**21-67029 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 including background information about your company.

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| DiplomaSender is committed to regard every interaction as an opportunity to learn; to take full responsibility for its actions and results regardless of circumstances. DiplomaSender is committed to the masterful practice of integrity and keeping agreements; and to be the solution that is needed: seeing what is missing in the world as an invitation to become that which is required. DiplomaSender is thankful to the Conscious Leadership Group for being to DiplomaSender what DipomaSender aspires to be to the High School Equivalency community.  For readability and conservation of space, the initials DS will substitute for the company name DiplomaSender.  Jurisdictions rely upon DS to accurately and quickly provide official and legal presentation of an academic record in a prescribed format. One that blends the best of all past and present documents into a fraud resistant official and legal presentation of an academic record.  Recipient access of a test taker’s official academic record relies on DS simple order design borrowed from Amazon and other e-commerce sites. An order process that is effective for them, and well known to test takers using DS website.  Customer assistance at DS answers test taker questions about documents, distribution, PII, and academic records. DS merges phone, email, and chat conversations organized by date or type. The customer support history is easily accessible to the authorized user and test taker.  DS embraces customer conversations as the opportunity to learn and improve through curiosity and acceptance.  DS organizes academic history associated with a test taker by gathering all of known sources of physical and electronic information.  The result is a single academic record assembled from all information sources.  DS website is a portal for test takers, associates, and advocates to view, manage, and distribute academic records.  The site integrates customer assistance with self-service.  Presenting state leadership with academic information, and resources for High School Equivalency program planning.  DS focus is on the test taker whose activities create academic information. DS increases access to each test taker’s academic information. Providing an intuitive and simple experience to view, modify personal contact information, challenge accuracy of the academic information, and obtain official documentation that is constantly improving. Being the resolution that is needed by seeing what is missing and creating what is required.  DS associates with state administration and publishers as the agencies whose services organize academic information. Structuring collegial relationships to improve the delivery of services to test takers and advocates is the collective responsibility of this association. DS is committed to creating win-for-all results for organizations associated with DS  Advocates provide services to gather academic information and facilitate opportunity for test takers. These advocates are third-party organizations, government agencies, and correctional officials whose vetting by DS and state administrators assures they are qualified to access academic records.  Advocates are valuable resources to DS, by assimilating their processes, DS enhances the quality and swiftness of verifications.  DS is committed to experiencing associates, advocates, and test takers as allies that are perfectly qualified to help DS learn what is most important for the benefit of the High School Equivalency community. |

* + 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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| Lilac LLC, DBA is a limited liability corporation formed in Oklahoma. DS’s sole business venture is education records management.   “**LILAC, LLC Oklahoma Certificate of Good Standing - DS” is attached.**  “**Organizational Chart 05 10 2021 - DS” is attached.** |

* + 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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| **“Dunn & Bradstreet Business Report 04 29 2021 - DS” is attached** |

