

REQUEST FOR PROPOSALS FOR PROFESSIONAL SERVICES



INTEGRATED REVENUE ADMINISTRATION SYSTEM

ISSUED BY GOVERNMENT SUPPORT SERVICES

CONTRACT NUMBER FIN19001-REVENUE

Table of Contents

1 Section One – General Information and Requested Products and Services..... 8

1.1 Executive Summary..... 8

1.1.1 Purpose 8

1.1.2 Goals..... 8

1.1.3 History 9

1.1.4 COTS..... 10

1.1.5 Review 10

1.1.6 Data Warehouse 11

1.1.7 Low Customization..... 11

1.1.8 10 Year Agreement 11

1.1.9 Warranty Period..... 11

1.1.10 Implementation Location..... 12

1.1.11 Unclaimed Property 12

1.1.12 Background 12

1.1.12.1 Department of Finance 12

1.1.12.2 Division of Revenue..... 13

1.1.12.2.2 Tax and Revenue Enforcement..... 16

1.1.12.2.3 Tax and Revenue Policy 17

1.1.13 Office Locations, Access Mechanisms..... 17

1.1.14 Organization Chart 18

1.1.15 Minimum Qualifications and Mandatory Requirements 20

1.1.16 IRAS Context View..... 21

1.1.17 Glossary of Terms..... 21

1.2 Proposal Response Schedule 22

1.2.1 Mandatory Pre-bid Meeting 22

STATE OF DELAWARE DIVISION OF REVENUE

1.3 Transmittal Letter 23

1.4 RFP Issuance..... 23

 1.4.1 Public Notice 23

 1.4.2 Obtaining Copies of the RFP 23

 1.4.3 Assistance to Vendors with a Disability 23

 1.4.4 RFP Designated Contact 23

 1.4.5 Consultants and Legal Counsel 24

 1.4.6 Contact with State Employees 24

 1.4.7 Organizations Ineligible to Bid 24

 1.4.8 Exclusions 24

1.5 RFP Submissions..... 25

 1.5.1 Acknowledgment of Understanding of Terms 25

 1.5.2 Proposals 25

 1.5.3 Proposal Modifications 25

 1.5.4 Proposal Costs and Expenses 26

 1.5.5 Proposal Expiration Date 26

 1.5.6 Late Proposals 26

 1.5.7 Proposal Opening..... 26

 1.5.8 Non-Conforming Proposals..... 26

 1.5.9 Concise Proposals 26

 1.5.10 Realistic Proposals..... 26

 1.5.11 Confidentiality of Documents 26

 1.5.12 Price Not Confidential 27

 1.5.13 Multi-vendor Solutions (Joint Ventures)..... 27

 1.5.13.1 Primary Vendor 28

 1.5.13.2 Subcontracting 28

 1.5.13.3 Multiple Proposals 28

 1.5.13.4 Subcontracting 28

 1.5.13.5 Discrepancies and Omissions 29

 1.5.14 RFP Question and Answer Process 29

 1.5.15 State’s Right to Reject Proposals 29

 1.5.16 State’s Right to Cancel Solicitation 29

STATE OF DELAWARE DIVISION OF REVENUE

1.5.17 State’s Right to Award Multiple Source Contracting 30

1.5.18 Potential Contract Overlap 30

1.5.19 Notification of Withdrawal of Proposal 30

1.5.20 Revisions to the RFP 30

1.5.21 Exceptions to the RFP 30

1.5.22 Award of Contract 30

 1.5.22.1 RFP Award Notifications..... 31

1.5.23 Cooperatives 31

1.6 Contract Terms and Conditions 31

 1.6.1 Contract Use by Other Agencies 31

 1.6.2 Cooperative Use of Award 31

 1.6.3 As a Service Subscription 31

 1.6.4 General Information 32

 1.6.5 Collusion or Fraud 32

 1.6.6 Lobbying and Gratuities 33

 1.6.7 Solicitation of State Employees 33

 1.6.8 General Contract Terms 33

 1.6.8.1 Independent Contractors..... 33

 1.6.8.2 Temporary Personnel are Not State Employees..... 34

 1.6.8.3 ACA Safe Harbor..... 34

 1.6.8.4 Licenses and Permits..... 35

 1.6.8.5 Notice 35

 1.6.8.6 Indemnification 35

 1.6.8.7 Insurance..... 36

 1.6.8.8 Performance Requirements..... 37

 1.6.8.9 Performance Bond 37

 1.6.8.10 Vendor Emergency Response Point of Contact 37

 1.6.8.11 Final Warranty..... 38

 1.6.8.12 Costs and Payment Schedules 38

 1.6.8.13 Liquidated Damages..... 38

 1.6.8.14 Dispute Resolution 38

 1.6.8.15 Termination of Contract..... 39

STATE OF DELAWARE DIVISION OF REVENUE

1.6.8.16 Non-discrimination 40

1.6.8.17 Covenant against Contingent Fees..... 40

1.6.8.18 Vendor Activity..... 40

1.6.8.19 Vendor Responsibility 40

1.6.8.20 Personnel, Equipment, and Services..... 40

1.6.8.21 Fair Background Check Practices 41

1.6.8.22 Vendor Background Check Requirements 41

1.6.8.23 Work Product 41

1.6.8.24 Contract Documents 41

1.6.8.25 Governing Law 42

1.6.8.26 Severability..... 42

1.6.8.27 Assignment of Antitrust Claims..... 42

1.6.8.28 Scope of Agreement..... 43

1.6.8.29 Affirmation 43

1.6.8.30 Audit Access to Records..... 43

1.6.8.31 Other General Conditions 43

1.6.9 RFP Miscellaneous Information 44

 1.6.9.1 No Press Releases or Public Disclosure..... 44

 1.6.9.2 Definitions of Requirements 44

2 Section Two – Proposal Response Requirements..... 46

 2.1 General Instructions..... 46

 2.2 State Responsibilities 54

 2.2.1 Governance 54

 2.2.2 Project Organization 56

 2.2.3 Executive Steering Committees 57

 2.2.4 Project Management Office..... 57

 2.2.4.1 Project Management Plan Development, Execution and Monitoring..... 58

 2.2.4.2 Status Reporting and Meetings..... 58

 2.2.4.3 Risk Management 59

 2.2.4.4 Issue Management..... 59

 2.2.4.5 Decision and Action Management..... 60

 2.2.4.6 Deliverables Management..... 60

STATE OF DELAWARE DIVISION OF REVENUE

2.2.4.7	Change Management.....	60
2.2.4.8	Quality Management	61
2.2.4.9	Communications Management.....	61
2.2.4.10	Resource Management.....	61
2.2.4.11	Release Management	62
2.2.5	Data Governance Committee	62
2.2.6	Weekly Working Group.....	63
2.2.7	Project Management Office Roles and Responsibilities	63
2.3	Project Releases, Phases and Deliverables	66
2.3.1	Project and Release 1 Planning.....	69
2.3.2	Release Phases	70
2.3.2.1	Environment Setup	70
2.3.2.2	Scope Definition	70
2.3.2.3	Configuration, Customization, and Unit Testing.....	70
2.3.2.4	System and Integration Testing	71
2.3.2.5	User Acceptance Testing (UAT).....	71
2.3.2.6	Training Development.....	71
2.3.2.7	Training	71
2.3.2.8	Acceptance.....	71
2.3.2.9	Cutover.....	71
2.3.2.10	Organizational Change Management	71
2.3.2.11	Warranty	71
2.3.2.12	Support.....	71
2.3.3	Project Closeout.....	72
2.3.4	Phase Deliverables and Acceptance Criteria.....	72
2.3.5	Anticipated Tax Types by Release	72
2.4	Post-Deployment and COTS Product Support	73
2.5	Business Proposal.....	76
2.5.1	General Information	76
2.5.2	Company Structure	76
2.5.3	Financial Statements.....	76
2.5.4	Reference Clients	76

STATE OF DELAWARE DIVISION OF REVENUE

2.5.5 Certificate of good standing..... 76

2.5.6 Subcontractors..... 77

2.6 Technical Proposal 77

2.6.1 Technology Infrastructure..... 77

2.6.2 Technical Requirements..... 79

2.6.2.1 Hardware and Architecture 79

2.6.2.2 System Security 79

2.6.2.3 Service Levels 79

2.6.2.4 Interfaces 81

2.6.3 Business Functional Requirements 81

2.6.3.1 Self-Service Portal 81

2.6.3.2 User Interface Requirements..... 82

2.6.3.3 Revenue Accounting Requirements..... 82

2.6.3.4 Customer Contact- Correspondence Requirements..... 83

2.6.3.5 Fraud and Exceptions Requirements 83

2.6.3.6 Collections Requirements 84

2.6.3.7 Tax Type Requirements..... 84

2.6.3.8 Audit Requirements 86

2.6.3.9 Appeals Requirements 86

2.6.3.10 Taxpayer Registration Requirements..... 87

2.6.3.11 Filing Requirements 88

2.6.3.12 Case Management Requirements..... 88

2.6.3.13 Business License Requirements 89

2.6.3.14 Reporting Requirements 89

2.6.3.15 Business Rules 90

2.6.3.16 Workflow Requirements 90

2.6.3.17 Forms Requirements..... 90

2.6.3.18 Bankruptcy and Decedent Estates 91

2.6.4 Project Management and Related Requirements 91

2.6.4.1 Project Management 92

2.6.4.2 Organizational Change Management 92

2.6.4.3 Training 93

STATE OF DELAWARE DIVISION OF REVENUE

2.6.4.4 Testing..... 93

2.6.4.5 Data Conversion..... 94

2.6.4.6 Non-functional Requirements 94

2.6.4.7 Hosting (Cloud) Requirements..... 95

2.6.4.8 Project Team Experience 95

2.7 Implementation Proposal 99

2.7.1 Approach..... 99

2.7.2 Plan..... 99

2.7.3 Staffing..... 100

2.7.4 Cost Proposal 100

3 Section Three – Evaluation Process and Criteria 101

3.1 Overview..... 101

3.2 Mandatory Scoring..... 101

3.3 Section Scoring..... 101

3.3.1 Scoring Weight 101

3.3.2 Section Scoring Calculation 102

3.3.3 Vendor Response Calculation 102

3.3.4 Business & Technical Scoring 103

3.4 Orals / Scenario Demonstrations..... 104

4 Appendices..... 106

4.1 Appendix 1.0 Glossary of Terms 106

4.2 Appendix 2.0 List of Phase Deliverables 121

4.3 Appendix 3.0 List of Phase Acceptance Criteria..... 144

4.4 Appendix 4.0 Application to Tax Types Mapping..... 169

4.5 Appendix 5.0 Project and Support Roles and Responsibilities – Hosted Solution and On-Premise Solution 176

4.6 Appendix 6.0 List of Forms..... 181

5 Attachments..... 187

1 Section One – General Information and Requested Products and Services

1.1 Executive Summary

This request for proposals (“RFP”) is issued pursuant to 29 *Del. C.* §§ [6981 and 6982](#).

1.1.1 Purpose

The Delaware Division of Revenue (DOR) is launching a project to replace all tax processing systems with a single solution that meets the State’s need for an Integrated Revenue Administration System (referred to throughout this RFP as “IRAS” or “the System”) that provides centralized revenue management, processes, and a robust web interface for its taxpayers, stakeholders, and DOR staff. All associated tax-related functions will be converted to IRAS according to a timetable that will maximize impact and reduce taxpayer risks. DOR intends to enter into a contract with a vendor that can provide a high-quality, proven system, as well as implementation and ongoing support services.

The purpose of this RFP is to solicit proposals from qualified vendors to install a Commercial-Off-The-Shelf (COTS) revenue administration system to replace the State’s legacy tax systems and infrastructure. The intent of the COTS solution is that it will be flexible and allow for the extension of the COTS software as follows:

- The configuration of the basic COTS software
- Integration with other third-party products through modular design
- Integration with custom components via application software extensions
- Modification of COTS source code by the vendor

1.1.2 Goals

IRAS must support DOR by providing for the fair and efficient collection of taxes, business licensing, accurate forecasting and recording of revenue and expenditures, and providing best-in-class taxpayer and technology services to government agencies. The new IRAS solution will enable efficient tax processing and collection necessary to support this mission and the following strategic objectives of the Agency:

1. The System will replace the State of Delaware’s existing tax processing systems. IRAS will perform all functions in the current systems. In the future, it may also incorporate several tax and fee types currently administered in other State agencies. Consolidation of all taxes and fees into a uniform system of administration will streamline processing, resulting in better customer service to taxpayers.
2. The System will allow DOR to maximize audit, collection, fraud detection, reporting, and estimation functionality either from within the System, via integration with the data warehouse, or by leveraging sources external to DOR. Applying analytics to processing data will result in more efficient audit selection, targeted collections and fraud detection, flexible reporting, and more refined estimating.
3. IRAS will centralize all document processing, imaging, and storage. DOR users will be able to access all returns and reports filed, account information, payment information, correspondence,

and related documents within the System. The result will be the reduction in the number of systems which must be maintained, which will allow DOR to migrate business processes to more modern, flexible, and supportable technologies.

4. IRAS will allow DOR to improve fraud detection and prevention programs. The availability of additional information in a centralized system will allow DOR to utilize complete and complex fraud models. There is an opportunity to reduce the number of fraudulent refunds issued and streamline the pursuit and recovery of refunds obtained by fraud.
5. IRAS will allow DOR to increase revenue opportunities by enhancing the collection of existing and new taxes, penalties, and interest. DOR currently provides setoff services and revenue collection for a small number of other State agencies and other states under reciprocal agreement and may expand those services following implementation of the System.
6. The System will allow DOR to maximize compliance with required and recommended security standards, internal controls, and policies by centralizing security. DOR will continue to improve its security posture by the implementation of industry-standard security controls (e.g., NIST SP 800-53, Cyber Security Evaluation Framework) and Internal Revenue Services (IRS) Office of Safeguards guidelines (Publication 1075).
7. IRAS will automate business processes as much as possible to increase efficiency, eliminate inefficiencies, and make better use of available resources. DOR will realize a reduction in manual processing and greater time savings due to the automation of work queues and approval processes and the consolidation of all tax types and fees into IRAS. Centralization will also allow for the optimization of the business workforce.
8. IRAS will enable taxpayers to manage their accounts through secure online self-service applications. The ability of taxpayers to manage their accounts online gives them better insight into account transactions. After an initial learning phase, DOR anticipates the increase in online services will lead to a reduction in call center activities and correspondence volumes.
9. IRAS will include imaging and document processing to replace the current imaging equipment and processes. The vendor's imaging solution may leverage DOR's existing desktop scanning equipment if desired.
10. IRAS will include an electronic filing capability to replace the current Modernized e-File (MeF), Online Individual Tax Filing (internet filing), Online Business Tax Filing, and other related systems.
11. The System will leverage industry best-practices to integrate with the State of Delaware's One Stop Business License System.
12. The System will provide a comprehensive content management capability to replace DOR's current document management tools.
13. IRAS will leverage the efficiencies of an integrated solution for administration of refund intercepts and offsets.
14. IRAS will provide comprehensive reporting and querying capability.
15. IRAS will meet the State's requirements for failover, disaster recovery, and availability.

1.1.3 History

In late 2017, the Delaware Department of Finance, Division of Revenue (DOR) began the process of gathering information related to COTS revenue solutions to replace the aging revenue solution currently

implemented in Delaware. DOR issued a Request for Information (RFI) (http://bids.delaware.gov/closed_bids_detail.asp?i=4808) with the intent to gain knowledge about COTS systems available in the marketplace and implemented in other states, agencies, and municipalities. The resulting responses were used to inform DOR about solution possibilities and industry best practices.

The Delaware DOR is soliciting bids to purchase, implement, and support a COTS package that is based on modern information system architectures and technologies. Processing for all tax types should be converted to the System. DOR will look for a partnership with the selected vendor to not only implement the proposed solution, but also to review and assess key processes and provide workflow, organizational, process, and optimization recommendations.

To ensure the State receives the best possible proposals from all qualified vendors that meet the State's goal to make solution and service decisions, DOR is executing this Request for Proposal (RFP).

1.1.4 COTS

DOR is in search of a proven industry system to be implemented in Delaware. The vendor must have a working system that is implemented and currently operational on a similar or larger scale and support many of the tax types implemented in Delaware. Also, the System must be based on modern technologies and be operational on platforms and architectures that are scalable and targeted for Long Term Support (LTS) deployment. The System should also take advantage of modern design approaches which account for multiple user interface touch-points while ensuring compliance with accessibility standards and ease of use for all taxpayers and DOR staff.

Since the solution must be successfully deployed in other states or municipalities, it is expected that common functionality such as workflows, central revenue accounting, and case management is well established and can be utilized by DOR. DOR requires that the software be configurable outside of the core code to allow for ongoing changes such as tax rate and form changes. It is understandable that the implementation required for Delaware DOR may need to be customized, but ideally, the amount should be limited to Delaware-specific needs. Additionally, customization should be kept to a minimum to limit the effect on system upgrades and maintenance.

1.1.5 Review

The Delaware DOR is seeking across-the-board improvements and strives for higher efficiencies in process execution. The State wants to align with industry proven methods, workflows, and best-of-breed approaches. To this end, our goal is to partner with a vendor and their COTS product that will bring experiences from other implementations similar to Delaware. We expect that through these experiences the vendor has learned what is and is not effective.

DOR is seeking a partner that can review current processes and make recommendations based on best practices to improve several key areas:

1. Business Licenses and Business License Renewal;
2. Workflow and business rules for DOR's rules-driven work streams such as Audit, Fraud, Collections, and Bankruptcy;

3. Self-service portal and user interfaces for internal DOR staff;
4. Portfolio and ad hoc reporting;
5. Key Performance Indicators (KPIs);
6. Failover, Disaster Recovery, and COOP;
7. Knowledge transfer and independent support;
8. Configuration changes;
9. Organizational Change Management;
10. Role-based security; and
11. Historical data conversion and post-conversion current legacy system synchronization.

DOR is aware that current processes, organizations, and procedures are based on internal experience and may not follow best practices. We are seeking a partner who can streamline and add value throughout the organization.

1.1.6 Data Warehouse

DOR manages years of taxpayer information in an Oracle data warehouse. While some operational reporting is generated by data on the mainframe, much of the analytic and day-to-day reports are generated based on the information contained in the data warehouse. DOR also uses IBM's Cognos Business Intelligence (BI) product to allow authorized DOR staff to create and run reports. Reporting is managed by a select group, and access to reporting is available to a larger DOR user base.

DOR is looking to utilize modern reporting, analytics, and BI tools to help in optimization, trend identification, and opportunity across the division. Any BI tools and licenses recommended or included in the vendor solution should be included in the RFP response along with ongoing maintenance and upgrade costs.

1.1.7 Low Customization

DOR is looking to leverage as much COTS functionality as possible while keeping customization to a minimum. We would like to avoid incremental upgrade and update costs as a result of custom, non-core code as we have found custom code lengthens all aspects of upgrades including testing and certification.

1.1.8 10 Year Agreement

DOR is seeking a ten (10)-year engagement to be agreed upon during contract negotiations. The resulting contract for this RFP should cover maintenance, support, licenses (COTS and any required third-party), and upgrades during the agreement. DOR may extend the period for five (5) additional years in 1-year increments without the need to issue a new RFP.

1.1.9 Warranty Period

DOR is anticipating a three (3)-release approach, where a three (3)-month warranty period is in effect following each implementation release. The warranty period will support all issues that may arise through real-world experience concerns as identified by DOR staff and taxpayers or performance issues related to the COTS package and configuration. The warranty period does not allow for change requests and is solely reserved for defect-related concerns.

1.1.10 Implementation Location

DOR is interested in understanding the pros and cons of implementation locations (on premise vs. cloud-hosted solutions). We are seeking real-world experience in assessing the risks associated with each approach, as well as cost impacts. Ultimately, DOR is averse to risk that could compromise taxpayer information or outages that prevent the execution of normal business processes. Any breach or service interruption could cause a negative customer impact, reputational, legal, privacy, financial, or regulatory risk which is unacceptable.

We are seeking price breakdowns for possible implementation locations including compliance and Service Level Agreements (SLA). Additionally, DOR is looking for providers who have proven and recent experience implementing any recommended installation configurations (e.g., on-premise and hosted). The vendor's disaster recovery strategy for IRAS should be developed so that the location of disaster recovery sites is significantly distant from the primary data centers.

1.1.11 Unclaimed Property

Delaware implemented an Unclaimed Property solution in recent years but would like to understand any modules or solutions available in the vendor's system. The core requirements in the RFP do not include Unclaimed Property requirements; DOR is not requesting pricing for an Unclaimed Property module as part of the effort. Instead, we would like to understand the vendor's offering in this area better. DOR may request the inclusion of Unclaimed Property functionality through a change request should the decision be made to pursue this capability during the project.

1.1.12 Background

1.1.12.1 Department of Finance

The Delaware Department of Finance's (DOF) mission is to promote Delaware's fiscal health fairly and efficiently by forecasting, generating, collecting and accounting for funds critical to essential government services. The Cabinet Secretary of Finance is the state's Chief Financial Officer and is the central source for economic and fiscal policy and management of financial resources. The Office of the Secretary provides economic data, revenue and legislative analyses and public information services. The office also provides the three operating divisions with managerial and technical support in achieving department-wide goals. The DOF is comprised of three divisions:

- Division of Revenue
- Division of Accounting
- State Lottery Office

The DOF is proud to support transparency across the full spectrum of the State's financial matters. The DOF also provides a significant contribution towards making Delaware only one of a handful of states with a Triple-A Bond Rating from all three major rating agencies (Moody's Investor Service, Standard & Poor's, and Fitch Ratings).

1.1.12.2 Division of Revenue

The Delaware Division of Revenue (DOR) is responsible for the administration of most taxes and revenues for the State of Delaware. DOR's mission is to collect 100% of the taxes and other revenues required by law to be remitted to the State of Delaware, no more and no less, and strive to do so in a manner that creates the highest possible level of satisfaction on the part of our taxpayers, practitioners, and partners. We take great pride in the competence, courtesy, effectiveness, and efficiency of the Division.

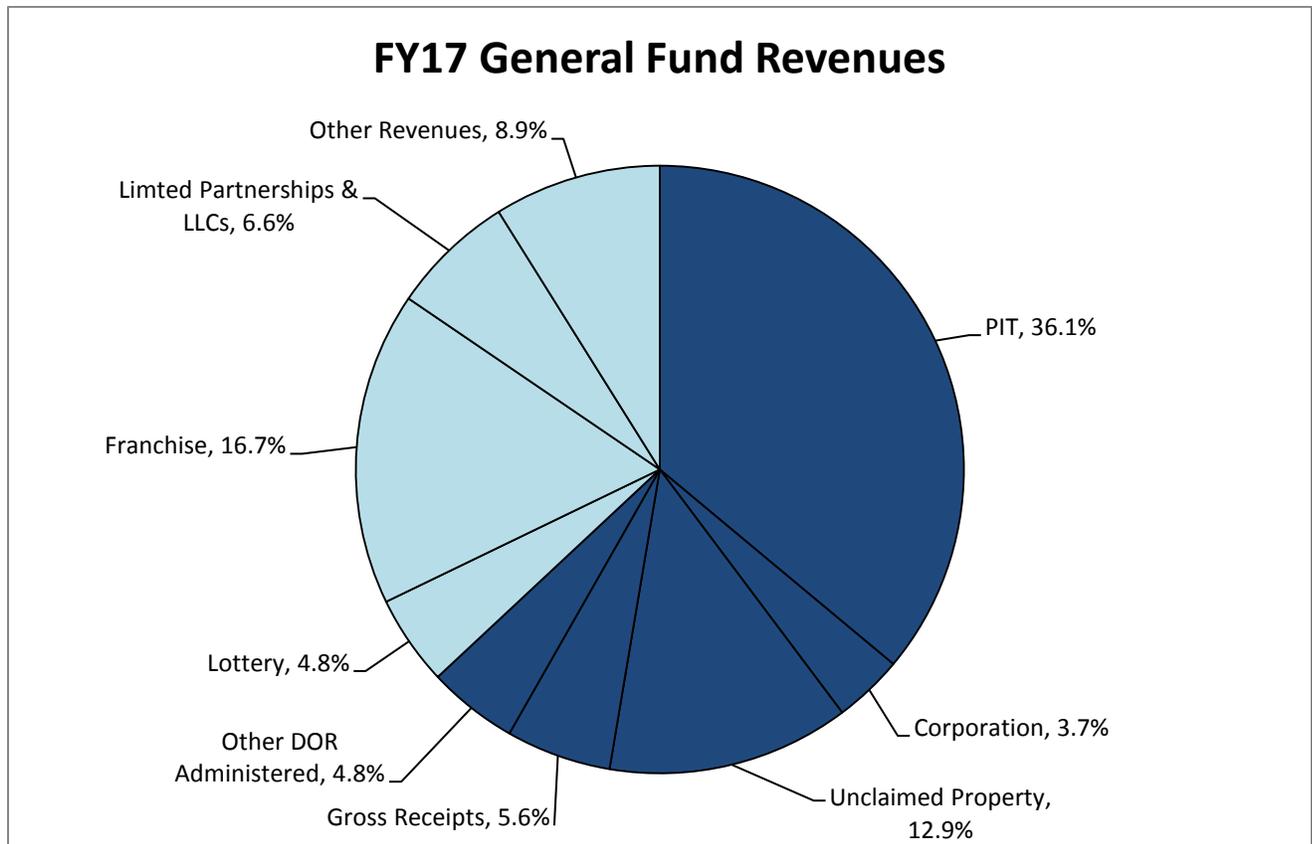
As the primary tax and revenue administrator in Delaware, DOR has three core business activities:

1.1.12.2.1 Tax and Revenue Processing:

Typical processing activities include:

- Provide customer service
- Receive documents and remittances
- Deposit remittances
- Capture return information
- Validate the accuracy and completeness of returns
- Refund overpayments, and assess deficiencies
- Ensure proper accounting
- Provide detailed financial reporting

Figure 1 FY17 General Fund Revenue



STATE OF DELAWARE DIVISION OF REVENUE

The largest revenue sources are Personal Income Tax (PIT), Corporate Income Tax (CIT), and Gross Receipts Tax (GRT). Unclaimed Property is the largest non-tax revenue. In all, DOR and the Office of Unclaimed Property provide nearly 65% of all General Fund Revenues. (See **Figure 1 FY17 General Fund Revenues**).

DOR administers the majority of Delaware’s tax code. Areas of the tax code that fall within DOR’s purview are defined in various chapters of Title 30, Title 4, Title 7, Title 16, Title 25, and Title 29 of the Delaware Code.

DOR is responsible for 17 different tax types. These tax types fall into the following categories: income taxes, business-related taxes, and trust fund taxes.

DOR taxes and fees and where they reside within the Delaware tax code are as follows:

Table 1 Taxes and Fees

Tax/Revenue Type	Major Components	Statute Reference	Notes
Income Taxes (6 Tax Types)	Personal Income Tax	Title 30, chapter 11	<ul style="list-style-type: none"> • Annual income tax returns • Composite returns • Extensions and Amended returns • Estimated payments
	Pass-Through Entities <ul style="list-style-type: none"> • Partnerships • S corporations • Fiduciary Income Tax - Estates and trusts 	Title 30, chapter 16	<ul style="list-style-type: none"> • Extension and Amended returns • Estimated payments
	Corporate income tax	Title 30, chapter 19	
	Headquarters Management Corporation	Title 30, chapter 64	(In lieu of corporate income tax)
Business-Related Taxes (2 Tax Types)	Business licenses & gross receipts – related taxes: Each business is required to obtain a license to operate and thereafter pay tax on the gross receipts of the business on a periodic basis		
	• Occupational licenses	Title 30, chapter 23	
	• Contractors	Title 30, chapter 25	
	• Manufacturers	Title 30, chapter 27	
	• Retailers	Title 30, chapter 29	Includes all separate retailer licenses as well as additional fees: <ul style="list-style-type: none"> • Scrap Tire (Title 30, chapter 29, § 2910) • Retail Crime Fee (Title 30, chapter 29, § 2911)
• Wholesalers	Title 30, chapter 29, § 2902		

STATE OF DELAWARE DIVISION OF REVENUE

	• HSCA Tax	Title 7, § 9114	Part of Gross Receipts Tax – petroleum
	• Motor Vehicle Dealer License Fee/Handling Fee	Title 30, chapter 30, §§ 3004-3005	
	• Steam, Gas & Electric Companies	Title 30, chapter 33	
	• Affiliated Finance Companies	Title 30, chapter 63	
	Commodities taxes		
	• Tobacco products tax	Title 30, chapter 53	Includes cigarette stamps, other tobacco products, vapor, moist snuff
	• Nursing facility quality assessments	Title 30, chapter 65	
	• Alcoholic Beverage	Title 4, chapter 5	
Trust fund taxes (7 Tax types)	Withholding taxes	Title 30, chapter 11, subchapter VII	Withheld by employers
	Use tax on leases of tangible personal property	Title 30, chapter 43	Collected on rental
	Realty transfer tax	Title 30, chapter 54	Collected at closing or upon application for building permit
	Public Accommodation tax	Title 30, chapter 61	Collected on rental
	Public utility taxes	Title 30, chapter 55	Collected by the service provider
	E-911 Surcharge	Title 16, Section 10103	Collected by the service provider
	Manufactured Home Trust Fund	Title 25, Chapter 70	Payments partly withheld
Taxes no longer imposed but required for the System (2 Tax types)	Estate Tax	formerly Title 30, chapter 15	Repealed 1/1/18
	Telephone & Telegraph	formerly Title 30, chapter 41	Repealed 1/1/15

As part of managing Trust Fund Taxes and Business Related Taxes, DOR administers 187 types of business licenses. Taxpayers may be required to have multiple business licenses to accommodate different locations and specific business activities. A few examples of this situation include:

- A convenience store that may have multiple locations, each of which sells an array of products, such as cigarettes, gas, food, etc. Each location and activity would be required to have the appropriate business license.
- An automotive parts store that may sell to car dealers (wholesaler license) and the public (retailer license). The automotive parts store would require at least two business licenses.

STATE OF DELAWARE DIVISION OF REVENUE

In addition to requiring a business license, the vast majority of these taxpayers doing business in Delaware are also required to pay monthly or quarterly tax filings, e.g., Gross Receipts Tax, Commodities Tax, etc., during each calendar year. For these tax filings, DOR currently manages 176 different tax calculation variations.

In the course of administering its tax and revenue responsibilities, each year DOR processes about 1.5 million tax returns and issues more than 380,000 tax refunds. **Table 2 CY2017 Number of Returns Received by Source** shows the number of returns/transactions received for major tax and revenue groups for the calendar year 2017. Please refer to **Section 2.6.2.7 Tax Types** for a detailed description of DOR tax and revenue types and volumes.

To meet taxpayer expectations for ease of access and enhance efficiency, DOR has aggressively pursued electronic filing methods for tax returns consisting of Internet filing, electronic software filing, and barcoded and OCR supported paper filing. Electronic filing rates for 2017 are also shown in **Table 2 CY2017 Number of Returns Received by Source**. Notably, the electronic filing rate for the 2018 Personal Income Tax filing season to date was 86% (MeF and DOR Internet). Please refer to **Section 2.6.3.6 Non-functional Requirements** for additional information on E-file related requirements.

Table 2 CY2017 Number of Returns Received by Source

Type	Total	% E-file
Personal Income Tax	647,000	75%
Withholding & Other Trust Taxes	423,000	75%
Pass-Throughs	187,000	56%
License & Gross Receipts Tax	188,000	74%
Corporate Income Tax	42,000	34%
Total	1,487,000	72%

1.1.12.2.2 *Tax and Revenue Enforcement:*

Approximately 98% of taxes owed are paid voluntarily and do not require collections efforts. DOR focuses on voluntary compliance over enforced compliance of the tax code through clear, unambiguous tax law, understandable instructions, a full selection of e-services, “customer friendly” forms, courteous and professional service, helpful information, and education on tax matters.

Enforcing compliance with tax laws remains a critical part of DOR’s mission. We determine areas of non-compliance and develop appropriate responses. We typically utilize “progressive collection” approaches, i.e., notices precede bills, which precede telephone contact, etc. Frequently, clarifying filing rules and requirements or making payment plans available is all that is needed. Importantly, we are also positioned to detect and respond to “intentional non-compliance” and fraud.

As with all state and federal taxes, the timeline and process from filing/non-filing to assessment and collections is statutorily defined. A case management process moves liabilities through collections. **Table 3 Collections Case Summary as of May 2018** shows a high-level view of the number and types of

STATE OF DELAWARE DIVISION OF REVENUE

collections cases as of May 2018. Please refer to **Section 2.6.2.12 Case Management Requirements** for additional information and detail on requirements.

Table 3 Collections Case Summary as of May 2018

Overall Type	Total Open Cases:
Internal Collections (46 distinct case types)	27,058
Outside Collection Agency Firsts (12 distinct case types)	10,067
Outside Collection Agency Seconds (10 distinct case types)	5,073
Outside Collection Agency Thirds (5 distinct case types)	5,405
Holds (Appeals, Bankruptcy, Deceased)	3,552
Uncollectible (4 Distinct Case Types)	4,623
Write-Offs (8 Distinct Case Types)	29,556
Total	85,334

Payments may be received directly, or through federal, Delaware, or reciprocal state refund set-off, through collections by an outside collection agency, or through judgment execution, which is most frequently done as a garnishment. DOR also utilizes its collections core competency to collect receivables for other state and federal agencies. Refund set-offs are conducted for about sixteen (16) agencies (including DOR), and 'Active Collections' or actual handling of collections cases is administered for eight (8) agencies.

1.1.12.2.3 *Tax and Revenue Policy*

DOR plays an integral role in Delaware's tax policy. As tax legislation is conceived, drafted and debated, DOR serves the Governor, the Secretary of Finance, and the Delaware Legislature as a sounding board for tax policy, administration, feasibility, and cost. Detailed analysis is provided for Executive Branch policymakers and legislators to help with the consideration of tax legislation. DOR may also occasionally propose tax law changes which may be directly related to either policy or operations (e.g., efficient, customer friendly).

In addition, economic competitiveness is an important part of tax policy-making and Delaware is a formidable competitor in the tax competition arena. DOR's role in making Delaware an attractive place to live or do business is to be accessible, fair, reasonable, and consistent in tax and revenue administration and rulings. Delaware has been able to both attract and retain large and small businesses resulting in reduced reliance on personal income taxes, as well as the complete avoidance of a sales tax. DOR is proud to contribute to the economic stability and growth of Delaware.

1.1.13 **Office Locations, Access Mechanisms**

DOR maintains offices at four locations in Delaware (**Table 4 DOR Office Locations**). Central public (customer) service, operations, and administrative functions are located on the 1st, 8th and 9th floors of the Carvel State Office Building, in Wilmington, Delaware. Field offices serve Kent and Sussex Counties at convenient locations in Dover and Georgetown, Delaware. Properly authorized employees have complete access to customer information from all locations. We also have a systems development and support office in New Castle, Delaware.

STATE OF DELAWARE DIVISION OF REVENUE

Table 4 DOR Office Locations

Location	Activities	# Staff
Carvel State Office Building (CSOB) 820 N. French St New Castle County Wilmington, DE 19810	Central public (customer) service, operations, and administrative functions are located on the 1st, 8th, and 9th floors. CSOB also houses the DOF.	200
Thomas Collins Building 540 S. DuPont Highway Kent County Dover, DE 19901	Walk-in public service, ACD phone service, and audit functions.	10
20653 DuPont Blvd. Suite 2 Sussex County Georgetown, DE 19947	Walk-in public service, fraud review, and some audit functions.	20
56 Reads Way New Castle County New Castle, DE 19720	IT support and development office.	50

Taxpayers, practitioners, and DOR partners can visit DOR at physical offices in each of Delaware’s three (3) counties and can reach DOR personnel via telephone, email, fax, and chat for businesses. **Table 5 Total Number of Inbound Telephone Calls (ACD)** shows the volume of inbound telephone calls over the last three years.

Table 5 Total Number of Inbound Telephone Calls (ACD)

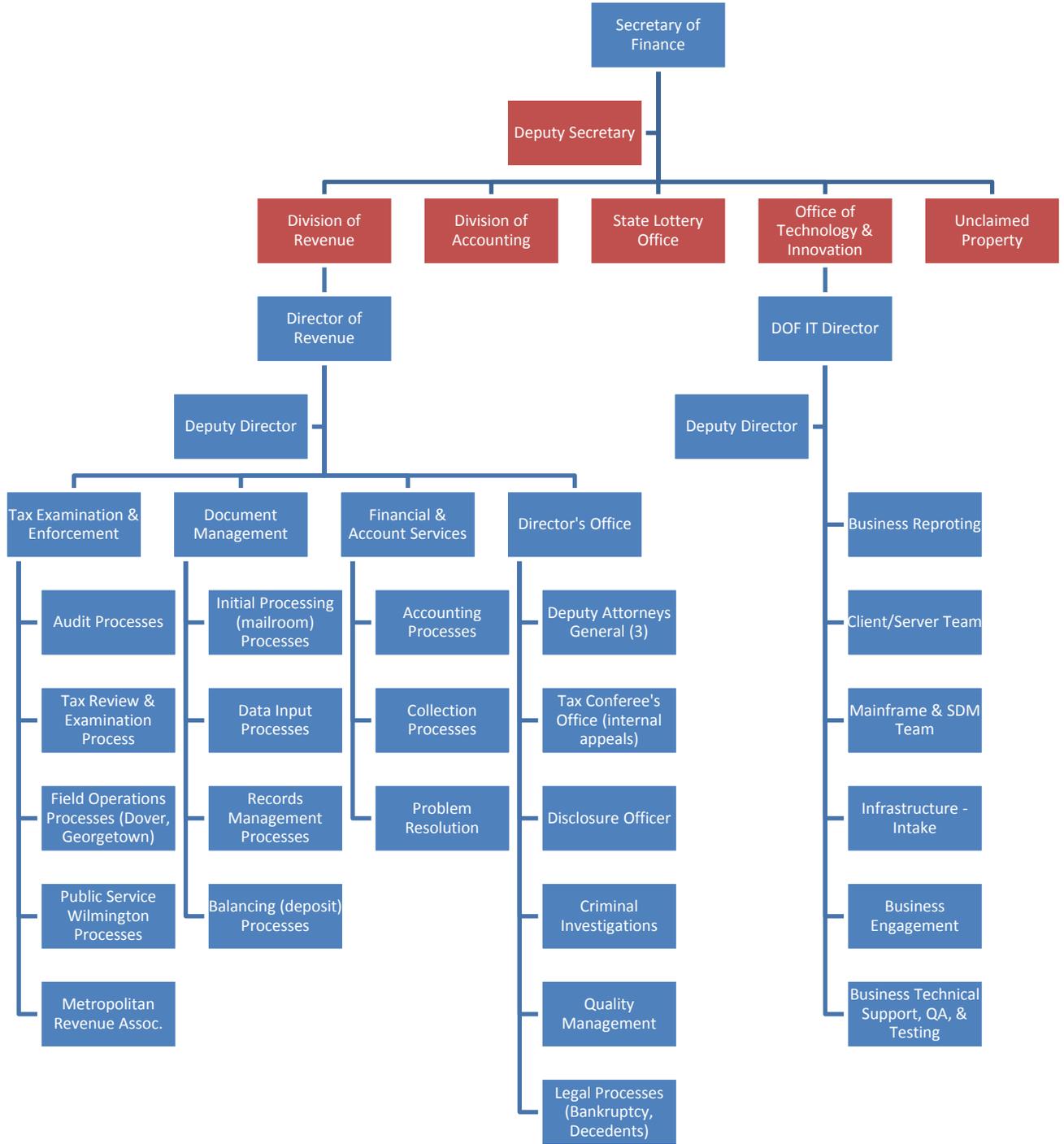
CY:	2017	2016	2015
Total Calls:	166,669	174,282	182,217

1.1.14 Organization Chart

Figure 2 DOF-DOR Organization Chart provides a high-level view of the Department of Finance as well as a functional level view of the Division of Revenue.

STATE OF DELAWARE DIVISION OF REVENUE

Figure 2 DOF-DOR Organization Chart



1.1.15 Minimum Qualifications and Mandatory Requirements

To be considered for selection in accordance with the RFP, vendors must provide proof, with references to demonstrate that all minimum qualifications and response requirements are met. Instructions on RFP response requirements are found in **Section 2.0 Proposal Response Requirements**.

