

E-X-A-M-P-L-E

STATEMENT OF WORK (SOW)

FOR

**DELIVERABLES-BASED INFORMATION
TECHNOLOGY SERVICES**

***Grants Management System
Modernization project
Technology Upgrade/Migration and
Transformation***

Office of Parks and Wildlife

E-X-A-M-P-L-E

July 14, 2014

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EXAMPLE

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1. Introduction

The Office of Parks and Wildlife (OPW) provides direct matching grants to local political subdivisions and non-profit entities for planning, acquisition or development of local parks, indoor and outdoor recreational facilities, and for recreation, conservation and education programs for underserved populations.

The agency currently manages two separate systems for local political subdivisions and non-profit entities, each of which perform similar functions, but are implemented on different technology platforms that don't share data and must be supported separately. The grant process is cyclical, and the current information systems require extensive manual and paper intensive processes to support timely reporting and tracking.

2. Background

Many of the internal controls of the current grant management systems are inadequate and require manual and paper intensive processes to support timely reporting and tracking. Additionally, due to their lack of interoperability, OPW staff resources often duplicate their efforts across the entire life cycle of the grant management process.

OPW seeks to achieve greater efficiencies through a modernization and consolidation of these disparate systems. Through enhanced system functionality and elimination of obsolete business processes, including manual processing, duplicate entry, paper processing, and manual reconciliation, OPW intends to redirect its staff resources to focus on improved accountability in managing performance of grant recipients.

3. Scope of Work

OPW has determined the need for, and projected the costs and benefits of, migrating the agency's legacy mainframe-based processing, reporting and tracking systems to a consolidated Internet-based platform. OPW is seeking a qualified Deliverables Based Information Technology Services (DBITS) Vendor to deliver IT project management and systems development lifecycle (SDLC) support for the modernization of the agency's grants management systems.

The scope of work includes requirements analysis, design, development, testing, and deployment of changes and enhancements to modernize and consolidate the existing grants management systems to functionally align with the agency's enterprise architecture. Additionally, the system must:

- Automate or increase efficiency of grant management and administrative processes
- Retire manual and/or paper-based processes

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- Reduce reliance on stove-piped, single-purpose solutions
- Streamline database design to increase performance and reliability
- Reduce data entry burden for grantees and staff
- Reduce overall data footprint
- Increase accuracy and standardization of data
- Improve data analysis, reporting, and decision-making capabilities
- Improve system design, interface, usability, and user-friendliness
- Reduce reliance on manual data corrections
- Improve quality of system releases to minimize need for corrective maintenance
- Integrate with the state's eGrants systems for improved cost savings and transparency
- Utilize innovative web technologies for integrated and cost-effective solutions
- Rapidly and efficiently respond to legislative mandates requiring system changes
- Comply with federal and state mandated accessibility standards
- Provide a secure environment that meets the state security standards and customer confidentiality requirements
- Reduce overall costs to operate and maintain manage grants across the agency

4. Deliverables

4.1 General Provisions

- All written deliverables must be phrased in terms and language that can be easily understood by non-technical personnel.
- All document deliverables must be in formats (hard copy and electronic) as specified by OPW. At a minimum, the formats must be in industry-accepted standards (e.g., MS Word, MS PowerPoint MS Project).
- Deliverables must be provided on the dates specified in the approved Project Plan. Any changes to the delivery date must have prior approval (in writing) by the Grants Management System Coordinator or designee.
- If the deliverable cannot be provided within the scheduled time frame, the Vendor is required to contact the Grants Management System Coordinator in writing with a reason for the delay and the proposed revised schedule. The request for a revised schedule must include the impact on related tasks and the overall project.
- A request for a revised schedule must be reviewed and approved by the Grants Management System Coordinator before placed in effect.
- OPW will complete a review of each submitted deliverable with specified working days from the date of receipt.
- Each deliverable will be complete when the Grants Management System Coordinator has signed-off, in writing that the deliverable meets the acceptance criteria specified for that deliverable.

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4.1.1 Deliverable #1 – Project Plan

Description	Acceptance Criteria
<p>The Project Plan defines the activities and resources needed to deliver the consolidated and modernized grants management system.</p> <p>The Project Plan includes</p> <ul style="list-style-type: none"> • a plan for Risk Management, • a plan for Quality Assurance, and • a schedule for all SDLC activities, including, but not limited to <ul style="list-style-type: none"> ○ requirements gathering, ○ business process analysis meetings, ○ agile development design sessions, ○ prototype demonstrations, ○ systems design, coding, and testing, ○ regular status meetings, and ○ other meetings as necessary where the Vendor needs input from OPW or staff requests demonstration of functionality. <p>The Project Plan also provides a schedule for all project management work products and Deliverables 2-12, described in paragraphs 4.1.2-4.1.12, below.</p>	<p>Content and format requirements specified in Texas Project Delivery Framework (TPDF) Project Plan Template (v2.4) available at http://www.dir.texas.gov/management/projectdelivery/projectframework/planning/Pages/ProjectPlan.aspx</p> <p>Schedule for all SDLC activities and delivery of project work products, milestones and deliverables shall be at the sole discretion of the Office of Parks and Wildlife. All phase activities will support Section 4.2 Schedule of Deliverables.</p>

