**22-71264 BUSINESS PROPOSAL**

**ATTACHMENT E**

**Instructions: Please provide answers in the shaded areas to all questions. Reference all attachments in the shaded area.**

***Business Proposal***

* + 1. **General -** Please 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 RFP.

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| Phoenix Data Corporation (PDC) is the current Document Center Services vendor. PDC has been providing Document Center Services to FSSA for 16 years while continually improving processes, reducing cost and meeting every KPI. We have learned the documents and processes along the way, adapting to changes and challenges while successfully providing reliable service and continually meeting and exceeding our KPI and SLA measurements. We have formed strong working relationships with the other partners and the various divisions in the FSSA project. We take all aspects of our contractual obligations while keeping our focus on one thing: helping our fellow Hoosiers in need by processing their documents in a timely manner with quality and precision. Team Phoenix is comprised of PDC, Professional Management Enterprises (PME) and Netlogx. |

* + 1. **Respondent’s Company Structure** - Please include in this section 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. 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. Please enter your response below and indicate if any attachments are included.

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| Please See Attachment 22-71264 Att E-2.3.2a Articles of Incorp AND Amended  Please See Attachment 22-71264 Att E-2.3.2b Organizational Chart |

* + 1. **Respondent’s Diversity, Equity and Inclusion Information -** With the Cabinet appointment of a Chief Equity, Inclusion and Opportunity Officer, on February 1, 2021, the State of Indiana sought to highlight the importance of this issue to the state. Please share leadership plans or efforts to measure and prioritize diversity, equity, and inclusion. Also, what is the demographic compositions of Respondents’ Executive Staff and Board Members, if applicable.

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| Phoenix Data Corporation maintains an affirmative action program for the purpose of proactively seeking employment and advancement in employment of qualified protected veterans, individuals with disabilities, women, and minorities. As a government contractor, we are responsible for developing and implementing affirmative action plans that include specific action-oriented programs and goals designed to advance the principles of equal opportunity in the recruitment, selection, advancement, and compensation of qualified protected veterans, individuals with disabilities, women, and minorities. |

* + 1. **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 RFP. 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 RFP.**

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| Please See Attachment 22-71264 Att E-2.3.4a Dun Bradstreet Report  Please See Attachment 22-71264 Att E-2.3.4b Audited Financial Statements for 2020 and 2021\_Not Redacted  Please See Attachment 22-71264 Att E-2.3.4b Audited Financial Statements for 2020 and 2021\_REDACTED |

* + 1. **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).

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| Please See Attachment 22-71264 Att E-2.3.5 Integrity of Company Structure Statement from CPA Firm |

* + 1. **Contract Terms/Clauses** - Please provide the requested information in RFP Section 2.3.6. Additional rows may be added if necessary.

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| **Contract Term**  **Identifier and Header** | **Suggested Language Change** | **Rationale for suggested change** |
| Contract Terms Accepted | No Changes Requested |  |
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* + 1. **References** - Reference information is captured on **Attachment H** Respondent should complete the reference information portion of the **Attachment H** which includes the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information if the State elects to do so. The rest of **Attachment H** should be completed by the reference and **emailed DIRECTLY** to the State. The State should receive three (3) **Attachment Hs** from clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. **Attachment H** should be submitted to [idoareferences@idoa.in.gov](mailto:idoareferences@idoa.in.gov). **Attachment H** should be submitted no more than ten (10) business days after the proposal submission due date listed in Section 1.24 of the RFP. Please provide the customer information for each reference.

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| **Customer 1** |  |
| Legal Name of Company or Governmental Entity | Dept. of Family Social Services Agency |
| Company Mailing Address | 402 W. Washington St., Room W-392 |
| Company City, State, Zip | Indianapolis, IN 46204 |
| Company Website Address | [www.in.gov/fssa](http://www.in.gov/fssa) |
| Contact Person | Deb Moffett |
| Contact Title | Retired, FSSA Division of Family Resources |
| Company Telephone Number | 317-504-6137 |
| Company Fax Number |  |
| Contact E-mail | [debcrosby99@gmail.com](mailto:debcrosby99@gmail.com) |
| Industry of Company | State of Indiana |
| **Customer 2** |  |
| Legal Name of Company or Governmental Entity | Department of Treasury Alcohol and Tobacco Tax and Trade Bureau |
| Company Mailing Address | 550 Main Street, Suite 8002 |
| Company City, State, Zip | Cincinnati, OH 45202 |
| Company Website Address | <https://www.ttb.gov/> |
| Contact Person | Christopher Smith |
| Contact Title | Contracting Officer Representative (COR) |
| Company Telephone Number | 513-684-6068 |
| Company Fax Number | N/A |
| Contact E-mail | [Christopher.Smith@ttb.gov](mailto:Christopher.Smith@ttb.gov) |
| Industry of Company | Federal Government |
| **Customer 3** |  |
| Legal Name of Company or Governmental Entity | Resultant |
| Company Mailing Address | 111 Monument Circle, Suite 202 |
| Company City, State, Zip | Indianapolis, IN 46204 |
| Company Website Address | [www.resultant.com](http://www.resultant.com) |
| Contact Person | Dave Work |
| Contact Title | Sr. Manager-Professional Services |
| Company Telephone Number | 317-452-1700 |
| Company Fax Number | N/A |
| Contact E-mail | [dwork@resultant.com](mailto:dwork@resultant.com) |
| Industry of Company | Data/Technology Solutions |

* + 1. **Registration to do Business** – Per RFP 2.3.8,Respondents providing the products and/or services required by this RFP must be registered to do business by the Indiana Secretary of State. The Secretary of State contact information may be found in Section 1.18 of the RFP. 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. Please indicate the status of registration, if applicable. Please clearly state if you are registered and if not provide an explanation.