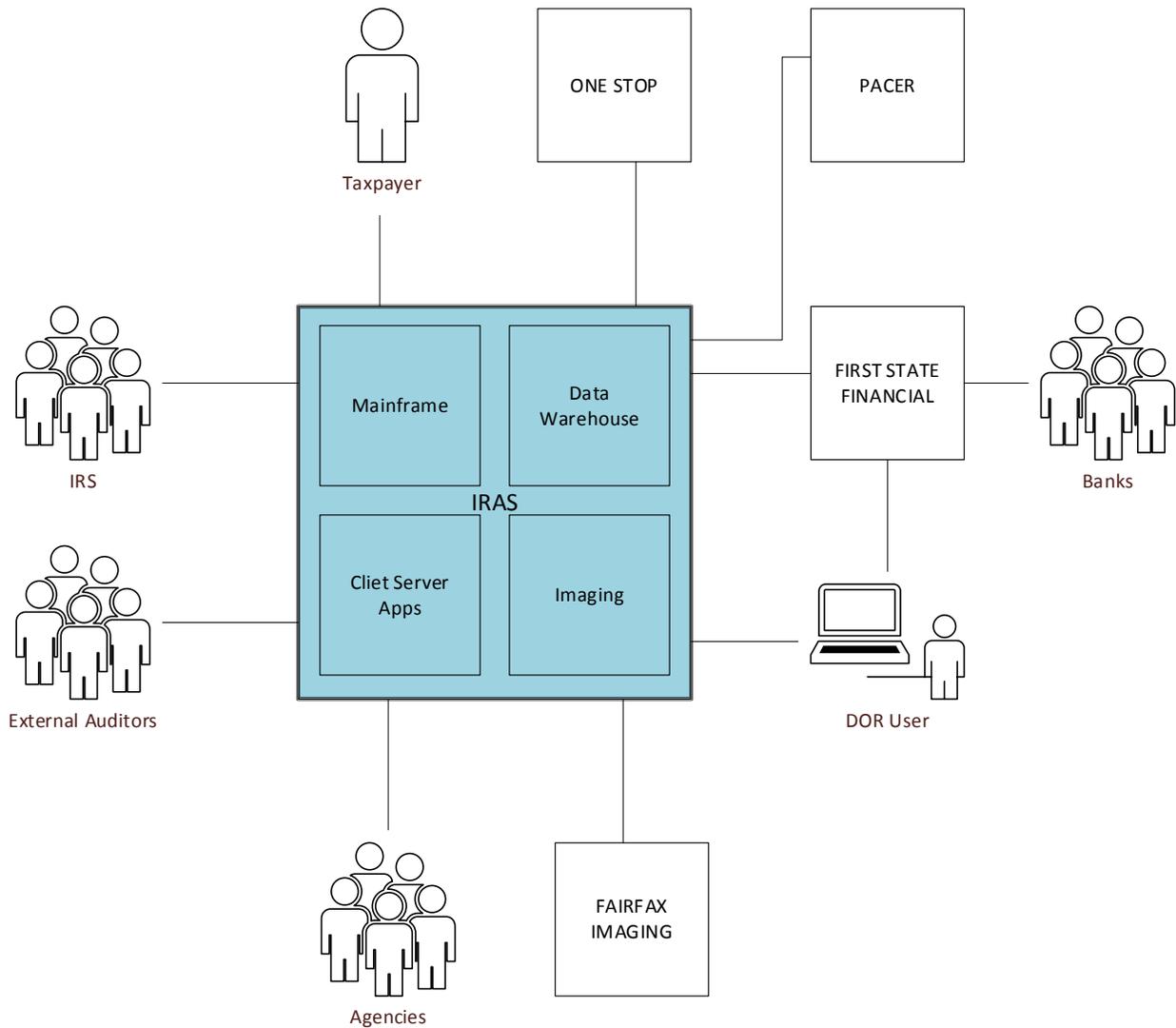
Mandatory requirements are listed below and in the Mandatory Requirements Response Template that is included as **Attachment 11 State of DE-DOR Mandatory Requirements**. Both list mandatory requirements that must be met in order for the proposed Vendor and proposed IRAS solution to be considered qualified. Mandatory requirements will be scored on a pass-fail basis.

1. The Vendor must have insight into practices and processes implemented throughout multiple state and local revenue agencies as well as new and emerging processes and practices that would benefit DOR today and in the future.
2. If the Vendor engages subcontractors, the Vendor must take full responsibility and accountability for the performance of all subcontractors, including any IRS Pub1075 impacts.
3. The COTS product must provide configurable features, business rules management, case management, workflow, interfaces, role-based security, and reporting.
4. The Vendor must have been the primary vendor for a complete implementation of the COTS product for at least 1 U.S. state in the last five (5) years.
5. The Vendor must have completed an implementation in the last five (5) years, that is currently operational, with the following core tax processing functions:
 - a. Taxpayer Registration
 - b. Revenue Accounting
 - c. Payment Processing
 - d. Disbursement Processing
 - e. Correspondence Management
 - f. Document and Content Management
 - g. Audit Management
 - h. Appeals Management
 - i. Collection Management
 - j. Fraud Management
 - k. Taxpayer Self-Service Portal
6. The Vendor must have experience implementing multiple tax types, as well as licensing, with proven experience with the following:
 - a. Personal Income Tax
 - b. Corporate Income Tax
7. The COTS product must provide the external user (taxpayer/business) with a consolidated view of all user Delaware DOR tax information.
8. The Vendor solution must supply a data warehouse component that integrates with the COTS product directly.

1.1.16 IRAS Context View

There are several systems and user types that interact with the DOR Systems. The user base includes the Taxpayer, DOF staff, and auditors. The DOR Systems also exchange information with various systems. At a high-level, the relationship between these systems and users is shown in **Figure 3 IRAS Context View**.

Figure 3 IRAS Context View



1.1.17 Glossary of Terms

Please see **Appendix 1.0 Glossary of Terms** for the full glossary and definitions list.

1.2 Proposal Response Schedule

The proposed schedule of events subject to the RFP is outlined below:

Table 6 Proposal Response Schedule

RFP Milestones	Dates
1. Public Notice/RFP Submission	Date: 8-10-2018
2. Mandatory Pre-bid Meeting	Date: 8-21-2018 at 2:00 PM (EST) Carvel State Office Building, 820 N French Street, Wilmington, DE 19801
3. Deadline for Questions	Date: 8-29-2018
4. Response to Questions Posted	Date: 9-7-2018
5. Deadline for Receipt of Proposals	Date: 10-02-2018 at 3:00 PM (EST)
6. Oral Presentation Demo Scenarios Posted	Date: 10-03-2018
7. Evaluation Period	Date: 10-04-2018 through 10-19-2018
8. Notify Finalists for Orals/Demos	Date: 10-22-2018
9. Onsite Oral/Demo Presentations	Date: 11-13-2018 through 12-13-2018
10. Estimated Notification of Leading Bidder	Date: 12-27-2018
11. Project Start	Following Contract Negotiation

1.2.1 Mandatory Pre-bid Meeting

A **mandatory** pre-bid meeting has been scheduled for this RFP as per the date in **Table 6 Proposal Response Schedule**. If a vendor does not attend this meeting, they shall be disqualified and shall not be considered for further evaluation.

1.3 Transmittal Letter

Each proposal must be accompanied by a transmittal letter (see **Section 2.1 General Instructions** related to the submission of the Transmittal Letter) which briefly summarizes the proposing firm's interest in providing the required professional services. Applicant exceptions must also be recorded on **Attachment 10.3 Exceptions Form**.

Furthermore, the transmittal letter must attest to the fact, at a minimum, that the vendor shall not store or transfer non-public State of Delaware data outside of the United States. For technology related solicitations, vendors may refer to the Delaware Department of Technology and Information identified terms and conditions included in this solicitation.

The State of Delaware reserves the right to deny exceptions taken to the RFP requirements.

1.4 RFP Issuance

1.4.1 Public Notice

Public notice has been provided in accordance with 29 *Del. C.* [§6981](#)

1.4.2 Obtaining Copies of the RFP

This RFP is available in electronic form through the State of Delaware Procurement website at www.bids.delaware.gov. Paper copies of this RFP will not be available.

1.4.3 Assistance to Vendors with a Disability

Vendors with a disability may receive accommodation regarding the means of communicating this RFP or participating in the procurement process. For more information, contact the Designated Contact no later than ten days prior to the deadline for receipt of proposals.

1.4.4 RFP Designated Contact

All requests, questions, or other communications about this RFP shall be made in writing to the State of Delaware. Address all communications to the person listed below; communications made to other State of Delaware personnel or attempting to ask questions by phone or in person will not be allowed or recognized as valid and may disqualify the vendor. Vendors should rely only on written statements issued by the RFP Designated Contact.

Michael Bacu
GOVERNMENT SUPPORT SERVICES
100 ENTERPRISE PLACE STE 4
DOVER DE 19904

michael.bacu@state.de.us

To ensure that written requests are received and answered in a timely manner, electronic mail (e-mail) correspondence is acceptable, but other forms of delivery, such as postal and courier services can also be used.

1.4.5 Consultants and Legal Counsel

The State of Delaware may retain consultants or legal counsel to assist in the review and evaluation of this RFP and the vendors' responses. Bidders shall not contact the State's consultant or legal counsel on any matter related to the RFP.

1.4.6 Contact with State Employees

Direct contact with State of Delaware employees other than the State of Delaware RFP Designated Contact regarding this RFP is expressly prohibited without prior consent. Vendors directly contacting State of Delaware employees risk elimination of their proposal from further consideration. Exceptions exist only for organizations currently doing business in the State who require contact in the normal course of doing business; **however, the content of these discussions should not include any discussion of any RFP related matters.**

1.4.7 Organizations Ineligible to Bid

Any individual, business, organization, corporation, consortium, partnership, joint venture, or any other entity including subcontractors currently debarred or suspended is ineligible to bid. Any entity ineligible to conduct business in the State of Delaware for any reason is ineligible to respond to the RFP.

1.4.8 Exclusions

The Proposal Evaluation Team reserves the right to refuse to consider any proposal from a vendor who:

1. Has been convicted for commission of a criminal offense as an incident to obtaining or attempting to obtain a public or private contract or subcontract, or in the performance of the contract or subcontract.
2. Has been convicted under State or Federal statutes of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or other offense indicating a lack of business integrity or business honesty that currently and seriously affects responsibility as a State contractor.
3. Has been convicted or has had a civil judgment entered for a violation under State or Federal antitrust statutes.
4. Has violated contract provisions such as:
 - a. Knowing failure without good cause to perform in accordance with the specifications or within the time limit provided in the contract; or,
 - b. Failure to perform or unsatisfactory performance in accordance with the terms of one or more contracts.
5. Has violated ethical standards set out in law or regulation.
6. Any other cause listed in regulations of the State of Delaware determined to be serious and compelling as to affect responsibility as a State contractor, including suspension or debarment by another governmental entity for a cause listed in the regulations.

1.5 RFP Submissions

1.5.1 Acknowledgment of Understanding of Terms

By submitting a bid, each vendor shall be deemed to acknowledge that it has carefully read all sections of this RFP, including all forms, schedules, and exhibits hereto, and has fully informed itself as to all existing conditions and limitations.

1.5.2 Proposals

To be considered, all proposals must be submitted in writing and respond to the items outlined in this RFP. The State reserves the right to reject any non-responsive or non-conforming proposals. Each proposal must be submitted with ten (10) paper copies and 1 electronic copy on a USB memory drive.

Technical and Cost proposals must be submitted in separately sealed packages labeled “Technical Proposal” and “Cost Proposal”.

All properly sealed and marked proposals are to be sent to the State of Delaware and received no later than the response due date referenced in **Figure 1.8 Proposal Response Schedule**. The Proposals may be delivered by Express Delivery (e.g., FedEx, UPS, etc.), US Mail, or by hand to:

**MICHAEL BACU
GOVERNMENT SUPPORT SERVICES
100 ENTERPRISE PLACE STE 4
DOVER DE 19904**

michael.bacu@state.de.us

Vendors are directed to print “BID ENCLOSED” and “CONTRACT NO. FIN19001-REVENUE” clearly on the outside of the bid submission package.

Any proposal received after the Deadline for Receipt of Proposals date shall not be considered and shall be returned unopened. The proposing vendor bears the risk of delays in delivery. The contents of any proposal shall not be disclosed as to be made available to competing entities during the negotiation process.

Upon receipt of vendor proposals, each vendor shall be presumed to be thoroughly familiar with all specifications and requirements of this RFP. The failure or omission to examine any form, instrument or document shall in no way relieve vendors from any obligation with respect to this RFP.

1.5.3 Proposal Modifications

Any changes, amendments or modifications to a proposal must be made in writing, submitted in the same manner as the original response and conspicuously labeled as a change, amendment or modification to a previously submitted proposal. Changes, amendments or modifications to proposals shall not be accepted or considered after the hour and date specified as the deadline for submission of proposals.

1.5.4 Proposal Costs and Expenses

The State of Delaware will not pay any costs incurred by any vendor associated with any aspect of responding to this solicitation, including proposal preparation, printing or delivery, attendance at vendor's conference, system demonstrations or negotiation process.

1.5.5 Proposal Expiration Date

Prices quoted in the proposal shall remain fixed and binding on the bidder at least through September 21, 2019. The State of Delaware reserves the right to ask for an extension of time if needed.

1.5.6 Late Proposals

Proposals received after the specified date and time will not be accepted or considered. Proposals shall be sealed and submitted and marked with the proposal title, vendor name, and the proposal due date to guard against premature opening. Evaluation of the proposals is expected to begin shortly after the proposal due date. The proposal will be date and time stamped upon receipt to document compliance with the deadline.

1.5.7 Proposal Opening

The State of Delaware will receive proposals until the date and time shown **Table 6 Proposal Response Schedule** in this RFP. Proposals will be opened in the presence of State of Delaware personnel. Any unopened proposals will be returned to the submitting vendor.

1.5.8 Non-Conforming Proposals

Non-conforming proposals will not be considered. Non-conforming proposals are defined as those that do not meet the requirements of this RFP. The determination of whether an RFP requirement is substantive or a mere formality shall reside solely within the State of Delaware.

1.5.9 Concise Proposals

The State of Delaware discourages overly lengthy and costly proposals. It is the desire that proposals be prepared straightforwardly and concisely. Unnecessarily elaborate brochures or other promotional materials beyond those sufficient to present a complete and effective proposal are not desired. The State of Delaware's interest is in the quality and responsiveness of the proposal.

1.5.10 Realistic Proposals

The State of Delaware expects that vendors can fully satisfy the obligations of the proposal in the manner and timeframe defined in the proposal. Proposals must be realistic and must represent the best estimate of time, materials and other costs including the impact of inflation and any economic or other factors that are reasonably predictable.

The State of Delaware shall bear no responsibility or increase obligation for a vendor's failure to accurately estimate the costs or resources required to meet the obligations defined in the proposal.

1.5.11 Confidentiality of Documents

Subject to applicable law or the order of a court of competent jurisdiction to the contrary, all documents submitted as part of the vendor's proposal will be treated as confidential during the evaluation process. As such, vendor proposals will not be available for review by anyone other than the State of Delaware/Proposal Evaluation Team or its designated agents.

STATE OF DELAWARE DIVISION OF REVENUE

The State of Delaware and its constituent agencies are required to comply with the State of Delaware Freedom of Information Act, [29 Del. C. § 10001, et seq. \(“FOIA”\)](#). FOIA requires that the State of Delaware’s records are public records (unless otherwise declared by FOIA or other law to be exempt from disclosure) and are subject to inspection and copying by any person upon a written request. Once a proposal is received and opened by the State of Delaware, the content of selected and non-selected vendor proposals will become subject to FOIA’s public disclosure obligations.

The State of Delaware wishes to create a business-friendly environment and procurement process. As such, the State respects the vendor community’s desire to protect its intellectual property, trade secrets, and confidential business information (collectively referred to herein as “confidential business information”). Proposals must contain sufficient information to be evaluated. If a vendor feels that they cannot submit their proposal without including confidential business information, they must adhere to the following procedure, or their proposal may be deemed unresponsive, may not be recommended for selection, and any applicable protection for the vendor’s confidential business information may be lost.

In order to allow the State to assess its ability to protect a vendor’s confidential business information, vendors will be permitted to designate appropriate portions of their proposal as confidential business information.

Vendor(s) may submit portions of a proposal considered to be confidential business information in a separate, sealed envelope labeled “Confidential Business Information” and include the specific RFP number. The envelope must contain a letter from the vendor’s legal counsel describing the documents in the envelope, representing in good faith that the information in each document is not “public record” as defined by 29 Del. C. § 10002, and briefly stating the reasons that each document meets the said definitions.

Upon receipt of a proposal accompanied by such a separate, sealed envelope, the State of Delaware will open the envelope to determine whether the procedure described above has been followed. A vendor’s allegation as to its confidential business information shall not be binding on the State. The State shall independently determine the validity of any vendor designation as set forth in this section. Any vendor submitting a proposal or using the procedures discussed herein expressly accepts the State’s absolute right and duty to independently assess the legal and factual validity of any information designated as confidential business information. Accordingly, vendor(s) assume the risk that confidential business information included in a proposal may enter the public domain.

1.5.12 Price Not Confidential

Vendors shall be advised that as a publically bid contract, no vendor shall retain the right to declare their pricing confidential.

1.5.13 Multi-vendor Solutions (Joint Ventures)

Multi-vendor solutions (joint ventures) will be allowed only if one of the venture partners is designated as the “**Prime vendor**”. The “**Prime vendor**” must be the joint venture’s contact point for the State of Delaware and be responsible for the joint venture’s performance under the contract, including all project management, legal and financial responsibility for the implementation of all vendor systems. If a joint venture is proposed, a copy of the joint venture agreement clearly describing the responsibilities of

the partners must be submitted with the proposal. Services specified in the proposal shall not be subcontracted without prior written approval by the State of Delaware, and approval of a request to subcontract shall not in any way relieve the vendor of responsibility for the professional and technical accuracy and adequacy of the work. Furthermore, the vendor shall be and remain liable for all damages to the State of Delaware caused by negligent performance or non-performance of work by its subcontractor or its sub-subcontractor.

Multi-vendor proposals must be a consolidated response with all cost included in the cost summary. Where necessary, RFP response pages are to be duplicated for each vendor.

1.5.13.1 Primary Vendor

The State of Delaware expects to negotiate and contract with only one “prime vendor”. The State of Delaware will not accept any proposals that reflect an equal teaming arrangement or from vendors who are co-bidding on this RFP. The prime vendor will be responsible for the management of all subcontractors.

Any contract that may result from this RFP shall specify that the prime vendor is solely responsible for fulfillment of any contract with the State as a result of this procurement. The State will make contract payments only to the awarded vendor. Payments to any subcontractors are the sole responsibility of the prime vendor (awarded vendor).

Nothing in this section shall prohibit the State of Delaware from the full exercise of its options under Section IV.B.16 regarding multiple source contracting.

1.5.13.2 Subcontracting

The vendor selected shall be solely responsible for contractual performance and management of all subcontract relationships. This contract allows subcontracting assignments; however, vendors assume all responsibility for work quality, delivery, installation, maintenance, and any supporting services required by a subcontractor.

Use of subcontractors must be clearly explained in the proposal, and major subcontractors must be identified by name. **The prime vendor shall be wholly responsible for the entire contract performance whether or not subcontractors are used.** Any subcontractors must be approved by the State of Delaware.

1.5.13.3 Multiple Proposals

A primary vendor may not participate in more than one proposal in any form. Subcontracting vendors may participate in multiple joint venture proposals.

1.5.13.4 Subcontracting

The vendor selected shall be solely responsible for contractual performance and management of all subcontract relationships. This contract allows subcontracting assignments; however, vendors assume all responsibility for work quality, delivery, installation, maintenance, and any supporting services required by a subcontractor.

Use of subcontractors must be clearly explained in the proposal, and subcontractors must be identified by name. Any sub-contractors must be approved by the State of Delaware.

1.5.13.5 Discrepancies and Omissions

The vendor is fully responsible for the completeness and accuracy of their proposal, and for examining this RFP and all addenda. Failure to do so will be at the sole risk of the vendor. Should the vendor find discrepancies, omissions, unclear or ambiguous intent or meaning, or should any questions arise concerning this RFP, the vendor shall notify the State of Delaware's Designated Contact, in writing, of such findings at least ten (10) days before the proposal opening. This will allow issuance of any necessary addenda. It will also help prevent the opening of a defective proposal and exposure of the vendor's proposal upon which award could not be made. All unresolved issues should be addressed in the proposal.

Protests based on any omission or error, or on the content of the solicitation, will be disallowed if these faults have not been brought to the attention of the Designated RFP Contact, in writing, at least ten (10) calendar days prior to the time set for opening of the proposals.

1.5.14 RFP Question and Answer Process

The State of Delaware will allow written requests for clarification of the RFP. All questions shall be received no later the due date for questions referenced in **Table 6 Proposal Response Schedule**. All questions will be consolidated into a single set of responses and posted on the State's website at www.bids.delaware.gov per the question response date referenced in **Tale 6 Proposal Response Schedule**. Vendor names will be removed from questions in the responses released. Questions should be submitted in the following format (deviations from this format will not be accepted):

1. Section number
2. Paragraph number
3. Page number
4. The text of passage being questioned

All questions must be submitted by email to the Designated RFP Contact and shall be formatted in Microsoft Word.

1.5.15 State's Right to Reject Proposals

The State of Delaware reserves the right to accept or reject any or all proposals or any part of any proposal, to waive defects, technicalities or any specifications (whether they be in the State of Delaware's specifications or vendor's response), to sit and act as sole judge of the merit and qualifications of each product offered, or to solicit new proposals on the same project or on a modified project which may include portions of the originally proposed project as the State of Delaware may deem necessary in the best interest of the State of Delaware.

1.5.16 State's Right to Cancel Solicitation

The State of Delaware reserves the right to cancel this solicitation at any time during the procurement process, for any reason or no reason. The State of Delaware makes no commitments expressed or implied, that this process will result in a business transaction with any vendor.

This RFP does not constitute an offer by the State of Delaware. Vendor's participation in this process may result in the State of Delaware selecting your organization to engage in further discussions and negotiations toward the execution of a contract. The commencement of such negotiations does not, however, signify a commitment by the State of Delaware to execute a contract nor to continue negotiations. The State of Delaware may terminate negotiations at any time and for any reason or no reason.

1.5.17 State's Right to Award Multiple Source Contracting

Pursuant to 29 *Del. C.* [§ 6986](#), the State of Delaware may award a contract for a particular professional service to two or more vendors if the agency head determines that such an award is in the best interest of the State of Delaware.

1.5.18 Potential Contract Overlap

Vendors shall be advised that the State, at its sole discretion, shall retain the right to solicit for goods and services as required by its agencies and as it serves the best interest of the State. As needs are identified, there may exist instances where contract deliverables and goods or services to be solicited and subsequently awarded, overlap previous awards. The State reserves the right to reject any or all bids in whole or in part, to make partial awards, to award to multiple vendors during the same period, to award by types, on a zone-by-zone basis or on an item-by-item or lump sum basis item by item, or lump sum total, whichever may be most advantageous to the State of Delaware.

1.5.19 Notification of Withdrawal of Proposal

The vendor may modify or withdraw its proposal by written request, provided that both proposal and request is received by the State of Delaware prior to the proposal due date. Proposals may be re-submitted in accordance with the proposal due date to be considered further.

Proposals become the property of the State of Delaware at the proposal submission deadline. All proposals received are considered firm offers at that time.

1.5.20 Revisions to the RFP

If it becomes necessary to revise any part of the RFP, an addendum will be posted on the State of Delaware's website at www.bids.delaware.gov. The State of Delaware is not bound by any statement related to this RFP made by any State of Delaware employee, contractor or its agents.

1.5.21 Exceptions to the RFP

Any exceptions to the RFP, or the State of Delaware's terms and conditions, must be recorded on **Attachment 3 Exceptions Form**. Acceptance of exceptions is within the sole discretion of the evaluation committee.

1.5.22 Award of Contract

The final award of a contract is subject to approval by the State of Delaware. The State of Delaware has the sole right to select the successful vendor(s) for the award, to reject any proposal as unsatisfactory or non-responsive, to award a contract to other than the lowest priced proposal, to award multiple contracts, or not to award a contract, as a result of this RFP.

Notice in writing to a vendor of the acceptance of its proposal by the State of Delaware and the subsequent full execution of a written contract will constitute a contract, and no vendor will acquire any legal or equitable rights or privileges until the occurrence of both such events.

1.5.22.1 RFP Award Notifications

After reviews of the evaluation committee report and its recommendation, and once the contract terms and conditions have been finalized, the State of Delaware will award the contract.

The contract shall be awarded to the vendor whose proposal is most advantageous, taking into consideration the evaluation factors set forth in the RFP.

It should be explicitly noted that the State of Delaware is not obligated to award the contract to the vendor who submits the lowest bid or the vendor who receives the highest total point score, rather the contract will be awarded to the vendor whose proposal is the most advantageous to the State of Delaware. The award is subject to the appropriate State of Delaware approvals.

After a final selection is made, the winning vendor will be invited to negotiate a contract with the State of Delaware; remaining vendors will be notified in writing of their selection status.

1.5.23 Cooperatives

Vendors, who have been awarded similar contracts through a competitive bidding process with a cooperative, are welcome to submit the cooperative pricing for this solicitation.

1.6 Contract Terms and Conditions

1.6.1 Contract Use by Other Agencies

REF: Title 29, Chapter 6904(e) Delaware Code. If no state contract exists for a certain good or service, covered agencies may procure that certain good or service under another agency's contract so long as the arrangement is agreeable to all parties. Agencies, other than covered agencies, may also procure such goods or services under another agency's contract when the arrangement is agreeable to all parties.

1.6.2 Cooperative Use of Award

As a publicly competed contract awarded in compliance with 29 DE Code Chapter 69, this contract is available for use by other states and governmental entities through a participating addendum. Interested parties should contact the State Contract Procurement Officer identified in the contract for instruction. Final approval for permitting participation in this contract resides with the Director of Government Support Services and in no way places any obligation upon the awarded vendor(s).

1.6.3 As a Service Subscription

As a service subscription, license costs shall be incurred at the individual license level only as the individual license is utilized within a fully functioning solution. Subscription costs will not be applicable during periods of implementation and solution development prior to the State's full acceptance of a working solution. Additional subscription license requests above actual utilization may not exceed 5% of the total and are subject to Delaware budget and technical review.

1.6.4 General Information

- 1.** The proposed term of the contract between the successful bidder and the State shall be for ten (10) years with five (5) optional extensions for one (1) year for each extension.
- 2.** The selected vendor will be required to enter into a written agreement with the State of Delaware. The State of Delaware reserves the right to incorporate standard State contractual provisions into any contract negotiated as a result of a proposal submitted in response to this RFP. Any proposed modifications to the terms and conditions of the standard contract are subject to review and approval by the State of Delaware. Vendors will be required to sign the contract for all services and may be required to sign additional agreements.
- 3.** The selected vendor or vendors will be expected to enter negotiations with the State of Delaware, which will result in a formal contract between parties. Procurement will be in accordance with the subsequent contracted agreement. This RFP and the selected vendor's response to this RFP will be incorporated as part of any formal contract.
- 4.** Vendor's proposal should include, if applicable, any draft supplemental agreements (i.e. software licenses, support and/or maintenance agreements, source code escrow agreement, etc.) for consideration by the State of Delaware. Should the vendor be selected for negotiation, the State of Delaware may negotiate the terms and conditions of those supplemental agreements.
- 5.** After negotiations are successfully completed, the vendor shall execute a contract incorporating the terms of this RFP and such additional negotiated terms, if any, within twenty (20) days thereafter. No vendor is to begin any service prior to receipt of a State of Delaware purchase order signed by two authorized representatives of the agency requesting service, properly processed through the State of Delaware Accounting Office and the Department of Finance. The purchase order shall serve as the authorization to proceed in accordance with the bid specifications and the special instructions, once it is received by the successful vendor.
- 6.** If the vendor to whom the award is made fails to enter into an agreement as herein provided, the award will be annulled, and an award may be made to another vendor. Such vendor shall fulfill every stipulation embraced herein as if they were the party to whom the first award was made.
- 7.** The State reserves the right to extend this contract on a month-to-month basis for a period of up to three months after the term of the full contract has been completed.

1.6.5 Collusion or Fraud

Any evidence of agreement or collusion among vendor(s) and prospective vendor(s) acting to illegally restrain freedom from competition by agreement to offer a fixed price, or otherwise, will render the offers of such vendor(s) void.

By responding, the vendor shall be deemed to have represented and warranted, under penalty of perjury, that its proposal is not made in connection with any competing vendor submitting a separate response to this RFP, and is in all respects fair and without collusion or fraud; that the vendor did not participate in the RFP development process and had no knowledge of the specific contents of the RFP prior to its issuance; and that no employee or official of the State of Delaware participated directly or indirectly in the vendor's proposal preparation.

Advance knowledge of information which gives any particular vendor advantages over any other interested vendor(s), in advance of the opening of proposals, whether in response to advertising or an employee or representative thereof, will potentially void that particular proposal.

1.6.6 Lobbying and Gratuities

Lobbying or providing gratuities shall be strictly prohibited. Vendors found to be lobbying, providing gratuities to, or in any way attempting to influence a State of Delaware employee or agent of the State of Delaware concerning this RFP or the award of a contract resulting from this RFP shall have their proposal immediately rejected and shall be barred from further participation in this RFP.

The selected vendor will warrant that no person or selling agency has been employed or retained to solicit or secure a contract resulting from this RFP upon agreement or understanding for a commission, or a percentage, brokerage or contingent fee. For breach or violation of this warranty, the State of Delaware shall have the right to annul any contract resulting from this RFP without liability or at its discretion deduct from the contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee.

All contact with State of Delaware employees, contractors or agents of the State of Delaware concerning this RFP shall be conducted in strict accordance with the manner, forum and conditions set forth in this RFP.

1.6.7 Solicitation of State Employees

Until contract award, vendors shall not, directly or indirectly, solicit any employee of the State of Delaware to leave the State of Delaware's employ in order to accept employment with the vendor, its affiliates, actual or prospective contractors, or any person acting in concert with vendor, without prior written approval of the State of Delaware's contracting officer. Solicitation of State of Delaware employees by a vendor may result in rejection of the vendor's proposal.

This paragraph does not prevent the employment by a vendor of a State of Delaware employee who has initiated contact with the vendor. However, State of Delaware employees may be legally prohibited from accepting employment with the contractor or subcontractor under certain circumstances. Vendors may not knowingly employ a person who cannot legally accept employment under state or federal law. If a vendor discovers that they have done so, they must terminate that employment immediately.

1.6.8 General Contract Terms

1.6.8.1 Independent Contractors

The parties to the contract shall be independent contractors to one another, and nothing herein shall be deemed to cause this agreement to create an agency, partnership, joint venture or employment relationship between parties. Each party shall be responsible for compliance with all applicable workers compensation, unemployment, disability insurance, social security withholding and all other similar matters. Neither party shall be liable for any debts, accounts, obligations or other liability whatsoever of the other party or any other obligation of the other party to pay on the behalf of its employees or to withhold from any compensation paid to such employees any social benefits, workers compensation insurance premiums or any income or other similar taxes.

It may be at the State of Delaware's discretion as to the location of work for the contractual support personnel during the project period. The State of Delaware may provide working space and sufficient supplies and material to augment the Contractor's services.

1.6.8.2 Temporary Personnel are Not State Employees

Vendor agrees that any individual or group of temporary staff person(s) provided to the State of Delaware pursuant to this Solicitation shall remain the employee(s) of the vendor for all purposes including any required compliance with the Affordable Care Act by the vendor. Vendor agrees that it shall not allege, argue, or take any position that individual temporary staff person(s) provided to the State pursuant to this Solicitation must be provided any benefits, including any healthcare benefits by the State of Delaware and vendor agrees to assume the total and complete responsibility for the provision of any healthcare benefits required by the Affordable Care Act to aforesaid individual temporary staff person(s). In the event that the Internal Revenue Service or any other third party governmental entity determines that the State of Delaware is a dual employer or the sole employer of any individual temporary staff person(s) provided to the State of Delaware pursuant to this Solicitation, vendor agrees to hold harmless, indemnify, and defend the State to the maximum extent of any liability to the State arising out of such determinations.

Notwithstanding the content of the preceding paragraph, should the State of Delaware subsequently directly hire any individual temporary staff employee(s) provided pursuant to this Solicitation, the aforementioned obligations to hold harmless, indemnify, and defend the State of Delaware shall cease and terminate for the period following the date of hire. Nothing herein shall be deemed to terminate the vendor's obligation to hold harmless, indemnify, and defend the State of Delaware for any liability that arises out of compliance with the ACA prior to the date of hire by the State of Delaware. The vendor will waive any separation fee provided an employee works for both the vendor and hiring agency, continuously, for a three (3) month period and the vendor is provided thirty (30) days written notice of intent to hire from the agency.

1.6.8.3 ACA Safe Harbor

The State and its utilizing agencies are not employers of temporary or contracted staff. However, the State is concerned that it could be determined to be a Common-law Employer as defined by the Affordable Care Act ("ACA"). Therefore, to the extent that services vendor proposes to provide services on a time and materials basis, the State seeks to utilize the "Common-law Employer Safe Harbor Exception" under the ACA to transfer health benefit insurance requirements to the staffing company. The Common-law Employer Safe Harbor Exception can be attained when the State and its agencies are charged and pay for an "Additional Fee" with respect to the employees electing to obtain health coverage from the vendor.

The Common-law Employer Safe Harbor Exception under the ACA requires that an Additional Fee must be charged to those employees who obtain health coverage from the vendor, but does not state the required amount of the fee. The State requires that all vendors shall identify the Additional Fee to obtain health coverage from the vendor and delineate the Additional Fee from all other charges and fees. The vendor shall identify both the Additional Fee to be charged and the basis of how the fee is applied (i.e., per employee, per invoice, etc.). The State will consider the Additional Fee and prior to award reserves the right to negotiate any fees offered by the vendor.

1.6.8.4 Licenses and Permits

In the performance of the contract, the vendor will be required to comply with all applicable federal, state and local laws, ordinances, codes, and regulations. The cost of permits and other relevant costs required in the performance of the contract shall be borne by the successful vendor. The vendor shall be properly licensed and authorized to transact business in the State of Delaware as provided in 30 *Del. C. § 2502*.

Prior to receiving an award, the successful vendor shall either furnish the State of Delaware with proof of State of Delaware Business License or initiate the process of application where required. An application may be requested in writing to Division of Revenue, Carvel State Building, P.O. Box 8750, 820 N. French Street, Wilmington, DE 19899 or by telephone to one of the following numbers:

- (302) 577-8200—Public Service
- (302) 577-8205—Licensing Department.

Information regarding the award of the contract will be given to the Division of Revenue. Failure to comply with the State of Delaware licensing requirements may subject vendor to applicable interest and penalties.

1.6.8.5 Notice

Any notice to the State of Delaware required under the contract shall be sent by registered mail to:

**Michael Bacu
Government Support Services
100 Enterprise Place, Ste. 4
Dover, DE 19904**

AND

**Jennifer R. Hudson, Director
Division of Revenue
Carvel Office Building
820 N. French Street, 8th Floor
Wilmington, DE 19801**

1.6.8.6 Indemnification

1. General Indemnification

By submitting a proposal, the proposing vendor agrees that in the event it is awarded a contract, it will indemnify and otherwise hold harmless the State of Delaware, its agents and employees from any and all liability, suits, actions, or claims, together with all costs, expenses for attorney's fees, arising out of the vendor's, its agents and employees' performance work or services in connection with the contract.

2. Proprietary Rights Indemnification

The vendor shall warrant that all elements of its solution, including all equipment, software, documentation, services, and Deliverables, do not and will not infringe upon or violate any patent,

copyright, trade secret or other proprietary rights of any third party. In the event of any claim, suit or action by any third party against the State of Delaware, the State of Delaware shall promptly notify the vendor in writing and vendor shall defend such claim, suit or action at vendor's expense, and vendor shall indemnify the State of Delaware against any loss, cost, damage, expense or liability arising out of such claim, suit or action (including, without limitation, litigation costs, lost employee time, and counsel fees) whether or not such claim, suit or action is successful.

If any equipment, software, services (including methods) products or other intellectual property used or furnished by the vendor (collectively "Products") is or in vendor's reasonable judgment is likely to be, held to constitute an infringing product, the vendor shall at its expense and option either:

- a. Procure the right for the State of Delaware to continue using the Product(s);
- b. Replace the product with a non-infringing equivalent that satisfies all the requirements of the contract; or
- c. Modify the Product(s) to make it or them non-infringing, provided that the modification does not materially alter the functionality or efficacy of the product or cause the Product(s) or any part of the work to fail to conform to the requirements of the Contract, or only alters the Product(s) to the degree that the State of Delaware agrees to and accepts in writing.

1.6.8.7 Insurance

1. Vendor recognizes that it is operating as an independent contractor and that it is liable for any and all losses, penalties, damages, expenses, attorney's fees, judgments, and/or settlements incurred by reason of injury to or death of any and all persons, or injury to any and all property, of any nature, arising out of the vendor's negligent performance under this contract, and particularly without limiting the foregoing, caused by, resulting from, or arising out of any act of omission on the part of the vendor in their negligent performance under this contract.
2. The vendor shall maintain such insurance as will protect against claims under the Worker's Compensation Act and from any other claims for damages for personal injury, including death, which may arise from operations under this contract. The vendor is an independent contractor and is not an employee of the State of Delaware.
3. During the term of this contract, the vendor shall, at its own expense, also carry insurance with minimum limits as follows:
 - a. Vendor shall in all instances maintain the following insurance during the term of this Agreement.
 - a. Worker's Compensation and Employer's Liability Insurance for all of vendor's employees and those of any subcontractor engaged in performing services in accordance with applicable law
 - b. Professional and Technology-Based Services Liability Insurance (insuring against damages and claim expenses as a result of claims arising from any actual or alleged wrongful acts in performing cyber and technology activities) in the amount of \$5,000,000, per occurrence/annual aggregate.
 - c. Commercial General Liability - \$3,000,000.00 per occurrence/\$5,000,000 annual aggregate

STATE OF DELAWARE DIVISION OF REVENUE

- d. Miscellaneous Errors and Omissions - \$3,000,000.00 per occurrence/\$5,000,000 annual aggregate
 - e. Cyber Liability Insurance – Cyber Liability Insurance shall be required as provided in the DTI standards (Delaware Cloud Services Terms and Conditions Agreement) attached hereto as Attachment 14, if data is not encrypted as required by such standards.
 - b. The vendor shall provide a Certificate of Insurance (COI) as proof that the vendor has the required insurance.
 - c. The vendor shall maintain the required insurance for the life of the contract.
 - d. Before any work is done with the State, a Certificate of Insurance referencing the name and contract number stated herein shall be filed with the State. The certificate holder is as follows:
State of Delaware
Department of Finance – Division of Revenue
Carvel State Building
820 North French Street, 8th Floor
Wilmington, Delaware
4. The State of Delaware shall not be named as an additional insured.
5. Should any of the above-described policies be canceled before expiration date thereof, notice will be delivered in accordance with the policy provisions.

1.6.8.8 Performance Requirements

The selected vendor will warrant that it possesses, or has arranged through subcontractors, all capital and other equipment, labor, materials, and licenses necessary to carry out and complete the work hereunder in compliance with all Federal and State laws, and County and local ordinances, regulations, and codes.

1.6.8.9 Performance Bond

There is no Performance Bond requirement for this RFP.

1.6.8.10 Vendor Emergency Response Point of Contact

The awarded vendor(s) shall provide the name(s), telephone, or cell phone number(s) of those individuals who can be contacted twenty four (24) hours a day, seven (7) days a week where there is a critical need for commodities or services when the Governor of the State of Delaware declares a state of emergency under the Delaware Emergency Operations Plan or in the event of a local emergency or disaster where a state governmental entity requires the services of the vendor. Failure to provide this information could render the proposal as non-responsive.

In the event of a serious emergency, pandemic or disaster outside the control of the State, the State may negotiate, as may be authorized by law, emergency performance from the Contractor to address the immediate needs of the State, even if not contemplated under the original Contract or procurement. Payments are subject to appropriation and other payment terms.

1.6.8.11 Final Warranty

The vendor will provide a warranty that the Deliverables provided pursuant to the contract will function as designed for no less than six (6) calendar months from the date of system acceptance of Implementation Release 3. The warranty shall require the vendor to correct, at its own expense, the setup, configuration, customizations or modifications so that it functions according to the State's requirements.

The vendor shall warrant all releases of the system for three months following the Acceptance of each release. If a severity one or severity two defects are found within the 3-month Warranty Period following each release, a new 3-month period will begin following correction of the identified severity one or two defect.

1.6.8.12 Costs and Payment Schedules

All contract costs must be as detailed specifically in the vendor's cost proposal. No charges other than as specified in the proposal shall be allowed without written consent of the State of Delaware. The proposal costs shall include full compensation for all taxes that the selected vendor is required to pay.

The State of Delaware will require a payment schedule based on defined and measurable milestones. Payments for services will not be made in advance of work performed. The State of Delaware may require holdback of contract monies until acceptable performance is demonstrated (as much as 25%).

The State requests a time-and-material rate card for system support resources for the duration of the project term. Please complete the rate card template provided in **Attachment 9 State of DE-DOR Cost Proposal**.

1.6.8.13 Liquidated Damages

The State of Delaware may include in the final contract liquidated damages provisions for non-performance.

1.6.8.14 Dispute Resolution

At the option of, and in the manner prescribed by the Office of Management and Budget (OMB), the parties shall attempt in good faith to resolve any dispute arising out of or relating to this Agreement promptly by negotiation between executives who have authority to settle the controversy and who are at a higher level of management than the persons with direct responsibility for administration of this Agreement. All offers, promises, conduct and statements, whether oral or written, made in the course of the negotiation by any of the parties, their agents, employees, experts, and attorneys are confidential, privileged and inadmissible for any purpose, including impeachment, in arbitration or other proceeding involving the parties, provided evidence that is otherwise admissible or discoverable shall not be rendered inadmissible.

If the matter is not resolved by negotiation, as outlined above, or, OMB elects to proceed directly to mediation, then the matter will proceed to mediation as set forth below. Any disputes, claims or controversies arising out of or relating to this Agreement shall be submitted to mediation by a mediator selected by OMB, and if the matter is not resolved through mediation, then it shall be submitted, in the sole discretion of OMB, to the Office of Management and Budget, Government Support Services

Director, for final and binding arbitration. OMB reserves the right to proceed directly to arbitration or litigation without negotiation or mediation. Any such proceedings held pursuant to this provision shall be governed by Delaware law and venue shall be in Delaware. The parties shall maintain the confidential nature of the arbitration proceeding and the Award, including the Hearing, except as may be necessary to prepare for or conduct the arbitration hearing on the merits. Each party shall bear its costs of mediation, arbitration or litigation, including attorneys' fees.

1.6.8.15 Termination of Contract

The contract resulting from this RFP may be terminated as follows by the State of Delaware Department of Finance, Division of Revenue:

1. Termination for Cause

If, for any reason the vendor fails to fulfill in a timely and proper manner its obligations under this Contract, or if the vendor violates any of the covenants, agreements, or stipulations of this Contract, the State shall thereupon have the right to terminate this contract by giving written notice to the vendor of such termination and specifying the effective date thereof, at least twenty (20) days before the effective date of such termination. In that event, all finished or unfinished documents, data, studies, surveys, drawings, maps, models, photographs, and reports or other material prepared by the vendor under this Contract shall, at the option of the State, become its property, and the vendor shall be entitled to receive just and equitable compensation for any satisfactory work completed on such documents and other materials which is usable to the State.

