allow networking to take place among the vendor community. Though **Attachment I** is not required, the State encourages its use.

### 1.7 Question/Inquiry Process

All questions/inquiries regarding this solicitation must be submitted by the date and time outlined in [Section 1.24](#). Questions/Inquiries may be submitted in **Attachment G**, Q&A Template, via email to [rfp@idoa.IN.gov](mailto:rfp@idoa.IN.gov) and must be received by the time and date indicated in [Section 1.24](#).

The subject line of the email submissions must clearly state the following:  
“RFS 26-84994 Questions/Inquiries – *[INSERT COMPANY NAME]*”.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents, redacting the name of the company who submitted the question. The responses will be posted to the IDOA website according to the timetable established in [Section 1.24](#). Only answers posted on the IDOA website will be considered binding and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

If it becomes necessary to revise any part of this solicitation, or if additional information is necessary for a clearer interpretation of provisions of this solicitation prior to the due date for proposals, an Addendum will be posted on the IDOA website. If such Addenda issuance is necessary, the Procurement Division 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 through the Supplier Portal at the link below by the Procurement Division no later than the date and time outlined in [Section 1.24](#) Summary of Milestones. The proposal will be considered the official response in evaluating responses for scoring and protest resolution and may be posted on the IDOA website, <https://www.in.gov/idoa/procurement/award-recommendations/> if recommended for selection. The proposal must follow the format indicated in [Section Two](#) of this document. No other method of submission will be accepted. Unnecessarily elaborate brochures or other

presentations, beyond those necessary to present a complete and effective proposal, are not desired.

Multi-Factor Authentication:

<https://www.in.gov/iot/customer-service/myshareingov/multi-factor-authentication/>

Supplier Portal:

<https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/>

Instructions on to submit an electronic bid:

<https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/manage-my-bidder-profile/submitting-a-bid/>

Important notes:

Remember that you cannot update the primary contact's email address and use it to sign into the Supplier Portal on the same day.

No more than one proposal per Respondent may be submitted.

Responses may no longer be sent in on flash drives.

The State encourages Respondents to break down their proposals into small file sizes and use compressed zip files, where possible. Uploading large files may lengthen the time to successfully submit your proposal. Checking file sizes of the proposal documents by viewing file properties is also recommended to reduce risks when uploading files.

A bidder ID and password are required to submit a response. For more information on that process, visit: <https://www.in.gov/idoa/wbt/SupplierPortal/index.html>. Bidder ID and password issues are handled by submitting a request for assistance to the State of Indiana Office of Technology and are handled in the order in which they are received. IDOA is not able to assist with these types of issues and they are not justification to miss the submission deadline.

The State strongly encourages Respondents to allow plenty of time when electronically submitting their proposals. Waiting until the last day is not recommended. The Supplier Portal allows documents to be edited until the proposal due date. Therefore, documents could be loaded over several days. The Supplier Portal will not accept proposals once the proposal due date and time has expired, even if a Respondent has already begun uploading bid documents.

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

## 1.9 Modification or Withdrawal of Offers<sup>1</sup>

Responses may be modified by Respondents until the time and date the response is due. The Respondent's authorized representative may withdraw the proposal prior to the due date by sending notice to the address listed above in Section 1.8.

## 1.10 Pricing

This RFS does not solicit pricing. Any contract resulting from this RFS shall have no remuneration, and the Medicaid waiver provider agrees to the published rates covering the contract period.

Rather, IHCP Providers shall be paid in accordance with published rates and IHCP claims requirements in accordance with their Medicaid Provider Agreements. Provider payment rates for IHCP providers receiving a contract award resulting from this RFS will be subject to a withhold of up to 1% of the payment rates. Contracted providers will be eligible to receive some or all of the withhold amount based upon their compliance with contract performance requirements as set forth in RFS Attachment K, Scope of Work, Exhibit 2: Performance Rewards and Service Level Agreements.

## 1.11 Proposal Clarifications

The State may request clarifications, in writing, on proposals submitted. These clarifications could include, but are not limited to, request for additional information, or request for Cost or Technical proposal revision. Additionally, in conducting clarifications, the State may use information derived from proposals submitted by competing Respondents only if the identity of the Respondent providing the information is not disclosed to others. The State will provide equivalent information to all Respondents which have been chosen for clarifications.

A sample contract is provided in **Attachment B**. Any requested changes to the sample contract must be submitted with your response (See [Section 2.3.6](#) for details). The State may reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

## 1.12 RESERVED

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<sup>1</sup> Please note if the State elects to cancel the solicitation, all submitted responses would remain confidential, until the replacement solicitation is concluded, and an Award Recommendation made.