4.1.2 Deliverable #2 – Requirements Definition Document

Description	Acceptance Criteria
<p>The Requirements Definition Document defines the functional, non-functional, and technical requirements of the consolidated and modernized grants management system.</p> <p>The Requirements Definition Document includes the identification and inventory of all business rules embedded in the legacy application.</p>	<p>Based on IEEE Standard 830: Software Requirements Specifications</p>

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4.1.3 Deliverable #3 – Software Architecture Document

Description	Acceptance Criteria
The Software Architecture Document provides a comprehensive architectural overview of the consolidated and modernized grants management system.	Based on IEEE Standard 1016-2009: Systems Design-Software Design Description

4.1.4 Deliverable #4 – Technical Design Document

Description	Acceptance Criteria
The Technical Design Document outlines the technical design of the consolidated and modernized grants management system and provides an overview for the grants management system implementation.	Requirements specified in OPW SDLC Template TDD_v04, available at OPW.texas.gov

4.1.5 Deliverable #5 – Interface Control Document

Description	Acceptance Criteria
The Interface Control Document describes all inputs and outputs from the consolidated and modernized grants management system for all potential actions whether they are internal to the system or transparent to system users.	Requirements specified in OPW SDLC Template ICD_v02, available at OPW.texas.gov

4.1.6 Deliverable #6 – Test Plan

Description	Acceptance Criteria
The Test Plan describes the process for validating and testing that the consolidated and modernized grants management system meets business, functional, technical, and quality requirements.	Requirements specified in Texas Project Delivery Framework (TPDF) SDLC Extension Test Plan Template (v1.2) available at http://www.dir.texas.gov/management/projectdelivery/extensions/Pages/SystemDevelopmentLifeCycleExtension.aspx

4.1.7 Deliverable #7 – Deployment Plan

Description	Acceptance Criteria
The Deployment Plan documents the core	Requirements specified in Texas

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Description	Acceptance Criteria
activities that are necessary to effectively deploy the consolidated and modernized grants management system.	Project Delivery Framework (TPDF) SDLC Extension Deployment Plan Template (v1.4) available at http://www.dir.texas.gov/management/projectdelivery/extensions/Pages/SystemDevelopmentLifeCycleExtension.aspx

4.1.8 Deliverable #8 – Data Conversion Plan

Description	Acceptance Criteria
The Conversion Plan describes the strategies involved in converting data from an existing system to another hardware or software environment. It is appropriate to reexamine the original system's functional requirements for the condition of the system before conversion to determine if the original requirements are still valid.	Requirements specified in OPW SDLC Template DC_v01, available at OPW.texas.gov

4.1.9 Deliverable #9 – Test Report

Description	Acceptance Criteria
The Test Report provides a summary of the results of test performed as described within the Test Plan and outlined in the Test Plan Template.	Requirements as specified in 4.1.6 Deliverable #6, Test Plan. SDLC Template TR_v02, available at OPW.texas.gov

4.1.10 Deliverable #10 – Operations and Maintenance Manual

Description	Acceptance Criteria
The Operations and Maintenance Manual provides a guide to the operation of the system.	Requirements specified in OPW SDLC Template ICD_v02, available at OPW.texas.gov

4.1.11 Deliverable #11 – Acceptance to Deploy

Description	Acceptance Criteria
Acceptance to Deploy provides a consistent method for formal product and/or service acceptance before a	Content and format requirements specified in Texas Project Delivery Framework (TPDF)

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Description	Acceptance Criteria
product and/or service becomes operational.	Acceptance to Deploy Template (v1.3) available at http://www.dir.texas.gov/management/projectdelivery/projectframework/implementation/Pages/AcceptancetoDeploy.aspx

4.1.12 Deliverable #12 – Project Closeout Report

Description	Acceptance Criteria
The Project Closeout provides a consistent method for formal closure of a project. Different aspects (e.g., administrative, financial, and logistical) of project delivery are part of the formal project closeout process.	Content and format requirements specified in Texas Project Delivery Framework (TPDF) Project Closeout Template (v1.5) available at http://www.dir.texas.gov/management/projectdelivery/projectframework/implementation/Pages/ProjectCloseoutReport.aspx