On receipt of the contract cancellation notice from the State, the vendor shall have no less than five (5) days to provide a written response and may identify a method(s) to resolve the violation(s). A vendor response shall not affect or prevent the contract cancellation unless the State provides written acceptance of the vendor response. If the State does accept the vendor's method and action plan to correct the identified deficiencies, the State will define the time by which the vendor must fulfill its corrective obligations. Final retraction of the State's termination for cause will only occur after the vendor successfully rectifies the original violation(s). At its discretion, the State may reject in writing the vendor's proposed action plan and proceed with the original contract cancellation timeline.

2. Termination for Convenience

The State may terminate this Contract at any time by giving written notice of such termination and specifying the effective date thereof, at least twenty (20) days before the effective date of such termination. In that event, all finished or unfinished documents, data, studies, surveys, drawings, models, photographs, reports, supplies, and other materials shall, at the option of the State, become its property and the vendor shall be entitled to receive compensation for any satisfactory work completed on such documents and other materials, and which is usable to the State.

3. Termination for Non-Appropriations

In the event the General Assembly fails to appropriate the specific funds necessary to enter into or continue the contractual agreement, in whole or part, the agreement shall be terminated as to any obligation of the State requiring the expenditure of money for which no specific appropriation is

available at the end of the last fiscal year for which no appropriation is available or upon the exhaustion of funds. This is not a termination for convenience and will not be converted to such.

4. Termination for Bankruptcy or Insolvency

The Agency has the right to terminate the agreement upon Vendor filing for bankruptcy protection; any filing of an involuntary bankruptcy action against Vendor; a court of competent jurisdiction appointing or Vendor assigning all or substantially all of Vendor's assets to a custodian; or upon Vendor's insolvency.

1.6.8.16 Non-discrimination

In performing the services subject to this RFP the vendor, as set forth in Title 19 Delaware Code Chapter 7 section [711](#), will agree that it will not discriminate against any employee or applicant with respect to compensation, terms, conditions or privileges of employment because of such individual's race, marital status, genetic information, color, age, religion, sex, sexual orientation, gender identity, or national origin. The successful vendor shall comply with all federal and state laws, regulations and policies pertaining to the prevention of discriminatory employment practice. Failure to perform under this provision constitutes a material breach of contract.

1.6.8.17 Covenant against Contingent Fees

The successful vendor will warrant that no person or selling agency has been employed or retained to solicit or secure this contract upon an agreement of understanding for a commission or percentage, brokerage or contingent fee excepting bona fide employees, bona fide established commercial or selling agencies maintained by the vendor for the purpose of securing business. For breach or violation of this warranty, the State of Delaware shall have the right to annul the contract without liability or at its discretion to deduct from the contract price or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee.

1.6.8.18 Vendor Activity

No activity is to be executed in an offshore facility, either by a subcontracted firm or a foreign office or division of the vendor. The vendor must attest to the fact that no activity will take place outside of the United States in its transmittal letter. Failure to adhere to this requirement is cause for elimination from future consideration.

1.6.8.19 Vendor Responsibility

The successful vendor(s) shall be responsible for all products and services as required by this RFP whether or not the vendor or its subcontractor provided final fulfillment of the order. Subcontractors, if any, shall be identified in the vendor's proposal by completing **Attachment 10.6 Subcontractor Information Form**, and are subject to the approval and acceptance of the State of Delaware Department of Finance, Division of Revenue.

1.6.8.20 Personnel, Equipment, and Services

1. The vendor represents that it has, or will secure at its own expense, all personnel required to perform the services required under this contract.
2. All of the equipment and services required hereunder shall be provided by or performed by the vendor or under its direct supervision, and all personnel, including subcontractors, engaged in

the work shall be fully qualified and shall be authorized under State and local law to perform such services.

3. None of the equipment or services covered by this contract shall be subcontracted without the prior written approval of the State. Only those subcontractors identified in **Attachment 10.6 Subcontractor Information Form** are considered approved upon award. Changes to those subcontractor(s) listed in **Attachment 10.6 Subcontractor Information Form** must be approved in writing by the State.

1.6.8.21 Fair Background Check Practices

Pursuant to 29 Del. C. [§6909B](#), the State does not consider the criminal record, criminal history, credit history or credit score of an applicant for State employment during the initial application process unless otherwise required by state or federal law. Vendors doing business with the State are encouraged to adopt fair background check practices. Vendors can refer to 19 Del. C. [§711\(g\)](#) for applicable established provisions.

1.6.8.22 Vendor Background Check Requirements

Vendor(s) selected for an award that access state property or come in contact with vulnerable populations, including children and youth, shall be required to complete background checks on employees serving the State's on-premises contracts.

Upon agency request, the vendor(s) shall provide a list of all employees serving an awarded contract, and certify adherence to the background check requirement. Individual(s) found in violation of the terms stated, shall be immediately prevented from a return to state property in service of a contract award. A violation of this condition represents a violation of the contract terms and conditions and may subject the vendor to penalty, up to and including cancellation of the contract for cause.

The contract to be awarded as a result of this RFP shall require additional background checks and security clearance(s) that are compliant with DTI and IRS requirements. The vendor(s) shall be responsible for the background check requirements of any authorized subcontractor providing service in connection with the agency's contract.

1.6.8.23 Work Product

Work Product developed under the executed contract will be the sole and exclusive property of the State. The vendor will acknowledge the State's proprietary rights in the Work Product and that any misuse of such rights would cause substantial and irreparable harm to the State. The Vendor acknowledges and stipulates that the Delaware Chancery Court should immediately enjoin any material breach of the intellectual property, licensing, and confidentiality provisions of the contract, upon receipt of a petition filed by the State, without requiring proof of irreparable injury as the same should be presumed.

1.6.8.24 Contract Documents

The RFP, the purchase order, the executed contract, any supplemental documents, or agreements incorporated therein, including, without limitation, the vendor's response to the RFP, by and between the State of Delaware and the successful vendor (the "contract documents") shall constitute the entire agreement between the State of Delaware and the vendor.

In the event there is any discrepancy between any of these contract documents, the following order of documents governs so that the former prevails over the latter: Contract, State of Delaware's RFP, vendor's response to the RFP, purchase order, and any other agreements incorporated into the contract. No other documents shall be considered.

1.6.8.25 Governing Law

The contract shall be governed by and construed in accordance with the laws of the State of Delaware without regard to the principals of conflicts of laws. With respect to any claim or cause of action arising under or relating to the contract, vendor consents to jurisdiction and venue in the State of Delaware.

In submitting a proposal, vendors certify that they comply with all federal, state and local laws applicable to its activities and obligations including:

1. The laws of the State of Delaware;
2. The applicable portion of the Federal Civil Rights Act of 1964;
3. The Equal Employment Opportunity Act and the regulations issued thereunder by the federal government;
4. That programs, services, and activities provided to the general public under resulting contract conform with the Americans with Disabilities Act of 1990, and the regulations issued thereunder by the federal government.

If any vendor fails to comply with (1) through (5) of this paragraph, the State of Delaware reserves the right to disregard the proposal, terminate the contract, or consider the vendor in default.

The selected vendor shall keep itself fully informed of and shall observe and comply with all applicable existing Federal and State laws and County and local ordinances, regulations and codes, and those laws, ordinances, regulations, and codes adopted during its performance of the work.

1.6.8.26 Severability

If any term or provision of this RFP is found by a court of competent jurisdiction to be invalid, illegal or otherwise unenforceable, the same shall not affect the other terms or provisions hereof or the whole of this RFP, but such term or provision shall be deemed modified to the extent necessary in the court's opinion to render such term or provision enforceable, and the rights and obligations of the parties shall be construed and enforced accordingly, preserving to the fullest permissible extent the intent of the State herein set forth.

1.6.8.27 Assignment of Antitrust Claims

Vendor and the State of Delaware recognize that, in actual economic practice, overcharges resulting from antitrust violations are usually borne by the State. Therefore, as consideration for the award and execution of this contract by the State, the vendor hereby grants, conveys, sells, assigns, and transfers to the State of Delaware all of its right, title and interest in and to all known or unknown causes of action it presently has or may now or hereafter acquire under the antitrust laws of the United States and the State of Delaware, regarding the specific goods or services purchased or acquired for the State pursuant to this contract. Upon either the State's or the vendor notice of the filing of or reasonable likelihood of

filing of an action under the antitrust laws of the United States or the State of Delaware, the State and vendor shall meet and confer about coordination of representation in such action.

1.6.8.28 Scope of Agreement

If the scope of any provision of the contract is determined to be too broad in any respect whatsoever to permit enforcement to its full extent, then such provision shall be enforced to the maximum extent permitted by law, and the parties hereto consent and agree that such scope may be judicially modified accordingly and that the whole of such provisions of the contract shall not thereby fail, but the scope of such provisions shall be curtailed only to the extent necessary to conform to the law.

1.6.8.29 Affirmation

The vendor must affirm that within the past five (5) years, the firm or any officer, controlling stockholder, partner, principal, or other person substantially involved in the contracting activities of the business is not currently suspended or debarred and is not a successor, subsidiary, or affiliate of a suspended or debarred business.

1.6.8.30 Audit Access to Records

The vendor shall maintain books, records, documents, and other evidence pertaining to the contract to the extent and in such detail as shall adequately reflect performance hereunder. The vendor agrees to preserve and make available to the State, upon request, such records for (5) years from the date services were completed by the vendor. Records involving matters in litigation shall be retained for one (1) year following the termination of such litigation. The vendor agrees to make such records available for inspection, audit, or reproduction to any official State representative in the performance of their duties under the contract. Upon notice given to the vendor, representatives of the State or other duly authorized State or Federal agency may inspect, monitor, and evaluate the cost and billing records or other material relative to the contract. The cost of any contract audit disallowances resulting from the examination of the vendor's financial records will be borne by the vendor. Reimbursement to the State for disallowances shall be drawn from the vendor's resources and not charged to contract cost or cost pools indirectly charging contract costs.

1.6.8.31 Other General Conditions

- 1. Current Version** – “Packaged” application and system software shall be the most current version generally available as of the date of the physical installation of the software.
- 2. Current Manufacture** – Equipment specified and/or furnished under this specification shall be standard products of manufacturers regularly engaged in the production of such equipment and shall be the manufacturer’s latest design. All material and equipment offered shall be new and unused.
- 3. Volumes and Quantities** – Activity volume estimates and other quantities have been reviewed for accuracy; however, they may be subject to change prior or subsequent to award of the contract.
- 4. Prior Use** – The State of Delaware reserves the right to use equipment and material furnished under this proposal prior to final acceptance. Such use shall not constitute acceptance of the work or any part thereof by the State of Delaware.

5. **Status Reporting** – The selected vendor will be required to participate in status meetings and submit status reports covering such items as the progress of work being performed, milestones attained, resources expended, problems encountered and corrective action taken, until final system acceptance.
6. **Regulations** – All equipment, software, and services must meet all applicable local, State and Federal regulations in effect on the date of the contract.
7. **Assignment** – Any resulting contract shall not be assigned except by express prior written consent from the Agency.
8. **Changes** – No alterations in any terms, conditions, delivery, price, quality, or specifications of items ordered will be effective without the written consent of the State of Delaware.
9. **Billing** – The successful vendor is required to "Bill as Shipped" to the respective ordering agency(s). Ordering agencies shall provide contract number, ship to and bill to address, contact name and phone number.
10. **Payment** – The State reserves the right to pay by Automated Clearing House (ACH), Purchase Card (P-Card), or check. The agencies will authorize and process for payment of each invoice within thirty (30) days after the date of receipt of a correct invoice. Vendors are invited to offer in their proposal value-added discounts (e.g., discounts for specific payment terms). Cash or separate discounts should be computed and incorporated as invoiced.
11. **Purchase Orders** – Agencies that are part of the First State Financial (FSF) system are required to identify the contract number FIN19001-REVENUE on all Purchase Orders (P.O.) and shall complete the same when entering P.O. information in the state's financial reporting system.
12. **Purchase Card** – The State of Delaware intends to maximize the use of the P-Card for payment for goods and services provided under the contract. Vendors shall not charge additional fees for acceptance of this payment method and shall incorporate any costs into their proposals. Additionally, there shall be no minimum or maximum limits on any P-Card transaction under the contract.
13. **Additional Terms and Conditions** – The State of Delaware reserves the right to add terms and conditions during the contract negotiations.

1.6.9 RFP Miscellaneous Information

1.6.9.1 No Press Releases or Public Disclosure

The State of Delaware reserves the right to pre-approve any news or broadcast advertising releases concerning this solicitation, the resulting contract, the work performed, or any reference to the State of Delaware with regard to any project or contract performance. Any such news or advertising releases pertaining to this solicitation or resulting contract shall require the prior express written permission of the State of Delaware.

The State will not prohibit or otherwise prevent the awarded vendor(s) from direct marketing to the State of Delaware agencies, departments, municipalities, or any other political subdivisions, however, the vendor shall not use the State's seal or imply a preference for the solution or goods provided.

1.6.9.2 Definitions of Requirements

To prevent any confusion about identifying requirements in this RFP, the following definitions are offered:

STATE OF DELAWARE DIVISION OF REVENUE

1. SHALL is equivalent to REQUIRED and MUST indicating that the definition is an absolute requirement.
2. SHALL NOT is equivalent to MUST NOT and indicates that it is an absolute prohibition of the specifications.
3. SHOULD is equivalent to RECOMMENDED means that there are valid reasons to ignore a particular requirement, but the implications need to be weighed.
4. SHOULD NOT and NOT RECOMMENDED means that a particular requirement may be acceptable or useful, but the implications need to be weighed.
5. MAY means OPTIONAL and that the requirement is truly optional. Interoperability with different systems that may or may not implement an optional requirement must be done.

Failure to respond to a mandatory requirement may cause the disqualification of your proposal.

2 Section Two – Proposal Response Requirements

2.1 General Instructions

Table 7 RFP Response Submission Instructions outlines the required response elements for the vendor’s RFP submission. Please provide your proposal response in alignment with the instructions provided in the table below. Deviation from the instructions may impact final evaluation scores.

Table 7 Response Submission Instructions

Section Number	Response Section Title	Response Attachment
1.0	RFP Response Transmittal	Attachment 1.1 State of DE–DOR Transmittal Letter.pdf Attachment 1.2 State of DE–DOR Executive Summary.pdf
	<p>Instructions:</p> <p>Each proposal must be accompanied by a Transmittal Letter which briefly summarizes the vendor’s interest in providing the required professional services. The Transmittal Letter must also clearly state and justify any exceptions to the requirements of the RFP which the applicant may have taken in presenting the proposal.</p> <p>Furthermore, the Transmittal Letter must attest to the fact, at a minimum, that the vendor shall not store or transfer non-public State of Delaware data outside of the United States. For technology-related solicitations, vendors may refer to the Delaware Department of Technology and Information (DTI) identified terms and conditions included in this solicitation (see https://dti.delaware.gov/information/standards-policies.shtml).</p> <p>The State of Delaware reserves the right to deny any exceptions taken to the RFP requirements. The Transmittal Letter must be in Adobe PDF format and titled: Attachment 1.1 State of DE-DOR Transmittal Letter.pdf</p> <p>The vendor shall provide an Executive Summary highlighting the value of their solution and key elements of the vendor’s response that are integral to meeting the State of Delaware’s needs. The Executive Summary shall not be more than three(3) pages in length and must be in Adobe PDF format and titled: Attachment 1.2 State of DE-DOR Executive Summary.pdf</p>	
2.0	Vendor Profile Information	Attachment 2 State of DE-DOR Vendor Profile Attachment 2.1 State of DE-DOR Vendor Organization.pdf Attachment 2.2 State of DE-DOR Vendor Financials.pdf Attachment 2.3 State of DE-DOR Vendor References Attachment 2.4 State of DE-DOR Certificate of Good Standing Attachment 2.5 State of DE-DOR Subcontractors
	<p>Instructions:</p>	

	<p>The vendor shall provide profile information for their company. At a minimum, the vendor is requested to supply the following information in Attachment 2 State of DE-DOR Vendor Profile:</p> <ol style="list-style-type: none"> 1. General Information 2. Company Structure <p>The vendor must complete this attachment and include it in the vendor’s proposal as an MS Word file named Attachment 2 State of DE-DOR Vendor Profile.docx.</p> <p>The vendor’s Corporate Organization Chart must be delivered as an Adobe PDF format file and named Attachment 2.1 State of DE-DOR Vendor Organization.pdf.</p> <p>Three (3) years of vendor Financial Statements must be delivered as an Adobe PDF formatted file and named Attachment 2.2 State of DE-DOR Vendor Financials.pdf.</p> <p>The vendor must complete Attachment 2.3 State of DE-DOR Vendor References and include it as an Adobe PDF file in the vendor’s proposal as Attachment 2.3 State of DE-DOR Vendor References.pdf.</p> <p>The vendor must acquire a Certificate of Good Standing. You may request a certificate at the following Delaware Division of Corporations website (https://corp.delaware.gov/directweb). The Certificate of Good Standing must be scanned and provided as an Adobe PDF formatted file and named: Attachment 2.4 State of DE-DOR Certificate of Good Standing.pdf. The vendor must maintain a record of the original certificate on file with the vendor for inspection by the State of Delaware if required.</p> <p>The vendor must complete Attachment 2.5 State of DE-DOR Subcontractors and include it as an Adobe PDF file in the vendor’s proposal as Attachment 2.5 State of DE-DOR Subcontractors.pdf.</p>	
3.0	<p>Business Functional Requirements</p>	<p>Attachment 3 State of DE-DOR Business Requirements.xlsx</p>
	<p>Instructions:</p> <p>The vendor must complete Attachment 3 State of DE-DOR Business Requirements.xlsx (included in the RFP) in its entirety and return it in the submission package under the same file name: Attachment 3 State of DE-DOR Business Requirements.xlsx.</p> <p>You are being asked to fill in the sections highlighted in light blue. The Response Code will be one of the following values:</p>	

	<p>5. "Out of the box" functionality: The capability exists within the as-is core product, and no configuration or software programming is required by the vendor.</p> <p>4. Requires configuration: The capability exists within the core product, but configuration is required using the inherent features of the software (no software programming required).</p> <p>3. Requires customization: The capability may or may not exist within the core product and to meet the requirement will require software programming of the base or core system.</p> <p>2. 3rd party software, if applicable: The capability cannot be met by the core product but can be met with a 3rd party application that can be integrated to the final product, which could require software programming for integration.</p> <p>1. Not supported or it is anticipated in a future release.</p> <p>In the column to the right of the Response Codes, please provide any additional comments relevant to the specific requirement.</p> <ul style="list-style-type: none"> • For Response Code 4, please provide a brief description of the level of configuration required. • For Response Code 3, please provide a detailed description of the customization required (e.g., minimal: less than 4 hours, moderate: 4 to 24 hours, major: greater than 24 hours). • For Response Code 2, please provide the name(s) of the 3rd party software required and a brief description of the software solution. • For Response Code 1, please provide commentary as needed. 	
<p>4.0</p>	<p>Technical Requirements</p>	<p>Attachment 4 State of DE-DOR Technical Requirements.xlsx</p>
<p>Instructions:</p> <p>The vendor must complete Attachment 4 State of DE-DOR Technical Requirements.xlsx (included in the RFP) in its entirety and return it in the submission package under the same file name: Attachment 4 State of DE-DOR Technical Requirements.xlsx.</p> <p>You are being asked to fill in the sections highlighted in light blue. The Response Code will be one of the following values:</p> <p>5. "Out of the box" functionality: The capability exists within the as-is core product, and no configuration or software programming is required by the vendor.</p> <p>4. Requires configuration: The capability exists within the core product, but configuration is required using the inherent features of the software (no software programming required).</p>		

	<p>3. Requires customization: The capability may or may not exist within the core product and to meet the requirement will require software programming of the base or core system.</p> <p>2. 3rd party software, if applicable: The capability cannot be met by the core product but can be met with a 3rd party application that can be integrated to the final product, which could require software programming for integration.</p> <p>1. Not supported or it is anticipated in a future release.</p> <p>In the column to the right of the Response Codes, please provide any additional comments relevant to the specific requirement.</p> <ul style="list-style-type: none"> • For Response Code 4, please provide a brief description of the level of configuration required. • For Response Code 3, please provide a detailed description of the customization required (e.g., minimal: less than 4 hours, moderate: 4 to 24 hours, major: greater than 24 hours). • For Response Code 2, please provide the name(s) of the 3rd party software required and a brief description of the software solution. • For Response Code 1, please provide commentary as needed. 	
<p>5.0</p>	<p>Project Management and Related Requirements</p>	<p>Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx</p>
<p>Instructions:</p> <p>The vendor must complete Attachment 5 State of DE-DOR Project Management.xlsx (included in the RFP) in its entirety and return it in the submission package under the same file name: Attachment 5 State of DE-DOR Project Management.xlsx</p> <p>You are being asked to fill in the sections highlighted in light blue. The Response Code will be one of the following values:</p> <p>3. The vendor will meet the requirement and has a defined approach that must be used 2. The vendor has exceptions requiring further discussion with the State of Delaware 1. The vendor cannot meet the requirement</p> <p>In the column to the right of the Response Codes, please provide any additional comments relevant to the specific requirement. For Response Code 3, please provide a brief description of the vendor’s approach for meeting the requirement. For Response Code 2, please provide the exceptions requiring further discussion with the State. For Response Code 1, please indicate why you are unable to meet this requirement.</p>		

STATE OF DELAWARE DIVISION OF REVENUE

6.0	Vendor Project Approach	Attachment 6 State of DE-DOR Project Approach
<p>Instructions:</p> <p>The vendor must provide a detailed description of their approach to the IRAS project and return it in MS Word format in the submission package under the file name: Attachment 6 State of DE-DOR Project Approach.docx (alternatively, you may submit this section in Adobe PDF file format under the file name Attachment 6 State of DE-DOR Project Approach.pdf)</p> <p>Any additional or related Project Approach information may be submitted as attachments using the file naming convention of Attachment 6<.1-n> State of DE-DOR <topical name of attachment>.pdf. For example, an additional file could be provided that would be named as:</p> <p>Attachment 6.1 State of DE-DOR Project Phases.pdf</p>		
7.0	State and Vendor Staffing Requirements	Attachment 7 State of DE-DOR Staffing Requirements.xlsx
<p>Instructions:</p> <p>The State of Delaware needs to understand the resource requirements for the implementation of the vendor’s solution. It is anticipated that the solution will be implemented in 3 distinct releases. Section 2.3.5 – Anticipated Tax Types by Release, provides an initial phased implementation strategy (3 Releases). Please use this strategy for your response to this section.</p> <p>Please provide in Attachment 7 State of DE-DOR Staffing Requirements.xlsx a detailed resource plan to include State and vendor resources. We are looking to the vendor to provide the specific roles that will be required for the effort. Resource values should be the total number of expected full-time equivalent (FTE) resources by role for each month of the effort.</p>		
8.0	Sample Project Plan	Attachment 8 State of DE-DOR Project Plan
<p>Instructions:</p> <p>Please provide a sample, yet detailed Project Plan representative of the requirements of the State of Delaware as defined in this RFP as an Adobe PDF formatted file under the file name of Attachment 8 State of DE-DOR Project Plan.pdf. Any additional or related project planning information may be submitted as attachments using the file naming convention of</p>		

STATE OF DELAWARE DIVISION OF REVENUE

	<p>Attachment 8<.1-n> State of DE-DOR <topical name of attachment>.pdf. For example, two additional files could be provided that would be named as:</p> <p>Attachment 8.1 State of DE-DOR Gantt Chart.pdf and Attachment 8.2 State of DE-DOR Resource Allocation.pdf</p>	
9.0	Cost Proposal	Attachment 9 State of DE-DOR Cost Proposal.xlsx
	<p>Instructions:</p> <p>The State of Delaware DOR needs to understand the detailed costs associated with this undertaking to evaluate the vendor solutions and obtain funding for the project.</p> <p>As such, the vendor shall provide a detailed cost model for all phases of the project. The costs shall include:</p> <ol style="list-style-type: none"> 1. All Implementation Costs 2. All Software Licensing Costs (both on-premise and cloud hosted) 3. All Hardware Costs 4. All Other Costs <p>A cost proposal template must be completed by the vendor. The Cost Proposal is provided as Attachment 9 State of DE-DOR Cost Proposal.xlsx.</p> <p>The State anticipates a three (3) phased implementation approach. See Section 2.3.5 for a list of the tax types required by phase for the target implementation to assist in the development of the Cost Proposal.</p>	
10.0	Other Response Requirements	<ul style="list-style-type: none"> • Attachment 10.1 No Proposal Reply Form • Attachment 10.2 Non-Collusion Statement • Attachment 10.3 Exceptions • Attachment 10.4 Confidentiality and Proprietary Information • Attachment 10.5 Office of Supplier Diversity Application
	<p>Instructions:</p> <p>Please fill out the forms provided in the RFP as Attachments 10.1, 10.2, 10.3, 10.4, and 10.5. Scan the completed and signed forms and return as Adobe PDF files and named accordingly per the attachment names listed above (e.g., Attachment 10.2 Non-Collusion Statement.pdf).</p>	
11.0	Mandatory Requirements	Attachment 11 Mandatory Requirements.xlsx

STATE OF DELAWARE DIVISION OF REVENUE

	<p>Instructions:</p> <p>The vendor must complete Attachment 11 State of DE-DOR Mandatory Requirements.xlsx (included in the RFP) in its entirety and return it in the submission package under the same file name: Attachment 11 State of DE-DOR Mandatory Requirements.xlsx.</p> <p>You are being asked to fill in the sections highlighted in light blue. The Response Code will be one of the following values:</p> <p>1. Can Meet the Requirement 0. Unable to Meet the Requirement</p>	
<p>12.0</p>	<p>Unclaimed Property Questions</p>	<p>Attachment 12 Unclaimed Property Questions</p>
	<p>Instructions:</p> <p>The Delaware Department of Finance’s Office of Unclaimed Property (OUP) is looking for information regarding the replacement of its current Unclaimed Property system. For those prospective IRAS vendors, who in addition to an integrated tax COTS product, also have an Unclaimed Property COTS offering, we are asking as part of this RFP to provide information about their product. Information provided should be similar to a Request for Information (RFI), but somewhat specific to Delaware. Vendors may be asked to attend on-site sessions at State of Delaware offices to discuss their Unclaimed Property COTS offering and present a demonstration of its capabilities. Additionally, if the selected vendor does have an Unclaimed Property COTS offering, then DOR may include an option in the contract to possibly exercise its purchase via the Change Order process.</p> <p>In order for the OUP to get an understanding of the vendor’s offering, we are requesting additional information. Please answer the questions contained in Attachment 12.0 Unclaimed Property Questions and include it as an MS Word-file in the vendor’s RFP submission as Attachment 12.0 Unclaimed Property Questions.docx. In addition to providing the information in this Attachment, we are also asking the vendor to provide any incremental information that will help the OUP better understand and assess the vendor’s offering. The vendor may provide any additional documents to describe their capability. Please name these documents Attachment 12.<n><topical title/name> where <n> is a unique number (1, 2, 3 etc.) and <topical title/name> is a title for the document. For example:</p> <p>Attachment 12.1 Unclaimed Property Architecture Diagram.pdf.</p>	
<p>13.0</p>	<p>Department of Technology and</p>	<ul style="list-style-type: none"> Attachment 13 Department of Technology and Information (DTI) Requirements

STATE OF DELAWARE DIVISION OF REVENUE

	<p>Information Requirements</p>	<ul style="list-style-type: none"> • Attachment 14 Delaware Cloud Services Terms And Conditions Agreement • Attachment 15 Data Usage Terms and Conditions
	<p>Instructions: The vendor shall note any exceptions they may have with the DTI Requirements listed in Attachment 13, Attachment 14 and Attachment 15 by itemizing the exceptions in Attachment 3 Exceptions Form. The vendor shall return Attachment 14 and Attachment 15 with their proposal response in Adobe PDF format and title each attachment as noted below:</p> <ul style="list-style-type: none"> • Attachment 14 Delaware Cloud Services Terms And Conditions Agreement.pdf • Attachment 15 Data Usage Terms and Conditions.pdf 	

2.2 State Responsibilities

2.2.1 Governance

The State of Delaware shall own and maintain the project's Governance and Project Management Office (PMO) for the duration of the engagement. The PMO will be established and maintained under the direction of the Cabinet Secretary for the State's Department of Finance (DOF). Assuming the vendor has a well-defined development methodology that is proven to be successful on previous implementations similar to IRAS, then the State shall work with the vendor to incorporate the vendor's approach into the State's PMO.

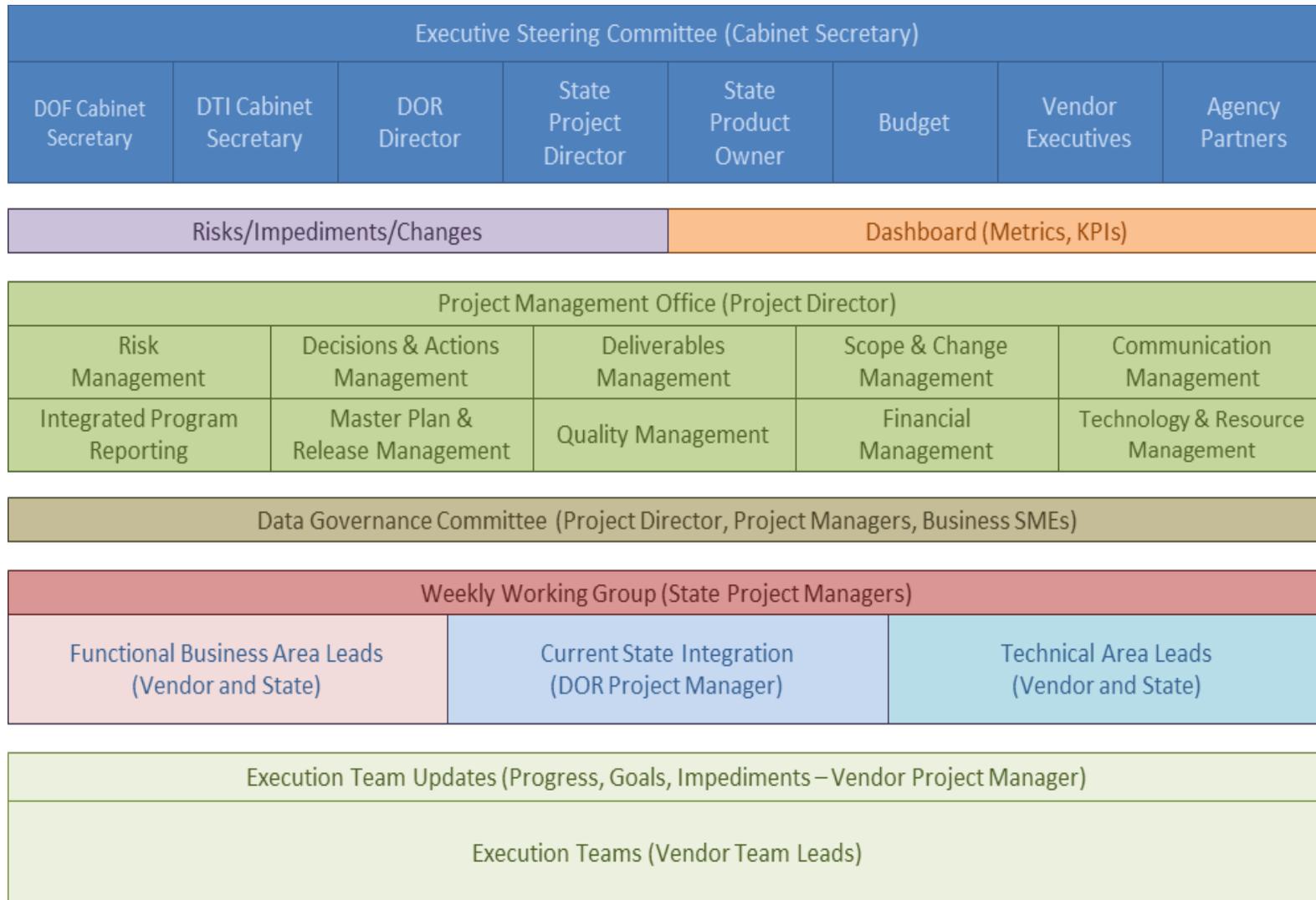
The roles and objectives of the State's PMO are to:

1. Ensure the System meets the needs of the State.
2. Ensure consistency and standardization of process, measurement, and communication across program areas.
3. Enforce integration of people, process, and tools for effective collaboration, communication, accountability, and control.
4. Serve as the communication channel between the vendor, partner agencies, technical resources, and Executive Management.
5. Ensure proper organizational change management is executed.
6. Manage current-state integration to ensure that both modernized and current systems coexist, retired functionality is successfully decoupled, and work outside of the vendor's scope is integrated into the final solution.
7. Ensure contractual compliance by all parties (vendors, State of DE, partners).
8. Resolve differences in approach, positions, opinions, and interpretations between the State, the vendors, and partners.
9. Maintain relationships and obligations across State agencies [memorandums of understanding (MOU)].
10. Manage technical and business scope change across project and program areas.

Figure 4 Project Governance Model depicts the State's anticipated Project Governance Model for this effort. The Executive Steering Committee (ESC) is the governing body for the overall program. The ESC stays informed of all project activities, ensures standardization of process, measurement, and methods, approves or mandates changes to the program, and ensures compliance of all parties to the objectives of the program. The ESC is informed through reports, dashboards, and meetings as maintained and communicated by the State's Project Director.

STATE OF DELAWARE DIVISION OF REVENUE

Figure 4 Project Governance Model



It is expected that through the Project and Release Planning Phase (see **Section 2.3 Project Releases, Phases and Deliverables**) the vendor and the State will work together to define and agree on consistent process management, measurement, and reporting for all work streams. This will include a joint workstream meeting each week (Weekly Working Group) where the workstream leaders (State and vendor) inform other work streams and key stakeholders as to progress, plans, obstacles and opportunities for cross-stream collaboration and innovation.

The daily activities of the work streams are driven by a Project Management Plan (PMP) that is jointly developed by the vendor and the State and establishes the daily project cadence (i.e., the schedule of key activities, meetings, and reviews).

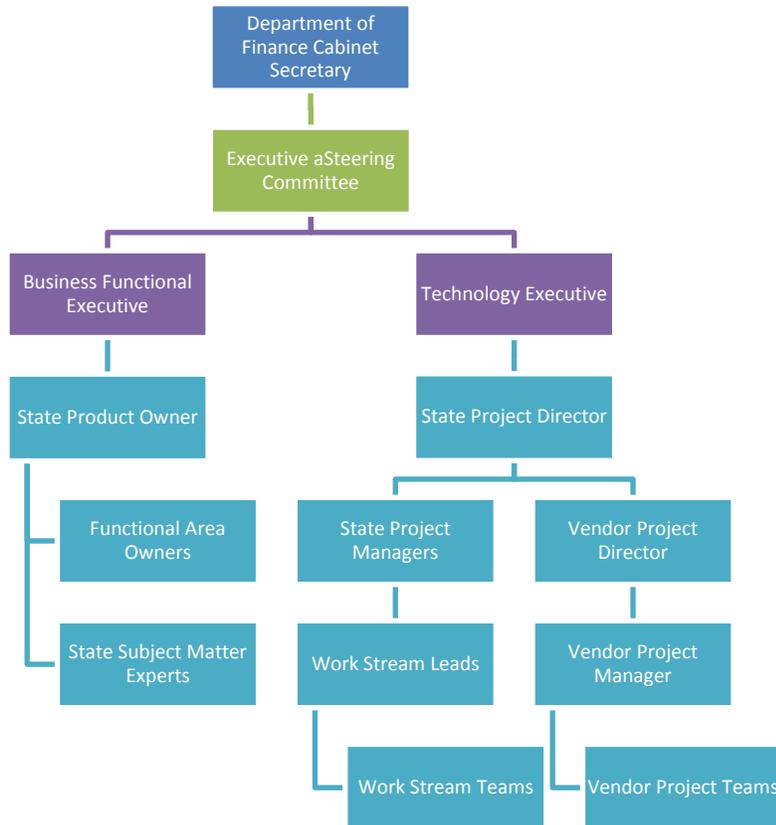
This hierarchy ensures that at the team level:

1. Teams are empowered to make daily decisions regarding the project’s direction and performance;
2. The Collaboration of work streams occurs with regularity; and
3. Progress and performance of the project are continuously measured, managed and communicated both horizontally and vertically through the organization.

2.2.2 Project Organization

Figure 5 Project Organization Chart shows the high-level organization structure for the project.

Figure 5 Project Organization Chart



2.2.3 Executive Steering Committees

The Executive Steering Committee (ESC) shall be established under the direction of the Department of Finance (DOF) Cabinet Secretary to serve as the highest level of oversight and escalation for the project. The ESC shall be comprised of members from the State's DOF and the Division of Revenue (DOR) executive tiers, key executive's and sponsors from the State's partner agencies, key executives from the State's Department of Technology and Information (DTI), and key principals of the software, integration and project management vendors.

The mission of the ESC is to:

1. Measure and monitor project activities to ensure alignment with program goals
2. Approve project and implementation plans and measures
3. Serve as the escalation point for decisions, risks and issue mitigation
4. Serve as authority for all change requests
5. Maintain consistency and standards across all work streams and associated projects
6. Ensure accountability of all project areas

2.2.4 Project Management Office

The Project Management Office (PMO) shall establish the standards for project management and control, and ensure that they are maintained throughout the engagement. The PMO is led by the State's Project Director reporting to the ESC. The Project Director is accountable to and serves on the Executive Steering Committee.

The PMO establishes the standards, processes, reporting, communication, and measurement for all project phases and releases. The PMO ensures that all project tasks and activities are in alignment with the program's practices and policies. In particular, the PMO ensures compliance in the following areas:

1. Project Management Plan development, execution, and monitoring
2. Status Reporting and Meetings
3. Risk Management
4. Issue Management
5. Decision Management
6. Action Management
7. Deliverable Management
8. Change Management
9. Quality Management
10. Defect Management
11. Budget Management
12. Communications Management
13. Technology Management
14. Resource Management
15. Release Management

2.2.4.1 Project Management Plan Development, Execution and Monitoring

Project Management activity shall be ongoing for the duration of the project. The primary objective of project management is to plan, manage, and control the successful completion of all tasks and Deliverables, to keep the project on schedule and within budget. The vendor shall use industry-standard project management methodology as a foundation to manage this project.

The project management responsibilities outlined in this section describe, at a minimum, the set of tasks and Deliverables that shall be required. The State shall set the standards for project management reporting and tasks, and work with the vendor to determine the most practical and effective approach to project management throughout the life of the effort.

The State shall work with the vendor to develop and implement a Project Management Plan (PMP) to successfully implement the Project Management requirements listed in ***Attachment 5 State of DE–DOR Project Management.xlsx***. The PMP shall be updated regularly throughout the project when changes occur.

The PMP shall contain:

1. A Work Breakdown Structure (WBS)
2. A detailed Project Schedule
3. A detailed Staffing Plan (vendor personnel and State personnel) with Organization Chart
4. Project Metrics for schedule, progress, process, and quality

2.2.4.2 Status Reporting and Meetings

The State shall work with the vendor to define the requirements of a weekly Project Status Report to be submitted by the vendor to the State’s Project Director for approval. The Project Status Report shall contain, at a minimum, the following information:

1. The State project name and reporting period
2. Work accomplished during the reporting period
3. The progress of upcoming Deliverables and percentage complete
4. Planned activities for the next reporting period
5. Problems, risks, and issues encountered in the current or prior reporting periods and proposed mitigation solutions
6. Staffing changes that have occurred or are planned
7. Problems resolved since the last meeting and the methods of resolution
8. Scope changes requested or approved by the State
9. Risk status for new or previously identified risks to any aspect of the project
10. The Project Schedule updated to show actual progress with explanations for variances. All expected or projected Project Schedule variances must be reported. Any variance that impacts cost must be authorized by the ESC.

The State shall work with the vendor to define and implement the cadence of meetings and a method for the recording, distribution, access, and storage of key meeting minutes throughout the project including meeting agenda requirements for all vendor-led meetings.

At a minimum, the State and the vendor will participate in key meetings throughout the life of the project according to the Meeting and Reporting Schedule, including but not limited to:

1. Executive Steering Committee Status Meetings
2. Project Team Status Meetings
3. A Weekly Work Group Meeting (workstream forums)
4. Technical Status Meetings
5. Change Control Meetings
6. System Architecture Meetings

2.2.4.3 Risk Management

Risk is inevitable in any project, and in particular, for a project of this complexity and size. A formal risk management process is critical to understanding, assessing and mitigating risks that could cause project delays, cost overruns or introduce poor quality into the software system. The State of Delaware will maintain a continuous program of risk management through the engagement. The selected vendor will be a primary contributor to the risk management program, processes, and plans. A formal Risk Management Process Specification will be developed jointly by the PMO and the selected vendor.

The State shall work with the vendor to develop and implement an approach to risk analysis, risk mitigation, and risk tracking/control. The Risk Management Plan shall ensure an established process for problem escalation and shall minimally include:

1. A strategy and process for risk analysis, risk mitigation, risk tracking and escalation management
2. The business processes and procedures to be used for identifying and defining, tracking, monitoring, quantifying, prioritizing, and mitigating risks
3. A description of how the business processes and procedures will be implemented and integrated into the overall Project Management Plan
4. The application of tools and techniques that will be used for risk identification, documentation, management, analysis, logging, and risk mitigation
5. A definition of Risk Management Roles and Responsibilities

2.2.4.4 Issue Management

The State shall work with the vendor to develop and implement an Issue Management Plan that describes an approach to issue resolution and provide the ability to monitor the resolution of issues throughout the project. The primary goal of the plan is to ensure that the issues are identified, documented, communicated, evaluated, assigned for resolution, and monitored. The Issue Management Plan shall minimally include:

1. An approach and methodology for issues management to ensure that issues are identified, evaluated, assigned for resolution, monitored, resolved, documented and communicated
2. A definition of business processes and procedures that will be implemented and integrated into the overall Project Management Plan
3. The criteria for determining the priority, severity, resolution, and category of issues
4. A definition of Issue Management Roles and Responsibilities

5. The tools to be used for the identification, definition, and evaluation of project issues related to the project

2.2.4.5 Decision and Action Management

The State shall work with the vendor to develop and implement a Decision and Action Management Plan outlining the process for making project decisions and acting upon those decisions. The Decision and Action Management Plan shall minimally include:

1. An approach for decision and action management to ensure that:
 - a. Decisions are identified and monitored
 - b. Decision alternatives are evaluated
 - c. Decisions are vetted for suitability, impact, and probability of success
 - d. All decisions are documented, communicated and carried out through a list of actions that need to occur by whom and when
2. A definition of business processes and procedures that will be implemented and integrated into the overall Project Management Plan
3. A definition of Decision and Action Management Roles and Responsibilities
4. The tools to be used for the identification, definition, and evaluation of the decision process for the project

2.2.4.6 Deliverables Management

The State shall work with the vendor to develop and implement a Deliverables Management Plan as part of the Project Management Plan to address the approach, procedures, measurement, approval method and criteria for all identified project Deliverables. The Deliverables Management Plan shall minimally include:

1. An approach to ensure that all Deliverables are identified, monitored, evaluated, assigned for review and approval, and properly documented, stored and communicated
2. The criteria for the approval of all Deliverables including Deliverable Expectation Documents (DED)
3. The tools to be used for the management, workflow, and storage of all Deliverables
4. The definition of the Deliverables Management Roles and Responsibilities for submitting, evaluating, coordinating, and approving business and technical Deliverables for the project

2.2.4.7 Change Management

The State shall work with the vendor to develop and implement a Change Management Plan as part of the Project Management Plan to address contractual scope, cost, and schedule changes for the project. The Change Management Plan shall define the approach, procedures, and roles and responsibilities for submitting, evaluating, coordinating, and approving business and technical changes for the project.