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| Please See Attachment 22-71264 Att E-2.3.8a Secretary of State Certificate of Existence2022-0519  Please See Attachment 22-71264 Att E-2.3.8b State & City WBE Certificates |

* + 1. **Authorizing Document -** Respondent personnel signing the Executive Summary of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement. Please enter your response below and indicate if any attachments are included.

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| Please See Attachment 22-71264 Att E-2.3.9a By-Laws  Please See Attachment 22-71264 Att E-2.3.9b Annual Resolutions |

* + 1. **Diversity Subcontractor Agreements** -

1. Per RFP Section 1.21, Minority & Women’s Business Enterprises (MBE/WBE), and 1.22 Indiana Veteran Owned Small Business Subcontractor (IVOSB), explain process followed to engage with potential MBE, WBE and IVOSB owned, Indiana certified businesses listed on Division of Supplier Diversity site. List the businesses invited to discuss the opportunity for potential partnership.

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| PDC has long term ongoing relationships with multiple MBE’s and WBE’s. For this engagement we reached out to partners who have relevant experience for this bid and have partnered with us on previous opportunities (PME and netlogx). |

1. If not proposing each MBE, WBE or IVOSB subcontractor partnership, explain the rationale for declining to do so. Complete this for each category not proposed.

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| N/A – see above, IVOSB is not required for this contract. |

* + 1. **General Information** - Each Respondent must enter your company’s general information including contact information.

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| **Business Information** |  |
| Legal Name of Company | Phoenix Data Corporation |
| Contact Name | Carol L. Curran |
| Contact Title | President/CEP |
| Contact E-mail Address | [ccurran@phoenixdatacorporation.com](mailto:ccurran@phoenixdatacorporation.com) |
| Company Mailing Address | 5777 N. Post Road |
| Company City, State, Zip | Indianapolis, IN 46216 |
| Company Telephone Number | 317-354-1187 |
| Company Fax Number | 317-354-1369 |
| Company Website Address | [www.phoenixdatacorporation.com](http://www.phoenixdatacorporation.com) |
| Federal Tax Identification Number (FTIN) | 35-2136230 |
| Number of Employees (company) | 65 |
| Years of Experience | 21+ |
| Number of U.S. Offices | 5 |
| Year Indiana Office Established (if applicable) | 2001 |
| Parent Company (if applicable) | Phoenix Intelligent Information Group |
| Revenues ($MM, previous year) |  |
| Revenues ($MM, 2 years prior) |  |
| % Of Revenue from Indiana customers |  |

* 1. Does your Company have a formal disaster recovery plan? Please provide a yes/no response. If no, please provide an explanation of any alternative solution your company has to offer. If yes, please note and include as an attachment.

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| Yes, each individual contract site has a formal disaster recovery plan.  Please See Attachment 22-71264 Att E-2.3.11 Business Continuity Plan DocCenter |

* 1. What is your company’s technology and process for securing any State information that is maintained within your company?

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| PDC saves all State information on designated State Systems. All PDC information related to our SOP’s are retained at Lifeline Data Centers in their HIPAA HITRUST, FedRAMP High ready facility and backed up at their Fort Wayne Data Center. PDC currently complies with all Cybersecurity Maturity Model Certification (CMMC) at Level 3 compliance. |

* + 1. **Experience Serving State Governments -** Please provide a brief description of your company’s experience in serving state governments and/or quasi-governmental accounts.

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| PDC has served the State of Indiana FSSA since 2006 to current on this specific contract for Document Center Services. Additionally, PDC has previously served the Indiana Department of Revenue, Indiana Department of Education, Indiana Department of Workforce Development and Indiana Department of Child Services. Currently also has active State Government contracts in Connecticut, Indiana, New Jersey and New York providing help desk/call center services for early intervention services. |

* + 1. **Experience Serving Similar Clients -** Please describe your company’s experience in serving customers of a similar size to the State with similar scope. Please provide specific clients and detailed examples.

