STATE OF INDIANA

REQUEST FOR INFORMATION 19-110

INDIANA DEPARTMENT OF ADMINISTRATION

ON BEHALF OF THE
INDIANA DEPARTMENT OF ENVIRONMENTAL MANAGEMENT

SOLICITATION FOR:
TANKS MODERNIZATION PROJECT

RESPONSE DUE DATE:
MAY 3, 2019

John E. Helmer IV, Senior Account Manager
Indiana Department of Administration
Procurement Division
402 W. Washington St., Room W478
Indianapolis, Indiana 46204
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1.0 INTRODUCTION

This is a Request for Information (RFI) issued by the Indiana Department of Administration (IDOA) on behalf of the Indiana Department of Environmental Management (IDEM) regarding a Tanks Modernization Project for the Office of Land Quality within IDEM.

IDEM has launched an initiative to modernize underground storage tanks management through improved business processes and technology. This modernization project is expected to include the complete implementation of the Underground Storage Tank (UST) operations section (registration/notification processing and management of the Excess Liability Trust Fund (ELTF)); the UST compliance section including all the data collection, analysis, and internal/external documentation and correspondence of the inspection processes; and the Leaking Underground Storage Tank (LUST) section which corresponds with and issues demand letters to UST owners/operators and/or their consultants regarding regulatory requirements from a confirmed release to no further action required.

The Tanks Modernization Project should automate major IDEM management functions including a self-service portal, registration, notification, closure, compliance, remediation, monitoring, UST billing, ELTF, and claims processing. This project also wants the flexibility to interface with existing IDEM databases for permitting, enforcement, and financial functions.

IDEM’s preference is a highly configurable commercial off the shelf (COTS) product as opposed to a custom developed product; however, IDEM is open to creative alternatives.

It is the intent of IDOA to solicit responses to this Request for Information in accordance with the specifications contained in this document and associated attachments. Neither this RFI nor any response (proposal) submitted hereto is to be construed as a legal offer.

THE STATE MAY ELECT TO LIMIT PARTICIPATION IN ANY FUTURE COMPETITIVE SOLICITATION TO VENDORS THAT RESPOND TO THIS RFI.

2.0 RFI GENERAL INFORMATION

2.1 BACKGROUND AND OBJECTIVE OF THE RFI

The goal of this RFI is to gather general functionality and general pricing structures from vendors for the development of a potential Request for Proposal (RFP).

IDEM is interested in evaluating creative strategies, approaches, timelines, and costs for implementing a Tanks Modernization system that provides the earliest benefit to taxpayers and reflects the realization that time is the enemy of transformation projects.

IDEM is requesting information to formalize the scope of work for a potential RFP by allowing the vendor community to apprise IDEM on information that should be considered as part of the scope of work.
2.2 VENDOR QUALIFICATIONS

Qualified vendors must have the ability to deliver a dynamic system that has the functionality needed by Office of Land Quality’s Tanks branch, including electronic management of ELTF, a state-run insurance program for regulated underground storage tanks in alignment with one or more of the capability bundles outlined in Section 6.0 of this RFI.

Qualified vendors can be individual companies or consortiums.

3.0 INDIANA DEPARTMENT OF ENVIRONMENT MANAGEMENT OVERVIEW

3.1 MISSION STATEMENT

IDEM’s mission is to implement federal and state regulations to protect human health and the environment while allowing the environmentally sound operations of industrial, agricultural, commercial, and government activities vital to a prosperous economy. Additional information can be found on the IDEM web site (https://www.in.gov/idem/).

IDEM’s modernization mission is to review and improve our current processes and implement the most appropriate tools to deliver industry-leading, customer-centric services. IDEM goals include:

1) Provide a self-service portal to improve customer service both to our regulated UST owners and operators, and the citizens of Indiana.
2) Increase electronic data collection to reduce paper forms and improve data quality and operational efficiencies via a self-service portal
3) Establish robust reporting capabilities to allow for more informed and timely decision-making
4) Implement a modern technology solution that can be maintained internally, is scalable for future functionality, and reduces legacy systems risk.