* + 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 particular 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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| The CEO of Lilac LLC dba DiplomaSender (DS), Adam Hughey, takes personal responsibility for the thoroughness and correctness of all financial information supplied in this proposal. The company undergoes annual external auditing to attest to service organization controls.  The effectiveness of controls cannot rise above the integrity and ethical values of the people who create, administer, and monitor them. Integrity and ethical values are essential elements of DS’s control environment, affecting the design, administration, and monitoring of other components. Integrity and ethical behavior are the product of DS’s ethical and behavioral standards, how they are communicated, and how they are reinforced in practices. They include management’s actions to remove or reduce incentives and temptations that might prompt personnel to engage in dishonest, illegal, or unethical acts. They also include the communication of entity values and behavioral standards to personnel through policy statements and codes of conduct, as well as by example.  Specific control activities that the service organization has implemented in this area are described below:   * Formally, documented organizational policy statements and codes of conduct communicate entity values and behavioral standards to personnel. * Policies and procedures require collaborators to sign an acknowledgment form indicating they have been given access to the collaborator manual and understand the responsibility for adhering to the policies and procedures contained within the manual. * A confidentiality statement agreeing not to disclose proprietary or confidential information, including client information, to unauthorized parties is a component of the collaborator onboarding. * Background checks are performed for collaborators as a component of the hiring process.   *Commitment to Competence*  DS’s management defines competence as the knowledge and skills necessary to accomplish tasks that define employees’ roles and responsibilities. Management’s commitment to competence includes management’s consideration of the competence levels for particular jobs and how those levels translate into the requisite skills and knowledge.  Specific control activities that the service organization has implemented in this area are described below:   * Management has considered the competence levels for particular jobs and translated required skills and knowledge levels into written position requirements. * Training is provided to maintain the skill level of personnel in certain positions. * Skills and knowledge are assessed annually.   *Management’s Philosophy and Operating Style*  DS’s management philosophy relies upon the 15 Commitments (15C) of Conscious Leadership listed below:   1. Taking responsibility 2. Learning through curiosity 3. Feeling feelings all the way through 4. Speaking and listening with candor 5. Ending gossip 6. Integrity of feelings, truth, and agreements 7. Giving and receiving appreciation 8. Expressing and encouraging genius 9. Creating a life of play 10. Opposite of my story is equally true 11. Source of approval is internal 12. What experience is enough 13. People and circumstances are allies 14. Create a win for All 15. Being the resolution for what is needed   The 15Cs expand management’s business risk assessment and alignment of those risks to the values espoused in the 15Cs. The above listed 15 commitments were created by The Conscious Leadership Group.  *Organizational Structure and Assignment of Authority and Responsibility*  DS’s organizational structure provides the framework within which its activities for achieving entity-wide objectives are planned, executed, controlled, and monitored. Management believes establishing a relevant organizational structure includes considering key areas of authority and responsibility. An organizational structure has been developed to suit its needs. This organizational structure is based, in part, on its size and the nature of its activities.  DS’s assignment of authority and responsibility activities include factors such as how authority and responsibility for operating activities are assigned and how reporting relationships and authorization hierarchies are established. It also includes policies relating to appropriate business practices, knowledge, and experience of key personnel, and resources provided for carrying out duties. In addition, it includes policies and communications directed at ensuring personnel understand the entity’s objectives, know how the individual actions interrelate and contribute to those objectives, and recognize how and for what they will be held accountable.  Specific control activities that the service organization has implemented in this area are described below:   * Organizational charts are in place to communicate key areas of authority and responsibility. * Organizational charts are communicated to collaborators and updated as needed. * Organizational charts are published to the company website. |

* + 1. **Contract Terms/Clauses** - Please provide the requested information in RFP Section 2.3.5.

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| DS accepts all the mandatory contract terms. DS does not require additional contract terms. |