The Change Management Plan shall minimally contain:

1. The approach and methodology to be used for changes to the scope, cost, and schedule
2. A definition of the Change Management Roles and Responsibilities

3. The processes and procedures associated with documenting change management activities and the workflow steps for each process
4. A description of the process for analyzing scope, time and cost to support change request activities
5. Tools to be used to track change control

2.2.4.8 Quality Management

The State shall work with the vendor to develop and implement a Quality Management Plan to ensure that the project achieves the results anticipated by RFP. This activity shall be ongoing for the duration of the project. The plan shall be used as the basis to manage the quality of project Deliverables and to manage and document a program of quality activities. These activities shall ensure that the software and implementation services meet all of the State requirements and all other applicable professional and technical standards. The vendor shall adhere to the Quality Management Plan that is created.

The Quality Management Plan shall include processes for:

1. Quality planning – Identifying quality standards relevant to the project and determining how to satisfy them
2. Quality assurance – Evaluating overall project performance on a regular basis to provide confidence that the project shall satisfy the established quality standards
3. Quality control – Monitoring specific project results to determine if they comply with relevant quality standards and identifying ways to eliminate causes of unsatisfactory performance
4. A definition of the Quality Management Roles and Responsibilities

2.2.4.9 Communications Management

The State shall work with the vendor to develop and implement a Communication Management Plan as part of the Project Management Plan to document the methods and activities needed to ensure timely and appropriate communication among the project team and stakeholders. The Communication Management Plan shall include:

1. Strategies and tools that will be used throughout all project phases.
2. How communication with the different stakeholders will be accomplished, including who executes the communication, targets of the communication, purpose of the communication, contents, frequency, and medium.
3. How the Communication Management Plan will be implemented and how it will be integrated into the overall Project Management Plan.
4. Business processes and procedures for managing communication channels.
5. Distribution and storage of project information among project team and stakeholders.
6. A definition of the Communication Management Roles and Responsibilities as related to communications.
7. Plan for both internal and external communications.

2.2.4.10 Resource Management

The State shall work with the vendor to develop and implement a Resource Management Plan. This plan will track the allocation of all project staff (State and vendor) across the project's work streams.

At a minimum the plan shall contain:

1. Named resources by roles
2. Workstream assignments
3. Escalation processes for resource issues
4. Staff onboarding and off-boarding workflow

2.2.4.11 Release Management

The State shall work with the vendor to develop and implement a Release Management Plan as part of the Project Management Plan to document the strategy, approach, schedule, and scope for each IRAS release. This plan will contain the following:

1. Purpose and overview of each release
2. Assumptions made as to the capabilities of each release and any key dependencies
3. Risks, constraints or limitations that must be addressed prior to or during each release
4. The overall strategy for segmenting the scope of the releases
5. A Release Schedule
6. Impacts to the organization or business processes for each release
7. Communication and process for Release Notification
8. Release management activities for planning, organizing, developing, testing, and implementing each release

2.2.5 Data Governance Committee

The Data Governance Committee shall be established to provide the decision-making authority and an accountability framework for the valuation, creation, storage, use, archiving, and deletion of information in accordance with the State's business needs and requirements (Federal and State). The Data Governance Committee shall be granted authority for all data and information decisions as they relate to:

- The migration of data from the legacy systems to IRAS
- The synchronization and use of data across new IRAS releases and legacy components
- The ultimate retention and storage requirements and policies of data and information in the new system.

The Data Governance Committee shall have full authority to direct the strategy and policy related to all aspects of data and information for IRAS and in particular the following:

1. Data architecture
2. Data management
3. Data security and information protection
4. Data quality
5. Data warehousing
6. Business intelligence
7. Document management
8. Record management
9. Content management

The Data Governance Committee shall consist of the State’s PMO, the State’s IRAS Project Managers, the vendor’s Project Management Team, and key business leaders and members from the State’s and the vendor’s business and technical teams. This shall include but not be limited to key staff that has in-depth knowledge of revenue and tax-related data, and information use and retention requirements.

2.2.6 Weekly Working Group

The Weekly Working Group is critical to the communication and collaboration of all business leaders, technical leaders, and project managers. As the title indicates, the Weekly Working Group shall meet on a regular weekly schedule. A standard meeting format and agenda will be used to ensure efficient, effective and timely communication, content and measurement of work stream status and progress, and allow for group members to discuss cross-workstream dependencies, requirements, risks, issues, and actions. The meeting shall be mandatory and chaired jointly by the State’s and the vendor’s Project Managers.

All Weekly Working Group meetings shall be documented by the State’s PMO in the Weekly Work Group Meeting Minutes and all risks, issues, and activities logged and assigned for resolution. Any risks or issues that cannot be resolved with the Weekly Working Group shall be escalated to the State’s Project Director and the ESC where necessary.

2.2.7 Project Management Office Roles and Responsibilities

The ongoing operation of the PMO requires a coordinated effort across many of the project’s key participants. **Figure 6 PMO RACI Chart** below highlights the roles and responsibilities for the execution and accuracy of the PMO, and specifically, the Project Management Plan and related sub plans.

STATE OF DELAWARE DIVISION OF REVENUE

Figure 6 PMO RACI Chart

<p>Project Management Office</p> <p>Legend:</p> <p>R=Responsible - Those who are responsible that the work is managed and completed by the State or vendor teams</p> <p>A=Accountable - The one ultimately answerable for the correct and thorough completion of the Deliverable or task</p> <p>C=Consulted - Those whose opinions are sought and who work to complete the tasks and deliverables</p> <p>I=Informed - Those who are kept up-to-date on progress</p> <p>Area</p>	Task	Exec Steering	Project Director	Vendor Project Director	State Project Manager	Vendor Project Manager	Product Owner	DTI Management
Project Management Plan (PMP)	Development of PMP	C	A	C	R	C	C	C
	Manage PMP	I	A	C	R	C	C	I
	Provide Updates to PMP Activities	I	A	C	R	C	C	I
	Approve PMP Changes	A	R	C	C	I	C	C
Risk Management Plan (RMP)	Development of RMP	C	A	C	R	C	C	C
	Manage RMP	I	A	C	R	C	C	I
	Provide Updates to RMP Activities	I	A	C	R	C	C	I
	Approve RMP Changes	A	R	C	C	I	C	C
Issue Management Plan (IMP)	Development of IMP	C	A	C	R	C	C	C
	Manage IMP	I	A	C	R	C	C	I
	Provide Updates to IMP Activities	I	A	C	R	C	C	I
	Approve IMP Changes	A	R	C	C	I	C	C
Decisions and Action Management Plan (DAMP)	Development of DAMP	C	A	C	R	C	C	C
	Manage DAMP	I	A	C	R	C	C	I
	Provide Updates to DAMP Activities	I	A	C	R	C	C	I
	Approve DAMP Changes	A	R	C	C	I	C	C

STATE OF DELAWARE DIVISION OF REVENUE

<p>Project Management Office</p> <p>Legend:</p> <p>R=Responsible - Those who are responsible that the work is managed and completed by the State or vendor teams</p> <p>A=Accountable - The one ultimately answerable for the correct and thorough completion of the Deliverable or task</p> <p>C=Consulted - Those whose opinions are sought and who work to complete the tasks and deliverables</p> <p>I=Informed - Those who are kept up-to-date on progress</p> <p>Area</p>	Task	Exec Steering	Project Director	Vendor Project Director	State Project Manager	Vendor Project Manager	Product Owner	DTI Management
Deliverables Management Plan (DMP)	Development of DMP	C	A	C	R	C	C	C
	Manage DMP	I	A	C	R	C	C	I
	Provide Updates to DMP Activities	I	A	C	R	C	C	I
	Approve DMP Changes	A	R	C	C	I	C	C
Quality Management Plan (QMP)	Development of QMP	C	A	C	R	C	C	C
	Manage QMP	I	A	C	R	C	C	I
	Provide Updates to QMP Activities	I	A	C	R	C	C	I
	Approve QMP Changes	A	R	C	C	I	C	C
Scope Management Plan (SMP)	Development of SMP	C	A	C	R	C	C	C
	Manage SMP	I	A	C	R	C	C	I
	Provide Updates to SMP Activities	I	A	C	R	C	C	I
	Approve SMP Changes	A	R	C	C	I	C	C
Change Management Plan (CMP)	Development of CMP	C	A	C	R	C	C	C
	Manage CMP	I	A	C	R	C	C	I
	Provide Updates to CMP Activities	I	A	C	R	C	C	I
	Approve CMP Changes	A	R	C	C	I	C	C
Communication Management Plan (COMP)	Development of COMP	C	A	C	R	C	C	C

STATE OF DELAWARE DIVISION OF REVENUE

Project Management Office <u>Legend:</u> R=Responsible - Those who are responsible that the work is managed and completed by the State or vendor teams A=Accountable - The one ultimately answerable for the correct and thorough completion of the Deliverable or task C=Consulted - Those whose opinions are sought and who work to complete the tasks and deliverables I=Informed - Those who are kept up-to-date on progress <u>Area</u>	Task	Exec Steering	Project Director	Vendor Project Director	State Project Manager	Vendor Project Manager	Product Owner	DTI Management
	Manage COMP	I	A	C	R	C	C	I
	Provide Updates to COMP Activities	I	A	C	R	C	C	I
	Approve COMP Changes	A	R	C	C	I	C	C
Resource Management Plan (RESMP)	Development of RESMP	C	A	C	R	C	C	C
	Manage RESMP	I	A	C	R	C	C	I
	Provide Updates to RESMP Activities	I	A	C	R	C	C	I
	Approve RESMP Changes	A	R	C	C	I	C	C
Financial Management (FMP)	Development of FMP	C	A	C	R	C	C	C
	Manage FMP	I	A	C	R	C	C	I
	Provide Updates to FMP Activities	I	A	C	R	C	C	I
	Approve FMP Changes	A	R	C	C	I	C	C

2.3 Project Releases, Phases and Deliverables

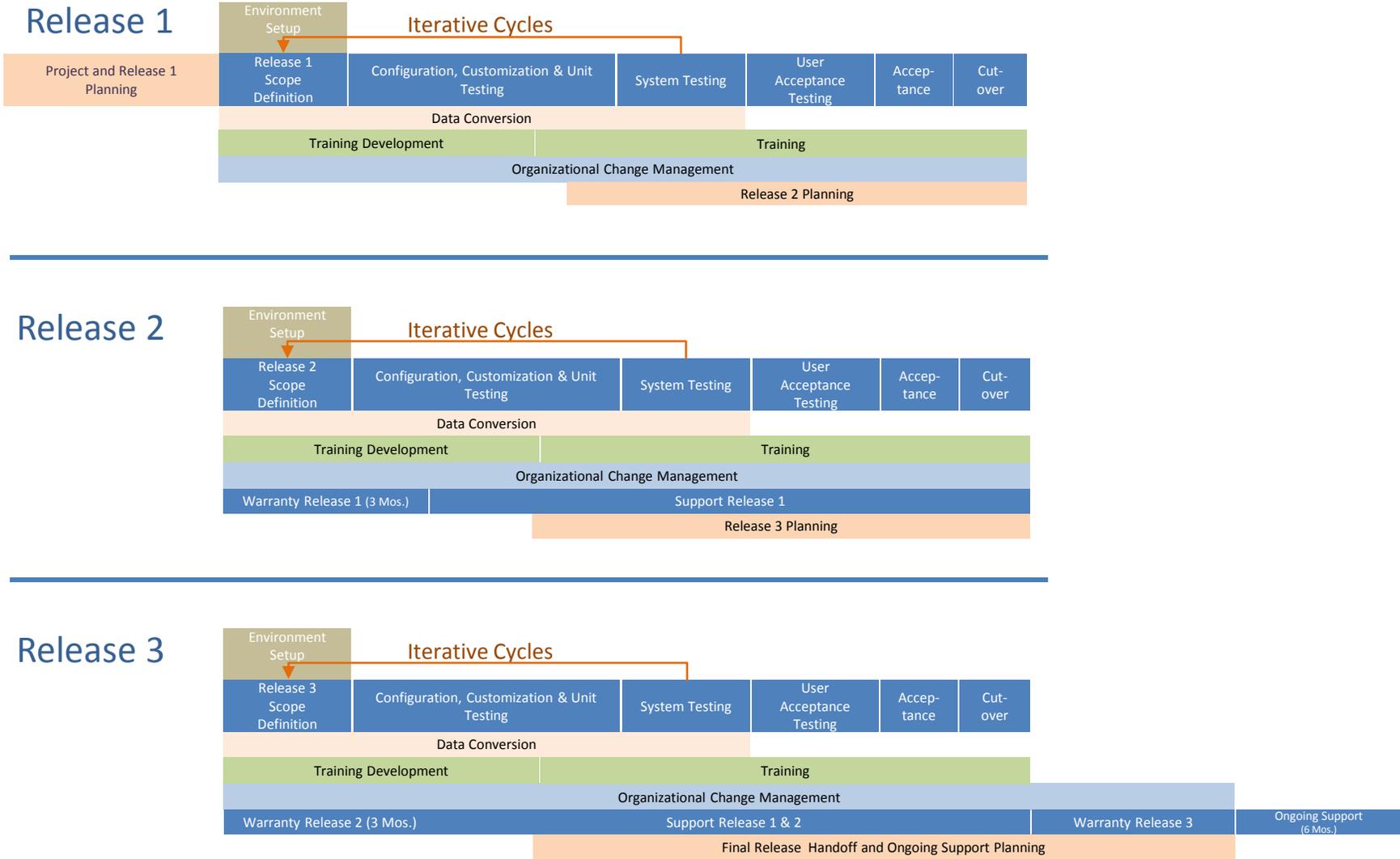
The vendor will work in collaboration with DOR on the anticipated Deliverables and timing of those Deliverables for the project. This Section describes DOR’s expected phased approach and Deliverables for the project, however, DOR understands the selected vendor’s methodology may require variations to the approach which shall be reconciled during the pre-contract activities period. These Deliverables and major services shall be grouped into milestones within each phase and will be used to generate the vendor payment schedule. **Figure 7 IRAS Project Implementation Phases** shows the anticipated project releases and phases for the IRAS Project.

STATE OF DELAWARE DIVISION OF REVENUE

The Deliverables and activities to occur during each release and phase are included in **Appendix 3 List of Phase Acceptance Criteria**.

STATE OF DELAWARE DIVISION OF REVENUE

Figure 7 IRAS Project Implementation Phases



2.3.1 Project and Release 1 Planning

During the Project and Release 1 Planning period, the approach and activities for the project will be finalized.

1. A Project Kickoff Meeting
2. The development of the Project Management Plan which shall include:
 - a. A plan defining the key elements for project management and control (Risk and Issue Management, Decision Management, Action Management, Deliverable Management, Change Management, Quality Management, Communication Management, and Resource Management)
 - b. A Meeting and Reporting Schedule that defines the cadence for status reporting and meetings, and establishes the structure and timing of PMO reporting and ongoing project status updates
 - c. A detailed Project Schedule and Work Breakdown Structure (WBS) to include all key work products and tasks for the project
 - d. A detailed Staffing Plan (vendor personnel and State personnel) and Organization Chart
 - e. A set of detailed Project Metrics and Key Performance Indicators (KPI) that will measure progress, process efficiency, quality and stakeholder satisfaction
3. A Project Documentation Management Plan for the management of project documentation (storage, access, collaboration, workflow, and approvals). This shall include a plan for the selection and rollout of a document management tool. The vendor shall identify and provide in their pricing their recommended documentation management tool in the Documentation Management Plan
4. A detailed review to validate the stated Business Functional and Technical Requirements. This will result in the creation of the following Deliverables: A Business Functional and Technical Requirements Review, Validation, and Recommendations Report and a Requirements Traceability Matrix
5. A Software and Hardware Procurement Plan with a specific emphasis on Release 1
6. A Training Strategy and Approach Plan covering all releases of the project with a specific emphasis on Release 1. This shall include a Business and Technical Training Plan to detail the approach for development and review of the Business and Technical Training Materials, conducting multi-site training, leveraging classroom and training technologies for training delivery, training of all stakeholders and other training topics recommended for DOR.
7. A Comprehensive Test Strategy for all testing (including unit, system, integration, user acceptance, performance and data conversion testing) across all releases with a specific emphasis on Release 1
8. A Data Conversion Approach and Data Conversion Plan for all data conversion activities across all releases with a specific emphasis on Release 1
9. A Knowledge Transfer Plan with a specific emphasis on Release 1
10. A Data Warehouse Model, Implementation and Optimization Plan with a specific emphasis on Release 1

11. A definition of the Test Management Tools and Processes Specification
12. A Document Scanning, Imaging, and Content Management Plan
13. A Release Acceptance Process and Criteria Definition
14. Deliverable Expectation Documents

2.3.2 Release Phases

Upon completion of the Project and Release 1 Planning phase, the vendor will begin Release 1 activities. Below outlines, the anticipated phases within each of the three (3) proposed releases and the associated high level activities for each phase. See **Appendix 3 List of Phase Acceptance Criteria** for a complete list of Deliverables for each release and phase.

2.3.2.1 Environment Setup

1. Establish software license agreements and set up software infrastructure.
2. Establish/procure hardware agreements and set up hardware and infrastructure.
3. Set up all system environments (e.g., Development, etc.) leveraging a “just-in-time” procurement approach.

2.3.2.2 Scope Definition

1. Updated Business Functional Requirements and Requirements Traceability Matrix
2. Business Functional Requirements Review, Validation and Recommendations Report
3. Updated Configuration and Customization Plan
4. Updated Business Process Improvement Design
5. A Training Needs Assessment that identifies DOR gaps in business and system knowledge that must be addressed by the training approach codified in the Training Needs Assessment Report
6. A Configuration and Customization Plan with a specific emphasis on Release 1
7. An IRAS System Architecture Design Specification for the system architecture, infrastructure, and hardware requirements

2.3.2.3 Configuration, Customization, and Unit Testing

1. Perform the current release system **configurations** per the Configuration and Customization Plan
2. Perform the current release system **customizations** per the Configuration and Customization Plan
3. Conduct the current release unit testing including interfaces per the Comprehensive Test Strategy
4. Implement and optimize the current release data warehouse model per the Data Warehouse Model, Implementation and Optimization Plan
5. An IRAS System Software Design Specification for software configuration, customization design including interface design, Data Conversion, and Load
6. Perform current release data conversion activities including data cleansing per the Data Conversion Plan

2.3.2.4 System and Integration Testing

1. Perform current release System And Integration Testing including interfaces per the Comprehensive Test Strategy
2. Provide System and Integration Test Execution Results

2.3.2.5 User Acceptance Testing (UAT)

1. Perform current release UAT including interfaces and converted data per the Comprehensive Test Strategy
2. Provide User Acceptance Test Execution Results

2.3.2.6 Training Development

Develop current release Business and Technical Training Materials per the Training Strategy and Approach Plan and the Business and Technical Training Plan

2.3.2.7 Training

Perform current release Business and Technical Training Delivery per the Training Strategy and Approach Plan, and the Business and Technical Training Plan

2.3.2.8 Acceptance

1. Perform acceptance of current release per the Release Acceptance Process and Criteria Definition.
2. An Implementation and Cut-over Plan across all releases by Tax Type (Including Security Risk Assessment and Contingency Plan).
3. Deliver the current release End-user Manual.
4. Deliver the current release Application Operations Manual.
5. Deliver the current release Application Maintenance Manual.
6. Deliver the current release System and Operational Documentation.
7. Complete release knowledge transfer per the Knowledge Transfer Plan.
8. A Business Continuity and Disaster Recovery Plan

2.3.2.9 Cutover

1. Implement current release to production per the Implementation and Cut-over Plan
2. Deliver the current release Post-Implementation Review Report

2.3.2.10 Organizational Change Management

Perform ongoing organizational change management delivery activities as prescribed by the Organizational Change Management Plan

2.3.2.11 Warranty

Perform resolution and fixing of current release (1, 2 or 3) production defects (Severity 1, 2 and agreed upon Severity 3 defects) and update any impacted documentation or Deliverable

2.3.2.12 Support

Perform current Post Implementation Release Support of functionality that has been implemented to date

2.3.3 Project Closeout

As a prerequisite to the final signoff of work to be completed under the vendor contract, which occurs at the end of the final Release Warranty Period, DOR and the vendor will perform Project Closeout. The vendor, with DOR's assistance, will close out all activities, Deliverables, and interactions for the project in preparation for maintenance and support. During Project Closeout, the vendor shall refine and complete the execution of the Post Implementation Support Cutover Plan to transition to DOR business as usual.

At a minimum, DOR will accept the project as complete when the criteria as defined in the Release Acceptance Process and Criteria Definition are met.

2.3.4 Phase Deliverables and Acceptance Criteria

Please see **Appendix 2.0 List of Phase Deliverables** for a complete listing of the key project phase Deliverables for this effort.

Please see **Appendix 3.0 Phase Acceptance Criteria** for the acceptance criteria for each project phase by implementation release.

2.3.5 Anticipated Tax Types by Release

DOR's proposed schedule is to implement all tax types across three (3) releases according to the tax type grouping as indicated below. This is not final, as we look to leverage the vendor's expertise to confirm or modify the preliminary schedule. The preliminary schedule is as follows:

1. Release 1

a. Business Related Taxes

1. Business licenses & gross receipts (occupational, contractors, manufacturers, retailers, wholesalers, HSCA, motor vehicle dealer, steam, gas and electric, and affiliated finance companies)
2. Business licenses & gross receipts (telephone and telegraph)
3. Commodities Tax (tobacco products - includes cigarette stamps, other tobacco products, vapor, moist snuff, nursing facility quality assessments, alcohol)

b. Trust Fund Taxes

1. Withholding Tax
2. Use Tax on Leases of Tangible Personal Property
3. Realty Transfer Tax
4. Public Accommodation Tax
5. Public Utilities Tax
6. E-911 Surcharge
7. Manufactured Home Trust Fund Payments

2. Release 2

- a. Income Taxes - Personal Income Tax
- b. Estate Tax

3. Release 3

- a. Income Taxes

STATE OF DELAWARE DIVISION OF REVENUE

1. Pass-Through Entities - Partnerships
2. Pass-Through Entities - Fiduciary Income Tax - Estates and trusts
- b. Corporate income tax
 1. Headquarters Management Corporation, in lieu of corporate income tax
 2. Pass-Through Entities - S corporations

2.4 Post-Deployment and COTS Product Support

DOR anticipates three (3) releases to implement the full scope of all Delaware tax types. Following production deployment and completion of the 3-month warranty period for Releases 1 and 2, and 6-months warranty period for Release 3, DOR plans a development staffing model that begins as a blended team with DOR and vendor personnel and then moves to DOR providing all ongoing support. Timeframes and staffing percentages for this blended approach are shown below in **Table 8 Development /Support Staffing Model**.

Table 8 Development /Support Staffing Model

Time frame	DOR Developers	Vendor Developers
1. Following Warranty Period for Release 1	20% of staffing	80% of staffing
2. Following Warranty Period for Release 2	50% of staffing	50% of staffing
3. Following Warranty Period for Release 3	80% of staffing	20% of staffing
4. One year following the final Release Warranty Period	100% of staffing	No Staffing

As the **Table 8** entry notes, following the Release 3 warranty period, the vendor shall work in a steady state model with DOR for one year and shall fully transition support to DOR. A vendor Support Transition Plan shall be collectively created by DOR and vendor to ensure that all DOR staff members are ready to support the implementation. With vendor input, DOR will then track and manage the plan.

The vendor shall define an approach that implements a blended DOR and vendor-staffed ongoing support team. This Vendor Support Transition Plan shall use the above time frames, staffing percentages, and be of sufficient detail for DOR to clearly understand the roles, responsibilities, and skill sets required for both DOR and vendor staff. The Vendor Support Transition Plan shall include:

1. Suggested technical proficiency prerequisites that DOR staff should possess prior to engaging with the vendor for transition
2. A Technical Support Knowledge Transfer Plan, including suggested technical training, a transition timeline for each role and skill set, knowledge achievement milestones, and any other steps recommended by the vendor
3. A Support Team Roster showing roles that the vendor and DOR staff will provide

STATE OF DELAWARE DIVISION OF REVENUE

4. An ongoing Support Staffing Plan for both DOR and the vendor staff including team size and skill sets for the period directly following implementation and going through the period where DOR is fully supporting the system. This staffing plan shall be documented in **Attachment 7 State of DE-DOR Staffing Requirements.xlsx**.

Ongoing Post Deployment Services shall include the following activities:

1. Ongoing configuration and development support of all production deployments
2. Ongoing configuration and development services including, but not limited to the following:
 - a. Bug fixes
 - b. System errors
 - c. Enhancement requests
 - d. Interface changes
 - e. Custom report development
 - f. Recurring annual tax season changes, including schema changes to accommodate modernized eFile updates and possible Tax type addition/removal
 - g. Performance enhancements and tuning as required

COTS and third-party product responsibilities shall be fully transferred to DOR staff one year following the Release 3 Warranty Period. The vendor's responsibility prior to transferring license management to DOR staff includes, but is not limited to, the following:

1. COTS and third-party product patching
2. Full management of required third-party products to include:
 - a. The coordination of and with all third-party vendor activity
 - b. License management
 - c. Annual maintenance costs
 - d. Version compatibility and dependency management between vendor COTS and all required third-party products
 - e. License currency - The IRAS environment should be no more than two levels behind the latest version of vendor COTS and all third-party licenses
 - f. Patching currency - The IRAS environment should be current with regards to COTS and third-party product patching. Any patches related to security exposures shall be immediately escalated to DOR management
3. Following production implementation of Release 1, and prior to full turnover to DOR, the vendor shall participate in Delaware's annual disaster recovery exercises
4. The vendor shall perform at least one product upgrade while working in the blended DOR and vendor personnel staffing model
5. The vendor shall provide COTS product support options and costs associated with each of these options
6. The vendor shall provide up-to-date core production technical documentation. If the core product changes, then updated documentation shall be provided

STATE OF DELAWARE DIVISION OF REVENUE

7. The vendor shall create and maintain, through the full transition, all DOR implementation specific documentation. This includes all DOR specific customizations, configurations, and any other core product changes needed to create the final IRAS product
8. If the vendor has a user group, the vendor shall provide an overview of their user group, as well as:
 - a. How DOR would participate to influence core product changes for future product versions
 - b. How DOR would leverage participation as part of their technical knowledge transfer
 - c. A description of recurring user conferences content
 - d. A description of any other additional user group items DOR would be provided as part of the recurring license and support costs (e.g., number of seats at annual user conference).
9. The vendor shall provide on-site developer support during normal weekday business hours of 8:00 AM to 5:00 PM and after-hours secure remote access support, following the State of Delaware approved remote access procedures. Additional onsite support hours may be required to support heightened business needs
10. For the full 10-year contractual period, the vendor shall provide all COTS product software upgrades and patches, and required third-party product software upgrades and patches at no incremental cost. Additionally, the vendor shall immediately notify DOR of any COTS or dependent third-party product security exposures once those exposures are identified
11. Up through the Release 3 Warranty Period, the vendor shall coordinate and install all upgrades and patches
12. Following the Release 3 Warranty Period, DOR will coordinate with the vendor's support team on a recurring basis to identify outstanding COTS and third-party product patching. Additionally, the vendor shall provide ongoing communication to DOR about COTS product upgrades and associated new features and fixes.

For ongoing operational responsibilities between the vendor and the State, please see **Appendix 5.0 Project and Support Roles and Responsibilities – Hosted Solution and On-Premise Solution**

2.5 Business Proposal

2.5.1 General Information

Please provide in **Attachment 2 State of DE–DOR Vendor Profile.xlsx** a summary of any information the vendor deems relevant or important to the State’s successful acquisition of the products and services requested in this RFP.

2.5.2 Company Structure

Please provide in **Attachment 2 State of DE–DOR Vendor Profile.xlsx** the legal form of the Respondent’s business organization, the state in which the Company was formed (accompanied by a certificate of authority), and the types of business ventures in which the organization is involved. Please include a list of the Company’s corporate officers and the number of full-time and part-time people employed by the Company.

Additionally, please include as **Attachment 2.1 State of DE-DOR Vendor Organization.pdf**, a company organization chart.

2.5.3 Financial Statements

Please include as **Attachment 2.2 State of DE – Vendor Financials.pdf**, the vendor’s financial statements for the last three (3) years, including an income statement and balance sheet. The financial statements must demonstrate the vendor’s financial stability. If the financial statements being provided by the vendor are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFP.

2.5.4 Reference Clients

Please include as **Attachment 2.3 State of DE–DOR References.xlsx** a list of at least three (3) clients for whom the vendor has provided products and services that are the same or similar to those requested in this RFP. Information provided should include the name, address, and telephone number of the referenced company (and site locations) and the name, title, email address and phone numbers of a contact person at each location. Additionally, please indicate the dates for when the product and services were delivered.

Note that the State reserves the right to check the references of any clients for whom the vendor has provided products or services that are the same or similar to those products or services requested in this RFP.

2.5.5 Certificate of good standing

The vendor will be required to be registered, and be in good standing, with the Secretary of State, State of Delaware. The registration requirement applies to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The vendor must include, in this response, a Certificate of Good Standing with the State of Delaware, Secretary of State as **Attachment 2.4 State of DE-DOR Certificate of Good Standing**. The following URL

provides directions on how to obtain a Certificate of Good Standing from the State of Delaware <https://corp.delaware.gov/directweb.shtml>

2.5.6 Subcontractors

The vendor 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. The vendor shall complete **Attachment 2.5 State of DE–DOR Subcontractors** (list of all subcontractors that the vendor anticipates using for this effort) and include as an Adobe PDF file titled **Attachment 2.5 State of DE-DOR Subcontractors.pdf**.

Any subcontracts entered into by the vendor must comply with all State statutes, and will be subject to the provisions thereof. The combined qualifications and experience of the vendor and any or all subcontractors will be considered in the State’s evaluation. The vendor must furnish information to the State as to the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the vendor 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.

2.6 Technical Proposal

2.6.1 Technology Infrastructure

The Delaware Division of Revenue (DOR) has a sizeable infrastructure that supports the day-to-day operations of the Division and the supporting systems for monitoring and productivity. The infrastructure is managed as a partnership between the Delaware Department of Technology and Information (DTI) and DOR Information Technology Team (DOR IT).

The following is a summary of the major DOR technology infrastructure services and components managed by these groups:

- DTI Service Desk supports all DOF employees and employees of other centralized agencies
- Desktop
 - The Enterprise Desktop LAN (EDL) team supports approximately 350 PCs (laptops and desktops) and supporting devices (scanners, printers, faxes and other hardware).
 - The PCs are almost entirely manufactured by Dell, and most run MS Windows 7.
 - MS Windows 10 is being introduced into the environment as workstations are replaced and as part of a 3-year project.
- Servers
 - There are 95 MS Windows servers in the environment
 - 39 Production servers
 - 56 test and development servers
 - All servers are running a version of MS Windows Server except for 1 SUSE Linux based print server that is vendor supported.
 - The MS Windows server versions are a mix of 2008 and 2012.
 - All but five (5) servers are virtual servers running on VMWare VSphere.

STATE OF DELAWARE DIVISION OF REVENUE

- The five (5) physical servers consist of 2 servers embedded in scanners, the SUSE Linux print server, and 2 HP-based servers that support the scanner environment.
- Storage
 - This is managed as a service by DTI for the majority of DOF's applications
 - The image storage system currently in production utilizes an EMC Centera that is at end of life. The current capacity of the array is 20TB. 13TB of images are currently stored in the system, and the capacity of the array is configured with enough capacity for anticipated growth over the next five (5) years.
- Databases
 - There are 93 databases in the production environment with sizes that range between 2GB and 420GB. The majority of databases run on Oracle 12c, except a handful of applications that run on MS SQL Server.
- Data centers
 - DTI has 2 data centers
 - The primary data center houses the State's mainframe and the majority of the State's server environment (production, test, and development).
 - The secondary data center houses the balance of the State's server environment.
- Network
 - Almost all WAN and LAN equipment is owned and maintained by DTI
 - Internet access is provided by local Internet Service Providers (ISPs) or global communication providers.
- Server monitoring and maintenance
 - DTI utilizes a number of tools to maintain and monitor the environment, including MS SCCM, Chef, and SolarWinds.
 - DTI utilizes a scheduled monthly patch cycle for Windows and Linux servers
 - DTI provides monitoring services for DOF servers and reacts to issue notifications. If intervention is required by DOR IT personnel (e.g., low disk warnings on servers), DTI contacts the proper DOR IT group to resolve the issue. This contact information is maintained in the ServiceNow ticketing system utilized to track incidents, changes, and requests.
- System architecture
 - DTI utilizes multiple DMZs and MPLS / VRFs to provide network segmentation and security.
 - For applications that have both an internet and internal presence and houses confidential data, State standards require that the following security controls must be in place:
 - Multiple DMZs must be used
 - Multi-tiered architecture is required
 - Unique user ID's are required
 - AuthN/AuthZ (Authentication / Authorization) is required
 - Data must be encrypted on media leaving the State infrastructure

- Data must be encrypted in transit on the network
- The System must log each data transaction by unique user ID

2.6.2 Technical Requirements

The Technical Requirements represent the operational, architecture and infrastructure requirements necessary for the implementation and operation of IRAS. This section and the accompanying response attachments outline the detailed requirements to be met by the vendor’s COTS solution.

2.6.2.1 Hardware and Architecture

DOR is a centralized agency. Server architecture is maintained, managed and configured by DTI. Specific standards and policies are specified at <https://dti.delaware.gov/information/standards-policies.shtml>. The State is requesting hardware pricing for on-premise solutions in the Cost Proposal for the 10-year contract term. See **Section 2.7.4 Cost Proposal**.

2.6.2.2 System Security

System security is vital for IRAS. The vendor must demonstrate that their COTS solution can provide a secure and protected system environment to ensure the safeguard of Delaware’s data and information. At a minimum, IRAS must be fully compliant with IRS publication 1075 and DOR data shall be handled pursuant to IRS Publication 1075 standards. **Attachment 5 State of DE–DOR Project Management and Related Requirements** contains more detailed requirements for system security. The vendor must also comply with the standards and policies for system security as established by DTI. These standards and policies can be found at <https://dti.delaware.gov/information/standards-policies.shtml>

2.6.2.3 Service Levels

During the Warranty and Support phases of the project, DOR requires the vendor to provide production support within certain service level requirements and also requires the COTS solution and related technical processes to perform within certain service level requirements. The vendor shall collaborate with DOR to implement and measure Service Level Agreements for the service requirements defined in this section. System performance Service Level Agreements should be based on industry standard measurements for high quality. Upon completion and approval, the vendor shall comply with the final approved Service Level Agreements.

DOR has the authority to establish and modify all Service Level Agreements through the life of the contract as service needs evolve.

DOR categorizes production support problems in the following way:

Problem Category	Definition
Emergency	<ul style="list-style-type: none"> • Major portions of the System are inaccessible • Systems or users are unable to work • Users are unable to perform a significant portion of their job
High	<ul style="list-style-type: none"> • Major portions of the System are inaccessible • Systems or users are unable to work • Users are unable to perform some portion of their job

STATE OF DELAWARE DIVISION OF REVENUE

Problem Category	Definition
Medium	<ul style="list-style-type: none"> • Specific non-critical features are not operating as specified • Systems or users are unable to perform a small portion of their job but are able to complete most tasks
Low	<ul style="list-style-type: none"> • Lower priority features that can be done manually are not operating as specified • Often a request for service with ample lead time

DOR defines the key performance categories of IRAS in the following way:

Performance Category	Measurement
Support Problem Response Time	The elapsed time from the initial contact of a problem until the vendor responds.
Support Problem Resolution Time	The elapsed time from when a problem is reported until it is circumvented or resolved.
System Response Time	The amount of time (in seconds) the System returns the results of a request to the user on their screen.
System Availability	The percentage of time the System is available for normal usage by DOR during the application measurement window.
Batch Processing Window	The elapsed time (in minutes) nightly batch processing takes to execute.
DW Import Processing Time	The elapsed time (in minutes) a Data Warehouse data import process takes to execute to load data to the COTS Database.
DW Export Processing Time	The elapsed time (in minutes) a Data Warehouse data export process takes to execute to export data from the COTS Database.
Ad Hoc Reporting Response	The elapsed time (in seconds) any online ad-hoc report request takes to execute online and return the results to the user on their screen.
Scheduled Maintenance Downtime Notification	A communication occurrence from the vendor to DOR that system downtime will occur in the future due to scheduled system maintenance.
Emergency Maintenance Downtime Notification	A communication occurrence from the vendor to DOR that system downtime will occur in the future due to emergency system maintenance.
Disaster Recovery Execution	The amount of time it takes to complete the disaster recovery exercise for the System.
Print Services	The percentage of print demand met for the day by the System.
Scanning Services	The percentage of scanning demand met for the day by the System.

The detailed list of service level requirements is listed in the **Attachment 5 State of DE–DOR Project Management and Related Requirements**.

2.6.2.4 Interfaces

The requirements for interfaces and data exchanges with other States, other Delaware agencies, the IRS, and third-party vendors are contained in **Attachment 5 State of DE–DOR Project Management and Related Requirements**. Interface requirements have been categorized to assist the vendor with costing and developing their approach and strategy for meeting the requirements.

2.6.3 Business Functional Requirements

The Business Functional Requirements represent the core requirements for business processes and functions necessary for the implementation of IRAS. This section and the accompanying response attachments outline the detailed requirements to be met by the vendor’s COTS solution. In particular, the work streams from a functional business perspective are as follows:

1. Appeals Requirements
2. Audit Requirements
3. Bankruptcy and Decedent Estate Requirements
4. Business Licensing Requirements
5. Business Rules Requirements
6. Case Management Requirements
7. Collections Requirements
8. Customer Contact-Correspondence Requirements
9. Filing Requirements
10. Forms Requirements
11. Fraud-Exceptions Requirements
12. Reporting Requirements (including Data Warehouse and Business Intelligence)
13. Revenue Accounting Requirements
14. Self-Service Portal
15. Tax Type Requirements
16. Taxpayer Registration Requirements
17. User Interface Requirements
18. Workflow Requirements

The vendor shall respond to each requirement for all work streams in the attached response spreadsheet per the instructions in **Section 2.1** of this RFP. The response spreadsheet is included as **Attachment 3 State of DE-DOR Business Requirements.xlsx** and must be submitted with the vendor’s RFP response. A summary of each work stream is provided in the sections below.

2.6.3.1 Self-Service Portal

DOR is seeking a new solution to improve the quality, efficiency, and effectiveness of service delivery by developing a wide range of self-service and customized service initiatives, and by simplifying the tax

filing and payment experience. Self-service engagement by DOR taxpayers, practitioners, and partners will reduce requests, improve customer service, and increase compliance. Increased levels of secure, self-service capabilities will enable customers to do more themselves, increasing the quality of customer data, increasing customer satisfaction and enabling DOR to focus more on value-added efforts. DOR will selectively and securely expand the capabilities of DOR self-service offerings by adding even more transactions online to allow customers to manage enabled aspects of their account (e.g., returns, forms, correspondence, requests for additional information, appeals, filing, payment, etc.).

The vendor's system shall provide capabilities to practitioners to enable them to manage client information and transactions online, acknowledging their need to access multiple clients' information (e.g., a one to many model). Customer service operations shall be integrated to support a customer-centric view and an up-to-date understanding of customer account status. Transaction-tracking shall enable customers to understand the status of their returns, requests or correspondence. DOR is striving to reduce the amount of paper via the use of self-service offerings for electronic copies of correspondence and customer-related documents.

The self-service function shall enable authorized DOR staff to manage what information practitioners, partners, and the general public can access, execute, view online, and enable centralized control of self-service options available based on their role.

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.2 User Interface Requirements

Delaware DOR requires consistency with common interface elements as users have become familiar with standards and interactions. User interface elements include but are not limited to:

1. Input controls: text fields, check boxes, radio buttons, drop-down lists, list boxes, toggles, date fields, buttons
2. Navigation: bread crumbs, sliders, search fields, pagination, tags, icons
3. Containers: accordion, media, cards
4. Information Components: icons, progress bars, notifications, modal windows, message boxes, tooltips

While sometimes there is a need to use multiple elements for content display, it is important to consider the possibility that poorly designed interfaces can diminish usability. Best practices must be employed for all interface design at all times.

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.3 Revenue Accounting Requirements

Revenue Accounting is at the heart of the Division of Revenue's tax system. As the system of record for the entire division, all accounting functions, taxpayer information, and account information will be located within this system. This section maps out the requirements related to the primary system functions for Revenue Accounting, Payment Processing, Refunds, and Offsets (Intercepts & Setoffs).