3.2 OFFICE OF LAND QUALITY OVERVIEW

IDEM is a large environmental regulatory agency of approximately 800 staff in six locations that provides registration, notification, closure, permitting, compliance, enforcement, monitoring, remediation, UST billing, and technical support across air, land, and water media.

The Office of Land Quality’s Tanks Branch includes three program areas: Underground Storage Tanks (UST) Operations, UST Compliance and Leaking Underground Storage Tanks (LUST). The UST Operations section includes the registrations, notifications, and closures of underground tanks that may contain petroleum or other hazardous materials and the management of the excess liability trust fund (ELTF), Indiana’s main financial assurance mechanism to clean up petroleum releases.
The UST Compliance section conducts regulatory inspections on a three-year cycle of all the regulated underground storage tanks in Indiana. The inspection process begins in the office with a file review of the facility and then a request for missing or incomplete information from the UST owner/operator before an onsite inspection. IDEM needs this modernization process to capture additional details about tank systems being put in the ground and the contents of these systems because as fuel compositions change, the integrity of the systems may become compromised. Document management, pictures from inspections, and correspondence are needed.

The LUST section needs data of UST owner/operator/property owner at the time the release occurred. Even as new notification forms come into IDEM with updated UST owner/operator/property owner information, the historical information needs to be readily available for IDEM staff. LUST incidents from 1988 are eligible for reimbursement from ELTF, and there are still open releases from 1989. This section also deals with petroleum releases from unregulated tanks in Indiana. There needs to be functionality in the developed system to record this information and any remediation performed. The UST compliance team will not be involved, since these tanks are not regulated.

The UST regulations require UST owners/operators to notify IDEM when they install, close, or make changes to a UST system. Annually, each UST owner is billed for the number of compartments (some tanks are compartmentalized) that hold a regulated substance. Currently, these fees are sent per UST owner with all the facilities and tanks listed on one invoice. As part of this modernization process, IDEM would like to issue these annual invoices by facility.

Once there is a confirmed release, the Leaking Underground Storage Tank section will work with the regulated entity to determine the nature and extent of the release. LUST is the part of the UST branch that manages a release from initial site characterization through no further action in accordance with the UST regulations.

The LUST program is responsible for determining the nature and extent of the contamination and provides oversight of the corrective action. The primary program information includes determining the nature and extent of a release, oversight of corrective action, need for an environmental restrictive covenant, and issuing no further action letters.

The Excess Liability Trust Fund (ELTF) is the main financial assurance mechanism for Indiana UST owners and operators. IDEM seeks to implement cost control guidelines and pre-approval to expedite the reimbursement process and to eliminate fraud, waste, and abuse. The primary information managed by the ELTF program includes reimbursement to an eligible party, claims management, and cost controls.

4.0 CURRENT BUSINESS FUNCTIONS AND TECHNOLOGY FOOTPRINT

4.1 BUSINESS FUNCTIONS

This section is a consolidated summary of IDEM business functions related to underground storage tanks registration and inspection records, LUST site management, and ELTF reimbursement. IDEM’s tanks
modernization project mission is to modernize business functions and technologies to improve customer service, increase electronic data collection, establish robust reporting capabilities, and implement a modern technology solution.

While IDEM’s focus for this RFI is on UST and ELTF claims management, IDEM seeks assistance in managing other programs within the Office of Land Quality including Voluntary Remediation Program, State Cleanup, and Sampling. These programs are detailed in Attachment C – Business Function Detail.

The community regulated by these sections of IDEM runs the gamut from large, multinational companies to small, single site owners. Members of the regulated community often engage environmental consultants to assist them in complying with applicable regulations and the remediation of contamination. These external stakeholders regularly interface with IDEM on behalf of their clients and likewise relay information to their client from the agency. Consultants perform field activities including sampling, remediating contamination, and equipment testing, operation, and maintenance. The data and other information generated in this process are vital to IDEM’s mission in assuring adequate protection of human health and the environment. Once submitted, it is routed through the appropriate staff including technical specialists to generate the appropriate output to external stakeholders, such as a response letter, deficiency, violation, or denial/approval of the activity.