* + 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 either **mailed or 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) or mailed to the address listed in section 1.8 of the RFP. 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 | Commonwealth of Pennsylvania Department of Education |
| Company Mailing Address | 333 Market Street |
| Company City, State, Zip | Harrisburg, PA 17126 |
| Company Website Address | https://www.education.pa.gov/Postsecondary-Adult/GED%20and%20Commonwealth%20Secondary%20School%20Diploma/Pages/default.aspx#.VwVadfkrJaR |
| Contact Person | Mary Kay Peters |
| Contact Title | High School Equivalency Administrator |
| Company Telephone Number | 717-783-6861 |
| Company Fax Number |  |
| Contact E-mail | mkpeters@pa.gov |
| Industry of Company | Postsecondary, Adult Education, and High School Equivalency |
| Brief description of deliverables produced for the reference. | DiplomaSender is the exclusive provider of the Commonwealth of Pennsylvania High School Equivalency diploma, transcript, and HSE data management. |
| **Customer 2** |  |
| Legal Name of Company or Governmental Entity | Massachusetts Department of Education |
| Company Mailing Address | 75 Pleasant Street |
| Company City, State, Zip | Malden, MA 02148-4906 |
| Company Website Address | http://www.doe.mass.edu/hse/generalinfo.html |
| Contact Person | Mike Farma |
| Contact Title | High School Equivalency Specialist |
| Company Telephone Number | 781-338-3836 |
| Company Fax Number |  |
| Contact E-mail | michael.a.farma@mass.gov |
| Industry of Company | Adult Education and High School Equivalency |
| Brief description of deliverables produced for the reference. | DiplomaSender is the exclusive provider of the Commonwealth of Massachusetts High School Equivalency diploma, transcript, and HSE data management |
| **Customer 3** |  |
| Legal Name of Company or Governmental Entity | Ohio Department of Education |
| Company Mailing Address | 25 South Front Street |
| Company City, State, Zip | Columbus, OH 43215-4183 |
| Company Website Address | http://education.ohio.gov/Topics/Testing/Ohio-Options-for-Adult-Diploma/HSE |
| Contact Person | Sandra Phipps |
| Contact Title | State HSE Administrator Program Administrator II |
| Company Telephone Number | 614-466-1577 |
| Company Fax Number |  |
| Contact E-mail | sandra.phipps@education.ohio.gov |
| Industry of Company | Adult Education and High School Equivalency |
| Brief description of deliverables produced for the reference. | DiplomaSender is the exclusive provider of the State of Ohio High School Equivalency diploma, transcript, and HSE data management |

**2.3.7 Registration to do Business -** Selected out-of-state Respondents providing the products and/or services required by this RFP must be registered to do business within the State by the Indiana Secretary of State and the Indiana Department of Administration, Procurement Division. The address contact information for this office 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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| DS is registered with Indiana Secretary of State (Business ID: 2011033100423) and the Indiana Department of Administration, Procurement Division (Bidder ID:  0000041158). |

* + 1. **Authorizing Document -** Respondent personnel signing the Transmittal Letter 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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| **“Consent to install Adam Hughey as President and CEO - DS” is attached.** |

* + 1. **Subcontractors -** The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent’s proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.  
         
       Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products and services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor’s related qualifications and experience. The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State’s evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.  
         
       The Respondent must list any subcontractor’s name, address, and the state in which formed that are proposed to be used in providing the required products and/or services. The subcontractor’s responsibilities under the proposal, anticipated dollar amount for subcontract, form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority Business Enterprises or Women’s Business Enterprises under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women’s Business Enterprises information. Please enter your response below and indicate if any attachments are included.

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| DS will not use any subcontractors to provide the required products and/or services. |

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

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| **Business Information** |  |
| Legal Name of Company | Lilac, LLC |
| Contact Name | DiplomaSender |
| Contact Title | President and CEO |
| Contact E-mail Address | [adam.hughey@diplomasender.com](mailto:adam.hughey@diplomasender.com) |
| Company Mailing Address | 2745 Broce Dr. |
| Company City, State, Zip | Norman, OK, 73072 |
| Company Telephone Number | 302-766-5058 |
| Company Fax Number | n/a |
| Company Website Address | <https://diplomasender.com/> |
| Federal Tax Identification Number (FTIN) | 27-4154848 |
| Number of Employees (company) | 29 |
| Years of Experience | 10 |
| Number of U.S. Offices | 1 |
| Year Indiana Office Established (if applicable) | n/a |
| Parent Company (if applicable) | n/a |
| Revenues ($MM, previous year) | 3.4 |
| Revenues ($MM, 2 years prior) | 2.7 |
| % Of Revenue from Indiana customers | ~7% |

* 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. The disaster recovery plan is externally audited on an annual basis as part of DS’s commitment to maintain SOC 2 Type 2 compliance.  The disaster recovery plan is confidential and therefore not included. It is available to be sent directly for review outside of the public proposal. |