DOR seeks to implement best practice processes which include, but are not limited to these major areas:

STATE OF DELAWARE DIVISION OF REVENUE

1. Create and Maintain GL Master Data
2. Create and Maintain Bank Master Data
3. Transfer and Reconciliation of Account Activity
4. Manage Distribution Rules
5. Process Distributions
6. Reconcile Bank Deposits
7. Perform Closing
8. Provide for all Payment Functions
9. Process Refunds

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.4 Customer Contact- Correspondence Requirements

Customer Contact Requirements define the activities to effectively and efficiently process both inbound and outbound customer correspondence.

Outbound mail volumes for the calendar year 2017 are shown in **Table 9 CY17 Outbound Mail Volumes**. Inbound correspondence (non-fax) tracking shows an average of about 12,000 per year. Annual return mail volume is approximately 80,000 items.

Table 9 Outbound Mail Volumes

System Generated Correspondence	CY17 Total
Business	22,202
Collections	275,071
PIT	45,466
Tax Tips	13,803
Total	356,542

DOR seeks to implement best practice correspondence related processes which include, but are not limited to:

1. Manage all fax, email, chat, text (SMS), and paper correspondence
2. Capture, organize, track, and retrieve all types of correspondence
3. Enable DOR staff to manage and access all correspondence types
4. Offer options in business rule-driven workflow and print strategies
5. Offer efficiencies in managing returned mail
6. Interface effectively with the DTI Print Center and external mail and print related sources

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.5 Fraud and Exceptions Requirements

Delaware DOR reviews both business and personal tax returns for errors in calculations, missing data or information, failure to pass certain audit or approval related rules, and potential fraud. Collectively these returns are called ‘exceptions’, are coded according to the type of exception, and assigned to work

queues. Currently returns with exceptions are reviewed and worked by separate business and personal income tax Exceptions teams. Any return that is flagged as potential fraud is handled by the Fraud team. If an exception exists in a return flagged for fraud, the Fraud team will also research and address that exception.

DOR seeks to implement best practice processes which include, but are not limited to:

1. Validation rules
2. Business rules
3. Identification of potential duplicate returns
4. Limit fraud visibility
5. Leverage Case Management requirements
6. Utilize external data for verifications
7. Optimize fraud scoring and ranking models

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.6 Collections Requirements

Collections Requirements define the activities to collect debts owed to DOR that have not been received from previous billing activities. This includes activities that are both automated and outsourced from the discovery of taxpayer assets to taxpayer contact ending with voluntary payment arrangements or legal enforcement. This includes:

1. Taxpayer asset assessments
2. Payment agreements
3. Collection and monitoring of outstanding debts
4. Enforcement of legal actions including wage attachments and the pursuit of personal property
5. Use of third-party collection agencies

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.7 Tax Type Requirements

As stated in Section **1.1.12.2.1 Tax and Revenue Processing**, DOR administers 17 statutorily set tax and revenue types which expand to various subtypes within the overarching categories of Business, Income, and Trust Taxes. Volumes for Delaware Tax Types are listed in **Table 10 CY 2017 Delaware Tax Types and Associated Volumes**.

STATE OF DELAWARE DIVISION OF REVENUE

Table 10 Delaware Tax Types and Associated Volumes

Delaware Tax Types	Volumes	Delaware Tax Types	Volumes
Business-Related Taxes (2 Tax Types)		Income Tax (7 Tax Types)	
Business Licenses & Gross Receipts Tax		Corporate Income Tax	
Business Licenses (187 unique licenses)	63,000	Annual Filing	34,700
Occupational	50,500	Estimated Payments	7,400
Contractors	18,100	Headquarters Management Corporations	12
Manufacturers	1,250	Estate Tax (Repealed Jan. 2018)	60
Retailers	21,600	Personal Income Tax	
Scrap Tire	2,950	Resident	425,000
Retail Crime Fee	7,850	Non-Resident	138,000
Wholesalers	17,500	Composite	3,750
HSCA Tax	1,820	Estimated Payments	81,200
Motor Vehicle Dealer License Fee/Handling Fee	1,470	Pass-Through Entities	
Steam, Gas & Electric Companies	5	Sub-Chapter S Pass-Through Entity	
Affiliated Finance Companies	3	Annual Filing	31,300
Commodities taxes		Estimated Payments	9,600
Tobacco Products tax (Cigarette, other tobacco products, vapor, moist snuff)		Partnership Pass-Through Entity	38,100
Cigarette Tax Stamps	475	Fiduciary Income Tax	52,600
Cigarette Tax	420	Annual Filing	53,500
Other Tobacco Products	970	Estimated Payments	2,300
Nursing Facility Quality Assessment Fee	130	Trust Fund taxes (8 Tax Types))	
		Withholding Tax	378,500
		Manufactured Home Relocation Fund	740
		Realty Transfer Tax (collected at closing)	32,000
		E-911 Emergency Fund Surcharge	1,350
		Use tax on leases of tangible personal property	
		Lessees	2,950
		Lessors	2,650
		Public Accommodation tax	2,130
		Public Utilities tax	2,980
		Telephone & Telegraph (Repealed January 2015)	0

Delaware refund intercepts and Active Collections that DOR performs on behalf of other agencies are listed in **Table 11 Delaware Refund Intercepts and Active Collections:**

STATE OF DELAWARE DIVISION OF REVENUE

Table 11 Delaware Refund Intercepts and Active Collections

Refund Intercept Agencies		# FY17	Active Collections Agencies		# 2017 Cases Worked
1	Delaware Division of Revenue	9,410	1	Delaware Higher Education Commission	50
2	Child Support Services	1,391	2	Delaware State University	350
3	Superior Court New Castle County	570	3	Delaware Technical & Community College	9
4	Superior Court Kent County	173	4	Delaware State Lottery Office	2
5	Superior Court Sussex County	104	5	Delaware Economic Development Office	0
6	JP Courts	711	6	Delaware Department of Education	16
7	Audit Recovery Management	481	7	Delaware Department of Natural Resources	21
8	Dept of Labor (unemployment/individual accounts)	659	8	Delaware Division of Accounting	6
9	Dept of Labor (employer accounts) - NEW	-	Total:		454
10	State of Maryland	1,071			
11	Court of Commons Pleas	341			
12	University of Delaware	138			
13	State Court Collections Enforcement	19			
14	Probation and Parole	1,519			
15	IRS	1,298			
16	Sussex County Government	24			
Total:		17,986			

Refund Intercepts Received by DOR	2017	
	Amount	Count
1 Federal Treasury Offset Program (TOPS)	\$1,804,800	3,137
2 State of Maryland	\$ 350,855	941
Total:		\$2,155,655 4,078

2.6.3.8 Audit Requirements

The modernized System shall allow DOR to develop and maintain audit enforcement programs. DOR shall be able to track cases from the candidate identification phase through audit case completion. During this workflow process, DOR staff shall have the ability to:

1. Create audit projects and a pool of subsequent audit candidates, based on management designated business criteria
2. Assign, reassign, and un-assign audit cases to and from auditors
3. Monitor auditor workload and productivity
4. Capture, store and maintain audit information
5. Create audit report assessments
6. Leverage external Audit vendors
7. Produce a variety of reports to monitor the enforcement programs

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.9 Appeals Requirements

The tax appeal process for the State of Delaware is outlined in Chapter 3 and Chapter 5 of Title 30 of the Delaware Code. Typically, appeals are received in response to a proposed assessment or a disallowance of a claim for credit or refund. The vendor shall provide functionality to manage all types of Appeals handled by DOR.

DOR seeks to implement best practice processes which include, but are not limited to:

1. Self-service appeal initiation and information
2. Case creation and management
3. Automated and manual tax, penalty, and interest corrections and adjustments
4. Tracking and archiving of Letters of Determination (LOD)
5. Measure results and identify prevention approaches

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.10 Taxpayer Registration Requirements

All taxpayers must be registered in the System (IRAS) either explicitly (in the case of new business registrations, new taxpayers on the self-service portal, etc.) or implicitly (in the case of a new filing being received by DOR where the taxpayer is not currently registered with the State of Delaware).

Registration can be done at the User Account level, and the Tax Type level following the model depicted in **Figure 8 Account Relationship Hierarchy**.

Figure 8 Account Relationship Hierarchy

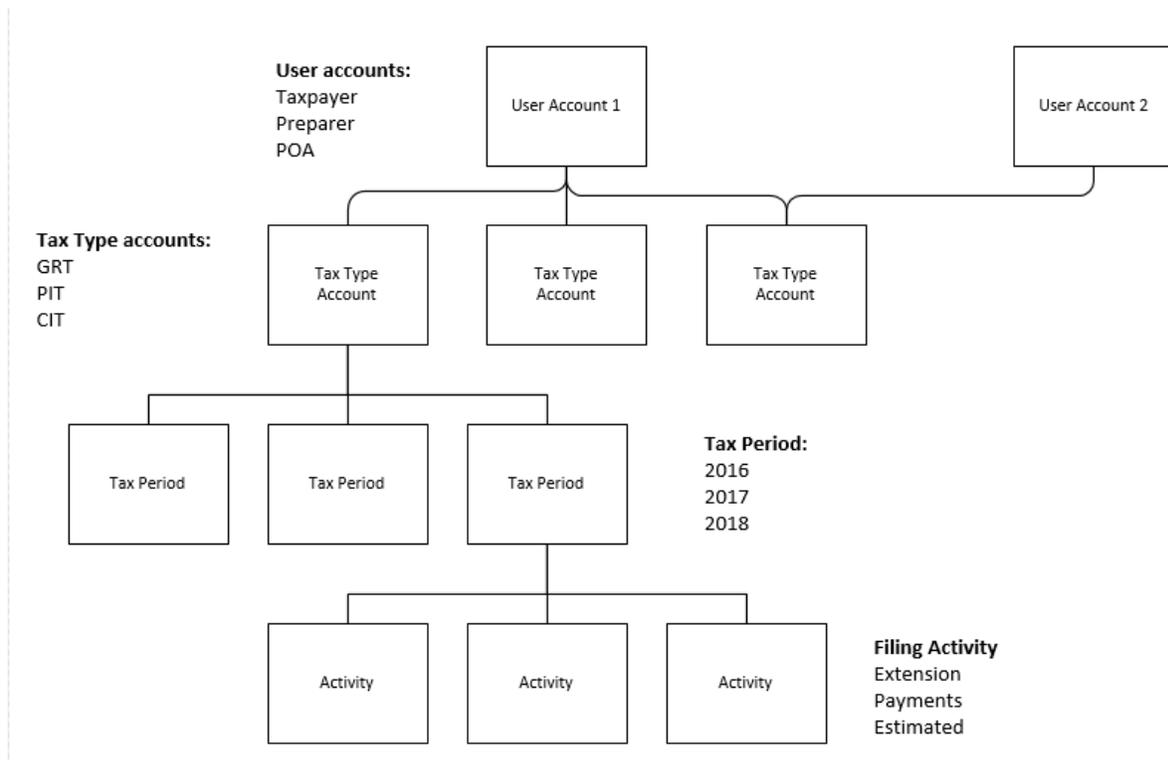


Figure 8 is only for illustrative purposes and should not be requirement entity definitions within the COTS package. However, it provides a reference to depict the relationship between end users and the various Tax Types, Tax Periods, and Filing Activity.

- User Accounts represent the end user’s access to IRAS for identification, authentication, and demographic information. Each user will have their account, and users will always represent an individual for subsequent account permissions.
- Tax Type Accounts represent the various taxes that are administered by the State. This would include things like Gross Receipts Tax and Individual Income. Access to a Tax Type Account may be granted to other users with different levels of access (e.g., Power of Attorney, Preparer, etc.). A user may have several Tax Type Accounts associated with their User Account.

STATE OF DELAWARE DIVISION OF REVENUE

- Tax Periods represent the period for which the taxpayer is accountable. Tax Periods can vary based on the Tax Type.
- Filing Activity is a representation of all the activities that occur for a Tax Period within a Tax Type Account.

DOR seeks to implement best practice processes for Taxpayer Registration which include, but are not limited to:

1. Automated and manual registration options
2. Address standardization
3. Approximate string matching of names
4. Third party provider validation capability
5. Recording of critical demographics
6. Recording of multiple address sites
7. Capture parent-child relationships
8. Record contact persons

Specific requirements are included in **Attachment 3 State of DE-DOR Business Requirements.xlsx**.

2.6.3.11 Filing Requirements

Filing Requirements represents a collection of requirements that cover a broad range of general needs around the filing process which include but are not limited to:

1. The proper configuration of forms and form types
2. Support for nuances occurring during filing
3. Tax types and periods
4. The accommodation of extended and amended filings
5. Support for amended and extended fiscal and calendar year needs
6. General support to ensure proper and efficient handling of DE filing needs

Specific requirements are included in **Attachment 3 State of DE-DOR Business Requirements.xlsx**.

2.6.3.12 Case Management Requirements

The vendor shall provide generic functionalities to manage all types of cases handled by DOR. The vendor must offer a case management system that effectively creates, manages and tracks cases across all DOR taxes and receivables, and for all case types such as audit, collections, appeals, bankruptcy, decedents, and criminal investigations.

DOR seeks to implement best practice processes which include, but are not limited to:

1. Create case
2. Assess case
3. Update case
4. Cancel case
5. Reactivate case
6. Hold case

7. Delay case
8. Release case
9. Assign/reassign case
10. Schedule/reschedule case
11. Provide preconfigured types of cases (audit, collections, etc.)
12. Process audits
13. Create and manage workflows
14. Manage approvals
15. Measure results
16. Close case

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.3.13 Business License Requirements

Business License Requirements define the activities to process and maintain Business License. This includes activities that are a combination of automated and manually activities:

1. Process new applications
2. Monitor expiring licenses
3. Process renewals
4. Revoke business licenses
5. Suspend business license

DOR currently leverages the State’s OneStop application to provide self-service business licensing and annual license renewal. The State is looking to the vendor to recommend and implement a best-practices integration approach to the OneStop application.

Specific requirements are included in **Attachment 3 State of DE-DOR Business Requirements.xlsx**.

2.6.3.14 Reporting Requirements

Portfolio and ad hoc reporting are key areas where DOR seeks to achieve improvements based upon best practices. Strategic, managerial, and operational levels of reporting and analysis are essential to support DOR performance goals fully, while effectively addressing key access, security, and related controls.

DOR seeks to implement best practice processes which include, but are not limited to:

1. Effective historical data integration and housing
2. Appropriate role-based access
3. Flexibility in filtering, sorting, and ordering of fields by DOR staff
4. Exports to common file types
5. Development of KPI’s, dashboards, and analytic tools
6. Advanced data warehouse solution

Specific requirements are included in **Attachment 3 State of DE-DOR Business Requirements.xlsx**.

2.6.3.15 Business Rules

Business Rules will be used in many scenarios within the new solution to allow business logic to be executed during key business processes (processing workflows, case management, returns processing, etc.) where decisions may need to be changed based on trends, staffing, tax-period specific logic, or business analysis outside of a software release. These rules may also be used to generate candidate lists for functions such as Audit or Fraud.

DOR seeks to implement best practice processes which include, but are not limited to:

1. Create, modify, and maintain business rules
2. Follow standard software lifecycle approaches
3. Maintain auditable logs of users and changes
4. Run simulations
5. Allow content changes by authorized DOR staff
6. Allow updates across various user, tax types, etc. based on the application of business rules
7. Return results in exportable formats

Specific requirements are included in **Attachment 3 State of DE-DOR Business Requirements.xlsx**.

2.6.3.16 Workflow Requirements

The Workflow capabilities and services provided by the COTS product is expected to fully support the across the board improvements in efficiency and effectiveness that DOR is seeking. DOR seeks to implement best practice processes which include, but are not limited to:

1. Workflow routing
2. Automated Workflow execution
3. Process monitoring and reporting

Specific requirements are included in **Attachment 3 State of DE-DOR Business Requirements.xlsx**.

2.6.3.17 Forms Requirements

Forms requirements are critical to support DOR voluntary compliance goals through meeting taxpayer expectations for customer friendly forms as well as ease and flexibility of access mechanisms.

DOR seeks to implement best practice processes and types of forms to support IRAS, which include, but are not limited to:

1. Downloadable Fillable Forms available on DOR's website that taxpayers can download, complete and send to DOR
2. Electronic Online Forms (e-forms) taxpayers use to interface directly with DOR via a browser to complete and submit for processing
3. A Forms Definition Facility (FDF) - needed to allow DOR to create new tax forms, their characteristics, and maintain existing tax forms. The FDF shall be the means by which DOR staff defines all aspects of a new tax form, including the layout and operations DOR staff use to make adjustments to taxpayer submitted returns.

4. An FDF function to define and maintain e-forms and Downloadable Fillable Forms is also required.

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**. See **Appendix 6** for a list of DOR forms and their applicable Tax Type.

2.6.3.18 Bankruptcy and Decedent Estates

DOR is seeking to maximize efficient and effective approaches to servicing and managing the inherent complexities and critical timelines associated with handling bankruptcies to protect the interests of the State and serve bankrupt taxpayers with high levels of timeliness, accuracy, and professionalism.

DOR seeks to implement best practice processes which include, but are not limited to:

1. Effectively identify, segregate, service and track bankrupt liabilities within the work stream
2. Provide full electronic interaction capabilities with the court systems, e.g., PACER
3. Handle all types of bankruptcies
4. House all critical bankruptcy information and data
5. Provide flexible controls to manage complex functionalities such as billing, penalty and interest calculation, and assessments.
6. Provide full automated support for the timeliness and completeness of claim forms and filing
7. Manage Decedent cases

Specific requirements are included in **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

2.6.4 Project Management and Related Requirements

The Project Management and Related requirements represent the core requirements for project management and related project work streams necessary for the communication, control, measurement, reporting, adoption, testing, conversion, data warehouse/analytics, production support and subsequent implementation of the IRAS solution. This section and the accompanying response attachments list, by project and management workstreams, the detailed requirements to be met by the vendor. In particular, the work streams from project management and related workstreams perspective are as follows:

1. Project Management
2. Organizational Change Management Requirements
3. Training Requirements
4. Testing Requirements
5. Data Conversion Requirements
6. Non-functional Requirements
7. Hosting (Cloud) Requirements
8. Project Team Experience Requirements
9. Post-Deployment and Product Support

The vendor shall respond to each requirement for all project and management work streams in the attached response spreadsheet per the instructions in **Section 2.1** of this RFP. The response

spreadsheet is included as **Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx** and must be submitted with the vendor's RFP response. A summary of each work stream is provided in the sections below.

2.6.4.1 Project Management

The vendor shall work with DOR to establish the standards, processes, reporting, communication, and measurement for all project phases and releases. The vendor shall ensure that all project tasks and activities are in alignment with the scope of work, program processes, and State/DOR policies. In particular, the vendor will work with DOR to ensure proper management of all activities to include:

1. Project Management Plan development, execution, and monitoring
2. Status Reporting and Meetings
3. Risk Management
4. Issue Management
5. Decision Management and Action Management
6. Deliverable Management
7. Scope and Change Management
8. Quality Management
9. Financial Management
10. Communications Management
11. Resource Management
12. Release Management

The vendor shall respond to each requirement for the Project Management work stream in the attached response spreadsheet per the instructions in **Section 2.1** of this RFP. The response spreadsheet is included as **Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx** and must be submitted with the vendor's RFP response.

2.6.4.2 Organizational Change Management

The vendor shall work with DOR to develop and implement an Organizational Change Management (OCM) program. The program will ensure that there is a comprehensive framework in place for managing the impacts of organization structure, business process, system functionality and cultural changes with the implementation of IRAS. The OCM program shall include but is not limited to:

1. Assessing gaps between the current and future state, and determining their impact to DOR
2. Stakeholder Identification
3. Change Readiness
4. Change Resistance
5. Stakeholder Engagement
6. Strategy Alignment
7. Position Definition
8. Roles and Responsibilities
9. Background and Skills assessment

The vendor shall respond to each requirement for the Organizational Change Management work stream in the attached response spreadsheet per the instructions in **Section 2.1** of this RFP. The response spreadsheet is included as **Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx** and must be submitted with the vendor's RFP response.

2.6.4.3 Training

The vendor shall develop and implement an IRAS Training program. The program will ensure that there is a comprehensive program in place to provide training to all DOR end-users and stakeholders to include business SMEs, executive and management staff, and technical resources on all areas of IRAS. Appropriate training shall be provided for each Release. The Training program shall include:

1. A Training Strategy and Approach
2. A Training Needs Assessment
3. DOR Project Team Training
4. Business and Technology Training Plans
5. Business and Technical Training Materials
6. Computer-Based Training
7. Production Development and Support Training
8. A dedicated training environment
9. Training effectiveness surveys and feedback channels.

The vendor shall respond to each requirement for the Training work stream in the attached response spreadsheet per the instructions in **Section 2.1** of this RFP. The response spreadsheet is included as **Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx** and must be submitted with the vendor's RFP response.

2.6.4.4 Testing

The vendor shall develop and implement a Software Testing program. The program will ensure that there is a comprehensive program in place to provide complete, end-to-end testing and validation for all IRAS functionality and components. The Testing program shall include:

1. A Comprehensive Test Strategy and Plan
2. Unit Testing
3. System and Integration Testing
4. DOR Sandbox Testing
5. Data Conversion Testing
6. User Acceptance Testing (UAT)
7. Performance Load and Stress Testing
8. Production Migration Validation
9. Tax Vendor Certification
10. Interface Testing
11. Security and Penetration Testing

The vendor shall respond to each requirement for the Testing work stream in the attached response spreadsheet per the instructions in **Section 2.1** of this RFP. The response spreadsheet is included as **Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx** and must be submitted with the vendor's RFP response.

2.6.4.5 Data Conversion

The vendor shall develop and implement a Data Conversion program. The program will ensure that there is a comprehensive program in place for the conversion of all target data from DOR Legacy Systems for IRAS. The Data Conversion program shall include:

1. A Data Conversion Approach and Plan
2. Identification of any risks associated with Data Conversion
3. An approach and plan for Data Cleansing
4. An approach and plan for Data Conversion Testing
5. Definition of Data Conversion tools and automation
6. An approach and plan for the conversion of data in a multi-release implementation to ensure that DOR legacy system and the vendor's COTS product can co-exist after each release.
7. Mock Data Conversions
8. Data Governance
9. Data Conversion scope and schedules
10. Data Conversion mapping and transformation
11. Data Conversion security
12. Data Conversion signoff and cutover processes.

The vendor shall respond to each requirement for the Data Conversion work stream in the attached response spreadsheet per the instructions in **Section 2.1** of this RFP. The response spreadsheet is included as **Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx** and must be submitted with the vendor's RFP response.

2.6.4.6 Non-functional Requirements

Non-functional requirements relate to the operation and architecture of IRAS. Distinct from the Business Functional requirements, the Non-functional requirements ensure key that operational areas are addressed such as:

1. System Versioning
2. System Processing and Capacity
3. System Operations
4. Job Scheduling
5. System Auditing
6. Change Management
7. Data Retention
8. Resiliency
9. Supportability

The response spreadsheet is included as **Attachment 5 State of DE-DOR Project Management and Related Requirements.xlsx** and must be submitted with the vendor's RFP response.

2.6.4.7 Hosting (Cloud) Requirements

The State of Delaware is requesting information and pricing for both an on-premise solution and a cloud-hosted solution Attachment 5 State of DE-DOR Project Management and Related Requirements includes a set of requirements to be met for a cloud hosted solution. The vendor must respond to each requirement and submit them with the vendor proposal.

2.6.4.8 Project Team Experience

The vendor shall provide as its key staff: a Project Director, Project Manager, Application Architect, Training Lead, Technical Lead, Testing Lead, Data Conversion Lead, Data Warehouse/Business Intelligence Lead, Security Lead and other staff as required.

2.6.4.8.1 Project Director

The vendor's Project Director shall be responsible for coordinating the vendor's resources and staff and shall be responsible for the overall performance of its responsibilities under the contract. The vendor's Project Director shall provide regular briefings to the DOR Project Director and the Executive Steering Committee. The vendor's Project Director shall review and resolve project issues and present recommendations to the DOR Project Director in relation to project risks. The vendor's Project Director shall confirm and validate the detailed project plans, approve project Deliverables, ensure software and process quality and have full responsibility to act on behalf of the vendor Company.

The minimum Project Director qualifications for this effort are:

1. Ten (10) years of Information Technology project management experience
2. Five (5) years of experience managing a successful integrated tax system project
3. Three (3) years of experience with the proposed tax solution
4. Ten (10) years of experience managing a project of similar size and complexity
5. A Bachelor's Degree from an accredited college or university
6. Demonstration of excellent written and oral communication skills

2.6.4.8.2 Project Manager

The vendor's Project Manager shall perform the daily management of the IRAS project, identify issues and risks and recommend possible issue and risk mitigation strategies associated with the project. The vendor's Project Manager shall develop and maintain a project plan with tasks, staff assignments, timelines, dependencies and durations and is responsible for ensuring that work performed is within scope, consistent with requirements, and delivered on time and within budget. The vendor's Project Manager shall monitor issues, facilitate issue resolution and provide up-to-date status reports.

The minimum Project Manager qualifications for this effort are:

1. Ten (10) years of Information Technology project management experience
2. Five (5) years of experience managing a successful integrated tax system project

3. Three (3) years of experience with the proposed tax solution
4. Ten (10) years of experience managing a project of similar size and complexity
5. A current Project Management Professional (PMP) certification (desired)
6. A Bachelor's Degree from an accredited college or university
7. Demonstration of excellent written and oral communication skills

2.6.4.8.3 Application Architect

The vendor's Application Architect shall be an expert in the technical and design architecture of the COTS product used for the contract. They shall lead the effort in providing technical architecture and design recommendations based on extensive information technology knowledge as well as experience in implementing the vendor's solution. They shall work with the vendor team to configure the IRAS application and assist in the design and development of any required customizations. Additionally, the vendor's Application Architect shall assist where required in testing and implementing the target system.

The minimum Application Architect qualifications for this effort are:

1. Seven (7) years of experience as an Application Architect on information technology projects of similar size and scope as the IRAS project
2. Five (5) years of experience in implementing the target integrated tax COTS product used for the contract
3. A Bachelor's Degree from an accredited college or university in Computer Science, Information Systems or another related field

2.6.4.8.4 Development and Configuration Lead

The vendor's Development and Configuration Lead shall be an expert in the technical operation of the target COTS product used for this Contract. They shall lead the effort in providing technical recommendations based on extensive information technology knowledge as well as experience in implementing the vendor's COTS solution. They shall lead the design and development of required customizations, execute performance and stress testing in coordination with the project's Test Lead, and implement the COTS solution.

The minimum Development and Configuration Lead qualifications for this effort are:

1. Four (4) years of experience as a Technical Lead on information technology projects of similar size and scope as the IRAS project
2. Two (2) years of experience in implementing the target integrated tax COTS product used for the contract
3. A Bachelor's Degree from an accredited college or university in Computer Science, Information Systems or another related field

2.6.4.8.5 Test Lead

The vendor's Test Lead shall be an expert in the testing of the vendor's COTS product used for the Contract and shall lead the effort in writing the test plan, testing customizations, writing and executing

system test scripts. The vendor's Test Lead shall work with the vendor's Development and Configuration Lead in executing unit and system testing, performance testing, and assisting DOR in user acceptance testing and production performance testing.

The minimum Test Lead qualifications for this effort are:

1. Four (4) years of experience as a Test Lead on information technology projects of similar size and scope as the IRAS project
2. Two (2) years of experience testing the implementation of the target integrated tax COTS product used for the contract
3. A Bachelor's Degree from an accredited college or university in Computer Science, Information Systems or another related field

2.6.4.8.6 Data Conversion Lead

The vendor's Data Conversion Lead shall be an expert in the conversion of legacy data into the vendor's COTS product used for this Contract. The vendor's Data Conversion Lead shall be an active member of the Data Governance Committee, shall attend all Data Governance meetings and report on risks, issues, results, and recommendations to the Data Governance Committee. The vendor's Data Conversion Lead shall lead the effort in planning the data conversion, working with DOR in mapping the legacy data to the COTS product, performing mock conversions, testing the data in the data conversion, reporting on the mock conversion results, and performing the final conversion.

The minimum Data Conversion Lead qualifications for this effort are:

1. Four (4) years of experience as a Data Conversion Lead on information technology projects of similar size and scope as the IRAS project
2. Two (2) years of experience leading the data conversion effort for the target integrated tax COTS product used for the contract
3. A Bachelor's Degree from an accredited college or university in Computer Science, Information Systems or another related field

2.6.4.8.7 Training Lead

The vendor's Training Lead shall lead the effort in planning and executing the training for the target COTS solution and shall be responsible for creating up-to-date training documentation materials.

The minimum Training Lead qualifications for this effort are:

1. Four (4) years of experience as a Training Lead on information technology projects of similar size and scope as the IRAS project
2. Two (2) years of experience leading the training effort for the target integrated tax COTS product used for the contract
3. A Bachelor's Degree from an accredited college or university in Computer Science, Information Systems or another related field

2.6.4.8.8 Business Functional Lead

The vendor's Business Functional Lead shall be an expert in the functionality provided by the Contractor's solution and in migrating existing tax operations and staff to the new solutions. The vendor's Business Functional Lead shall provide an in-depth understanding of the functionality provided by the vendor's product and shall assist the team in leveraging the new functionality to accommodate existing business functions. The vendor's Business Functional Lead shall work with DOR in developing a migration strategy for configuring and transitioning from the current operations to the new system.

The minimum Business Functional Lead qualifications for this effort are:

1. Five (5) years of experience in integrated tax systems
2. Two (2) years' experience serving as an SME with the vendor's product
3. A Bachelor's Degree from an accredited college or university

2.6.4.8.9 Security Lead

The vendor's Security Lead shall be responsible for security as it relates to the COTS application architecture, shall ensure Security requirements are met through design, development, and implementation, and shall conduct vulnerability assessments.

The minimum Security Lead qualifications for this effort are:

1. Seven (7) years of experience in security concepts for application architecture, development, and vulnerability assessment
2. Three (3) years of experience with the vendor's proposed tax solution
3. A Bachelor's Degree from an accredited college or university in Computer Science, Information Systems or another related field

2.6.4.8.10 Data Warehouse (DW)/Business Intelligence (BI) Lead

The vendor's Data Warehouse/Business Intelligence Lead shall lead the design and development of the DW, develop the logical and physical Data Warehouse Model, Implementation and Optimization Plans, perform DW assessment(s) and lead the effort to leverage the DW's ability to increase revenue and enhance reporting for the State. The vendor's DW/BI Lead shall assess existing predictive analytics models, business rules, and data sources to recommend new and improved predictive analytics models. The DW/BI Lead shall assist with the development and application of advanced analytics to support DOR's predictive analytics models and related BI projects. Additionally, the DW/BI Lead shall assist with data mining, data analysis, dashboard development and the implementation of DW technology enhancements.

The minimum DW/BI Lead qualifications for this effort are:

1. Five (5) years of experience in a data warehouse, data mart using predictive analytics tools, developing analytics models, performing data mining, data analysis, and other BI duties
2. Five (5) years of experience on IT projects similar in size and scope as the IRAS project;

3. Bachelor's Degree in Computer Science, Information Systems, Engineering, Business, Mathematics, or other related scientific or technical discipline

2.7 Implementation Proposal

2.7.1 Approach

The State of Delaware DOR is proposing a three (3) phased implementation strategy for this effort and is requesting the vendor to thoroughly describe their implementation strategy and approach in **Attachment 7 State of DE-DOR Project Approach.doc**.

This section should demonstrate to DOR that the vendor has attained a high level of COTS software implementation expertise with systems meeting the State's IRAS requirements, and a high level of knowledge of state revenue department operations.

The vendor shall provide a detailed, written description of the approach and methodology they will execute for the implementation of the State of Delaware System. The State is NOT looking for corporate marketing materials or boilerplate information (simply providing marketing or boilerplate material may negatively affect the proposal evaluation scores). You must provide your approach and methods in the context of the State of Delaware's needs as described throughout this RFP. As part of your response, please provide a detailed and comprehensive description of how the vendor and the State will handle interfaces (single inbound file for the receipt to two systems and two outbound files to be sent to one external target) and consolidated enterprise reporting (two systems reporting as one enterprise). Additionally please describe the post-conversion approach for a multi-release implementation that will ensure that the DOR legacy systems and the vendor's COTS product coexist together as an integrated system. At a minimum this approach shall include the following:

- The handling of inbound interfaces containing data bound for both legacy and COTS systems
- The handling of outbound interfaces, where data must be sourced from both legacy and COTS systems
- The synchronization of taxpayer information to keep demographic and other data aligned when changes are made in one system, but not the other
- The presentation of one DOR processing view when data resides in two systems but needs to be a single

We also ask the vendor to highlight key differences in their approach to the IRAS project and the implementation approach proposed in this RFP so we can understand the gaps that need to be addressed.

Please elaborate on the State's and the vendor's roles and responsibilities throughout the project.

2.7.2 Plan

A detailed project plan will be developed jointly with DOR and the vendor during the implementation planning phase of this effort.

The vendor shall provide a standard implementation plan that will be used as input into the creation of the IRAS Master Project Plan to address the implementation effort for DOR. This should be included in your proposal submission as **Attachment 9 State of DE-DOR Project Plan.pdf**.

2.7.3 Staffing

The State of Delaware DOR needs to understand the level of staffing required for this undertaking to evaluate the State's resource needs and the required facilities and logistics for the vendor (and partners/subcontractors) staff.

As such, the vendor shall provide a detailed staffing model for all phases of the project. The plan shall include both vendor and DOR staffing loads (Full Time Equivalents - FTEs) by project role, by phase and by month for the effort. Vendor staffing shall include technical, management and subcontractor staff. A resource requirements response template is provided as **Attachment 7 State of DE-DOR Staffing Requirements.xlsx**.

The State anticipates a three-phased implementation approach. **See Section 2.3.5** for a list of the tax types required by phase for the target implementation to assist in the development of the Staffing Requirements.

2.7.4 Cost Proposal

The State of Delaware DOR needs to understand the detailed costs associated with this undertaking to evaluate the vendor solutions and obtain funding for the project.

As such, the vendor shall provide a detailed cost model for all phases of the project. The costs shall include:

1. All Implementation Costs
2. All Software Licensing Costs (both on-premise and cloud hosted)
3. All Hardware Costs
4. All Other Costs

The vendor must complete a cost proposal template. The Cost Proposal is provided as **Attachment 9 State of DE-DOR Cost Proposal.xlsx**.

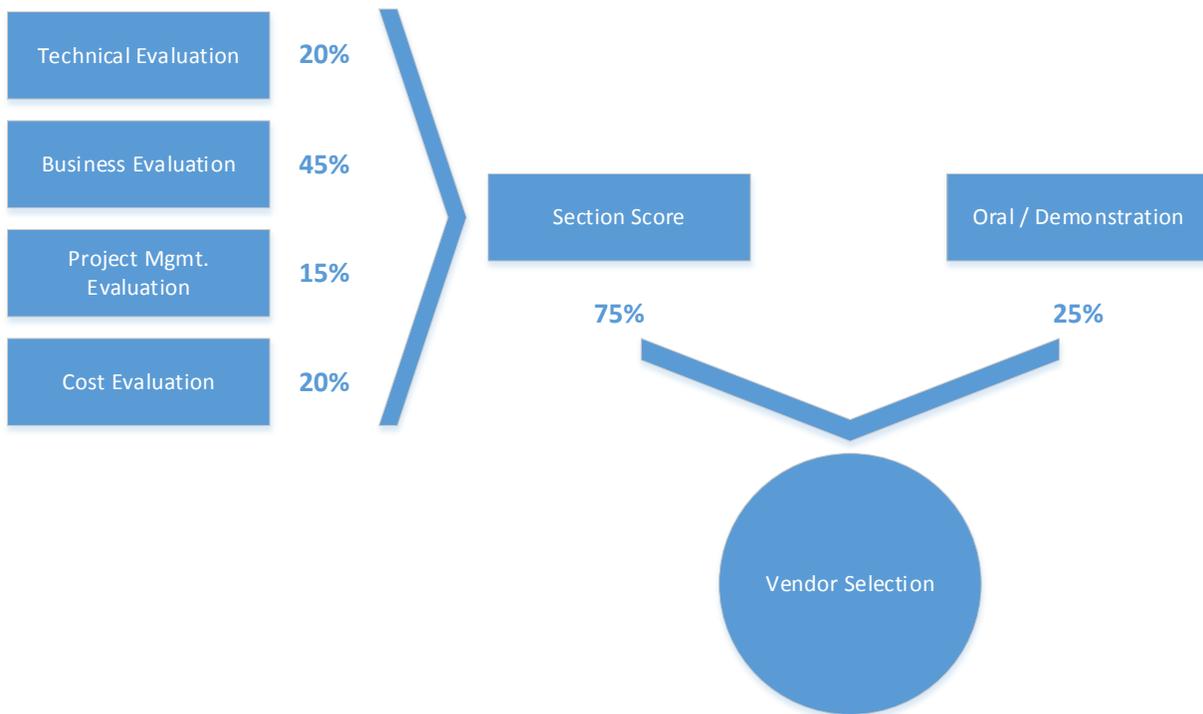
The State proposes a three (3) phased implementation approach. **See Section 2.3.5** for a list of the tax types proposed by phase for the target implementation to assist in the development of the Cost Proposal.

3 Section Three – Evaluation Process and Criteria

3.1 Overview

The scoring process that will be used for this RFP will allow for an in-depth analysis of the vendors’ solutions by the Business, Technical, and Pricing teams. The intent is to ensure consistent and fair scoring that prevents bias based on pricing or other external factors. Following the initial section scoring, up to three (3) vendors will be selected for participation in on-site orals and Scenario Demonstrations which will be assessed and used in calculating the final score used to select a vendor.

The individual sections will be scored and combined with a resulting score that will be used to determine the finalists. The high-level process is outlined below:



3.2 Mandatory Scoring

The minimum qualifications will be scored in a way that will result in a value of one (1) or zero (0) for each of the requirements in the section. This score will act as an overriding mechanism for the evaluation process for any vendor unable to meet the minimum requirements regardless of the scores for each section of requirements.

3.3 Section Scoring

3.3.1 Scoring Weight

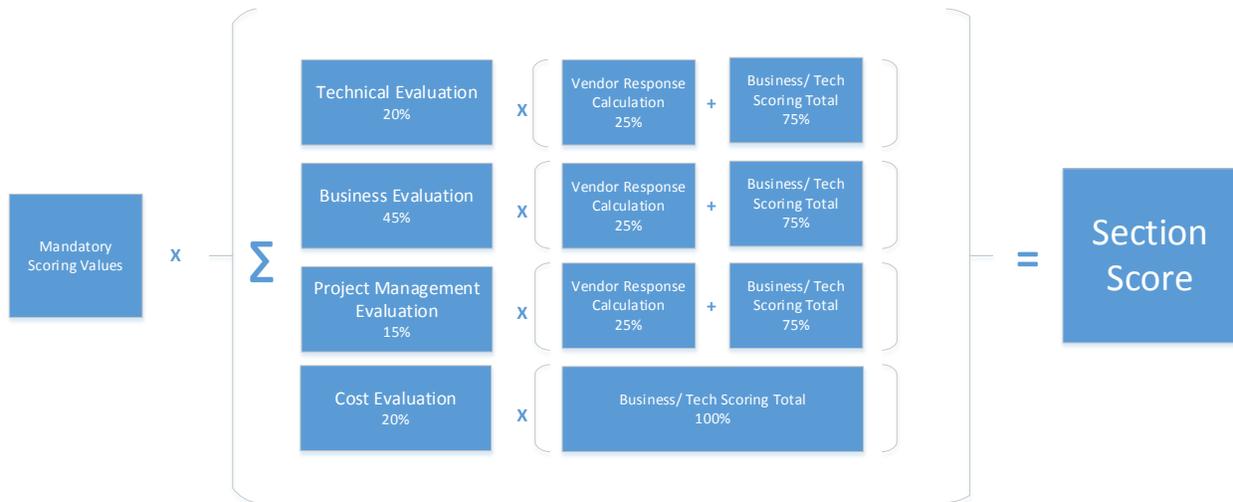
Each review section will be assigned an overall weight value. The weight may vary based on the importance to the State and DOR. Dividing the weight in this way will allow for fair and accurate distribution of the overall scoring exercise.

The Scoring weight will be calculated as follows:

Section	Weight
Technical	20%
Project Management and Other Related	15%
Business Functional Proposal	45%
Cost	20%

3.3.2 Section Scoring Calculation

The Final Section Score will be calculated to provide a fair and impartial score based on the following formula:



The Section weight (percentage) will be multiplied by the sum of the **Vendor Response Calculation** and the **Business/Technical Scoring Total**.

For example:

- Weight (45%)
- Vendor Responses (12)
- Business/Technical (60)

$$0.45*(12+60) = 32.4$$

3.3.3 Vendor Response Calculation

Each of the requirements will provide the opportunity for the Vendor to respond and explain how the requirement will be satisfied. A numeric score is associated with the five (5) possible responses giving priority to requirements that are satisfied out of the box without configuration. The values calculated will be considered part of the score as it will be generated solely based on the Vendor's responses.

The Vendor responses to individual requirements will be used in an automatic calculation based on the responses as listed below:

STATE OF DELAWARE DIVISION OF REVENUE

	Description	Score Value
Off the shelf	The capability exists within the as-is core product, and no configuration or software programming is required by the vendor.	4
Configuration	The capability exists within the core product, but configuration is required using the inherent features of the software (no software programming required).	3
Third-Party	The capability cannot be met by the core product but can be met with a 3rd party application that can be integrated into the final product. This could require software programming for integration.	2
Customization	The capability may or may not exist within the core product and to meet the requirement will require software programming of the base or core system.	1
Not Supported	The capability does not exist or may be planned for a future version of the product.	0

While the Vendor score may be calculated automatically, DOR reserves to the right to cancel/change a score value if the response is determined to be incorrect.

The vendor response score will be totaled and divided by the number of requirements for the section. This will produce a number that will be multiplied by 0.25 and rounded to an integer to produce a **Vendor Response Calculation**.

Note: There is no vendor response calculation for the cost section.

3.3.4 Business & Technical Scoring

The Business and Technical scoring will be performed by the key stakeholders in the Business and Technology organizations. The scoring will be performed for each section independently with the resulting scores being combined for a final Business/Technical/Project Management - Other Scoring Total for each section based on the score weight.