Additional detailed information on business functions can be found in Attachment C – Business Function Detail.

<table>
<thead>
<tr>
<th>Functions / Business Areas In-Scope</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>Registration</td>
<td>UST owner required to register underground storage tank (UST) systems with IDEM the first time a site (facility #) has USTs.</td>
</tr>
<tr>
<td>Notification</td>
<td>UST owner/operator required to notify IDEM of any changes in owner/operator/property owner, tank installation/closure, and any changes in the UST system.</td>
</tr>
<tr>
<td>Closure</td>
<td>UST owner/operator required to notify IDEM when tanks are closed. There is a list of regulatory requirements a closure report must include.</td>
</tr>
<tr>
<td>Compliance</td>
<td>Desk review of required paperwork, request for missing items, on-site inspection, and violation management. New UST regulations will increase the amount of paperwork required and items the inspector needs to “inspect.” Indiana is in the first year of a three year cycle of additional federal regulations.</td>
</tr>
<tr>
<td>Billing</td>
<td>Annually, each UST owner is issued an invoice to pay tank fees. IDEM bills the owner for all facilities/tanks in one invoice. Failure</td>
</tr>
<tr>
<td>Section</td>
<td>Description</td>
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<td>to pay these fees has ramifications on ELTF eligibility if the tank system has a release.</td>
<td></td>
</tr>
<tr>
<td>Release Reporting</td>
<td>Owner/operator required to notify IDEM of releases of contaminants from a UST. In certain circumstances, reporting of a suspected release is necessary. A confirmed release begins the LUST corrective action process.</td>
</tr>
<tr>
<td>COFAs</td>
<td>IDEM issues a certificate of financial assurance (COFA) to UST owners/operators when they register or notify of a change in owner/operator and do not provide an alternate form of financial responsibility. The COFA is comparable to an insurance policy from ELTF.</td>
</tr>
<tr>
<td>LUST</td>
<td>The LUST program oversees confirmed releases. UST owners/operators must complete an initial site characterization to determine the extent of the release. Monitoring is conducted so data can be assessed to determine how to mitigate the release. The LUST program issues a no further action once the release poses minimal risk. Many sites have environmental restrictive covenants on the property; therefore, long term restrictive covenants tracking is needed.</td>
</tr>
<tr>
<td>Sampling</td>
<td>The UST branch receives sampling data at closure and during remediation. For LUST, it is common to have 4 to 8 quarters of monitoring that needs to be evaluated to determine if the site can be closed or more remediation is necessary. SampDB is an IDEM database used by some programs in the Office of Land Quality for managing, monitoring, and sampling data. This database is used to collect and analyze LUST remediation data.</td>
</tr>
<tr>
<td>Self-Service Portal</td>
<td>Owners/operators/consultants to data enter and upload files for all the business processes in the tanks modernization project. UST owners/operators will enter registration/notification information into the system, and this information should give them a dashboard of all their sites, LUST incidents, and ELTF claims submittal/processing. This same portal would have a citizens component for public information requests. It should be searchable down to a street address.</td>
</tr>
<tr>
<td>ELTF Eligibility Determinations</td>
<td>Eligibility criteria pre July 1, 2016. Eligibility criteria on or after July 1, 2016.</td>
</tr>
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</table>
ELTF

ELTF is insurance for UST owners/operators to pay for remediation of a leak resulting from an ELTF eligible UST system. Current processing does not allow for data analytics to identify fraud, waste, and abuse of this fund. ELTF receives over 200 claims per month.

4.2 TECHNOLOGY FUNCTIONS AND INFRASTRUCTURE

IDEM’s Information Services team supports the agency’s IT needs through helpdesk and telecommunications support, database and application development, and project management. IDEM and the State of Indiana through the Indiana Office of Technology has significant infrastructure to support the above solutions and additional support, monitoring, and productivity tools. Additional information can be found on the IOT web site (https://www.in.gov/iot/2394.htm).