### 1.13 Reference Site Visits

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required will be discussed in the technical proposal.

### 1.14 Type and Term of Contract

The State intends to sign a contract with one or more Respondent(s) to fulfill the requirements in this solicitation.

The term of the contract shall be for a period of two (2) years from the date of contract execution. There may be up to three (3) one-year renewals for a total of five (5) years at the State's option.

### 1.15 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 solicitation file will be posted on the IDOA website and may be viewed and copied by any member of the public, including news agencies and competitors. The responses are deemed to be "public records" unless a specific provision of IC 5-14-3 protects it from disclosure. Respondents claiming a statutory exception to the APRA **must indicate so per Attachment J** which specific provision applies to which specific part of the response.

Please note citing "Confidential" on an entire section is not sufficient or acceptable.

The Public Access Counselor (PAC) provides guidance on APRA. Respondents are encouraged to read guidance from the PAC on this topic as this is the guidance IDOA follows:

- [18-INF-06; Redaction of Public Procurement Documents Informal Inquiry](#)

If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. The State also may seek the opinion of the PAC for guidance.

### 1.16 Taxes

Proposals should not include any tax from which the State is exempt.

### 1.17 Procurement Division Registration

In order to submit a proposal per [Section 1.8](#), Respondents must be registered as a bidder with the Department of Administration, Procurement Division.

At Bidder Profile Registration, <https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/> the following may be completed.

- To register, follow instructions provided in Section 2.3.8.
- If registered, a Bidder ID # list is available to complete the Submission Form per Section 2.1.

#### **1.18 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. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations, 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](http://www.in.gov/sos)

#### **1.19 Compliance Certification**

Responses to this solicitation serve as a representation that the Respondent 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 of such payment to the State.

#### **1.20 RESERVED**

#### **1.21 RESERVED**

#### **1.22 RESERVED**

### 1.23 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).

### 1.24 Summary of Milestones

The following timeline is only an illustration of the solicitation process. Not all the dates below are binding.<sup>2</sup> Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Key Dates	
Activity	Date
Issue of solicitation	November 19, 2025
Pre-Proposal Conference	December 3, 2025 9:30 AM Eastern Time Indiana Government Center South - Conference Room B
Deadline to Submit Written Questions	December 12, 2025 by 3:00 PM Eastern Time
Response to Written Questions/Amendments	December 22, 2025
Submission Due Date/Time	January 28, 2026 by 3:00 PM Eastern Time
Submission of Reference Check Forms to State	January 28, 2026 by 3:00 PM Eastern Time
<b><i>The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.</i></b>	
Proposal Evaluation	February 4-April 13, 2026
Proposal Discussions/Clarifications (if necessary)	February 2026
Oral Presentations (if necessary)	March 2026
Best and Final Offers (if necessary)	March 2026
Award Recommendation	April 2026

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<sup>2</sup> Submission dates for Proposals, and Reference Check Forms to State ARE binding and not subject to change.

## 1.25 **RESERVED**

## 1.26 **Conflict of Interest**

Any person, firm or entity that assisted with and/or participated in the preparation of this solicitation document is prohibited from submitting a proposal to this specific solicitation. For the purposes of this solicitation, a “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 solicitation proposal. This prohibition would also apply to an entity who hires, within a one-year period prior to the publication of this solicitation, a person that assisted with and/or participated in the preparation of this solicitation.

## 1.27 **Procurement Protest Policy**

The State’s procurement protest policy can be found at <https://www.in.gov/idoa/files/ProcurementProtestPolicy.pdf>. Per the policy, there are two periods of protest allowable for the solicitation:

- Specifications Protest - written letter of protest regarding inadequate, unduly restrictive, or ambiguous requirements or specifications must be received by IDOA by the close of business not less than ten (10) business days (as defined by the State work calendar) prior to the proposal due date.
- Award Recommendation Letter Protest - written letter of protest regarding the procurement methods and/or procedures used during the procurement process must be received by IDOA by the close of business within five (5) business days (as defined by the State work calendar) after the date of the Award Recommendation Letter.

Additional details as to the required content in the letter and the steps involved in a protest can be found in the State’s Procurement Protest Policy at <https://www.in.gov/idoa/files/ProcurementProtestPolicy.pdf>.



## **Section Two**

### **Proposal Preparation Instructions**

#### **2.1 General**

To facilitate the 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:

- Proposals will be disqualified if received after 1.24 Summary of Milestones, Due Date.
- Each item must be addressed in the Respondent's proposal.
- The Executive Summary must be in the form of a letter.
- Each item, Executive Summary, and attachments must be separate standalone electronic files. Please do not submit your proposal as one large file.
- A Bidder ID is a required. See 1.8 Due Date for Bid Responses.
- Please submit all attachments in their original format. Any attempt to manipulate the format of the documents that deviates from the current format will put your proposal at risk of disqualification.
- Confidential Information must also be clearly indicated in Attachment J, Attestation Form and a redacted file provided (See 1.15 Confidential Information).