4.2 Schedule of Deliverables

No.	Deliverable Name	SOW Para	Due Date	Recipient
1	Project Plan	4.1.1	1 Week after Project Start Date	Grants Management System Coordinator
2	Requirements Definition Document	4.1.2	As specified in Project Plan, but no later than September 30, 2014	Grants Management System Coordinator
3	Software Architecture Document	4.1.3	As specified in Project Plan, but no later than October 30, 2014	Grants Management System Coordinator
4	Technical Design Document	4.1.4	As specified in Project Plan, but no later than November 14, 2014	Grants Management System Coordinator
5	Interface Control Document	4.1.5	As specified in Project Plan, but no later than December	Grants Management System

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No.	Deliverable Name	SOW Para	Due Date	Recipient
			2, 2014	Coordinator
6	Test Plan	4.1.6	As specified in Project Plan, but no later than January 7, 2015	Grants Management System Coordinator
7	Deployment Plan	4.1.7	As specified in Project Plan, but no later than January 30, 2015	Grants Management System Coordinator
8	Data Conversion Plan	4.1.8	As specified in Project Plan, but no later than February 6, 2015	Grants Management System Coordinator
9	Test Report	4.1.9	As specified in Project Plan, but no later than March 9, 2015	Grants Management System Coordinator
10	Operations and Maintenance Manual	4.1.10	As specified in Project Plan, but no later than March 31, 2015	Grants Management System Coordinator
11	Acceptance to Deploy	4.1.11	As specified in Project Plan, but no later than April 13, 2015	Grants Management System Coordinator
12	Project Closeout Report	4.1.12	As specified in Project Plan, but no later than May 8, 2015	Grants Management System Coordinator

5. Reports and Meetings

- The Vendor will be responsible for providing weekly status reports for the Grants Management System Modernization project by e-mail. These are due to the Grants Management System Coordinator by noon on Friday each reporting week throughout the life of the project.
- The status reports shall cover all work performed and completed during the period for which the status report is provided and shall present the work to be performed during the subsequent period. The status report template shall be provided by the Grants Management System Coordinator upon execution of this SOW. Reports shall include the following information at a minimum:
 - Status of Engagement Milestones

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- Status of Outstanding Action Items
 - Status of Engagement Deliverables
 - Risk Summary
 - Risk Mitigation Strategies
 - Security Issues
- The status report shall identify any problems encountered or still outstanding with an explanation of the cause and resolution of the problem or how the problem will be resolved.
 - Status meetings will be scheduled through the Project Plan.
 - Vendor will be responsible for conducting meetings with OPW Key Personnel and other staff to gather requirements and other activities. The Grants Management System Coordinator will assist with meeting coordination.
 - Vendor will be responsible for scheduling and conducting deliverables review meetings with the Grants Management System Coordinator and other applicable OPW staff to ensure understanding of recommendations and specific deliverable details.

6. Roles and Responsibilities

OPW will be responsible for

- Contract management of the work described in this SOW. OPW will designate a Grants Management System Coordinator who will be the point of contact for all project related communications and coordination.
- OPW will designate Key Personnel that will be available throughout the life cycle of the project to provide subject matter expertise.

The Vendor will be responsible for

- Overall project management of the Grants Management System Modernization project.
- Overall system development lifecycle activities to design, develop, and deploy a consolidated and modernized grants management system.
- Identifying the skill types and resource allocation requirements for Key Personnel within OPW to serve as subject matter experts on the project.

7. Period of Performance

All services under the Statement of Work shall be performed at an acceptable service level and in a manner consistent with the acceptable Project Management Institute (PMI) standards and software delivery artifacts identified within the DIR Project Delivery Framework extensions and other referenced standards. The period of performance in which the Vendor shall conduct and complete the work associated with this SOW are as follows:

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- The Project Start Date shall commence within one week (5 business day) of OPW's issuance of the Purchase Order and Statement of Work.
- Deliverable 4.1.1, Project Plan, is due within one week (5 business days) after the Project Start Date.
- The period within which the Vendor will execute the Project Plan shall be based on acceptance of Deliverable 4.1.1, but shall end no later than April 1, 2015.

8. Invoices

Upon completion of a deliverable and acceptance by OPW, the Vendor will submit an invoice to OPW setting forth amounts due to the Vendor in accordance with DIR-SDD-XXXX requirements.

Each invoice submitted must include the Purchase Order number and deliverable invoiced. Payment shall be in accordance with the Texas Prompt Payment Act, Texas Govt. Code, Section 2251.

Invoices shall be sent to:

Office of Parks and Wildlife
Attn: Invoice-OPW Accounting
Office of Parks and Wildlife
500 Bluebonnet Lane
Austin, TX 78701
Phone: 512-463-0000
Fax: 512-463-1111
Email: OPW_AP@opw.texas.gov

Prior to any payment being made, OPW must certify that the goods and services being invoiced have been received and approved by OPW.