Essential integrations for system implementations may include Azure B2C, PeopleSoft, and payment portal through Indiana Interactive or Value Payment Systems. Additional integrations with IDEM systems may include, but not be limited to, the Virtual File Cabinet (VFC), IDEM’s enterprise regulatory management system TEMPO/RM, the agency’s Multimedia Enforcement Tracking System (METS), and others.

5.0 FUTURE REQUIREMENTS

5.1 PROCESS DRIVEN FUNCTIONAL REQUIREMENTS

IDEM is partnering with a vendor to complete process improvement workshops for the Office of Land Quality’s Underground Storage Tanks, Leaking Underground Storage Tanks and Excess Liability Trust Fund programs. The goals of the process improvement workshops are to:

1) Better understand the current state of the existing processes (including baseline process metrics).

2) Identify opportunities for improvement to the existing processes.

3) Define a future state process that improves the baseline process metrics, and gains the ability to measure the cost of service and evaluate the return on investment for any future implementations.

4) Complete current state and future state process diagrams.

IDEM is documenting functional and statutory requirements, along with Indiana specific legislative and policy mandates, as well as data requirements for the ‘future’ system in parallel to and in conjunction with the above process improvement workshops. A list of known Forms, Correspondences, Reports, and Interfaces that may be required to support the implementation of the UST and ELTF management system will also be developed in the process improvement workshops.
The development of functional requirements remains in progress as of the release of this RFI. The information provided in this section is subject to ongoing development and refinement. Please refer to Attachment F – Business Functional Requirements for a more detailed list of functional requirements.

5.2 TECHNICAL STANDARDS AND REQUIREMENTS

For an on-premise implementation, IDEM prefers .Net with Oracle. However, any implementation will have to conform and comply with all IDEM and IOT Security Standards. Additional information can be found on the IOT web site at https://www.in.gov/iot/2394.htm. The development of technical requirements remains in progress as of the release of this RFI. The information provided in this section is subject to ongoing development and refinement. Please refer to Attachment E for more information on our technical requirements.

5.3 SERVICE LEVEL REQUIREMENTS

Service levels for solution and infrastructure services are extremely important. IDEM expects strong, clear industry-leading service levels in order to transition to much higher levels of service than are currently being achieved. Service levels will be a key evaluation criteria during the RFP process. We will be seeking to understand any trade-off of cost versus performance clearly. The development of service level requirements remains in progress as of the release of this RFI. The information provided in this section is subject to ongoing development and refinement. Vendors should include a complete range of service levels they provide whether they are above or below those listed in Attachment E.

5.4 PROJECT RELATED REQUIREMENTS

IDEM has requirements for certain project related methodologies including, but not limited to, testing, training, and project management. While the areas are broad, IDEM believes that each is a critical area for meeting the end state objectives of the implementation. The development of project related requirements remains in progress as of the release of this RFI. The information provided in this section is subject to ongoing development and refinement. Refer to Attachment D for a more detailed list of project related requirements. Please use Attachment A to provide an overview of the approach to providing the below services.

PROJECT MANAGEMENT

The Tanks Modernization project is a significant investment for IDEM. As with any project, Indiana will require the vendor to follow a structured delivery methodology that includes status reporting, risk management, issue management, and budget and scope management.

While IDEM does not intend to dictate a methodology, we do expect that the vendor will specify an industry-proven methodology and align with that methodology during the execution of the project.
ORGANIZATIONAL CHANGE MANAGEMENT

One cause of failure for projects can be traced to a lack of active organizational change management. Organizational change management includes communication and messaging, change assessment, organization or operational redesign, and organizational go-live support.

IV&V

The State of Indiana mandates and IDEM strongly supports the need for project oversight services in the form of Independent Verification and Validation (IV&V). There is potential that this project may require the use of IV&V.