#### **2.2 Executive Summary**

The Executive Summary must address the following topics except those specifically identified as "optional." The Executive Summary is to be attached to the Submission Form by the response due date and Eastern time.

##### **2.2.1 Summary of Ability and Desire to Supply the Required Products or Services**

The Executive Summary must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section One of this solicitation.

##### **2.2.2 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 2.3.4](#), must sign the Executive Summary. **In the Executive Summary, please indicate the principal contact for the proposal along with an address, telephone, and e-mail address, if that contact is different than the individual authorized for signature.**

### 2.2.3 Respondent Notification

Unless otherwise indicated in the Executive Summary, Respondents will be notified via e-mail.

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

### 2.2.4 Secretary of State

The Respondent shall indicate their status with respect to the Office of the Indiana Secretary of State.

### 2.2.5 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.

## 2.3 Business Proposal

The Business Proposal must address the following topics except those specifically identified as "optional." **The Business Proposal Template is Attachment E.**

Any attempt to manipulate the format of the document that deviates from the current format will put your proposal at risk for disqualification.

### 2.3.1 General (optional)

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this solicitation.

### 2.3.2 Respondent's Company Structure

The legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one (1) product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

### 2.3.3 Company Financial Information

This section must include documents to demonstrate the Respondent's financial stability. Examples of acceptable documents include most recent Dunn & Bradstreet Business Report (preferred) or audited financial statements for the two (2) most recently completed fiscal years. If neither of these can be provided, explain why, and include an income statement and balance sheet, for each of the two most recently completed fiscal years.

If the documents being provided by the Respondent are those of a parent or holding company, additional information should be provided for the entity/organization directly responding to this solicitation. That additional information **should explain the business relationship between the entities and demonstrate the financial stability of the entity/organization which is directly responding to this solicitation.**

### 2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO, of the responding entity/organization, has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

### 2.3.5 Contract Terms/Clauses

A sample contract that the State expects to execute with the successful Respondent(s) is provided in **Attachment B**. This contract contains mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are substantively required. It is the State's expectation that the final contract will be substantially similar to the sample contract provided in **Attachment B**.

Please review the contract and indicate per **Attachment J**, your acceptance of mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause in **Attachment E**. If you require additional contract terms, please include them in this section. To reiterate it's the State's strong desire to not

deviate from the contract provided in the attachment and as such the State may reject all requested changes.

The mandatory contract terms are as follows:

- Agreement to Use Electronic Signatures
- Authority to Bind Contractor
- Compliance with Laws
- Drug-Free Workplace Certification
- Employment Eligibility Verification (E-Verify)
- Funding Cancellation
- Governing Law
- Indemnification
- Information Technology Enterprise Architecture Requirements
- Nondiscrimination Clause
- Penalties/Interest/Attorney's Fees
- Renewal Option
- Termination for Convenience
- Non-Collusion and Acceptance

The substantively required terms are as follows:

- Duties of Contractor, Consideration, and Term of Contract
- Ownership of Documents and Materials
- Payments

This solicitation and all portions of the Respondent's response will be incorporated as part of the final contract.<sup>3</sup>

#### 2.3.6 **RESERVED**

#### 2.3.7 **Registration to do Business**

##### Secretary of State

Respondents providing the products and/or services required by this solicitation must be registered to do business within the State by the Indiana Secretary of State. This process must be concluded prior to contract negotiations with the State. It is the successful Respondent's responsibility to complete the required registration with the Secretary of State at [www.in.gov/sos](http://www.in.gov/sos). The Respondent

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<sup>3</sup> The contracting agency will make the determination during contract negotiations whether proposed alternative language is acceptable. Proposed alternative language is not automatically accepted. The agency has the option to decline proposed language. Inability for the agency and the awardee(s) to agree to terms could jeopardize the contract and end the negotiations.

must indicate the status of registration, in the Executive Summary.

Department of Administration, Procurement Division

To complete the on-line Bidder registration, go to the Bidder Profile Registration website at <https://www.in.gov/idoa/procurement/supplier-resource-center/requirements-to-do-business-with-the-state/bidder-profile-registration/>.

The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents need to be registered to submit a proposal. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the state that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database.