Each group will meet as one collective body to review the requirements and provide a single score for the section. The group may choose to work with several team members and subject matter experts to review, score and provide the final group score OR the group leader may choose to hold group sessions to score together.

Score values will be assigned as follows:

Score	Description
7	The Vendor's response greatly exceeds the requirement expectations.
5	The Vendor's response exceeds expectations and provides efficiency gains
3	The Vendor's response meets the requirement.
1	The Vendor's response shows some level of challenges or the response didn't fully satisfy the requirement.
0	The Vendor's response does not meet the requirement.

The Business and Technical scores will be summed and divided by the total number of requirements for each section. The result will be multiplied by 0.75 and rounded to a whole number to produce the **Business/Technical Scoring Total** to obtain the final section score.

3.4 Orals / Scenario Demonstrations

Following the initial RFP scoring, up to three (3) vendors will be selected to provide on-site demonstrations of their product navigating through pre-defined business cases. The scenarios will be provided according to the schedule listed in section 1.2 with the actual on-site demonstrations taking place as part of a four (4) day vendor visit (to be scheduled). It is expected that the vendor will provide access to the demonstration system presented during orals beyond the oral/demonstration period for additional evaluation by the State. This will only be needed until vendor selection has been made.

Each scenario will be scored on three (3) aspects:

- Ease of Use: This is a score based on the Business impression of "how" the tasks are completed in the normal implementation.
- Understanding of Business Needs: This is a score that gauges how well the Vendor understood the scenario process.
- Improvement of Business Process Execution: This is a score that will be given based on the Business improvements that would be gained (e.g., reduction steps to complete, reduction in time to complete or close cases, increased efficiency).

The scores for the scenario demonstrations will be summed for a total score that will then be used in the determination of the final bid score. This score will be separate from the Section Scoring. Oral / Demonstration (25% weight) and the Section Score (75% weight) will be combined to provide a final selection score.

For example:

- Scenarios used for demonstration (20)
- Business score or demonstrations (120)

Oral / Demo Score = 120

STATE OF DELAWARE DIVISION OF REVENUE

Section Score = 74.8

Final Score (Vendor Selection) = (0.25*120) + (0.75*74.8)

The Oral / Demonstration scoring will use the following definitions for the score values:

Score	Description
7	The Vendor demonstrated a process that greatly exceeds or revolutionizes DOR
5	The Vendor demonstrated a workflow that exceeds expectations and demonstrated efficiency gains
3	The Vendor adequately demonstrated the scenario within their proposed solution
1	The Vendor demonstrated scenario with some level of challenges or the scenario didn't fully satisfy the use case
0	The Vendor did not supply an adequate demonstration of the scenario.

Following the Oral / Demonstrations, DOR will re-score the Section Scoring to produce an updated score.

4 Appendices

4.1 Appendix 1.0 Glossary of Terms

Term	Definition/Explanation
508 Compliant	Section 508, an amendment to the United States Workforce Rehabilitation Act of 1973, is a federal law mandating that all electronic and information technology developed, procured, maintained, or used by the federal government be accessible to people with disabilities.
Account	A Tax Type specific account associated with a particular Entity.
Accounts Payable (AP)	The aggregate amount of an entity's short-term obligations to pay suppliers for products and services which the entity purchased on credit.
Accounts Receivable (AR)	The balance of money due to a firm for goods or services delivered or used but not yet paid for by customers.
ACCURINT	A point-of-need investigative solution that enables DOR to locate people, detect fraud, uncover assets, verify identity, perform due diligence and visualize complex relationships.
Action Management	The practice of logging, assigning, tracking, resolving, and closing a documented event, task, activity, or action item that arises during a project effort.
Amended Return	A subsequent income tax return filed to report changes to a previously filed return.
Automatic Number Identification (ANI)	A feature of a telecommunications network for automatically determining the origination telephone number.
Appeals Management	The practice of creating, assigning, tracking, resolving, and closing an Appeal Case initiated by a DOR Taxpayer.
Assessment	A financial event that occurs when a Notice of Assessment is mailed to a taxpayer increasing the net tax liability and also penalty and interest for some number of unique filing periods. As assessment is subject to appeal or dispute by the taxpayer.
Assurance Testing System (ATS)	The process (normally occurs annually) and systems associated with testing e-file tax returns with NACTP tax processing partners to ensure partner tax processing software executes properly on DOR systems.
Authorized DOR Staff	Division of Revenue Staff Members that have specific authorizations to perform certain functions in the System.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Automated Clearing House (ACH)	An electronic payment delivery system which allows you to make payments or collect funds electronically including direct deposit, payroll and vendor payments.
Business Intelligence (BI)	Refers to technologies, applications, and practices for the collection, integration, analysis, and presentation of business information. The purpose of Business Intelligence is to support better business decision making.
Business Master File (BMF)	A central demographic file for all business tax filers.
Business Rules Management	The capabilities to define, deploy, execute, monitor and maintain the variety and complexity of business decision logic that is used by operational systems within an organization or enterprise. This logic includes policies, requirements, and conditional statements that are used to determine the tactical actions that take place in applications and systems.
Calendar Year	A reporting period that runs from January 1, XXXX through December 31, XXXX of the same year.
Carvel State Office Building (CSOB)	The Wilmington, Delaware Office Location of DOR. Central public (customer) service, operations, and administrative functions are located on the 1st, 8th, and 9th floors. CSOB also houses the DOF.
Case	A collection of all relevant information regarding a cause of action or controversy related to the DOR about entities. A case can be related to collection, enforcement, or compliance.
Case Management	The capability of a tax system to process all information related to a tax Case including status, activities, schedules, outcomes, etc.
Certificate of Good Standing	A state-issued document that shows that a corporation or limited liability company (LLC) has met its statutory requirements and is authorized to do business in that state. For the State of Delaware, the registration requirement applies to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies.
Change Management	From a project standpoint, it is the practice of managing contractual scope, cost, and schedule changes for the IRAS project. From an organizational standpoint, it is the practice of managing the impacts of organization structure, business process, system functionality and cultural changes with the implementation of IRAS.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
ChartJS	An Open source library with routines for creating charts for web applications.
Comma Separated Values (CSV)	A comma-separated values file which allows data to be saved in a table structured format.
Commercial Off The Shelf Software (COTS)	Software products that are ready-made and available for sale to the general public. COTS products are designed to be implemented easily into existing systems without the need for customization. IRAS will be a COTS solution.
Committee on Uniform Security Identification Procedures (CUSIP)	A nine-character alphanumeric code that identifies a North American financial security to facilitate clearing and settlement of trades.
Communications Management	The planning, implementing, monitoring, and revision of all the channels of communication within the DOR organization and between organizations for the IRAS project.
Computer Based Training (CBT)	Any course of instruction or training whose primary means of delivery is a computer. A CBT course may be delivered via a software product installed on a single computer, through a corporate or educational intranet, or over the Internet as Web-based training.
Conferee	The Tax Conferee supports the Director of Revenue by receiving, documenting, considering, and determining protests/appeals of the Division of Revenue's assessments and disallowances of refunds in a manner that creates the highest possible level of confidence in the competence, courtesy, and fairness of the Division, draft tax rulings, and draft tax regulations, and legislation.
Content Management	The methods, processes, and activities to ensure timely and accurate management of document scanning, imaging, and content for IRAS.
Correction	An administrative correction which increases or decreases the taxpayer's net tax liability (tax, penalty, and/or interest) on the basis of facts, not in dispute. These are adjustments that are not subject to appeal (such as mathematical corrections). Corrections can be done on a return only.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Current Year	A term used to reference the current year in context of the period in question. The Current Year in reference to the yearly fiscal period is the current fiscal year, the Current Year in reference to the yearly calendar period is the current calendar year, and the Current Year in reference to the yearly tax period is the year of the return due to be filed during the present calendar year.
Data Architecture	Models, policies, rules or standards that govern and define the type of data collected, and how it is stored, arranged, integrated, and put to use in data systems and organizations.
Data-Driven Documents (D3)	An Open Source JavaScript visualization library that allows computer science professionals to design and build highly interactive visualizations (both simple and complex) that are driven by data (ranging from tiny data through to big data) and that works in your browser.
Data Governance Committee	On the IRAS project, it is the group which will provide the decision making authority and an accountability framework for the valuation, creation, storage, use, archiving and deletion of information in accordance with the State's business needs and requirements (Federal and State).
Data Management	The development and execution of architectures, policies, practices, and procedures that properly manage the full data lifecycle needs of an enterprise.
Date of Birth (DOB)	The date of birth of an individual.
Data Quality	An assessment of data's fitness to serve its purpose in a given context. The quality of data is determined by factors such as accuracy, completeness, reliability, relevance and how up to date it is.
Data Security	Protecting digital data from destructive forces and the unwanted actions of unauthorized users, such as a cyber attack or a data breach.
Data Warehouse	A large store of data accumulated from a wide range of sources within an organization. It is used for creating analytical reports for workers throughout the organization and to guide management decisions.
Database Management System (DBMS)	System software for creating and managing databases. The DBMS provides users and programmers with a systematic way to create, retrieve, update and manage data.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Day Zero	A security attack that exploits a previously unknown vulnerability in a computer application, one that developers have not had time to address and patch.
Decision Management	The practice of identifying, logging, assigning, tracking and resolving decisions that arise during a project effort.
Defect Management	A process of detecting, logging, assigning, tracking and resolving software bugs that arise during software development or system implementation project.
Deliverable Management	The practice of managing the scheduling, creation, and approval of the deliverables that will be provided by the Vendor during the IRAS project.
Deliverable(s)	The quantifiable products, documents, and services that will be provided by the Vendor during the IRAS project
Department of Health and Social Services (DHSS)	A State of Delaware Department which provides services in the areas of public health, social services, substance abuse and mental health, child support, developmental disabilities, long-term care, visual impairment, aging and adults with physical disabilities, state service centers, management services, financial coaching, and Medicaid and medical assistance.
Department of Labor (DOL)	A State of Delaware Department which connects people to jobs, resources, monetary benefits, workplace protections and labor market information to promote financial independence, workplace justice, and a strong economy.
Department of Technology and Information (DTI)	A State of Delaware Department which is the state's central IT organization chartered to deliver core services to other state organizations and exercise governance over the technology direction and investments of the state.
Division of Motor Vehicles (DMV)	A State of Delaware Division within the Delaware Department of Transportation which is responsible for serving the residents of the state in Vehicle Services, Driver Services, Transportation Services, and Toll Operations.
Division of Revenue (DOR)	A State of Delaware Division within the Department of Finance which is the primary revenue collector for the state.
Document Locator Number (DLN)	Provides a numerical identifier used for tracking and retrieval of a document.
Document Management	Processes and practices for the creation, review, modification, issuance, distribution, and accessibility of documents utilizing a Document Management tool (e.g., SharePoint).

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
DOF Staff	Any Department of Finance Staff member.
DOR Management	Any decision making organizational group or individual within the Division of Revenue.
DOR Warehouse	The current Data Warehouse solution that exists at DOR.
Driver's License (DL)	A license issued under governmental authority that permits the holder to operate a motor vehicle.
Earned Income Tax Credit (EITC)	A benefit for working people with low to moderate income. To qualify, you must meet certain requirements and file a tax return, even if you do not owe any tax or are not required to file. EITC reduces the amount of tax you owe and may give you a refund.
Electronic Bank Statement (EBS)	A bank statement or account statement which can be viewed online or received in an electronic format, and downloaded or printed by the customer. It typically contains a summary of financial transactions which have occurred over a given period on a bank account held by a person or business with a financial institution.
Electronic Filing Methods (e-file)	The process and methods of submitting tax returns over the Internet using tax preparation software that has been pre-approved by the relevant tax authority, such as the IRS or the Canada Revenue Agency.
Electronic Funds Transfer (EFT)	The electronic transfer of money from one bank account to another, either within a single financial institution or across multiple institutions, via computer-based systems, without the direct intervention of bank staff.
Employer Identification Number (EIN)	Identification number for partnerships, sole proprietorships, corporations, estates, and trusts requested from and assigned by the IRS.
Entity	An individual or business registered directly or indirectly within the IRAS.
Escheat	The reversion of property to the state when that property is lacking claimants. See also Unclaimed Property.
Estimated Carryover	A transaction which applies a taxpayer's overpayment of a tax liability to the taxpayer's estimated or tentative tax account for the following tax year.
Estimated Tax	Taxpayers who contemplate the tax liability of \$100 or more on their return and do not have payments and credits totaling 90% of the expected tax liability must make quarterly payments to the Division. Payments are due quarterly.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Evaluation Committee	The State of Delaware participants responsible for evaluating and scoring the Vendor responses to this RFP.
Evaluation Factors	The criteria to be used by the Evaluation Committee to evaluate and score the Vendor responses to this RFP.
Executive Steering Committee (ESC)	The highest level of oversight and escalation for the IRAS project. The ESC shall be comprised of members from the State's DOF and the Division of Revenue (DOR) executive tiers, key executive's and sponsors from the State's partner agencies, key executives from the State's Department of Technology and Information (DTI), and key principals of the software, integration and project management vendors.
Extensible Markup Language (XML)	A computer markup language that was designed to describe data, especially to store and transport data over the internet.
Fairfax	DOR's current OCR and Imaging Solution provided by Fairfax Imaging, LLC.
Federal Employee Identification Number (FEIN)	A unique, nine-digit number used by the IRS to identify a business operating in the United States. Also known as an EIN.
Federal Tax Information (FTI)	As defined by IRS Publication 1075, FTI is a term of art and consists of federal tax returns and return information (and information derived from it) that is in the agency's possession or control which is covered by the confidentiality protections of the IRC and subject to the IRC 6103(p)(4) safeguarding requirements including IRS oversight.
Fiduciary	A person having a legal relationship of trust and confidence to another and having a duty to act primarily for the others benefit, e.g., a guardian, trustee, or executor.
Fiduciary Return	An income tax return filed on behalf of a trust or decedent's estate.
First State Financials (FSF)	The current enterprise accounting system of record at the State of Delaware.
Fiscal Accounting Period	The period that a company or government uses for accounting and budget purposes, and preparing financial statements. For the State of Delaware, the yearly Fiscal Accounting Period runs from July 1 through June 30.
Fiscal Calendar	The calendar that defines the dates of the Fiscal Year.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Fiscal Year	The yearly period of time used by companies and governments for accounting and budget purposes, and preparing financial statements. For the State of Delaware, the Fiscal Year runs from July 1 through June 30.
Fraud	Intentional deception to deprive another person of property or to injure that person in some other way.
Frequently Asked Questions (FAQ)	A list of questions and answers relating to a particular subject, especially one giving basic information for users of a website or system.
Full Support Turnover	The full transition of post-implementation support from the Vendor to DOR. Full transition occurs one year following the end of the Warranty Period for the last and final release.
General Ledger (GL)	A set of numbered accounts a business uses to keep track of its financial transactions and to prepare financial reports.
Generally Accepted Accounting Principles (GAAP)	Government Accounting Standards Board (GASB) issued Statements, Interpretations, Technical Bulletins, and Concept Statements as pertains to the application of GAAP use by state and local governments.
Governance	The way the rules, norms, and actions are structured, sustained, regulated and held accountable.
Govolution	The State of Delaware's payment processor system for ACH and credit card payments.
Gross Receipts Tax (GRT)	A tax on the total gross revenues of a business, regardless of their source. This tax is levied on the seller of goods or services, rather than on the consumer.
Hypertext Markup Language 5 (HTML5)	A computer markup language used for structuring and presenting content on the World Wide Web. It is the fifth and current major version of the HTML standard.
Identification (ID)	A means of identification.
Individual Master File (IMF)	A central demographic file for all individual tax filers.
Individual Taxpayer Identification Number (ITIN)	A tax processing number only available for certain nonresident and resident aliens, their spouses, and dependents who cannot get a Social Security Number (SSN). It is a 9-digit number, beginning with the number "9", formatted like an SSN (NNN-NN-NNNN).
Information Technology (IT)	The use of systems (especially computers and telecommunications) for storing, retrieving and sending information.
In-house Printing	Printing that occurs on DOR operated printing devices.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Integrated Revenue Administration System (IRAS)	The Tax solution being referred to in this RFP. The desired solution will meet the State's need for providing centralized revenue management, processes, and a robust web interface for its taxpayers, stakeholders, and DOR staff.
Interfaces	Data exchanges between DOR systems and other States, other Delaware agencies, the IRS, and 3rd party vendors.
Internal Revenue Service (IRS)	A U.S. Government agency responsible for the collection of federal taxes and enforcement of federal tax laws.
Internet Explorer (IE)	A World Wide Web browser that comes bundled with the Microsoft Windows operating system, although it has been deprecated in Windows 10 in favor of Microsoft's new Edge Browser.
IRS Pub 1075	Internal Revenue Service Publication 1075 (IRS 1075) guides US government agencies and their agents that access federal tax information (FTI) to ensure that they use policies, practices, and controls to protect its confidentiality.
Issue Management	The practice of logging, assigning, tracking, resolving, and closing a documented issue that arises during a project effort.
Joint Ventures	A business arrangement in which two or more parties agree to pool their resources for the purpose of accomplishing a specific task. For IRAS, Joint Ventures will be allowed only if one of the venture partners is designated as the "Prime vendor".
Judgment	Document initiated by DOR and filed with the Superior Court of Delaware placing a lien against a taxpayer's property. Judgments remain on a person's credit rating for seven years after the balance is paid in full.
Modernized e-File (MeF)	An electronic system for filing tax returns with the Internal Revenue Service (IRS) of the United States.
National Association of Computerized Tax Processors (NACTP)	A nonprofit association that represents tax processing software and hardware developers, electronic filing processors, tax form publishers, and tax processing service bureaus. The association represents the collaborative nature of its organizational members.
National Institute of Standards (NIST) Compliance	Provides the set of standards for recommended security controls for information systems at federal agencies.
Network File System (NFS)	A popular distributed file system protocol that enables users to mount remote directories on their server.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Non-Disclosure Agreement (NDA)	A non-disclosure agreement, also known as a confidentiality agreement, confidential disclosure agreement, hush agreement, proprietary information agreement or secrecy agreement, is a legal contract between at least two parties that outlines confidential material, knowledge, or information that the parties wish to share with one another for certain purposes, but wish to restrict access to or by third parties. It is a contract through which the parties agree not to disclose information covered by the agreement. An NDA creates a confidential relationship between the parties to protect any confidential and proprietary information or trade secrets. As such, an NDA protects non-public business information.
North American Industry Classification System (NAICS)	The standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy.
Notice and Demand	Form initiated by DOR as final notice to the taxpayer before legal action is taken by the division for the collection of the taxpayer's balance due.
Notice of Judgment	Notification to a taxpayer, sent certified mail by DOR stating the Division of Revenue has filed a judgment in Superior Court.
Off Shore	Conducting services from outside the US in support of US operations.
Organizational Change Management (OCM)	A program to be implemented on the IRAS project to ensure there is a comprehensive framework in place for managing the impacts of organization structure, business process, system functionality and cultural changes with the implementation of IRAS.
Outside Audit Vendors	DOR will use external partners to supplement internal staff for Audit casework.
Part-year resident	Individual who moves his/her permanent home into or out of Delaware during the taxable year.
Payment Card Industry Data Security Standard (PCI-DSS)	An information security standard for organizations that handle branded credit cards from the major card schemes.
Pemcor	DOR's current Commercial Printing solution provided by Pemcor, LLC.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Personally Identifiable Information (PII)	Any data that could potentially identify a specific individual. Any information that can be used to distinguish one person from another and can be used for de-anonymizing anonymous data can be considered PII.
Plan of Action & Milestones (POA&M)	Mandated by the Federal Information Systems Management Act of 2002 (FISMA) as a corrective action plan for tracking and planning the resolution of information security weaknesses. It details the resources required to accomplish the elements of the plan, any milestones in meeting the tasks, and scheduled completion dates for the milestones.
Portable Document Format (PDF)	A file format to present documents, including text formatting and images, in a manner independent of application software, hardware, and operating systems.
Preparer Tax Identification Number (PTIN)	The number issued by the Internal Revenue Service to paid preparers to use, so they do not have to disclose their Social Security number (SSN) on the returns they prepare.
Pretty Good Privacy (PGP)	An encryption program that provides cryptographic privacy and authentication for data communication. PGP is used for signing, encrypting, and decrypting texts, e-mails, files, directories, and whole disk partitions and to increase the security of e-mail communications.
Prime Vendor	The Vendor's designated contact point if a joint venture approach is chosen by the Vendor for the IRAS project. The Prime Vendor must be the joint venture's contact point for the State of Delaware and be responsible for the joint venture's performance under the contract, including all project management, legal and financial responsibility for the implementation of all vendor systems.
Printer Command Language (PCL)	A page description language developed by Hewlett-Packard as a printer protocol and has become a de facto industry standard.
Prior Tax Period	The tax accounting period one year before the current tax accounting period.
Prior Year	The tax year one year before the current tax year.
Project Management Office (PMO)	The organizing body of the IRAS project that establishes the standards, processes, reporting, communication, and measurement for all project phases and releases. The PMO ensures that all project tasks and activities are in alignment with the program's practices and policies.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Project Management Plan (PMP)	A detailed plan used to manage and control the successful completion of all tasks and deliverables to keep a project on schedule and within budget.
Project Management Professional (PMP)	Refers to an individual who has attained Project Management Professional certification. It is an industry-recognized credential for Project Managers that demonstrates the experience, education, skill and competency required to lead and direct projects.
Public Key Infrastructure (PKI)	A set of roles, policies, and procedures needed to create, manage, distribute, use, store, and revoke digital certificates and manage public-key encryption.
Quality Assurance (QA)	The process of verifying whether a product meets the required specifications and customer expectations.
Quality Management	The act of overseeing all activities and tasks of the IRAS project to ensure that the software and implementation services meet all of the State requirements and all other applicable professional and technical standards.
Refund	A financial event that occurs when the Division of Revenue mails a disbursement to a taxpayer to eliminate an accounts payable balance.
Release	Refers to a software release which is the deployment of the final version of a software application to production for use by the end-user community. IRAS is currently planned to be deployed in multiple releases at the State of Delaware.
Release Management	The process of managing, planning, scheduling and controlling a software build through different stages and environments including testing and deploying software releases.
Remittance	A financial event that occurs when funds are received from a taxpayer by the DOR in satisfaction of a claimed net tax liability or to eliminate an accounts receivable balance.
Request For Proposal (RFP)	A document that solicits proposal, made through a bidding process, by an agency or company interested in the procurement of a commodity, service, or valuable asset, to potential suppliers to submit business proposals. This document is the RFP for the State of Delaware's IRAS solution.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Responsible, Accountable, Consulted, Informed (RACI)	RACI is an acronym that stands for responsible, accountable, consulted and informed. A RACI chart is a matrix of all the activities or decision-making authorities undertaken in an organization set against all the people or roles.
Return	A financial event that occurs when a taxpayer supplied document is received by the DOR that establishes a claimed net tax credit, liability or not balance due for a unique filing period.
Revenue Accounting System (RAS)	Records processed by taxpayer identification numbers for the last four (4) calendar years accessed by the taxpayer identification number.
Risk Analysis	A process in project management that aims to minimize the liabilities of the project and ensure its path to successful completion.
Risk Management	The process of identifying, categorizing, prioritizing and planning for project risks before they become issues.
Risk Mitigation	A set of measures taken by a project manager to reduce or eliminate the risks associated with a project.
Role-based Security	An approach to software application security by which limits access or restricts operations according to a user's constructed role within a system. This approach to security is used to ensure that unauthorized users do not gain access to privileged information.
Section 255	Section 255 of the Telecommunications Act of 1996 requires telecommunications products and services to be accessible to people with disabilities.
Secure File Transfer Protocol (SFTP)	A secure version of File Transfer Protocol (FTP), which facilitates data access and data transfer of computer files between a client and a server on a computer network over a Secure Shell (SSH) data stream.
Secure Hypertext Transfer Protocol (HTTPS)	An extension of the Hypertext Transfer Protocol (HTTP) for secure communication over a computer network, and is widely used on the Internet.
Security Assertion Markup Language (SAML)	An open standard for exchanging authentication and authorization data between parties, in particular, between an identity provider and a service provider.
Security Technical Implementation Guide (STIG)	A cyber security methodology for standardizing security protocols within networks, servers, computers, and logical designs to enhance overall security.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Self-service Portal	A website, consisting of self-service and self-help functions, that enables and empowers users to request services, find information and register and resolve issues.
Service Level Agreement (SLA)	An agreement between a service provider and the end user that defines the level of service expected from the service provider.
Service Subscription	A business model where a customer pays a subscription price to have access to a service, typically on a periodic basis (monthly or yearly or seasonal).
Short Message Service (SMS)	A text messaging service component of most telephone, internet, and mobile-device systems. It uses standardized communication protocols to enable mobile devices to exchange short text messages.
Single Sign-On (SSO)	An authentication process that allows a user to access multiple applications with one set of login credentials.
Social Security Number (SSN)	A nine-digit number issued to U.S. citizens, permanent residents, and temporary (working) residents by the government that is used to track individuals for Social Security purposes and also as an identification number for taxation and other purposes.
Standard Industrial Classification (SIC)	A system for classifying industries by a four-digit code. It is used by government agencies to classify industry areas.
State Income Tax Levy Program (SITLP)	An automated Levy Program where overdue federal taxes are collected by levying state income tax refunds.
State Lottery Office	A State of Delaware Organization under the Department of Finance who generates revenue for the State from Draw Games, Video Lottery, Table Games, Sports Lottery and KENO®.
Structured Query Language (SQL)	A standardized programming language used for managing relational databases and performing various operations on the data in them.
Subject Matter Expert (SME)	An individual who is considered an expert on particular subjects, or flagged as an expert in a piece of management software or other technology.
System Security Plan (SSP)	A plan which provides an overview of federal information system security requirements and describes the controls in place or planned to meet those requirements.
Tax Period	The period, consisting of 12 consecutive months that is used to determine tax liability based on income earned in that period. The standard taxable period for U.S. taxpayers is the calendar year.

STATE OF DELAWARE DIVISION OF REVENUE

Term	Definition/Explanation
Tax Type	Classification of tax administered by the State.
Taxpayer	An individual or business entity that is obligated to pay taxes to a federal, state, or municipal governing body.
Taxpayer Self-Service Portal	A Self-Service Portal consisting of self-service and self-help functions specifically for taxpayer functionality.
Terminal Identification Number (TID)	A unique number assigned and linked to a specific point-of-sale terminal or workstation that can be used to identify the merchant operating the terminal during sales transaction processing.
The System	The IRAS System.
Treasury Offset Program (TOPS)	A centralized debt collection program developed by the Financial Management Service (FMS) designed to collect past due debts owed to federal agencies and states (including overdue child support payments).
Unclaimed Property	A business function within the Department of Finance that collects unclaimed-escheated property safeguards it as custodian, and pays it back to rightful owners. See also Escheat.
Unique Identifier (UID)	A unique means of identification.
United States Postal Service (USPS)	An independent agency of the United States federal government responsible for providing postal service in the United States, including its insular areas and associated states.
Vendor	Either refers to the Vendor(s) responding to this RFP or the Vendor awarded this RFP.
Very Important Person (VIP)	A user that requires special or elevated level of access in the System.
Walker Richer + Quinn (WRQ)	Software developers of a “GUI” interface for key support systems accessing mainframe data and information.
Work Product	All State-specific deliverables that vendor is required to, or otherwise does, provide under this Contract including, without limitation, derivative works, computer scripts, macros, user interfaces, reports, project management documents, forms, templates, and other State-specific documents and related materials together with all ideas, concepts, processes, and methodologies developed in connection with the contract whether or not embodied in the contract.
Work Stream	A high-level categorization of work to be performed on the IRAS Project.
Workflow	An automated, repeatable sequence of functional activities through which work passes from initiation to completion.

4.2 Appendix 2.0 List of Phase Deliverables

The following table illustrates a list of Deliverables and the proposed Phase in which the Deliverables are due for signoff. Each Deliverable will be reviewed by the State throughout the life of the project leading up to the actual due date.

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Release Acceptance Process and Criteria Definition	DEL-001	Defines the processes and the acceptance criteria that must be met for acceptance of an implementation release into Production.	State of DE	Project and Release 1 Planning
System Roadmap for Technology Security Spending (5 Year Plan)	DEL-002	A projected roadmap from the vendor as to future planned system functionality for the core COTS software, e.g. upgraded version, and associated costs. This should be updated for each release	Vendor	Project and Release N Planning
Business Continuity and Disaster Recovery Plan	DEL-003	A detailed plan for all business functions to maintain business continuity in the event of the loss of critical functionality or access to the system, or in the event of a major disaster, e.g. failover and disaster recovery.	State of DE and Vendor	Release N Acceptance Phase
Business Process Improvement Design	DEL-004	Detailed process design of the tasks required for the business processes in the target IRAS business processes.	Vendor	Release N Scope Definition

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Change Management Plan	DEL-005	A detailed plan to address the contractual scope, cost, and schedule changes for the project. The Change Management Plan shall define the approach, processes and procedures, and roles and responsibilities for submitting, evaluating, coordinating, and approving business and technical changes for the project.	State of DE and Vendor	Project and Release 1 Planning
Communications Management Plan	DEL-006	A detailed planning document that defines the methods, processes, activities, roles, and responsibilities needed to ensure timely and appropriate communication among the project team and stakeholders.	State of DE and Vendor	Project and Release 1 Planning
Application Maintenance Manual (Application Team)	DEL-007	A detailed maintenance manual that outlines the regular and ad hoc maintenance processes that must be supported for the continuous operation of the IRAS system. This will include the processes for modifications to the system, the levels of support (service levels), hours of operations, regular minor and major release schedules for upgrades and enhancements, communications of maintenance related events and issues, etc.	Vendor	Release N Acceptance Phase
Application Operations Manual (Operations Team)	DEL-008	A detailed operations manual that outlines the features and functions of the IRAS application from an operational support and administration perspective. This document is intended for the support teams responsible for ongoing operational maintenance, patches, and support of the IRAS application.	Vendor	Release N Acceptance Phase

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
End-user Manual	DEL-009	A detailed user manual that outlines all of the features and functions of the IRAS application from an end-user perspective. This document is intended for the business end-users of the system as a guide to the proper use and operation of the IRAS application.	Vendor	Release N Training Development
Post Implementation Review Report	DEL-010	A report detailing the key performance indicators with regard to the results of a release implementation. This report will outline errors, defects, issues, risks and concerns identified during implementation release and cutover, and provide results against the Release Acceptance Process and Criteria Definition.	Vendor	Release N Cutover
Implementation and Cut-over Plan	DEL-011	A detailed plan that defines the activities, processes, procedures, schedules, required resources, roles and responsibilities for the successful implementation of a release and the cutover to Production.	Vendor	Release N Acceptance Phase
IRAS Data Purge and Archival Approach	DEL-012	A document outlining the approach for data retention, archival, and purge of IRAS data.	Vendor	Release N Acceptance Phase
Data Conversion Control Reports	DEL-013	A report that identifies whether records were lost during the mock conversion process. The detail shall include checking record counts and checking control values. These reports are used to ensure data integrity is maintained throughout the conversion process.	Vendor	Release N Acceptance Phase (one is delivered following each mock conversion)

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Data Conversion Defect Reports	DEL-014	A detailed list of all defects discovered during data conversion and the severity of each defect.	Vendor	Release N Acceptance Phase
Data Conversion Plan	DEL-015	A detailed plan defining all requirements, design, development, test and implementation activities to conduct data conversion. This will include the detailed approach and methodology to data conversion and validation, the methods to be used to import legacy data files into the vendor's conversion process for transformation, mapping, data cleansing, and loading into the new system, data conversion schedules, roles, and responsibilities.	Vendor	Project N Release Planning
Data Conversion Test Execution Results	DEL-016	A detailed list of all test scripts that were exercised during data conversion and the pass/fail results for each test.	Vendor	Release N Data Conversion
Data Conversion Test Plan	DEL-017	A detailed plan outlining the test activities, required resources, and schedules for conducting data conversion tests.	Vendor	Project N Release Planning
Data Conversion Test Scenarios and Scripts	DEL-018	The detailed definition of test scenarios and test scripts including the steps, entrance criteria, and exit criteria.	Vendor	Release N Data Conversion

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Data Mapping and Transformation Rules Specification	DEL-019	The detailed mapping of data elements from the legacy tax system to the IRAS system including the rules for transformation of the data from the legacy source to the target IRAS.	Vendor	Release N Data Conversion
Mock Conversions	DEL-020	Mock Conversions involve simulation testing of the actual data conversion process. These mock runs shall monitor performance, sequence automated and manual conversion activities, test verification rules, test data dependencies, and test data conversion algorithms	Vendor	Release N Data Conversion
Data Classification Specification	DEL-021	A specification that details the process of sorting and categorizing data into various types, forms or any other distinct classes to achieve separation and classification of data according to data set requirements for various business objectives.	Vendor	Release N Configuration, Customization, & Unit Testing
Data Model - Conceptual/Logical	DEL-022	The logical data model of IRAS expressed independently of a particular database management product or storage technology but in terms of data structures. A conceptual data model, which describes the semantics of DOR without reference to technology.	Vendor	Release N Configuration, Customization & Unit Testing
Data Model - Technical/Physical	DEL-023	The physical data model (or database design) of IRAS within the constraints of the target IRAS database management system.	Vendor	Release N Configuration, Customization, & Unit Testing

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
IRAS Data Dictionary	DEL-024	The centralized repository of information about IRAS data such as meaning, relationships to other data, origin, usage, and format	Vendor	Release N Configuration, Customization, & Unit Testing
Data Warehouse Model, Implementation and Optimization Plan	DEL-025	A complete specification for the IRAS Data Warehouse including the architecture, implementation approach, detailed plan, tools and operational details.	Vendor	Release N Configuration, Customization, & Unit Testing
Data Warehouse Solution Recommendation Report	DEL-026	A report that outlines the results of a data warehouse requirements assessment and recommendations for a target data warehouse solution.	Vendor	Project and Release 1 Planning
Decision and Action Management Plan	DEL-027	A detailed planning document that defines the methods, processes, procedures, activities, schedules, roles and responsibilities needed to ensure timely and appropriate decision-making and execution of actions to resolve and mitigate concerns, risks, and issues identified for the project.	State of DE and Vendor	Project and Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Deliverable Expectation Documents	DEL-028	The Deliverable Expectation Document (DED) is an acceptance and approval mechanism that defines the content requirements and acceptance criteria for each required project Deliverable of the vendor. It includes an introduction to each document including purpose and objectives, a description of the target Deliverable and a set of acceptance criteria that must be met for approval by DOR.	State of DE and Vendor	Project and Release 1 Planning
Deliverables Management Plan	DEL-029	A detailed planning document that defines the methods, processes, procedures, roles, responsibilities, and activities needed to ensure the timely and accurate creation of key project Deliverables, and governance processes to ensure timely review and approval of those Deliverables.	State of DE and Vendor	Project and Release 1 Planning
Documentation Management Plan	DEL-030	A detailed plan for the management of project documentation (storage, access, collaboration, workflow, and approvals). This shall include a plan for the selection and rollout of a document management tool.	State of DE and Vendor	Project and Release 1 Planning
Issue Management Plan	DEL-031	A detailed planning document that defines the methods, processes, procedures, schedules, activities, roles and responsibilities needed to ensure timely and appropriate issue identification and resolution to meet project objectives in terms of scope, quality, cost, and schedule.	State of DE and Vendor	Project and Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Knowledge Transfer Plan	DEL-032	A detailed planning document that defines the methods, processes, procedures, schedules, roles, responsibilities, and activities needed to ensure the transfer of technical, system and business knowledge related to the IRAS solution to DOR stakeholders and end-user community.	Vendor	Project and Release 1 Planning
Organization Chart	DEL-033	A graphic representation of the structure of IRAS project team showing the relationships of the positions or jobs within it.	State of DE	Project and Release 1 Planning
OCM Skills Assessment and Definition Report	DEL-034	<p>A skills assessment of the ongoing skills necessary for the new system from both a technical and business perspective. This shall identify gaps in the current organization with respect to skills and capabilities within the current organization.</p> <p>This Report will include the method in which the necessary skills and positions are validated for the future state of the organization.</p> <p>This shall include:</p> <ul style="list-style-type: none"> -A finalized organization structure -The task and skills spreadsheet -Validated position descriptions. 	Vendor	Organizational Change Management

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Organizational Change Management Plan	DEL-035	<p>A detailed plan to manage organizational change expected with the implementation of the modernized IRAS. The plan shall include but is not limited to:</p> <ul style="list-style-type: none"> -Functional gap analysis -Stakeholder identification -Change Readiness -Stakeholder engagement -Strategy alignment -Roles and responsibilities -Skill assessment and alignment -Staffing -Adoption methods 	State of DE	Project and Release 1 Planning
Software and Hardware Procurement Plan	DEL-036	<p>A detailed list of the necessary hardware, software, and licenses required for the implementation of the modernized IRAS. The plan will outline the schedules, tasks, procurement windows and procurement processes for ensuring that the software and hardware environments and infrastructure are built, tested and implemented prior to cutover for each release.</p>	Vendor	Project and Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Project Management Plan (PMP)	DEL-037	<p>The Project Management Plan is the detailed plan used to manage and control the successful completion of all tasks and Deliverables to keep the project on schedule and within budget. The PMP shall be updated regularly throughout the project when changes occur.</p> <p>The PMP shall contain:</p> <ul style="list-style-type: none"> • A Meeting and Reporting schedule • A Work Breakdown Structure (WBS) • A detailed Project Schedule • A detailed Staffing Plan (vendor personnel and State personnel) with Organization Chart • Project metrics for schedule, progress, process, and quality. A detailed list of quantitative and qualitative measure and indicators to assess the performance of the project in terms of scope, quality, schedule, and costs. This will include measures specific to the complete COTS implementation lifecycle phases and releases including requirements definition/validation, design, configuration/development, system testing, acceptance testing, implementation and cutover, warranty and ongoing support phases. 	State of DE and Vendor	Project and Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Weekly Work Group Meeting Minutes	DEL-038	The detailed meeting minutes of each Weekly Working Group meeting. This meeting is used to ensure efficient, effective and timely communication, content and measurement of work stream status and progress, and allow for group members to discuss cross-work stream dependencies, requirements, risks, issues, and actions.	State of DE	Weekly
Quality Management Plan	DEL-039	A detailed plan used to manage the quality of project Deliverables and document a program of quality activities. This will include the procedures, processes, schedules, activities, roles, and responsibilities to ensure quality planning, quality assurance and quality control.	State of DE	Project and Release 1 Planning
Release Management Plan	DEL-040	This plan will outline the details of release and deployment management to plan, schedule and control the movement of releases to the test and production environments. This will include the procedures, processes, schedules, activities, roles, and responsibilities to ensure timely and accurate release implementations.	Vendor	Project and Release 1 Planning
Report Portal	DEL-041	A portal for DOR staff to receive reports.	Vendor	Release N System Testing
Business Functional Requirements	DEL-042	The detailed business functional requirements for the IRAS project.	State of DE	Release N Scope Definition

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Business Functional Requirements Review, Validation & Recommendations Report	DEL-043	A report of the results of the Vendor's review of DOR Business Functional Requirements	Vendor	Release N Scope Definition
Requirements Traceability Matrix	DEL-044	The high level traceability matrix that will be used to determine the completeness of the relationship of all system documentation and Deliverables back to the IRAS requirements. Establishes the relationship between the system requirements of IRAS to the high-design specifications, test plans, and test scenarios/scripts.	Vendor	Release N Scope Definition
Resource Management Plan	DEL-045	A detailed plan that outlines the roles and staffing levels (expressed in full-time equivalents-FTEs) across the project's releases, phases and months. This will include all vendor, third-party and State of DE resources required for the successful completion of the project to include resources required to support interim releases.	State of DE and Vendor	Project and Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Risk Management Plan	DEL-046	<p>The Risk Management Plan outlines the detailed approach, procedures, processes, activities, tasks, schedules, roles and responsibilities to implement a program of risk analysis, risk mitigation, and risk tracking/control. This shall include:</p> <ul style="list-style-type: none"> • The business processes and procedures to be used for identifying and defining, tracking, monitoring, quantifying, prioritizing, and mitigating risks • A description of how the business processes and procedures will be implemented and integrated into the overall Project Management Plan • The application of tools and techniques that will be used for risk identification, documentation, management, analysis, logging, and risk mitigation 	State of DE and Vendor	Project and Release 1 Planning
Security Risk Assessment and Contingency Plan	DEL-047	A detailed plan to provide ongoing security risk assessments and the plans to address security-related breaches should they occur.	Vendor	Project and Release 1 Planning
System Security Plan (NIST Compliant)	DEL-048	A detailed plan of the approach and strategy to secure IRAS in accordance with security standards	Vendor	Project and Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Post Implementation Support Plan	DEL-050	<p>A plan that outlines the details of preparing the support team (vendor for initial support of all releases and to the State at the end of the contract period) to maintain the System. This will include activities and requirements related to, but not limited to, staffing, system access, training and knowledge transfer, system documentation, service levels, performance metrics, reporting, and management.</p> <p>The Support Staffing Plan will includes</p> <ul style="list-style-type: none"> • A Support Team Roster showing roles that the vendor and DOR staff will provide. • An ongoing Support Staffing Plan for both DOR and the vendor’s staff including team size and skill sets for the period directly following implementation and going through the period where DOR is fully supporting the system. • Suggested technical proficiency prerequisites DOR staff should possess before engaging with the vendor for the transition of support to DOR. • A Technical Support Knowledge Transfer Plan, including suggested technical training, a transition timeline for each role and skill set, knowledge achievement milestones, and any other steps recommended by the vendor. <p>This Plan will be modified for Project Closeout in preparation for transferring support from the vendor to DOR.</p>	Vendor	Release N System Testing