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| PDC provided services for the Federal Alcohol and Tobacco Tax and Trade Bureau (TTB) within the Department of the US Treasury until January 2022. This work is performed onsite at the TTB offices located in Cincinnati, Ohio. PDC performed administrative and support services including records management, data entry services, mailroom services, indexing, clerical services, customer support, reception services, scanning, processing operational reports, processing tax documents, and performing file maintenance. Tasks were completed according to the established standards of performance as outlined by a Quality Assurance Surveillance Plan (QASP). PDC developed and implemented a new data capture solution for all original paper applications and amendments received by mail or fax into their Permits Online (PONL) system. PDC successfully converted and indexed their historical file room of 6M documents into electronic images in the TTB electronic records management system. This contract included the receipt and distribution of documentation and all the supporting office efforts necessary for TTB employees to work these case file with their clients. PDC served in both prime and subcontractor positions on this contract since 2012.  PDC currently serves as a major subcontractor to Resultant on a contract with the Internal Revenue Service (IRS) Enterprise Digitalization and Case Management Office (EDCMO). The contract, entitled “Scanning as a Service” is a pilot program to digitize approximately one billion paper files. PDC is responsible for receiving, scanning, performing quality assurance, storing, and returning the paper gift tax returns. PDC performs this contact within its NARA-compliant operations and storage facility in Indianapolis utilizing high performing ibml Fusion 7300 scanners. The systems and their components are all accessed through our HIPAA HITRUST, FedRAMP High ready GovCloud according to role-based user access. Our system security is based on Virtual Desktop Infrastructure. VDI Architecture is perfectly designed for HSPD-12/CAC card access. Our VDI includes built-in backup and built-in disaster recovery with fully redundant hardware and dual active sites. It controls the endpoints of each connection onto the network, based on DoD regulations and correctly maintains required evidence tracking. The IRS recently conducted a FISMA Contractor Security Assessment which resulted in zero Cybersecurity findings, the IRS informed us that we were the only current IRS Vendor without a cybersecurity finding. We did have a few privacy findings that were resolved immediately after the assessment so there were no items listed on a POAM.  PDC currently serves as a major subcontractor to MicroHealth, LLC under a 10-year Department of State (DOS) contract entitled “Protected Health Information Management Systems.” In that role, PDC provides the following services: inspection, indexing, scanning, packing, shipping, and NARA storage of approximately 200,000 original medical records (entailing 3M+ pages), including paper files, radiographic images, photos, recordings, and other artifacts. All electronic records generated by PDC are NARA-compliant searchable (OCR) PDF documents, which are in color and have a resolution of at least 300 DPI. All records are indexed using nine pre-defined fields. Index information is electronically transcribed to an external record identifier system. All digital data is transferred to either CD, digital video disk, or FIPS 140-2 certified hard drives. Access to each system module is restricted according to user based roles and clearances at the field level up to Controlled Unclassified Information (CUI) security levels. If a user does not have security approval to access a field or window, they do not have visibility to it. Our workstations for our scanning, indexing and data entry operations are dummy terminals with no internal storage, USB ports or external devices or ports. PDC provides experts in security controls and have experience in working with Accrediting Officers in developing ICD 705, ICD 503, DCID 6-3 and CNSSI 1253 compliance. PDC has a deep understanding of security standards and how those standards overlay NIST 800-53 R4. PDC holds a Secret Facility Clearance, and all Facility personnel hold a Secret clearance.  The DOS work includes the entire Electronic Records Management (ERM) lifecycle including NARA storage of CUI documents, records disposition schedules and destruction. We process all kinds of digital media including cds, dvds, x-rays, etc.. We have even received foreign currency that we have to scan and document. Whatever is received in a box needs to be documented and digitized. We are in the process of switching ERM systems to meet FedRAMP High and DOD standards. This will integrate Artificial Intelligence (AI) and handwriting capture to increase the speed of processing and minimize the number of staff needed to perform data entry/indexing. We are doing a pilot of the new system over the next two months. Our current system already meets NARA universal ERM requirements. Our entire facility was built around NARA standards. We will also be integrating the records into an EHR system over the next few years.  For more than sixteen years, PDC has operated a successful document center onsite for the State of Indiana, Family Social Services Administration (FSSA) as part of the Indiana Eligibility Modernization Program. PDC manages a mail room and document storage facility for indexing, scanning and data entry operations to process Indiana eligibility applications and supporting documentation. Their team uploads the information into the eligibility system for state case workers to make the final eligibility determinations. PDC receives mail, fax, and electronic documents. PDC operates to service level objectives that require 90% of all documents to be scanned and completely processed on the same business day of receipt and with a classification accuracy of 98%. PDC has held prime contracts with FSSA since 2009 and began the work as a subcontractor in 2006. During its contract, while exceeding all performance expectations, PDC’s services have expanded from one county to all 92 counties in the state of Indiana. This project requires the identification and digitization of 500 document types. Each type is programmed into the system to identify the fields for capture. When PDC started the project the expectation was that there would be between 10-15 document types. PDC utilizes OPEX scanners and the Captiva OCR software engine resulting in images of at least 300 Dots Per Image (DPI). All digitized documents are electronically transmitted from Captiva to the FSSA system and go directly into the Eligibility Specialists electronic queues. PDC uses certified Project Management Professionals (PMP) and a System Development Life Cycle (SDLC) approach to successfully manage and meet all our SLA measurements for this multi-phase development and implementation cycle. We progressed through each project management phase, including project planning, analysis/requirements, design, development/testing, implementation, and maintenance/enhancements. |