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

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| DS is committed to maintaining SOC 2 Type 2 compliance, part of that compliance is an audit of our security, privacy, and confidentiality controls and policies. Bellow is the encryption policy for DS:  DiplomaSender is committed to maintaining the security and privacy of the confidential information we administer. To ensure the privacy of this information and to comply with regulatory requirements, DiplomaSender will use best practices for encrypting data both at-rest and in-transit.  Below are guidelines outlining specific requirements that DiplomaSender will follow for data and services maintained in our environment. Any exceptions to these practices are not supported unless approved by DiplomaSender management and formally documented.  **Confidential Data at Rest:**  Data at rest must be encrypted using 256-bit AES encryption, which is FIPS 140-2 and PCI DSS 3.2 compliant. Acceptable technologies include but are not limited to:  • Transparent Data Encryption for SQL databases  • Azure storage encryption for Azure storage accounts  • Storage Service Encryption for Azure Virtual Machine managed disks  **Confidential Data in Transit:**  Data in transit must be encrypted using FIPS 140-2 and PCI DSS 3.2 compliant encryption methods. Acceptable technologies include but are not limited to:  • SSL TLS 1.2 and verified certificates for Web and API services  • SSL TLS 1.2 and verified certificates for FTPS and FTPES services  **Certificates:**  All DiplomaSender certificates will be generated by Microsoft Azure and applied to all DiplomaSender Web and API App Services, SQL Server Reporting Services, FTP Servers, and any service endpoints maintained by DiplomaSender that are in the diplomasender.com domain. Certificates will be configured to auto-renew every year unless a new certificate is manually created prior to the yearly renewal date with the approval of DiplomaSender IT management.  **“Service Organization Controls SOC 3 Report - DS” is attached** |

* + 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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| DS has maintained contracts with state governments since 2011 DS does not have quasi-government accounts nor public sector accounts.. DS has provided services in the states of: Alaska, California, Colorado, Delaware, District of Columbia, Idaho, Indiana, Iowa, Kansas, Massachusetts, Maine, Michigan, Mississippi, Nevada, New Mexico, North Carolina, Ohio, Oklahoma, Oregon, Pennsylvania, Tennessee, West Virginia, and Wyoming. |

* + 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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| DS provides managed HSE services for each of our client states. Currently DS provides HSE data management and document distribution services in States including, but not limited to: Colorado, Delaware, District of Columbia, Iowa, Massachusetts, Maine, Michigan, Mississippi, Nevada, New Mexico, North Carolina, Ohio, Oklahoma, Pennsylvania, Tennessee, West Virginia, and Wyoming. Exact services provided vary by state, however, functioning as the HSE database of record, managing HSE data, maintaining the credentialing database, distributing documents, and managing customer service for test takers are the core services consistent across all client states. |

* + 1. **Indiana Preferences** - Pursuant to IC 5-22-15-7, Respondent may claim only one (1) preference. For the purposes of this RFP, this limitation to claiming one (1) preference applies to Respondent’s ability to claim eligibility for Buy Indiana points. Respondent must clearly indicate which preference(s) they intend to claim. Additionally, the Respondent’s Buy Indiana status must be finalized when the RFP response is submitted to the State.

**Buy Indiana**

Refer to Section 2.7 for additional information.

Indicate which preference(s), if any, Respondent intends to claim.

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| DS does not claim any preference. DS is an Oklahoma registered limited liability corporation. |

* + 1. **Reserved**
    2. **IOT Additional Terms and Conditions** - Additional Terms and Conditions related to Cloud-based systems that the State expects to execute with the successful Respondent is provided in Attachment B1. Respondents will be required to agree to one the following sets of Additional Terms and Conditions, if applicable:
* Attachment B1 – IOT Additional Terms and Conditions - Software as a Service Engagements (SaaS)

Review these Additional Terms and Conditions and indicate acceptance and/or any redlined edits, via Track Changes. It is the State’s strong desire to not deviate from the Additional Terms and Conditions that provided in these attachments and as such the State reserves the right to reject any and all requested changes. Any or all portions of this RFP and any or all portions of your response may be incorporated as part of the final contract.

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| DS has reviewed and accepts the Additional Terms and Conditions outlined in Attachment B1 – IOT Additional Terms and Conditions - Software as a Service Engagements (SaaS) |