TRAINING

Training refers to the broader needs of preparing the organization to fully leverage the new capabilities of the UST and ELTF management systems, which may include performing skills assessment, identifying gaps, and developing targeted training. The actual execution of training may include presentations and demonstrations, hands-on simulations, virtual training, and instructor-led training (either vendor delivered or “train the trainer”).

TESTING

IDEM will need to confirm that the solution is functioning as designed ahead of a production release. The expectation is that the vendor will perform multiple rounds of testing and system confirmation throughout the project. Testing is expected to include unit testing, system testing, integration testing, conversion testing, regression testing, and user acceptance testing. The concept of testing would extend to training and dry runs of conversion and go-live activities.

DATA CONVERSION

The agency understands data conversion will be a major challenge for this project. The Vendor will be expected to work with IDEM resources in data conversion and in resolving any data issues during the conversion.

ANALYTICS

The agency has a desire to shift toward data-driven decision making and management, agency dashboards, interactive reports, and predictive modeling. The intent is to leverage analytics across all operational areas within the agency.

PROJECT TEAM EXPERIENCE

The experience of the project team is required to identify, resolve, and escalate project risks and issues appropriately, actively monitor the ongoing implementation, and confirm that IDEM can appropriately leverage the capabilities of the implemented solution. IDEM intends to stipulate specific requirements on the experience of key staff in the delivery of state-level UST and ELTF management systems. We intend to require key named staff and experience qualifications for, at a minimum, the following positions:
• Project Director/Delivery Executive
• Project Manager
• Technology Architect
• Configuration Expert
• Test Lead
• Business Analyst
• Database Analyst
• Development Team Lead
• Data Conversion Lead
• Training Lead

MAINTENANCE AND SUPPORT

Ongoing maintenance and support are key areas of focus both internally within the agency and externally amongst stakeholders. IDEM intends to specify standards related to software support, resolution of defects, onsite support, ongoing annual and legislative changes, and upgrades.

INTERNAL CONTROLS

IDEM expects that the underground storage tanks and ELTF management systems solution will include an established and proven internal control approach that includes business process monitoring, user access and control, and segregation of duties. These controls will include full audit logging, review, and monitoring capabilities.

6.0 IMPLEMENTATION ALTERNATIVES

6.1 CAPABILITY BUNDLES

IDEM requests sufficient information to understand the Vendor’s ability to implement all or substantially all components of their underground storage tanks and ELTF management system. While it is our strong desire to transition to a complete management system, it may be in our best interest to retain one or more current components, integrate components from other vendors, or develop and integrate components that have unique or strategic requirements.

Bundle 1: Vendor delivers everything. This option includes the full functionality requested for the underground storage tanks and ELTF management systems and is represented with the functional and non-functional requirements.
Bundle 2: Vendor delivers everything except underground storage tanks registration, notification, and closure functionality. The Vendor would provide all UST and ELTF management systems related requirements except registration, notification, and closure for underground storage tanks. The vendor would retain responsibility for developing integration between their system and IDEM’s existing registration, notification and closure system for UST.

Key:
- Included in Vendor Scope
- Not included in Vendor Scope
6.2 APPROACH, TIMELINE AND COST OPTIONS

IDEM requests that vendors provide options and recommendations for implementation approaches for each capability bundle. While we understand that there are several options available, we would welcome recommendations and impact on timing, cost, risk, and delivery of value from the vendor community. If there are any particular approaches that vendors would recommend the agency not adopt, please include an explanation based on cost, timeline, or risk.

IDEM recognizes this will be difficult given partial requirements and therefore will accept tight ranges for resources and costs. Please utilize Attachment A to provide your answers to the above options.

7.0 SUBMISSION REQUIREMENTS

7.1 RESPONSE FORMAT AND ATTACHMENTS

Respondents should submit responses to the RFI, utilizing Attachment A, describing how they will meet the specific requirements of this RFI and the deliverables included within. All narrative responses must be provided to the State in Microsoft Word format. Respondents must structure their response according to the sections outlined below to facilitate the State’s review of the responses. RESPONSE TEMPLATE — ATTACHMENT A SHOULD NOT BE MORE THAN 35 PAGES IN LENGTH.