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Configuration and Customization Plan	DEL-051	A detailed development plan that defines all configurations and customizations to the core COTS product	Vendor	Release N Scope Definition
IRAS System Architecture Design Specification	DEL-052	A set of system architecture documents that informs as to the elements comprising the IRAS system, the relationships among those elements, and the rules governing those relationships. This will describe the relationships for hardware, software, documentation, facilities, manual procedures, or roles played by organizations or people. It should describe the internal interfaces among the system's components and on the interface(s) between the system and its external environment, especially the user.	Vendor	Release N Scope Definition
IRAS System Software Design Specification	DEL-053	A detailed description of the System's software to include the following: <ol style="list-style-type: none"> 1. The data design describes structures, attributes, and relationships between data objects. 2. The architecture design maps information flow to program structure depicts the boundaries of data and the data flow for control input, processing and output. 3. The interface design describes internal, external, human interfaces. 4. The procedural design describes detailed programming structures and methods used. 	Vendor	Project N Configuration, Customization & Unit Testing
Infrastructure Technical Design	DEL-054	The design specification of the hardware, software, networks, etc. platform for the target system	Vendor	Release N Environment Setup

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Operational Solution Architecture Document	DEL-055	Same as DEL-076 and 078.	Vendor	Project N Release Planning
Comprehensive Test Strategy	DEL-056	<p>A comprehensive strategy that outlines the types of testing that must be planned and executed during the project. These testing types shall include:</p> <ul style="list-style-type: none"> • Unit Testing (for customized components) • Systems and Integration Testing (Application, Configuration, Usability and Accessibility, Application Security, and Regression Testing) • DOR Sandbox Testing • Data Conversion Testing • User Acceptance Testing (Application, Configuration, Usability and Accessibility, Application Security, and Regression Testing) • Performance, Load, and Stress Testing • Production Migration Validation Testing • NACTP Partner Certification Interface Testing (Inbound and Outbound) • Security Testing 	State of DE and Vendor	Project and Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Performance Load and Stress Test Benchmark Criteria	DEL-057	The definition of specific criteria that must be met for performance testing, specifically for load and stress testing. A load test will be used to see how the system behaves when subjected to a specific expected load. This can include the expected concurrent number of users on the application performing a specific number of transactions within the set duration. The specific criteria will be expressed in response times under a set number of conditions. Stress testing will be used to examine the upper limits of performance in terms of system resource utilization and performance, response times, user experience and recoverability.	Vendor	Release N Scope Definition
Performance Load and Stress Test Defect Reports	DEL-058	A list of the defects that were discovered during performance (load and stress) testing with an identified severity level.	Vendor	Release N Acceptance Phase
Performance Load and Stress Test Plan	DEL-059	A detailed plan that defines the specific performance tests that will be run, the schedule of the performance tests and the resource requirements to execute the tests.	Vendor	Project N Configuration, Customization & Unit Testing
Performance Load and Stress Test Results	DEL-060	A list of the performance test results (typically expressed as pass/fail) with a focus on those tests that fell outside of acceptable thresholds during performance (load and stress) testing with an identified severity level.	Vendor	Release N Acceptance Phase

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Performance Load and Stress Test Scripts	DEL-061	The detailed test scripts that govern the steps involved in the performance tests and a definition of entrance criteria, exit criteria and expected outcomes under certain conditions.	Vendor	Release N System Testing
Production Migration Defect Reports	DEL-062	A list of the defects that were discovered during post production cutover validation with an identified severity level.	Vendor	Release N Acceptance Phase
Production Migration Test Results	DEL-063	A list of the post production cutover validation results (typically expressed as pass/fail) with a focus on those tests that fell outside of acceptable thresholds during production migration testing with an identified severity level.	Vendor	Release N Acceptance Phase
System and Integration Defect Reports	DEL-064	A list of the defects that were discovered during system and integration testing with an identified severity level.	Vendor	Release N System Testing
System and Integration Test Execution Results	DEL-065	A list of the system and integration test results (typically expressed as pass/fail) with a focus on those tests that fell outside of acceptable thresholds during testing with an identified severity level.	Vendor	Release N System Testing
System and Integration Test Scenarios and Scripts	DEL-066	The detailed test scenarios and scripts that govern the steps involved in the system and integration tests and a definition of entrance criteria, exit criteria and expected outcomes under certain conditions.	Vendor	Release N Configuration, Customization & Unit Testing

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
NACTP Tax Vendor Certification Plan	DEL-067	A detailed plan that defines the specific NACTP Tax Vendor Certification test functional topics that will be run, the schedule of those tests and the resource requirements to execute the tests.	Vendor	Release N Scope Definition
NACTP Tax Vendor Certification Test Scripts	DEL-068	The detailed test scripts that govern the steps involved in the NACTP Tax Vendor Certification tests and a definition of entrance criteria, exit criteria and expected outcomes under certain conditions.	Vendor	Release N Configuration, Customization, and Unit Testing
NACTP Tax Vendor Certifications Test Results	DEL-069	A list of the NACTP Tax Vendor Certification test results (typically expressed as pass/fail) with a focus on those tests that fell outside of acceptable thresholds during testing with an identified severity level.	Vendor	Release N System Testing
Sandbox Test Environment	DEL-070	A testing environment that will allow DOR personnel to familiarize them with the functionality of IRAS. This testing will be managed by DOR for the primary purpose of allowing DOR resources to become familiar with the functionality of the solution. Functionality will be delivered to the Sandbox Test Environment during the Release Configuration, Customization, and Unit Testing phase, as agreed upon.	Vendor	Release N Configuration, Customization, and Unit Testing
Security Acceptance Test Plan	DEL-071	A detailed plan that defines the specific security-related test topics that will be run, the schedule of those tests and the resource requirements to execute the tests.	Vendor	Release N Configuration, Customization, and Unit Testing

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Security and Vulnerability Scan Results	DEL-072	A list of the security and vulnerability test results (typically expressed as pass/fail) with a focus on those tests that fell outside of acceptable thresholds during security testing with an identified severity level.	Vendor	Release N Acceptance Phase
System and Integration Test Plan	DEL-073	A detailed plan that defines the specific system and integration test topics that will be run, the schedule of those tests and the resource requirements to execute the tests.	Vendor	Project N Release and Planning
Test Management Tools and Processes Specification	DEL-074	A detailed specification of the test management tools that will be used for the project and the defined processes surrounding the use of those tools. This will include adoption strategies for embedding the tools and processes into the business and technical work stream activities.	Vendor	Project and Release 1 Planning
User Acceptance Testing Plans (By Release)	DEL-075	A detailed plan that defines the specific user acceptance related test functional topics that will be run, the schedule of those tests and the resource requirements to execute the tests.	State of DE	Release N Scope Definition
User Acceptance Test Execution Results	DEL-076	A list of the user acceptance test results (typically expressed as pass/fail) with a focus on those tests that fell outside of acceptable thresholds during testing with an identified severity level.	State of DE	Release N User Acceptance Testing Phase

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Training Strategy and Approach Plan	DEL-077	<p>The Training Strategy and Approach defines the complete approach to the assessment of training needs, the development of training materials and the delivery of training. This includes:</p> <ul style="list-style-type: none"> - Identification of the users to be trained during each iterative release - An overview of the training curriculum needed - The number of vendor trainers and classrooms that will be needed for each release - An approach to training multiple DOR sites - Identification of major training issues and recommend approaches for addressing them - An approach that is commensurate with the defined tax type release schedule - An approach to address topics identified in results of DOR Training Needs Assessment - An approach that uses quantitative and qualitative feedback and observations from prior sessions to improve future efforts 	Vendor	Project N Release 1 Planning

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
Business and Technical Training Plan	DEL-078	<p>A detailed Business and Technical Training Plan. At a minimum, it shall include:</p> <ul style="list-style-type: none"> - A timeline for development and review of training materials (incorporating results from DOR Training Needs Assessment) - An approach that addresses DORs multisite needs - An approach to leverage classroom and technology (CBT, virtual delivery, etc.) training - An approach to address the training of all IRAS stakeholders (DOR business users, DTI, DOR development and production support, DOR management, business users in other Delaware state agencies, and any external partners) - An approach that includes other topics needed to provide comprehensive training to prepare DOR staff effectively 	Vendor	Project and Release 1 Planning
Training Needs Assessment and Report	DEL-079	<p>A DOR Training Needs Assessment and Report that establish the training-needs baseline, both from a business and technical perspective. This baseline will serve as the starting point to identify DOR gaps to effectively work in (business) and support (technology) the new IRAS system.</p>	Vendor	Release N Training Development

STATE OF DELAWARE DIVISION OF REVENUE

Deliverable Title	Deliverable ID	Deliverable Definition	Owner	Phase N = current release
DOR Project Team Training	DEL-080	Training during the Environment Setup Phase for each release to DOR project team for their installed base product, upon which IRAS shall be built. This high-level training of the out-of-the-box installation of the tax solution.	Vendor	Project and Release 1 Planning
Annual Security/Confidentiality Training	DEL-081	Annual security and confidentiality training provided by the State of DE and mandated for all State employees and contract personnel.	Vendor	Annually
Business and Technical Training Materials	DEL-082	Business and Technical Training Materials that at a minimum include the following: <ul style="list-style-type: none"> - Classroom training manuals - End-user training guides - System support guides - System administration guide - Quick reference guides, e.g. job aids - Instructor training guides - Speaker notes - User materials and course curricula (including training objectives and outcomes) for each stage of the project 	Vendor	Release N Training Development Phase
Business and Technical Training Delivery	DEL-083	The successful delivery of training as per the Business and Technical Training Plan.	Vendor	Release N Training Phase

4.3 Appendix 3.0 List of Phase Acceptance Criteria

The following table provides a list of the Key Deliverables and associated Acceptance Criteria for each Deliverable by Release and by Phase. Each Deliverable will be reviewed by the State throughout the life of the project leading up to the actual due date. Please note that the Deliverable ID provides a cross-reference to the Deliverables described in Appendix 2.0 above.

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
Project and Release 1 Planning		
Release Acceptance Process and Criteria Definition	DEL-001	A reviewed and approved Release Acceptance Process and Criteria Definition according to the Deliverable Expectations Document
Change Management Plan	DEL-005	A reviewed and approved Change Management Plan according to the Deliverable Expectations Document
Communications Management Plan	DEL-006	A reviewed and approved Communications Management Plan according to the Deliverable Expectations Document
Data Conversion Plan	DEL-015	A reviewed and approved Data Conversion Plan according to the Deliverable Expectations Document
Data Warehouse Model, Implementation and Optimization Plan	DEL-025	A reviewed and approved Data Warehouse Model, Implementation And Optimization Plan according to the Deliverable Expectations Document
Data Warehouse Solution Recommendation Report	DEL-026	A reviewed and approved Data Warehouse Solution Recommendation Report according to the Deliverable Expectations Document
Decision and Action Management Plan	DEL-027	A reviewed and approved Decision and Action Management Plan according to the Deliverable Expectations Document
Deliverable Expectation Documents	DEL-028	A reviewed and approved set of Deliverable Expectation Documents
Deliverables Management Plan	DEL-029	A reviewed and approved Deliverables Management Plan according to the Deliverable Expectations Document
Document Scanning, Imaging, and Content Management Plan	DEL-032	A reviewed and approved Document Scanning, Imaging and Content Management Plan according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
Documentation Management Plan	DEL-030	A reviewed and approved Documentation Management Plan according to the Deliverable Expectations Document
IRAS Data Dictionary	DEL-024	A reviewed and approved IRAS Data Dictionary according to the Deliverable Expectations Document
Issue Management Plan	DEL-031	A reviewed and approved Issue Management Plan according to the Deliverable Expectations Document
Knowledge Transfer Plan	DEL-032	A reviewed and approved Knowledge Transfer Plan according to the Deliverable Expectations Document
Organization Chart	DEL-033	A reviewed and approved Organization Chart according to the Deliverable Expectations Document
OCM Skills Assessment and Definition Report	DEL-034	A reviewed and approved OCM Skills Assessment and Definition Report according to the Deliverable Expectations Document
Organizational Change Management Plan	DEL-035	A reviewed and approved Organizational Change Management Plan according to the Deliverable Expectations Document
Software and Hardware Procurement Plan	DEL-036	A reviewed and approved Software and Hardware Procurement Plan according to the Deliverable Expectations Document
Project Management Plan (PMP)	DEL-037	A reviewed and approved Project Management Plan (PMP) according to the Deliverable Expectations Document
Quality Management Plan	DEL-039	A reviewed and approved Quality Management Plan according to the Deliverable Expectations Document
Release Management Plan	DEL-040	A reviewed and approved Release Management Plan according to the Deliverable Expectations Document
Release 1A Security Plan	DEL-050	A reviewed and approved Release 1a Security Plan according to the Deliverable Expectations Document
Resource Management Plan	DEL-045	A reviewed and approved Resource Management Plan according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables		
Deliverable ID	Acceptance Criteria	
Risk Management Plan	DEL-046	A reviewed and approved Risk Management Plan according to the Deliverable Expectations Document
Security Risk Assessment and Contingency Plan	DEL-047	A reviewed and approved Security Risk Assessment and Contingency Plan according to the Deliverable Expectations Document
System and Integration Test Plan	DEL-073	A reviewed and approved System and Integration Test Plan according to the Deliverable Expectations Document
System Security Plan (NIST Compliant)	DEL-048	A reviewed and approved System Security Plan (NIST compliant) according to the Deliverable Expectations Document
Test Management Tools and Process Specification	DEL-074	A reviewed and approved Test Management Tools and Process Specification according to the Deliverable Expectations Document
Comprehensive Test Strategy	DEL-056	A reviewed and approved Comprehensive Test Strategy according to the Deliverable Expectations Document
DOR Project Team Training	DEL-080	DOR Project Team Training completion
Business and Technical Training Plan	DEL-078	A reviewed and approved Business and Technical Training Plan according to the Deliverable Expectations Document
System Roadmap for Technology Security Spending (5 Year Plan)	DEL-002	A reviewed and approved System Roadmap For Technology Security Spending according to the Deliverable Expectations Document
Training Strategy and Approach Plan	DEL-077	A reviewed and approved Training Strategy and Approach Plan according to the Deliverable Expectations Document
Environment Setup		
Infrastructure Technical Design	DEL-054	A reviewed and approved Infrastructure Technical Design
Release 1 Scope		
Business Functional Requirements	DEL-042	Updated Business Functional Requirements with findings from the Business Functional Requirements Review, Validation & Recommendations Report
Business Functional Requirements Review, Validation & Recommendations Report	DEL-043	A reviewed and Approved Business Functional Requirements Review, Validation & Recommendations Report according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
Requirements Traceability Matrix	DEL-044	A reviewed and approved Release 1 Requirements Traceability Matrix according to the Deliverable Expectations Document
Business Process Improvement Design	DEL-004	A reviewed and approved Business Process Improvement Design according to the Deliverable Expectations Document
Configuration and Customization Plan	DEL-051	A reviewed and approved Release 1 Configuration and Customization Plan according to the Deliverable Expectations Document
Data Conversion Test Plan	DEL-017	A reviewed and approved Release 1 Data Conversion Test Plan according to the Deliverable Expectations Document
Data Model - Conceptual/Logical	DEL-022	A reviewed and approved Release 1 Data Model Conceptual/Logical Specification according to the Deliverable Expectations Document
Data Model - Technical/Physical	DEL-023	A reviewed and approved Release 1 Data Model Technical/Physical Specification according to the Deliverable Expectations Document
IRAS System Architecture Design Specification	DEL-052	A reviewed and approved IRAS System Architecture Design Specification according to the Deliverable Expectations Document
NACTP Tax Vendor Certification Plan	DEL-067	A reviewed and approved NACTP Tax Vendor Certification Plan according to the Deliverable Expectations Document
User Acceptance Testing Plans (By Release)	DEL-075	A reviewed and approved set of Release 1 User Acceptance Testing Plans (by release) according to the Deliverable Expectations Document
Training Development		
Business and Technical Training Materials	DEL-082	Reviewed and approved Release 1 Business and Technical Training Materials according to the Deliverable Expectations Document
End-user Manual	DEL-009	A reviewed and approved Release 1 End-user Manual according to the Deliverable Expectations Document
Training Needs Assessment and Report	DEL-079	A reviewed and approved Training Needs Assessment and Report according to the Deliverable Expectations Document
Configuration, Customization and Unit Testing		

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
Target Tax Types Configured, Customized, and Unit Tested		<p>Completed Release 1 configuration, customization of features and functions for the target release tax types implementation that meets the entrance criteria for System and Integration Testing as defined in the Comprehensive Test Strategy to meet the following:</p> <ul style="list-style-type: none"> • System and Integration Test Plan completed by the vendor and approved by the State • System and Integration Test Scripts completed by the vendor and reviewed by the State, and loaded to a test management tool • System test environment is configured (including application security) and integrated with all applicable interfaces • Successful unit testing of the modules to be tested during system and integration testing • System test data and/or test process is available as appropriate
IRAS System Software Design Specification	DEL-053	A reviewed and approved IRAS System Software Design Specification according to the Deliverable Expectations Document
Performance Load and Stress Test Plan	DEL-059	A reviewed and approved Release 1 Performance Load and Stress Test Plan according to the Deliverable Expectations Document
System and Integration Test Scenarios and Scripts	DEL-066	A reviewed and approved set of Release 1 System and Integration Test Scenarios and Scripts according to the Deliverable Expectations Document
Security Acceptance Test Plan	DEL-071	A reviewed and approved Security Acceptance Test Plan according to the Deliverable Expectations Document
Sandbox Test Environment	DEL-070	A Sandbox Test Environment
System Testing		
System and Integration Defect Reports	DEL-064	A System and Integration Defect Report
Post Implementation Support Plan	DEL-050	A reviewed and approved Release 1 Post Implementation Support Plan according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
System and Integration Test Execution Results	DEL-065	A reviewed and approved Release 1 System and Integration Test Execution Results Report meeting the following Exit Criteria as defined in the Comprehensive Test Strategy as follows:
		<ul style="list-style-type: none"> • All System and Integration Test Scenario and Scripts executed and passed successfully
		<ul style="list-style-type: none"> • No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects at the end of system testing
		<ul style="list-style-type: none"> • Expected requirements/functional testing coverage achieved
		<ul style="list-style-type: none"> • The system will correctly perform when subjected to user perspective and scenarios covering end-to-end business process
Performance Load and Stress Test Scripts	DEL-061	A reviewed and approved set of Release 1 Performance Load and Stress Test Scripts according to the Deliverable Expectations Document
User Acceptance Testing		
User Acceptance Test Execution Results	DEL-076	A reviewed and approved Release 1 User Acceptance Test Execution Results meeting the following Exit Criteria as defined in the Comprehensive Test Plan:
		<ul style="list-style-type: none"> • DOR has successfully executed required UAT test scripts, as defined in the Release 1 User Acceptance Test Plans
		<ul style="list-style-type: none"> • There are no outstanding Severity 1 or 2 defects and a mutually agreed upon number of Severity 3 defects
		<ul style="list-style-type: none"> • DOR has met all Exit Criteria requirements
		<ul style="list-style-type: none"> • All change requests identified through this testing phase have been documented
Acceptance		
Application Maintenance Manual	DEL-007	A reviewed and approved Release 1 Application Maintenance Manual according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
Application Operations Manual	DEL-008	A reviewed and approved Release 1 Application Operations Manual according to the Deliverable Expectations Document
End-user Manual	DEL-009	A reviewed and approved Release 1 End-User Manual according to the Deliverable Expectations Document
Implementation and Cut-over Plan	DEL-011	A reviewed and approved Release 1 Implementation and Cut-Over Plan according to the Deliverable Expectations Document
Data Conversion Control Reports	DEL-013	A reviewed and approved set of Release 1 Data Conversion Control Reports according to the Deliverable Expectations Document
Data Conversion Defect Reports	DEL-014	A reviewed and approved Data Conversion Defect Reports according to the Deliverable Expectations Document
Performance Load and Stress Test Benchmark Criteria	DEL-057	A reviewed and approved Release 1 Performance Load and Stress Test Benchmark Criteria according to the Deliverable Expectations Document
Performance Load and Stress Test Defect Reports	DEL-058	A reviewed and approved Release 1 Performance Load and Stress Test Defect Report according to the Deliverable Expectations Document
Performance Load and Stress Test Results	DEL-060	A reviewed and approved Release 1 Performance Load and Stress Test Results that meets the Exit Criteria defined in the Comprehensive Test Strategy as follows:
		<ul style="list-style-type: none"> • Performance, Load, and Stress Test Scripts executed and passed successfully
		<ul style="list-style-type: none"> • No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of Performance, Load, and Stress Testing
Production Migration Defect Reports	DEL-062	A reviewed and approved Production Migration Defect Report according to the Deliverable Expectations Document
Production Migration Test Results	DEL-063	A reviewed and approved Release 1 Production Migration Test Results that meets the Exit Criteria defined in the Comprehensive Test Strategy as follows:
		Production migration test scripts executed and passed successfully

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
		No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of Production Migration Testing
Business Continuity and Disaster Recovery Plan	DEL-003	A reviewed and approved Business Continuity and Disaster Recovery Plan according to the Deliverable Expectations Document
IRAS Data Purge and Archival Approach	DEL-012	A reviewed and approved document outlining the approach for data retention, archival, and purge of IRAS data.
Security and Vulnerability Scan Results	DEL-072	A reviewed and approved Release 1 Security and Vulnerability Scan Results that meets the Exit Criteria in the Comprehensive Test Strategy of the following:
		Security test scripts executed and passed successfully
		No severity 1 or severity 2 defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 level defects remain at the end of security testing
Training Delivery		
Business and Technical Training Delivery	DEL-083	A reviewed and approved Release 1 Business and Technical Training Delivery according to the Deliverable Expectations Document
Organizational Change Management		
Data Conversion		
Data Conversion Control Reports	DEL-013	A set of reviewed and approved Data Conversion Control Report according to the Deliverable Expectation Document
Data Conversion Test Scenarios and Scripts	DEL-018	Reviewed and approved Data Conversion Test Scenarios and Scripts according to the Deliverable Expectations Document
Data Mapping and Transformation Rules Specification	DEL-019	A reviewed and approved Data Mapping and Transformation Rules Specification according to the Deliverable Expectations Document
Data Conversion Defect Reports	DEL-014	A reviewed and approved Data Conversion Defect Report according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 1: Key Deliverables	Deliverable ID	Acceptance Criteria
Data Conversion Test Execution Results	DEL-016	A reviewed and approved Data Conversion Test Execution Results Report meeting the following Exit Criteria defined in the Data Conversion Test Plan: <ul style="list-style-type: none"> • All data conversion test scripts executed and passed successfully • No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of data conversion testing
Mock Conversions	DEL-020	
Cutover		
Post Implementation Review Report	DEL-010	A reviewed and approved Post Implementation Review Report according to the Deliverable Expectations Document
Report Portal	DEL-041	A reviewed and approved Report Portal according to the Deliverable Expectations Document
Release 2 Planning		
IRAS Data Dictionary	DEL-024	A reviewed and approved IRAS Data Dictionary according to the Deliverable Expectations Document
Mock Conversions	DEL-020	A successful Mock Conversion as measured by the Data Conversion Control Reports and Data Conversion Defect Reports
System Roadmap for Technology Security Spending (5 Year Plan)	DEL-002	A reviewed and approved System Roadmap For Technology Security Spending according to the Deliverable Expectations Document
Data Classification Specification	DEL-021	A reviewed and approved Data Classification Specification according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Environment Setup		
Infrastructure Technical Design	DEL-054	A reviewed and approved Infrastructure Technical Design
Release 2 Scope Definition		
Business Functional Requirements	DEL-042	Reviewed and approved Business Functional Requirements according to the Deliverable Expectations Document
Business Functional Requirements Review, Validation & Recommendations Report	DEL-043	A reviewed and approved Business Functional Requirements Review, Validation & Recommendations Report according to the Deliverable Expectations Document
Requirements Traceability Matrix	DEL-044	A reviewed and approved Requirements Traceability Matrix according to the Deliverable Expectations Document
Business Process Improvement Design	DEL-004	A reviewed and approved Business Process Improvement Design according to the Deliverable Expectations Document
Configuration and Customization Plan	DEL-051	A reviewed and approved Configuration and Customization Plan according to the Deliverable Expectations Document
Data Conversion Test Plan	DEL-017	A reviewed and approved Data Conversion Test Plan according to the Deliverable Expectations Document
Data Model Conceptual/Logical	DEL-025	A reviewed and approved Data Model Conceptual/Logical Specification according to the Deliverable Expectations Document
Data Model Technical/Physical	DEL-025	A reviewed and approved Data Model Technical/Physical Specification according to the Deliverable Expectations Document
IRAS System Architecture Design Specification	DEL-052	A reviewed and approved IRAS System Architecture Design Specification according to the Deliverable Expectations Document
Performance Load and Stress Test Benchmark Criteria	DEL-057	A reviewed and approved Performance Load and Stress Test Benchmark Criteria according to the Deliverable Expectations Document
NACTP Tax Vendor Certification Plan	DEL-067	A reviewed and approved NACTP Tax Vendor Certification Plan according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
User Acceptance Testing Plans (By Release)	DEL-075	A reviewed and approved User Acceptance Testing Plan (by release) according to the Deliverable Expectations Document
Warranty Release 1		
		No outstanding release 1 severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of data conversion testing
Training Development		
Business and Technical Training Materials	DEL-082	Reviewed and approved Business and Technical Training Materials according to the Deliverable Expectations Document
Training Needs Assessment and Report	DEL-079	A reviewed and approved Training Needs Assessment and Report according to the Deliverable Expectations Document
End-user Manual	DEL-009	A reviewed and approved Release 1 End-User Manual according to the Deliverable Expectations Document
Configuration, Customization and Unit Testing		
Target Tax Types Configured, Customized, and Unit Tested	DEL-052	Completed configuration, customization of features and functions for the target release tax types implementation meeting the entrance criteria for system and integration testing as defined in the Comprehensive Test Strategy to meet the following:
		System And Integration Test Plan completed by the vendor and approved by the State
		<ul style="list-style-type: none"> System and integration test scripts completed by the vendor and reviewed by the State, and loaded to a test management tool

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
		<ul style="list-style-type: none"> • System test environment is configured (including application security) and integrated with all applicable interfaces
		<ul style="list-style-type: none"> • Successful unit testing of the modules to be tested during System and Integration Testing
		<ul style="list-style-type: none"> • System test data and/or test process is available as appropriate
IRAS System Software Design Specification	DEL-053	A reviewed and approved IRAS System Software Design Specification according to the Deliverable Expectations Document
System and Integration Test Scenarios and Scripts	DEL-066	A reviewed and approved System and Integration Test Scenarios and Scripts according to the Deliverable Expectations Document
Performance Load and Stress Test Plan	DEL-059	A reviewed and approved Release 1 Performance Load and Stress Test Plan according to the Deliverable Expectations Document
Security Acceptance Test Plan	DEL-071	A reviewed and approved Security Acceptance Test Plan according to the Deliverable Expectations Document
NACTP Tax Vendor Certification Test Scripts	DEL-068	Reviewed and approved NACTP Tax Vendor Certification Test Scripts according to the Deliverable Expectations Document
Sandbox Test Environment	DEL-070	A reviewed and approved Sandbox Test Environment according to the Deliverable Expectations Document
System Testing		
System and Integration Defect Reports	DEL-064	A reviewed and approved System and Integration Defect Report according to the Deliverable Expectations Document
Post Implementation Support Plan	DEL-050	A reviewed and approved Release 1 Post Implementation Support Cutover Plan according to the Deliverable Expectations Document
System and Integration Test Execution Results	DEL-065	A reviewed and approved System and Integration Test Execution Results Report meeting the following Exit Criteria as defined in the Comprehensive Test Strategy as follows:
		<ul style="list-style-type: none"> • All System And Integration Test Scripts executed and passed successfully

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
		<ul style="list-style-type: none"> • No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects at the end of system testing • Expected requirements/functional testing coverage achieved • System will perform correctly when subjected to user perspective and scenarios covering end-to-end business processes
Performance Load and Stress Test Scripts	DEL-061	A reviewed and approved set of Release 1 Performance Load and Stress Test Scripts according to the Deliverable Expectations Document
NACTP Tax Vendor Certifications Test Results	DEL-069	<p>Reviewed and approved NACTP Tax Vendor Certifications Test Results that meet the requirements defined in the Comprehensive Test Strategy as follows:</p> <ul style="list-style-type: none"> • The System shall provide all documentation, and test results for review once all tests and milestones have been met • The System shall notify NACTP partners when certification is complete • The System shall interface to production and only permit certified products to be processed • The System shall permit additional NACTP partner testing post certification • The system shall allow authorized DOR staff to manually decertify an NACTP partner • The System shall generate individual NACTP partner score cards based on adjustable criteria such as meeting testing milestones, number of total returns submitted in past 12 months, number of test submissions to get it right, fraud percentage, live submission rejection rate, etc.
User Acceptance Testing		
User Acceptance Test Execution Results	DEL-076	<p>Reviewed and approved User Acceptance Test Execution Results that meet the following Exit Criteria as defined in the Comprehensive Test Plan:</p> <ul style="list-style-type: none"> • DOR has successfully executed the required UAT test scripts • There are no outstanding severity 1 or 2 defects and a mutually agreed upon number of severity 3 defects

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
		<ul style="list-style-type: none"> • DOR has met all Exit Criteria requirements • All change requests identified through this testing phase have been documented
Acceptance		
Application Maintenance Manual	DEL-007	A reviewed and approved Application Maintenance Manual according to the Deliverable Expectations Document
Application Operations Manual	DEL-008	A reviewed and approved Application Operations Manual according to the Deliverable Expectations Document
End-user Manual	DEL-009	A reviewed and approved End-User Manual according to the Deliverable Expectations Document
Implementation and Cut-over Plan	DEL-011	A reviewed and approved Implementation and Cut-Over Plan according to the Deliverable Expectations Document
Data Conversion Control Reports	DEL-013	A reviewed and approved Data Conversion Control Report according to the Deliverable Expectations Document
Data Conversion Defect Reports	DEL-014	A reviewed and approved Data Conversion Defect Report according to the Deliverable Expectations Document
Vendor Support Transition Plan	DEL-080	A reviewed and approved Vendor Support Transition Plan according to the Deliverable Expectations Document
Technical Support Knowledge Transfer Plan	DEL-052	A reviewed and approved Technical Support Knowledge Transfer Plan according to the Deliverable Expectations Document
Support Staffing Plan	DEL-039	A reviewed and approved Support Staffing Plan according to the Deliverable Expectations Document
Support Team Roster	DEL-039	A reviewed and approved Support Team Roster according to the Deliverable Expectations Document
Post Deployment Support Services Transition Plan	DEL-066	A reviewed and approved Post Deployment Support Services Transition Plan according to the Deliverable Expectations Document
Performance Load and Stress Test Benchmark Criteria	DEL-057	Reviewed and approved Release 1 Performance Load and Stress Test Benchmark Criteria according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Performance Load and Stress Test Defect Reports	DEL-058	A reviewed and approved Performance Load and Stress Test Defect Report according to the Deliverable Expectations Document
Performance Load and Stress Test Results	DEL-060	Reviewed and approved Performance Load and Stress Test Results that meet the Exit Criteria defined in the Comprehensive Test Strategy as follows:
		<ul style="list-style-type: none"> • Performance, Load, and Stress Test Scripts executed and passed successfully
		<ul style="list-style-type: none"> • No severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of performance, load, and stress testing
Production Migration Defect Reports	DEL-062	A reviewed and approved Production Migration Defect Report according to the Deliverable Expectations Document
Production Migration Test Results	DEL-063	Reviewed and approved Production Migration Test Results that meet the Exit Criteria defined in the Comprehensive Test Strategy as follows:
		<ul style="list-style-type: none"> • Production Migration Test Scripts executed and passed successfully
		<ul style="list-style-type: none"> • No outstanding severity 1 or 2 defects remain at the end of production migration testing
Business Continuity and Disaster Recovery Plan	DEL-003	A reviewed and approved Business Continuity and Disaster Recovery Pan according to the Deliverable Expectations Document
IRAS Data Purge and Archival Approach	DEL-012	A reviewed and approved document outlining the approach for data retention, archival, and purge of IRAS data.
Security and Vulnerability Scan Results	DEL-072	Reviewed and approved Security and Vulnerability Scan Results that meet the Exit Criteria in the Comprehensive Test Strategy of the following:
		<ul style="list-style-type: none"> • Security Test Scripts executed and passed successfully
		<ul style="list-style-type: none"> • No severity 1 or severity 2 defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 level defects remain at the end of security testing
Training Delivery		
Business and Technical Training Delivery	DEL-083	Business and Technical Training Delivery successfully completed

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Organizational Change Management		
Data Conversion		
Data Conversion Control Reports	DEL-013	A reviewed and approved Data Conversion Control Report according to the Deliverable Expectations Document
Data Mapping and Transformation Rules Specification	DEL-019	A reviewed and approved Data Mapping and Transformation Rules Specification according to the Deliverable Expectations Document
Data Conversion Test Scenarios and Scripts	DEL-018	Reviewed and approved Data Conversion Test Scenarios and Scripts according to the Deliverable Expectations Document
Data Conversion Defect Reports	DEL-014	A reviewed and approved Data Conversion Defects Report according to the Deliverable Expectations Document
Data Conversion Test Execution Results	DEL-016	A reviewed and approved Data Conversion Test Execution Results Report meeting the following Exit Criteria defined in the data conversion test plan: <ul style="list-style-type: none"> • All data conversion test scripts executed and passed successfully • No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of data conversion testing
Mock Conversions	DEL-020	
Release 1 Support		
Cutover		
Post Implementation Review Report	DEL-010	A reviewed and approved Post Implementation Review Report according to the Deliverable Expectations Document
Report Portal	DEL-041	A reviewed and approved Report Portal according to the Deliverable Expectations Document
Release 3 Planning		
IRAS Data Dictionary	DEL-024	A reviewed and approved IRAS Data Dictionary according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 2: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Mock Conversions	DEL-020	A reviewed and approved Mock Conversions according to the Deliverable Expectations Document
System Roadmap for Technology Security Spending (5 Year Plan)	DEL-002	A reviewed and approved System Roadmap For Technology Security Spending according to the Deliverable Expectations Document
Data Classification Specification	DEL-021	A reviewed and approved Data Classification Specification according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Environment Setup		
Infrastructure Technical Design	DEL-054	A reviewed and approved Infrastructure Technical Design
Release 3 Scope Definition		
Business Functional Requirements	DEL-042	Reviewed and approved Business Functional Requirements according to the Deliverable Expectations Document
Business Functional Requirements Review, Validation & Recommendations Report	DEL-043	A reviewed and approved Business Functional Requirements Review, Validation & Recommendations Report according to the Deliverable Expectations Document
Requirements Traceability Matrix	DEL-044	A reviewed and approved Requirements Traceability Matrix according to the Deliverable Expectations Document
Business Process Improvement Design	DEL-004	A reviewed and approved Business Process Improvement Design according to the Deliverable Expectations Document
Configuration and Customization Plan	DEL-051	A reviewed and approved Configuration and Customization Plan according to the Deliverable Expectations Document
Data Conversion Test Plan	DEL-017	A reviewed and approved Data Conversion Test Plan according to the Deliverable Expectations Document
IRAS System Architecture Design Specification	DEL-052	A reviewed and approved IRAS System Architecture Design Specification according to the Deliverable Expectations Document
Data Model Conceptual/Logical	DEL-025	A reviewed and approved Data Model Conceptual/Logical Specification according to the Deliverable Expectations Document
Data Model Technical/Physical	DEL-025	A reviewed and approved Data Model Technical/Physical Specification according to the Deliverable Expectations Document
Performance Load and Stress Test Benchmark Criteria	DEL-057	Reviewed and approved Performance Load and Stress Test Benchmark Criteria according to the Deliverable Expectations Document
NACTP Tax Vendor Certification Plan	DEL-067	A reviewed and approved NACTP Tax Vendor Certification Plan according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
User Acceptance Testing Plans (By Release)	DEL-075	A reviewed and approved User Acceptance Testing Plan (by release) according to the Deliverable Expectations Document
Warranty Release 2		
		No outstanding release 2 severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of data conversion testing
Training Development		
Business and Technical Training Materials	DEL-082	Reviewed and approved Business and Technical Training Materials according to the Deliverable Expectations Document
Training Needs Assessment and Report	DEL-079	A reviewed and approved Training Needs Assessment and Report according to the Deliverable Expectations Document
End-user Manual	DEL-009	A reviewed and approved Release 1 End-User Manual according to the Deliverable Expectations Document
Configuration, Customization and Unit Testing		
Target Tax Types Configured, Customized and Unit Tested	DEL-052	Completed configuration, customization of features and functions for the target release tax types implementation meeting the entrance criteria for system and integration testing as defined in the Comprehensive Test Strategy to meet the following:
		<ul style="list-style-type: none"> • System and Integration Test Plan completed by the vendor and approved by the state
		<ul style="list-style-type: none"> • System And Integration Test Scripts completed by the vendor and reviewed by the state, and loaded to a test management tool
		<ul style="list-style-type: none"> • System test environment is configured (including application security) and integrated with all applicable interface
		<ul style="list-style-type: none"> • Successful unit testing of the modules to be tested during system and integration testing • System test data and/or test process is available as appropriate

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
IRAS System Software Design Specification	DEL-053	A reviewed and approved IRAS System Software Design Specification according to the Deliverable Expectations Document
System and Integration Test Scenarios and Scripts	DEL-066	Reviewed and approved System and Integration Test Scenarios and Scripts according to the Deliverable Expectations Document
Performance Load and Stress Test Plan	DEL-059	A reviewed and approved Release 1 Performance Load and Stress Test Plan according to the Deliverable Expectations Document
Security Acceptance Test Plan	DEL-071	A reviewed and approved Security Acceptance Test Plan according to the Deliverable Expectations Document
NACTP Tax Vendor Certification Test Scripts	DEL-068	Reviewed and approved NACTP Tax Vendor Certification Test Scripts according to the Deliverable Expectations Document
Sandbox Test Environment	DEL-070	A reviewed and approved Sandbox Test Environment according to the Deliverable Expectations Document
System Testing		
System and Integration Defect Reports	DEL-064	A reviewed and approved System and Integration Defect Reports according to the Deliverable Expectations Document
Post Implementation Support Plan	DEL-050	A reviewed and approved Release 1 Post Implementation Support Cutover Plan according to the Deliverable Expectations Document
System and Integration Test Execution Results	DEL-065	A reviewed and approved System and Integration Test Execution Results Report meeting the following Exit Criteria as defined in the Comprehensive Test Strategy as follows:
		<ul style="list-style-type: none"> • All System And Integration Test Scripts executed and passed successfully
		<ul style="list-style-type: none"> • No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects at the end of system testing
		<ul style="list-style-type: none"> • Expected requirements/functional testing coverage achieved • System will perform correctly when subjected to user perspective and scenarios covering end-to-end business process

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Performance Load and Stress Test Scripts	DEL-061	A reviewed and approved set of Release 1 Performance Load and Stress Test Scripts according to the Deliverable Expectations Document
NACTP Tax Vendor Certifications Test Results	DEL-069	Reviewed and approved NACTP Tax Vendor Certifications Test Results meeting the requirements defined in the Comprehensive Test Strategy as follows:
		<ul style="list-style-type: none"> • The System shall provide all documentation, and test results for review once all tests and milestones have been met
		<ul style="list-style-type: none"> • The System shall notify NACTP partners when certification is complete
		<ul style="list-style-type: none"> • The System shall interface to production and only permit certified products to be processed
		<ul style="list-style-type: none"> • The System shall permit additional NACTP partner testing post certification
		<ul style="list-style-type: none"> • The System shall allow authorized DOR staff to manually decertify an NACTP partner • The System shall generate individual NACTP partner score cards based on adjustable criteria such as meeting testing milestones, number of total returns submitted in past 12 months, number of test submissions to get it right, fraud percentage, live submission rejection rate, etc.
User Acceptance Testing		
User Acceptance Test Execution Results	DEL-076	Reviewed and approved User Acceptance Test Execution Results meeting the following Exit Criteria as defined in the comprehensive test plan:
		<ul style="list-style-type: none"> • DOR has successfully executed required UAT test scripts
		<ul style="list-style-type: none"> • There are no outstanding severity 1 or 2 defects and a mutually agreed upon number of severity 3 defects
		<ul style="list-style-type: none"> • DOR has met all Exit Criteria requirements
<ul style="list-style-type: none"> • All change requests identified through this testing phase have been documented 		
Acceptance		

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Application Maintenance Manual	DEL-007	A reviewed and approved Application Maintenance Manual according to the Deliverable Expectations Document
Application Operations Manual	DEL-008	A reviewed and approved Application Operations Manual according to the Deliverable Expectations Document
End-user Manual	DEL-009	A reviewed and approved End-User Manual according to the Deliverable Expectations Document
Implementation and Cut-over Plan	DEL-011	A reviewed and approved Implementation and Cut-Over Plan according to the Deliverable Expectations Document
Data Conversion Control Reports	DEL-013	A reviewed and approved Data Conversion Control Report according to the Deliverable Expectations Document
Data Conversion Defect Reports	DEL-014	A reviewed and approved Data Conversion Defect Report according to the Deliverable Expectations Document
Vendor Support Transition Plan	DEL-080	A reviewed and approved Vendor Support Transition Plan according to the Deliverable Expectations Document
Technical Support Knowledge Transfer Plan	DEL-052	A reviewed and approved Technical Support Knowledge Transfer Plan according to the Deliverable Expectations Document
Support Staffing Plan	DEL-039	A reviewed and approved Support Staffing Plan according to the Deliverable Expectations Document
Support Team Roster	DEL-039	A reviewed and approved Support Team Roster according to the Deliverable Expectations Document
Post Deployment Support Services Transition Plan	DEL-066	A reviewed and approved Post Deployment Support Services Transition Plan according to the Deliverable Expectations Document
Performance Load and Stress Test Benchmark Criteria	DEL-057	Reviewed and approved Release 1 Performance Load and Stress Test Benchmark Criteria according to the Deliverable Expectations Document
Performance Load and Stress Test Defect Reports	DEL-058	A reviewed and approved Performance Load and Stress Test Defect Report according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Performance Load and Stress Test Results	DEL-060	Reviewed and approved Performance Load and Stress Test Results meeting the Exit Criteria defined in the Comprehensive Test Strategy as follows: <ul style="list-style-type: none"> • Performance, Load, And Stress Test Scripts executed and passed successfully • No severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of Performance, Load, And Stress Testing
Production Migration Defect Reports	DEL-062	A reviewed and approved Production Migration Defect Report according to the Deliverable Expectations Document
Production Migration Test Results	DEL-063	Reviewed and approved Production Migration Test Results meeting the Exit Criteria defined in the Comprehensive Test Strategy as follows: <ul style="list-style-type: none"> • Production migration test scripts executed and passed successfully • No outstanding severity 1 or 2 defects remain at the end of production migration testing
IRAS Data Purge and Archival Approach	DEL-012	A reviewed and approved document outlining the approach for data retention, archival, and purge of IRAS data.
Business Continuity and Disaster Recovery Plan	DEL-003	A reviewed and approved Business Continuity and Disaster Recovery Pan according to the Deliverable Expectations Document
Security and Vulnerability Scan Results	DEL-072	Reviewed and approved Security and Vulnerability Scan results meeting the Exit Criteria in the Comprehensive Test Strategy of the following: <ul style="list-style-type: none"> • Security test scripts executed and passed successfully • No severity 1 or severity 2 defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 level defects remain at the end of security testing
Training Delivery		
Business and Technical Training Delivery	DEL-083	Business and Technical Training Delivery successfully completed
Organizational Change Management		

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Data Conversion		
Data Conversion Control Reports	DEL-013	A reviewed and approved Data Conversion Control Report according to the Deliverable Expectations Document
Data Mapping and Transformation Rules Specification	DEL-019	A reviewed and approved Data Mapping and Transformation Rules Specification according to the Deliverable Expectations Document
Data Conversion Test Scenarios and Scripts	DEL-018	Reviewed and approved Data Conversion Test Scenarios and Scripts according to the Deliverable Expectations Document
Data Conversion Defect Reports	DEL-014	A reviewed and approved Data Conversion Defects Report according to the Deliverable Expectations Document
Data Conversion Test Execution Results	DEL-016	A reviewed and approved Data Conversion Test Execution Results Report meeting the following Exit Criteria defined in the Data Conversion Test Plan: <ul style="list-style-type: none"> • All data conversion test scripts executed and passed successfully • No outstanding severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of data conversion testing
Mock Conversions	DEL-020	
Release 1&2 support		
Cutover		
Post Implementation Review Report	DEL-010	A reviewed and approved Post Implementation Review Report according to the Deliverable Expectations Document
Report Portal	DEL-041	A reviewed and approved Report Portal according to the Deliverable Expectations Document
Final Release Handoff and Ongoing Support Planning		
System Roadmap for Technology Security Spending (5 Year Plan)	DEL-002	A reviewed and approved System Roadmap For Technology Security Spending according to the Deliverable Expectations Document

STATE OF DELAWARE DIVISION OF REVENUE

Release 3: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Warranty Release 3		
		No outstanding Release 3 severity 1 or 2 outstanding defects (see Comprehensive Test Strategy) and a reasonable number of severity 3 defects remain at the end of Data Conversion Testing

Non-release Specific: Key Deliverables	Deliverable ID Number	Acceptance Criteria
Annual Security/Confidentiality Training	DEL-081	Certifications from the State of DE DTI Enterprise Security Organization
Weekly Work Group Meeting Minutes	DEL-038	Reviewed and accepted weekly work group meeting minutes by the State's IRAS Project Director

4.4 Appendix 4.0 Application to Tax Types Mapping

The following table represents the mapping of current state application to tax type.