9. Customer/Vendor-Furnished Equipment and Work Space

The Grants Management System Modernization project will be performed in Austin, Texas. OPW will provide a facility space for work and meetings for the Vendor team at OPW's office; however OPW will not provide phones, PC desktops nor VPN connection to the agency network.

OPW will provide access to the agency's Enterprise SharePoint site page limited to the folders designated for the project workspace. This SharePoint site and certain folders will serve as the repository for project management and product development assets and artifacts.

Other access and communications with the Grants Management System Coordinator and Key Personnel will be through electronic mail, conference calls and scheduled meetings and other appointments.

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The Vendor requires engagement with business and IT executives, subject matter experts, and internal IT staff. Vendor team members should be available by phone and e-mail during normal working hours. Normal working hours are from 8:00 AM until 5:00 PM Mondays through Fridays, except on holidays determined by the State of Texas.

10. Additional Customer Terms and Conditions

In addition to the DIR contract terms and conditions that govern the DBITS master contract, OPW includes the following terms and conditions:

- **DELIVERABLES ACCEPTANCE.** A critical deliverable in this Statement of Work is the Project Plan (Deliverable #1, SOW Para 4.1.1). Should OPW not accept the Vendor's Project Plan and choose to terminate the Statement of Work, OPW is not required to pay additional compensation to the Vendor for any costs resulting from OPW's termination of the SOW.
- **INCIDENTAL EXPENSES.** All expenses such as travel, telephone, parking and other miscellaneous and incidental expenses incurred by the Vendor shall be the responsibility of the Vendor. The Office of Parks and Wildlife will not reimburse for these types of expenses incurred before, during or after the term of this Purchase Order.

11. Pricing

In its SOW Response, the Vendor shall provide pricing for the deliverables-based services. The Vendor should also provide a summary of any assumptions and exclusions.

Pricing Sheet

SOW Paragraph	Deliverable Name	Price
4.1.1	Project Plan	
4.1.2	Requirements Definition Document	
4.1.3	Software Architecture Document	
4.1.4	Technical Design Document	
4.1.5	Interface Control Document	
4.1.6	Test Plan	
4.1.7	Deployment Plan	
4.1.8	Data Conversion Plan	
4.1.9	Test Report	
4.1.10	Operations and Maintenance Manual	
4.1.11	Acceptance to Deploy	

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SOW Paragraph	Deliverable Name	Price
4.1.12	Project Closeout Report	

12. Vendor Response Requirements

- The SOW Response must be in MS Word format with two (2) hard copies and one (1) electronic CD.
- The SOW Response must include a cover letter in the form of a standard business letter that provides an executive summary of the solution the Vendor plans to provide.
- The SOW Response must describe the Vendor's service capabilities including a detailed description of the Vendor's modernization methodology and its application to a minimum of three mid-size COBOL modernization engagements, defined by at least 500K lines of code, 50 logical record types, and more 30 batch interfaces and user screens.
- The SOW Response must include a detailed plan that (1) addresses how work on the project will be performed; (2) includes the research, analyses, and methodologies to be used; and (3) a detailed description of each deliverable to be provided.
- The SOW Response must describe the Vendor's staff capabilities including:
 1. Vendor organization chart
 2. Management team resumes
 3. Key project personnel resumes, including project roles.
- The SOW Response must include a binding cost for each deliverable in the format provided under Section 11, Pricing.
- The SOW Response must include a proposed deliverables schedule that supports project completion by no later than April 1, 2015.
- SOW schedule of events is planned as follows:
 1. Due date for submitting questions – July 10, 2014
 2. Due date for answering questions – July 14, 2014
 3. Due date for SOW Response – July 29, 2014
 4. Expected date for SOW Award – August 25, 2014
- All inquiries shall be submitted in writing to the OPW Purchasing Office by e-mail to sally.mander@opw.texas.gov by 5:00 pm (Central Daylight Time), on July 10, 2014.
- Responses to all written email inquiries will be sent to all potential vendors no later than July 14, 2014.
- All SOW responses must be received at the Office of Parks and Wildlife, 500 Bluebonnet Lane, Room Number 13-1, Austin, Texas 78701, no later than 3:00 p.m. C.D.T. on July 29, 2014.

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13. Evaluation and Award

- The Office of Parks and Wildlife shall evaluate and award a Statement of Work and issue a Purchase Order to the Vendor whose SOW Response is determined to provide the best value to the State of Texas. The Office of Parks and Wildlife reserves the right to award the Statement of Work without any negotiation and reserves the right not to make any award.
- The Office of Parks and Wildlife may elect to require vendors to provide oral presentations or to respond in writing to inquiries from the evaluation committee related to their SOW Responses.

EXAMPLE