If you would like to provide a response/feedback to this RFI for a potential RFP for IDEM, you must provide your response to State as shown in the RFI Timeline and Response Submission section below.

7.2 RFI TIMELINE

The following timeline is only an illustration of this RFI process. The dates associated with each step are not to be considered binding.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date</th>
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<tbody>
<tr>
<td>Issuance of RFI</td>
<td>April 3, 2019</td>
</tr>
<tr>
<td>Deadline to Submit Written Questions (3:00 PM Eastern Time)</td>
<td>April 10, 2019</td>
</tr>
<tr>
<td>Response to Written Questions/RFI Amendments</td>
<td>April 17, 2019</td>
</tr>
<tr>
<td>Due Date for Submissions</td>
<td>May 3, 2019</td>
</tr>
</tbody>
</table>
7.3 QUESTION / INQUIRY PROCESS

All questions/inquiries in regards to RFI 19-110 must be submitted in writing via email using Attachment B, Questions and Answers Template, by the deadline of April 10, 2019 by 3:00 PM ET to JHelmer@idoa.IN.gov. The email subject line should contain the following phrase:

“REQUEST FOR INFORMATION 19-110, QUESTIONS AND INQUIRIES.”

Following the question/inquiry due date, IDOA will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website as soon as possible. Only answers posted on the IDOA website will be considered official 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.

Please note that John E. Helmer IV is the State’s single point of contact for this RFI. Inquiries are not to be directed to any other staff member of the IDEM. Such action may disqualify respondent from further consideration in this RFI and any subsequent RFP process.

If it becomes necessary to revise any part of this RFI, or if additional information is necessary for a clearer interpretation of provisions of this RFI prior to the due date for submissions, an addendum will be posted on the IDOA website.

7.4 CLARIFICATIONS AND DISCUSSIONS

The State reserves the right to request clarifications on information submitted to the State. The State also reserves the right to conduct discussions, either oral or written, with the Respondents. These discussions could include requests for additional information, requests for cost information or technical requirements response attachment revision, etc. Additionally, in conducting discussions, the State may use information derived from the responses 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 who have been chosen for discussions.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

7.5 CONFIDENTIALITY

It is important to note that all information submitted in Respondent’s proposals to this RFI will be kept confidential and will not be made available to the public unless this RFI does not result in the release of a solicitation at a later date. If a solicitation results from this RFI, then the information contained in the proposal submissions for this RFI must be made available to the public once the resulting solicitation has been awarded and the protest period has ended.
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 award, the entire solicitation file may be viewed and copied by any member of the public, including news agencies and competitors.

Please note citing “Confidential” on an entire section is not sufficient. 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

Respondents claiming a statutory exception to the APRA must indicate so on a separate attachment labeled “Confidential Documentation Listing.” That document should include the following information:

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

When claiming confidential information, respondents should submit two versions of their response:

1) A confidential version (for the State’s review and evaluation)
   a. Confidential Information must be clearly marked in a separate folder.

2) A redacted version (for public records requests)

If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. The State also reserves the right to seek the opinion of the PAC for guidance if the State has doubts the cited exception is applicable.

Prices are NOT confidential information.

7.6 RESPONSE SUBMISSION INSTRUCTIONS

Firms interested in providing information to IDOA should submit responses via email to JHelmer@idoa.IN.gov. All responses must be received no later than May 3, 2019 by 3:00 PM ET. The subject line of the email submission must clearly state the following:

“RESPONSE TO REQUEST FOR INFORMATION 19-110”

Any information received after the due date and time may not be considered.

No more than one proposal per Respondent may be submitted.

Templates outlined in this document should be returned in their native file format.

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

Attachment A – Response Template

Attachment B – Questions and Answers Template

Attachment C – Business Function Detail

Attachment D – Project Related Requirements

Attachment E – Technical and Service Level Requirements

Attachment F – Business Functional Requirements