**2.3.8 Authorizing Document**

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the bid response meets all general conditions must sign the Executive Summary, please indicate the principal contact for the proposal along with an address, telephone number, and e-mail address, if that contact is different than the individual authorized for signature. Additionally, the Company's Bidder ID #, FEIN, Type of Business (i.e., Corporation, Sole Proprietor, LLC, etc.), and North American Industry Classification System (NAICS) Code should all be included in the Executive Summary with the contact information.

**2.3.9 RESERVED**

**2.3.10 RESERVED**

**2.3.11 General Information**

Each Respondent must enter your company's general information including contact information.

- a. Does your Company have a formal business continuity and/or disaster recovery plan? Please provide a yes/no response. If not, please provide an explanation of any alternative solution your company has to offer. If yes, please note and include as an attachment.
- b. What is your company's technology and process for securing any State information that is maintained within your company?

#### 2.3.12 Experience Serving State Governments

Each Respondent is asked to please provide a brief description of your company's experience in serving state governments and/or other governmental bodies.

#### 2.3.13 Experience Serving Similar Clients

Each Respondent is asked to 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.

#### 2.3.14 RESERVED

#### 2.3.15 RESERVED

#### 2.3.16 Cloud Terms and Conditions

Additional Terms and Conditions related to Cloud-based systems the State expects to execute with the successful Respondent(s) are provided in **Attachments B1, B2, and B3**, respectively Infrastructure-as-a-Service (IaaS), Platform-as-a-Service (PaaS) and Software-as-a-Service (SaaS). Depending on your proposed System, you could be required to agree to one or more of the Additional Terms and Conditions. It is the State's strong desire not to deviate from the Additional Terms and Conditions that are provided in these attachments and as such the State reserves the right to reject all requested changes. Any or all portions of this RFS and any or all portions of your response may be incorporated as part of the final contract.

### 2.4 Technical Proposal

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the Technical Proposal must contain a meaningful summary of the referenced material. **The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked.** If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State. **The Technical Proposal Template is Attachment F.**

Any attempt to manipulate the format of the document that deviates from the current format will put your proposal at risk of disqualification.

2.5     **RESERVED**

2.6     **RESERVED**

## **Section Three Proposal Evaluation**

### **3.1 Proposal Evaluation Procedure**

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with solicitation requirements. All evaluation personnel will use the evaluation criteria stated in [Section 3.2](#).

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to mandatory requirements, per Section 3.2, Step 1, on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
- 3.1.2 Each proposal will be evaluated based on the categories included in [Section 3.2](#). A point score has been established for each category.
- 3.1.3 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State may be selected by IDOA and FSSA for further action, such as contract negotiations. If, however, IDOA and FSSA decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, the State may begin contract preparation with another Respondent or determine that no such alternate proposal exists.

### **3.2 Evaluation Criteria**

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFS. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 100). If any one or more of the listed criteria on which the responses to this solicitation will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded, and the responses will be evaluated and scored without considering such criterion or criteria.



#### Summary of Evaluation Criteria:

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	<b>80</b> available points
3. Geographic Coverage	<b>20</b> available points
<b>Total</b>	<b>100</b>

All proposals will be evaluated using the following approach.

#### **Step 1**

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

#### **Step 2**

The proposals that fulfill the Step 1 Mandatory Requirements will then be scored based on Criteria 2. All proposals will be ranked based on their scores for Criteria 2 ONLY. If the proposal meets the minimum Management Assessment/Quality score of 40 points, they will also be evaluated for Criteria 3. This ranking will be used to create a “short list”. Any proposal not making the “short list” will not be further evaluated.

Step 2 may include one or more rounds of proposal discussions, oral presentations, clarifications, and/or demonstrations focused on cost and other proposal elements. Step 2 may include additional “short lists” at the State’s sole discretion.

#### **Step 3**

The short-listed proposals will then be evaluated based on the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in the technical proposal for the short-listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

- 3.2.1 Adherence to Requirements – Pass/Fail**  
Respondents passing this category move to Phase 2

**The following 2 categories cannot exceed 100 points.**

**3.2.2 Management Assessment/Quality**

**80** available points

**3.2.3 Geographic Coverage**

**20** available points

Vendors that demonstrate the ability and willingness to serve all regions (i.e., statewide) will be assigned higher points than those that demonstrate the ability and willingness to serve one or two regions. Likewise, vendors that demonstrate the ability and willingness to serve two regions will be assigned higher points than those that demonstrate the ability and willingness to serve one region. In order to receive points, Vendors must meet a minimum Management Assessment/Quality score of 40 points. Awards will be made on a regional basis; that is Vendors proposing to serve statewide or in two regions may receive awards in a subset of the regions they propose to serve.

**3.2.4 RESERVED**

**3.2.5 RESERVED**

**3.2.6 RESERVED**

**3.2.7 RESERVED**

**3.2.8 RESERVED**