Application Name	Description	Tax Types
1099 Load	Receives files from the Submit 1099 program and loads them into the Datamart.	PIT
2D Barcode Processing	2d barcode processing the data from the 2d barcode documents and makes them into files ready for Document Upload (DocUpld) to pick up.	PIT, Gross Receipts
AcctServ	A DCOM server used by client applications to create transactions in Oracle for upload to DIC. It also provides some query and maintenance functions on the stored data.	All Tax Types
ACH	Receives and uploads ACH Credit payments to DOR via Mellon Bank.	All Tax Types
Address Change Service	Process files received from USPS to update taxpayer addresses.	All Tax Types
Audit Candidate Selection	Identify Audit Candidates for BMF/PIT Audit programs.	All Tax Types
Bankruptcy Payment Vouchers Load (Mthly)	Backend Manual job to load monthly bankruptcy file.	PIT
BAR Exception Summary Reports	BMF Reconciliation Exception report by Tax.	CIT, Business License and Gross Receipts, Withholding taxes
Batch Job Server	Runs client/server jobs on periodic schedules.	All Tax Types
BMF Address Update (Quarterly)	Process NCOA moved addresses received from Anchor Computer and update taxpayer addresses in BMF Address file.	All Tax Types except PIT
BMF Address Update Inquiry	Business inquiry report of updates received from the post office, generated by KeyLines.	All Tax Types except PIT
BMF CRA Data from One Stop And DIP	Inquiry to gather BMF CRA One stop metadata which flows from OneStop and DIP.	Business License and Gross Receipts, Withholding

STATE OF DELAWARE DIVISION OF REVENUE

Application Name	Description	Tax Types
BMF Inquiries	Combinational Inquiry of OneStop Metadata, BAR Exceptions and License Print Info.	Business License and Gross Receipts, Withholding
Bottle Fee Reports	Inquiry to gather information on Bottle fee payment and Other Misc. taxes which helps to move revenue to other agencies.	Business License and Gross Receipts
Buy/Sell	An inventory tracking system for batches of paper documents which are transferred from one work area to another within DOR.	All Tax Types
Cage System	Used to control the transactions that take place at the Public Service counters for servicing taxpayers requests. Records the receipt of funds, the issuance of cigarette stamps, and other similar activities.	All Tax Types
CertBatch	Process that scans the envelopes and uses some basic OCR to create the data to send the certified mail program.	All Tax Types
Certified Mail	Tracks certified mail sent from the mailroom.	All Tax Types
Certified Mail Batch Barcodes	Creates barcodes for certified mail and batches used by Buy Sell.	All Tax Types
CES - Check Encoding System (for NCR Encoder)	Hardware with custom software that scans and encodes checks for processing.	All Tax Types
CESBI - Check Inquiry	List paper deposit information, provide balancing reports, display check images.	All Tax Types
Chapter 13 Bankruptcy Payment Inquiry	Application allows reviewing of the debit balance accounts and payments for selected RAS accounts.	All Tax Types
Collection Cases in C030 Status (Awaiting Judgment Initiation)	Lists the Billing & Collection cases in awaiting judgment initiation (C030 status) in Assignee order or by group by case status date.	All Tax Types
Collections Enhancement	RSI enhancements to collections.	All Tax Types
Conferee Reports and System	Controls the activities of the tax conferee, keeping an inventory and generating the correspondence for tax projects.	All Tax Types

STATE OF DELAWARE DIVISION OF REVENUE

Application Name	Description	Tax Types
Correspondence	LAN portion of the correspondence module of the BSMP system. It receives a data file from the mainframe, performs an action similar to a 'mail merge' to incorporate variable data into correspondence, and controls the printing of those documents.	All Tax Types
Correspondence Imaging (TANProc)	Creates images of the documents sent from correspondence for ingestion into Samson or Lexis-Nexis processing.	All Tax Types
CP2000	Process files received from IRS to generate Line Adjustments to taxpayer returns.	All Income Tax Types
CP2000 (IRS Audit Cases generating PIT line adjustments)	Generate line adjustments to DE return based on changes to Fed return identified in CP2000 files.	PIT
Credit Card Processing	Track credit card payments from Cage and Collections.	All Tax Types
Crossmatch	Receives a client file from each participating payroll provider containing client filing frequencies. The file is cross-referenced against BMF and updated for return to the provider. All transfers are processed via SFTP.	All Tax Types
Datamart (Cognos Reporting)	Reports on information from the PIT, Business and Collection systems. Information from these systems has been consolidated in the data mart into a star/snowflake schema design.	All Tax Types
DIP	Generalized data entry program, used for all data entry functions that are not outsourced.	All Tax Types
DIS - Document Input System	Specialized data entry program used to record the receipt of all incoming transactions which do not go through EDI or lockbox functions, or get processed by the T4000 remittance processing system.	All Tax Types
Document Upload (DocUpld)	DocUpld moves everything that goes to reconciliation systems from DIP, e-file, Internet, etc. and puts it into the format	All Tax Types

STATE OF DELAWARE DIVISION OF REVENUE

Application Name	Description	Tax Types
	that the mainframe conversion jobs likes and FTPs it to the oracle box.	
DOL Update (Monthly)	Extract and Load DOL data for PIT exception and fraud processing.	PIT
Door to Door Sales ID	Door to door License for a sales person.	Business License and Gross Receipts
Door to Door Sales ID Print Extract	Backend job to gather D2D License print Information.	Business License and Gross Receipts
Door to Door Sales IS Auto Accept	Backend job to check whether a company is licensed, to accept salesperson application.	Business License and Gross Receipts
Door to Door Sales IS Update Expired	Backend job which runs annually to expire all the active salesperson license.	Business License and Gross Receipts
DOR Batch Address Maintenance Menu	Reviews updates received from the post office.	All Tax Types
DPSYNC	Data replication from the mainframe to local Oracle data mart.	All Tax Types
EDIOOnline (Web)	Businesses schedule payments for Withholding and Corporate tax.	CIT, S-Corporation, Withholding
EOAD/RAR	Process files received from IRS to generate line adjustments to taxpayer returns.	PIT
EOAD/RAR (IRS Audit Cases generating PIT line adjustments)	Generate line adjustments to DE return based on changes to Federal return.	PIT
Garnishments	Applies wage garnishments to RAS to pay tax bills.	PIT
Gross Receipts Tax (Web)	Allows businesses to pay their gross receipts tax online.	Gross Receipts, Commodities
GRT 1280 Subcontractor Payments Extract	Extract 1280 payments to be uploaded to mainframe BMF Reconciliation System.	Gross Receipts
GRT Daily Setup	Backend Job to populate Oracle tables filing_spec and detail.	Gross Receipts
GRT Report menu	Inquiry for gathering information on Gross Receipt Tax.	Gross Receipts
Images for Electronically Filed Returns (ELFPROC)	Creates images for electronically filed returns including PIT e-file, Internet, GRT, One-Stop CRA, etc.	PIT, Gross Receipts, Withholding
IMF Address Update (Quarterly)	Process NCOA moved addresses received from Anchor Computer and update taxpayer addresses in IMF Address file.	PIT

STATE OF DELAWARE DIVISION OF REVENUE

Application Name	Description	Tax Types
IMF Address Update Inquiry	Individual inquiry report of updates received from the post office.	PIT
IMF Filing Requirements Inquiry	Creates IMF Filing Requirement Report.	PIT
ImgServ	Retrieves images from Samson.	All Tax Types
IRS Fraud Check	Identify fraud exceptions by accessing IRS data.	PIT
IRS IMF/IRTF Maintenance (Annual)	Loads IRS IMF/IRTF files.	PIT
IRS Offset	Manages IRS offsets.	All Tax Types
IRS Setoff Comments	Generate mainframe comments from IRS setoff file.	All Tax Types
IRS SRFMI	Creates Individual, Withholding and Corporate files of return data for transmission to the IRS.	PIT, Withholding, CIT
Lead Reports(XML Converter)	Converts LeadReport xml files to CSV and loads data into Oracle database.	All Tax Types
Lexis/Nexus Evaluation Reports	Returned mail after Lexis Nexis update report and IMF Update after Lexis Nexis update report.	PIT
Lexis Nexis IMF Address Update (Monthly)	Process Lexis Nexis response file and update mainframe IMF Address file accordingly.	PIT
License Print Report Menu	Inquiry to gather information on License Print.	Business License
Mellon EDI	Process ACH transfers from businesses.	CIT, S-Corporation, Withholding
Mellon GRT	Process gross receipts entered via Mellon's website and paid via ACH.	Gross Receipts, Commodities
Modernized eFile	Processing of Individual, Corporate, Fiduciary, and Partnership returns submitted via Tax Software and Preparers.	PIT, CIT, S-Corporation, Partnership, Fiduciary
OLP - Online Payments (Web)	Provides online PIT extension, PIT estimated, and payment on liability for personal and business tax.	Business License, Gross Receipts, Commodities, CIT, S-Corporation, PIT, Withholding
One Stop (Web)	New business registration and application for business licenses and withholding.	Business License, Gross Receipts, Withholding

STATE OF DELAWARE DIVISION OF REVENUE

Application Name	Description	Tax Types
One Stop processing of DIP Upload Files (CRA's)	Backend Job Which updates mainframe data.	Business License, Gross Receipts, Withholding
One Stop processing of DTI Extract Files (CRA's)	Backend job which updates DOR database used by OneStop.	Business License, Gross Receipts, Withholding
Outside Collection Agencies (OCA)	Sends a placement file to each collection agency under contract with DOR on a weekly basis.	All Tax Types
Partnership Data Entry Files	Load partnership return data into the warehouse.	Partnership
Partnership Inquiry Menu	Inquiry report to gather Partnership information.	Partnership
Partnership Load Processing	Loads partnership data.	Partnership
Pay Plan Monitor	Monitors active pay plans statuses to identify status changes.	All Tax Types
Pay Plan Reports	Generates payment plan details	All Tax Types
Payment Amortization Schedule	Schedules payment plans.	All Tax Types
Payment Plans	Set up and monitor Payment Plans for taxpayers who owe taxes.	All Tax Types
Payment Tracking Setup	Tracks high dollar payments	All Tax Types
Personal Income Tax Internet Filing (Web)	Personal income tax filing.	PIT
PIT Audit Menu	Auditing menu for PIT return inquiry.	PIT
PIT Combined Tables	Extract and load IMF and IAR PIT Return detail.	PIT
PIT DOL/W2 Check	Identifies PIT fraud exceptions by accessing DOL data.	PIT
PIT Supporting Documents Processing	Stores supporting documentation received into Samson.	PIT
Public Service PIT	Displays current account status information to assist Public Service users.	PIT
RAS Account Selection (Active and Purged Accounts)	Lists active and purged RAS records data.	All Tax Types
RAS Comparison	Compares datamart and DPSYNC replicated data.	All Tax Types
RAS Corrections	Performs online RAS corrections.	All Tax Types
RAS Inquiry Menu	Browser-based RAS Reporting tools.	All Tax Types

STATE OF DELAWARE DIVISION OF REVENUE

Application Name	Description	Tax Types
Realty Transfer Tax	Tracks and generates tax notices for Real Estate Transfers and building permits.	Realty Transfer Tax
Refund Inquiry Server (RefinqServ)	Provides refund status via phone or web inquiry.	PIT
Samson Case Folder Maintenance, Extract, and Download	Updates the Samson Imaging System with RAS Data.	All Tax Types
SSA Death Master	Provides a record of previous month taxpayer deaths.	PIT
Submit W2 or 1099 (Web)	Submissions of electronic W2 and 1099 files.	All Tax Types
Sussex Realty Transfer Tax	Auditor key name & address information for selected Sussex County RTT payments.	Realty Transfer TAX
Tax Amnesty Program Inquiry Menu	Gathers historical tax amnesty Information.	All Tax Types
U of D Statistics	Records taxpayer deaths.	All Tax Types

4.5 Appendix 5.0 Project and Support Roles and Responsibilities – Hosted Solution and On-Premise Solution

On-Premise Solution Roles and Responsibilities

For a solution that will be hosted by the State of Delaware on-premise, DOR intends to host the solution at Delaware’s Department of Technology and Information (DTI) data centers. DTI will be responsible for network system administration, database administration, establishing network connectivity, and will work with the Vendor to design, install, administer, and optimize the operating environment consistent with DTI enterprise standards. The vendor shall work in coordination with DTI staff to install, configure, and integrate all software to implement and support the system.

For all areas of the project where hardware and related system setup are required, the Vendor shall work with DTI to install the hardware, while adhering to DTI practices and procedures. The Vendor shall be primarily accountable and responsible until DOR assumes full responsibility. The State will work closely with Vendor during the build, administration, and maintenance of the environments on an on-going basis.

Below is a chart designating many of the technical roles and who shall be responsible throughout the project lifecycle.

Responsibility	DOR Project Mgmt	Bus. Lead	Vendor	DTI	DOR Dev
Prepare Operational Solution Architecture document			X		
Review / approve Operational Solution Architecture document				X	X
Prepare detailed Infrastructure Technical Design (servers, server roles, network architecture, firewall rules, etc.) Initial release and refreshed in each subsequent release			X		
Review/approve Infrastructure Technical Design				X	X
Purchase all Hardware				X	X
Install all Hardware				X	
Support the installation of all Hardware			X		
Procure equipment and infrastructure licensing	X			X	
Procure development type licenses, e.g. COTS product, 3 rd party products, etc.	X				
Design Network configuration (connectivity, firewall, load balancers, proxies, etc.)			X		

STATE OF DELAWARE DIVISION OF REVENUE

Responsibility	DOR Project Mgmt	Bus. Lead	Vendor	DTI	DOR Dev
Implement Network configuration (connectivity, firewall, load balancers, proxies, etc.)				X	
Perform Environment Builds (Development, QA, System Test, Training, Prod, Disaster Recovery, etc.)				X	
Build and Configure COTS Product in non-Production and UAT environments			X		
Build and Configure COTS Product in production and UAT Environments				X	
Assist with Build and Configure COTS Product in production and UAT Environments			X		
Setup and Configure all COTs required software (Database, 3 rd party products, etc.)				X	
Assist with Setup and Configure all COTs required software (Database, 3 rd party products, etc.)			X		
Prepare application and infrastructure production support documentation			X		
Deploy software and database updates (COTS configurations, customizations, stored procedures, triggers, etc.) in non-production and non-UAT environments			X		
Prepare script automation to auto-install software and database updates (COTS configurations, customizations, stored procedures, triggers, etc.) in production and UAT environments			X		
Install software and database updates using provided automation scripts (COTS configurations, customizations, stored procedures, triggers, etc.) in production and UAT environments				X	
Deploy any Test data updates to production and UAT environments				X	
Support system testing			X		
Support user acceptance testing (UAT)			X		X
Create Business Continuity and Disaster Recovery Plans			X		
Support Creation of Business Continuity and Disaster Recovery Plans				X	X
Maintain conversion data environment (treat as development until project is complete)			X		
Execute cyber security penetration testing on production environment				X	

STATE OF DELAWARE DIVISION OF REVENUE

Responsibility	DOR Project Mgmt	Bus. Lead	Vendor	DTI	DOR Dev
Execute a Disaster Recovery test (failover / failback)				X	
Assist with cybersecurity penetration testing on production environment			X		
Assist with Disaster Recovery test (failover / failback)			X		
Lead IRS SCSEM audit process against system until no findings occur			X		
Post-implementation support (During Support Contract)			X	X	X
Post-implementation support outside of COTS core product (Post Support Contract)				X	X

STATE OF DELAWARE DIVISION OF REVENUE

Hosted Solution Roles and Responsibilities

For a solution that will be provided by the vendor in a “cloud hosted” model, DOR envisions the roles and responsibilities for the included parties as listed below. DOR project management, business lead(s), the Vendor, Delaware’s Department of Technology and Information (DTI), and DOR developers will work together in this model. Full Support Turnover will occur at a mutually agreed time to implement SLAs. DTI will be responsible for network administration and establishing network connectivity. The vendor shall work in coordination with DTI staff as needed but will have an overall responsibility to deploy, implement and support the system in a “cloud hosted” solution.

For all areas of the project where hardware (such as scanner devices) and related system setup are required to be on premise at the State of Delaware facilities, the Vendor shall work with DTI to install the hardware, while adhering to DTI practices and procedures. The Vendor shall be primarily responsible for any required on-site hardware until system turnover is complete.

Below is a chart designating many of the technical roles and who is responsible throughout the project lifecycle.

Responsibility	DOR Project Mgmt	Bus. Lead	Vendor	DTI	DOR Dev
Prepare Operational Solution Architecture Documentation			X		
Review and Approve Solution Architecture				X	X
Prepare detailed Infrastructure technical design (servers, server roles, network architecture, firewall rules, etc.) Initial release and refreshed in each subsequent release			X		
Procure hardware, software, and equipment			X		
Purchase all Hardware to remain with vendor			X		
Purchase all State on-premise Hardware				X	X
Install all Hardware			X		
Support the installation of all Hardware				X	
Procure equipment and infrastructure licensing			X		
Procure development type licenses, e.g. COTS product, 3 rd party products, etc.	X				
Design Network configuration – Vendor (connectivity, firewall, etc.)			X		
Review and Approve Network Design				X	X
Implement Network configuration hosted site– Vendor (connectivity, firewall, etc.)			X		
Implement Network configuration – State (connectivity, firewall, etc.)				X	

STATE OF DELAWARE DIVISION OF REVENUE

Responsibility	DOR Project Mgmt	Bus. Lead	Vendor	DTI	DOR Dev
Perform Environment Builds (Development, QA, System Test, Training, Prod, Disaster Recovery, etc.)			X		
Prepare application and infrastructure production support documentation			X		
Determine how to create and maintain Test data and implement			X		
Support system testing			X		
Support user acceptance testing (UAT)			X		
Create Business Continuity and Disaster Recovery Plans			X		
Finalize application production deployment phase implementation plan	X				
Support and approve Creation of Business Continuity and Disaster Recovery Plans				X	X
Finalize application production deployment phase implementation plan	X				
Maintain conversion data environment (treat as development until project is complete)			X		
Develop procedures and systems to allow parallel use of data in new and legacy systems			X		X
Execute a Disaster Recovery test (failover / failback)			X		
Execute cyber security penetration testing on production environment			X		
Assist with cybersecurity penetration testing on production environment				X	
Assist with Disaster Recovery test (failover / failback)				X	
Run IRS SCSEM audit process against system until no findings occur			X		
Post-implementation operational support (During Support Contract)			X		
Post-implementation operational support (Post Support Contract)			X		
Post-implementation application support (During Support Contract)			X		
Post-implementation application support (Post Support Contract)					X

STATE OF DELAWARE DIVISION OF REVENUE

4.6 Appendix 6.0 List of Forms

DEDOR Form Number	Tax Type	Form Name
1800M	Commodities Tax - Alcohol	Alcoholic Beverage Manufacturer Tax Return
ABC	Commodities Tax - Alcohol	ABC Shipping Report
ABC-ST	Commodities Tax - Alcohol	Certified Statement of Wines, Cider, Spirits, and Beer Purchases
1049C-9602	Business License	Claim for Revision - Cigarette Excise Tax
1049L-9605	Business License	Claim for Revision - License Tax
1125-c	Business License	Receipt for Non-Resident Contractor Bond
1268-LA2	Business-Related Tax - Affiliated Finance Companies	Affiliated Finance Company Business License Application and Renewal
CRA2	Business License	Business License Application, Resident Contractor
Door to Door Sales	Business License	Salesperson Identification Card Application
LN3	Business License	License Renewal Form
LN3R	Business License	License Reprint (Replacement) Form
LREQ	Business License	License Request Change Form
402LTR 9901	Business License, Gross Receipts Tax	Computation Schedule for Claiming License Tax Reduction for Approved New Business Facility Gross Receipts
5502TR 9811	Public Utilities Tax	Application For Reduction of Public Utility Tax
6401-HMC	Headquarters Management Corporation	Application for Headquarters Management Corporation Business License
CRA	Business License, Withholding Tax	Combined Registration Application including Withholding Agent Application
1074	Commodities Tax - Tobacco Products	Resident Dealer's Monthly Report of Cigarette and Cigarette Tax Stamps
1075	Commodities Tax - Tobacco Products	Non-Resident Dealer's Monthly Report of Cigarette and Cigarette Tax Stamps
1100	Corporate Income Tax	Corporate Income Tax
1100CR 0101	Corporate Income Tax	Economic Development Credits Corporate Schedule of Non-Business
1100-EXT	Corporate Income Tax	Request for Extension - long form
1100NBI	Corporate Income Tax	Corporate Schedule of non-business Income/Loss
1100T (T1-T4)	Corporate Income Tax	Quarterly Tax Voucher
1100T-EXT	Corporate Income Tax	Request for Extension - coupon and fillable
1100T-REQ	Corporate Income Tax	Corporate Tax Request for Change
1100V	Corporate Income Tax	Corporate Payment Voucher (see 216)

STATE OF DELAWARE DIVISION OF REVENUE

DEDOR Form Number	Tax Type	Form Name
1100X	Corporate Income Tax	Amended Corporate Income Tax Return
1100ES		
1902(b)	Corporate Income Tax	Information Return Holding Co/Investment Co
1902-AP	Corporate Income Tax	Application for Exemption From Corporate Income Tax
900NR	Estate Tax	Estate Tax Return of Non-Resident Decedents
900R	Estate Tax	Estate Tax Return of Resident Decedents
400	Fiduciary Income Tax	Fiduciary Income Tax Return
400 ES 1e	Fiduciary Income Tax	Fiduciary Declaration of Est. Tax Return
400 ES 2e	Fiduciary Income Tax	Fiduciary Declaration of Est. Tax Return
400 ES 3e	Fiduciary Income Tax	Fiduciary Declaration of Est. Tax Return
400 ES 4e	Fiduciary Income Tax	Fiduciary Declaration of Est. Tax Return
400 EX (400 ES 5e)	Fiduciary Income Tax	Fiduciary Declaration of Est. Tax Return
400 K-1	Fiduciary Income Tax	Fiduciary Schedule K-1
400 V	Fiduciary Income Tax	Fiduciary Payment Voucher
5507	Public Utilities Tax	Public Utility Tax Claim for Refund
6100	Public Accommodations Tax	Exemption Certificate from Tax on Occupancy of Hotel, Motel or Tourist Home Rooms
1280-DEV	Business-Related Tax - Contractors	Statement of Payments Made By General Contractors to Subcontractors
5506CPE	Public Utilities Tax	Application for Exemption from Public Utility Tax on Cell Phones
9114W	Business-Related Tax - HSCA Tax	Statement of Payments made by Petroleum Wholesalers for HSCA Taxed Purchases
9114W Supplemental	Business-Related Tax - HSCA Tax	Line 5 Statement of Payments made by Petroleum Wholesalers for HSCA Taxed Purchases
LM1 0801	Commodities Tax - Tobacco Products	License Monthly Gross Receipts Tax - Other Tobacco and Snuff (Before 2017)
LM1 1801	Commodities Tax - Tobacco Products	License Monthly Gross Receipts Tax - Other Tobacco, Snuff, and Vapor (2017 and after)
LM1 9410	Public Utilities Tax	License Monthly Gross Receipts - Public Utility (2 rates)
LM10 9801	Public Utilities Tax	License Monthly Gross Receipts - Gas Use
LM11 1301	E-911 Surcharge	License Monthly Gross Receipts - E-911 Emergency Fund Surcharge

STATE OF DELAWARE DIVISION OF REVENUE

DEDOR Form Number	Tax Type	Form Name
LM2 9501	Business-Related Tax - Retailers, Business-Related Tax - Manufacturers, Business-Related Tax - Wholesalers, Business-Related Tax - Occupational Licenses	License Monthly Gross Receipts - Manufacturer (3), Personal & Professional Services (16), Retailer, Wholesaler (3)
LM3 1309	Business-Related Tax - Contractors	License Monthly Gross Receipts - Contractors,
LM4 9501	Business-Related Tax - Retailers	License Monthly Gross Receipts - Petroleum Retailer
LM6 1201	Business-Related Tax - Retailers	License Monthly Gross Receipts - Grocery Supermarket Retailer
LQ1 9001	Business-Related Tax-Motor Vehicle Dealer License Fee	License Quarterly Gross Receipts - Motor Vehicle Dealer, Interactive Fantasy Sports
LQ10 9801	Business-Related Tax - Retailers	License Quarterly Retailer-Transient
LQ2 9501	Business-Related Tax - Retailers, Business-Related Tax - Manufacturers, Business-Related Tax - Wholesalers, Business-Related Tax - Occupational Licenses	License Quarterly Gross Receipts - Manufacturer (3), Personal/Professional Services (16), Retailer (6), Wholesaler (3)
LQ3 1309	Business-Related Tax - Contractors	License Quarterly Gross Receipts - Contractor
LQ4 0701	Business-Related Tax - Wholesalers	License Quarterly Gross Receipts - Petroleum Wholesaler
LQ4 9501	Business-Related Tax - Retailers	License Quarterly Gross Receipts - Petroleum Retailer
LQ7 0601	Use Tax on Leases of Tangible Personal Property	License Quarterly Gross Receipts - Lessor of Tangible Personal Property, Motor Vehicle Lessor
LQ8 0601	Use Tax on Leases of Tangible Personal Property	License Quarterly Gross Receipts - Lessee of Tangible Personal Property, Motor Vehicle Lessee
LW1 9001	Business-Related Tax - Occupational Licenses	License Monthly Gross Receipts - Thoroughbred Betting
TP-1	Commodities Tax - Tobacco Products	Wholesale Dealer's Monthly Report of Other Tobacco Products

STATE OF DELAWARE DIVISION OF REVENUE

DEDOR Form Number	Tax Type	Form Name
LQ9 0308	Manufactured Home Relocation Fund	Manufactured Homes Relocation Trust Fund Returns
LQ9 REQ	Manufactured Home Relocation Fund	Manufactured Homes Relocation Trust Fund Request for Change Return
LQ9 Sch K-1	Manufactured Home Relocation Fund	Manufactured Homes Relocation Trust Fund Delinquent Tenants Report
700	Miscellaneous	Delaware Income Tax Credit Schedule
1801AC 0009	Miscellaneous	Application and Computation Schedule for Claiming Delaware Land and Historic Resource Conservation Tax Credits
1811AC 0905	Miscellaneous	Computation Schedule for Claiming Delaware Historic Preservation Tax Credits
1811CC 0701	Miscellaneous	Certification of Unused Delaware Historic Preservation Tax Credits
2070AC 0007	Miscellaneous	Application and Computation Schedule for Claiming Delaware Research and Development Tax Credits
2071AC 0007	Miscellaneous	Application and Computation Schedule for Claiming Delaware Research and Development Tax Credits (for tax credits after 12/31/16)
402AP 9901	Miscellaneous	Application for New Business Facility Tax Credits
5060	Business-Related Tax - Contractors	Statement of Contractor Awards By General Contractors and Subcontractors
LQ11 1206	Commodities Tax - Nursing Facility Quality Assessment	Nursing Home Quality Assessment Quarterly Report
300	Partnership Pass-Through	Partnership Return
300 K1	Partnership Pass-Through	Schedule, Partner's Share of Income
209	Personal Income Tax	Claim for Refund Due on Behalf of Deceased Taxpayer
800	Personal Income Tax	Delaware Business Income of Non-Resident
2210	Personal Income Tax	Underpayment of Estimated Taxes
200-01	Personal Income Tax	Delaware Resident Form
200-01 Sch	Personal Income Tax	Delaware Resident Schedule
200-01X	Personal Income Tax	Resident Amended Income Tax Return
200-02	Personal Income Tax	Delaware Non-Resident Form
200-02 Sch	Personal Income Tax	Delaware Non-Resident Schedule
200-02X	Personal Income Tax	Non-Resident Amended Income Tax Return
200C	Personal Income Tax	Composite Personal Income Tax Form

STATE OF DELAWARE DIVISION OF REVENUE

DEDOR Form Number	Tax Type	Form Name
200-ES 1e	Personal Income Tax	PIT Estimate Forms
200-ES 2e	Personal Income Tax	PIT Estimate Forms
200-ES 3e	Personal Income Tax	PIT Estimate Forms
200-ES 4e	Personal Income Tax	PIT Estimate Forms
200-ES REQ	Personal Income Tax	PIT Estimate Coupon Request for Change
200-EX (1027 Coupon)	Personal Income Tax	PIT Extension Coupon
200V	Personal Income Tax	Electronic Filer Payment Voucher
8821DE	Personal Income Tax	Authorization to Release Tax Information
IRA	Personal Income Tax	Special Tax Computation for IRA
Schedule W	Personal Income Tax	Apportionment Worksheet
329	Personal Income Tax, Fiduciary Income Tax	Special Tax Computation for Lump Sum Distribution from Qualified Retirement Plan
5402	Realty Transfer Tax	Realty Transfer Tax Return and Affidavit of Gain & Value
5403	Realty Transfer Tax	Real Estate Tax Return Declaration of Estimated Income Tax Return
5401(8)BP	Realty Transfer Tax	Realty Transfer Tax Declaration For Building Permit
5401(8)CO	Realty Transfer Tax	Realty Transfer Tax Declaration for Certificate Of Compliance Or Occupancy
LQ9 1501	E-911 Surcharge	License Quarterly Gross Receipts - E911 Prepaid Wireless Services
LQX9 1501	E-911 Surcharge	License Quarterly Gross Receipts - E911 Prepaid Wireless Services Amended
LM1 9001	Public Accommodations Tax, Public Utilities Tax, Business-Related Tax - Retailers Business-Related Tax - Steam, Gas & Electric Companies	License Monthly Gross Receipts - Scrap Tire Fee, Hotel, Motel, Tourist Home, Horse Race Trainer, Horse Race Meet Operator, Cable TV & Satellite, Telecommunication, Steam, Gas & Electric
1100P	Subchapter S Corp Pass-Through	S Corporate Estimated
1100P-EXT	Subchapter S Corp Pass-Through	S Corporation Request for Extension
1100S	Subchapter S Corp Pass-Through	S-Corporate Income Tax
1100S Sch A	Subchapter S Corp Pass-Through	14 - 1100S - Schedule A
1100S-EXT	Subchapter S Corp Pass-Through	S Corporation Request for Extension - long form
1100S-Sch A-1	Subchapter S Corp Pass-Through	14 - 1100S - Schedule A-1
1049W89701	Withholding Tax	Claim for Revision - Eight Monthly Withholding

STATE OF DELAWARE DIVISION OF REVENUE

DEDOR Form Number	Tax Type	Form Name
1049W99701	Withholding Tax	Claim for Revision - Monthly/Quarterly Withholding
W1 9301	Withholding Tax	Withholding Monthly Form
W1A 9301	Withholding Tax	Withholding 8th Monthly Form
W1Q 9701	Withholding Tax	Withholding Quarterly Form
W3 9801	Withholding Tax	Withholding Monthly and Quarterly Annual Reconciliation Form
W3A 9801	Withholding Tax	Withholding 8th-Monthly Annual Reconciliation Form (W8)
WREQ	Withholding Tax	Withholding Request for Change Form

5 Attachments

- Attachment 1.1 State of DE–DOR Transmittal Letter
- Attachment 1.2 State of DE–DOR Executive Summary
- Attachment 2 - State of DE–DOR Vendor Profile
 - Attachment 2.1 State of DE-DOR Vendor Organization
 - Attachment 2.2 State of DE-DOR Vendor Financials
 - Attachment 2.3 Business References
 - Attachment 2.4 State of DE-DOR Certificate of Good Standing
 - Attachment 2.5 Subcontractor Information Form
- Attachment 3 State of DE–DOR Business Requirements
- Attachment 4 State of DE–DOR Technical Requirements
- Attachment 5 State of DE–DOR Project Management and Related Requirements
- Attachment 6 State of DE-DOR Project Approach
- Attachment 7 State of DE-DOR Staffing Requirements
- Attachment 8 State of DE-DOR Project Plan
- Attachment 9 State of DE-DOR Cost Proposal
- Attachment 10.1 No Proposal Reply Form
- Attachment 10.2 Non-Collusion Statement
- Attachment 10.3 Exceptions
- Attachment 10.4 Confidentiality and Proprietary Information
- Attachment 10.5 Office of Supplier Diversity Application
- Attachment 11 Mandatory Requirements
- Attachment 12 Unclaimed Property Questions
- Attachment 13 Department of Technology and Information Requirements
- Attachment 14 Delaware Cloud Services Terms and Conditions Agreement
- Attachment 15 Data Usage Terms and Conditions

Attachment 1.1 State of DE–DOR Transmittal Letter

Please include the Transmittal Letter in the vendor Proposal in Adobe PDF format and titled:
Attachment 1.1 State of DE–DOR Transmittal Letter.pdf

Attachment 1.2 State of DE–DOR Executive Summary

The vendor shall provide an Executive Summary highlighting the value of their solution and key elements of the vendor’s response that are integral to meeting the State of Delaware’s needs. The Executive Summary shall not be more than three (3) pages in length and must be in Adobe PDF format and titled: **Attachment 1.2 State of DE–DOR Executive Summary.pdf**

Attachment 2 - State of DE–DOR Vendor Profile

The vendor must complete this attachment, **Attachment 2 State of DE–DOR Vendor Profile** in its entirety and include it in the vendor’s proposal as a Microsoft Word file named **Attachment 2 State of DE–DOR Vendor Profile.docx**.

Please address the following items for this attachment.

General Information

Please provide a summary of any information the vendor deems relevant or important to the State’s successful acquisition of the products and services requested in this RFP.

<Vendor Response>

Company Structure

Please provide the following information in the light blue cells in the table below:

Information Required	Vendor Response
<p>1. The legal form of the Respondent’s business organization</p>	
<p>2. The state in which formed (accompanied by a certificate of good standing)</p>	

STATE OF DELAWARE DIVISION OF REVENUE

Information Required	Vendor Response
<p>3. The types of business ventures in which the organization is involved.</p>	
<p>4. A list of the Company's corporate officers</p>	
<p>5. The number of full-time and part-time people employed by the Company.</p>	

Attachment 2.1 State of DE-DOR Vendor Organization

The vendor shall provide the vendor's Corporate Organization Chart and include it in the vendor's Proposal in an Adobe PDF format file and named **Attachment 2.1 State of DE – Vendor Organization.pdf**.

Attachment 2.2 State of DE-DOR Vendor Financials

The vendor shall provide three (3) years of vendor Financial Statements and include it in the vendor's Proposal as an Adobe PDF formatted file and named: **Attachment 2.2 State of DE – Vendor Financials.pdf**.

Attachment 2.3 Business References Form

Contract No.: **FIN19001-REVENUE**

Contract Title: **INTEGRATED REVENUE ADMINISTRATION SYSTEM**

BUSINESS REFERENCES FORM

List a minimum of three business references, including the following information:

- Business Name and Mailing address
- Contact Name and phone number
- Number of years doing business with
- Type of work performed

Please do not list any State Employee as a business reference. If you have held a State contract within the last five (5) years, please provide a separate list of the contract(s).

1.	Contact Name & Title: Business Name: Address: Email: Phone # / Fax #: Current Vendor (YES or NO): Years Associated & Type of Work Performed:	
2.	Contact Name & Title: Business Name: Address: Email: Phone # / Fax #: Current Vendor (YES or NO): Years Associated & Type of Work Performed:	
3.	Contact Name & Title: Business Name: Address: Email: Phone # / Fax #: Current Vendor (YES or NO): Years Associated & Type of Work Performed:	

STATE OF DELAWARE PERSONNEL MAY NOT BE USED AS REFERENCES.

Attachment 2.4 State of DE-DOR Certificate of Good Standing

The vendor must acquire a Certificate of Good Standing. A Certificate of Good Standing may be acquired at the following Delaware Division of Corporations website (<https://corp.delaware.gov/directweb>). The Certificate of Good Standing must be scanned and included in the vendor's Proposal as an Adobe PDF formatted file and named: **Attachment 2.4 State of DE-DOR Certificate of Good Standing (Mandatory)**. The vendor must maintain a record of the original certificate on file with the vendor for inspection by the State of Delaware if required.

Attachment 2.5 Subcontractor Information Form

SUBCONTRACTOR INFORMATION FORM

PART I – STATEMENT BY PROPOSING VENDOR		
1. CONTRACT NO. FIN19001-REVENUE	2. Proposing Vendor Name:	3. Mailing Address
4. SUBCONTRACTOR		
a. NAME	4c. Company OSD Classification: Certification Number: _____	
b. Mailing Address:	4d. Women Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4e. Minority Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4f. Disadvantaged Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4g. Veteran Owned Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No 4h. Service Disabled Veteran Owned Business Enterprise <input type="checkbox"/> Yes <input type="checkbox"/> No	
5. DESCRIPTION OF WORK BY SUBCONTRACTOR		
6a. NAME OF PERSON SIGNING	7. BY (<i>Signature</i>)	8. DATE SIGNED
6b. TITLE OF PERSON SIGNING		
PART II – ACKNOWLEDGEMENT BY SUBCONTRACTOR		
9a. NAME OF PERSON SIGNING	10. BY (<i>Signature</i>)	11. DATE SIGNED
9b. TITLE OF PERSON SIGNING		

STATE OF DELAWARE DIVISION OF REVENUE

Use a separate form for each subcontractor

Attachment 3 State of DE–DOR Business Requirements

The vendor must complete **Attachment 3 State of DE–DOR Business Requirements.xlsx** (included in the RFP) in its entirety and include it in the vendor’s Proposal under the same file name: **Attachment 3 State of DE–DOR Business Requirements.xlsx**.

Attachment 4 State of DE–DOR Technical Requirements

The vendor must complete **Attachment 4 State of DE–DOR Technical Requirements.xlsx** (included in the RFP) in its entirety and include it in the vendor’s Proposal under the same file name: **Attachment 4 State of DE–DOR Technical Requirements.xlsx**.

Attachment 5 State of DE–DOR Project Management and Related Requirements

The vendor must complete **Attachment 5 State of DE–DOR Project Management.xlsx** (included in the RFP) in its entirety and include it in the vendor’s Proposal under the same file name: **Attachment 5 State of DE–DOR Project Management.xlsx**

Attachment 6 State of DE-DOR Project Approach

The vendor must provide a detailed description of their approach to the IRAS project and include it in MS Word Format in the vendor's Proposal under the file name: **Attachment 6 State of DE-DOR Project Approach.doc** (alternatively, you may submit this section in Adobe PDF file format under the file name **Attachment 6 State of DE-DOR Project Approach.pdf**)

Attachment 7 State of DE-DOR Staffing Requirements

The vendor must complete the detailed resource plan to include State and vendor resources in **Attachment 7 State of DE-DOR Staffing Requirements.xlsx** (included in the RFP). We are looking to the vendor to provide the specific roles that will be required for the effort. Resource values should be the total number of expected full-time equivalent (FTE) resources by role for each month of the effort.

Attachment 8 State of DE-DOR Project Plan

The vendor must provide a detailed Project Plan representative of the requirements of the State of Delaware as defined in this RFP. This should be delivered as an Adobe PDF formatted file under the file name of **Attachment 8 State of DE-DOR Project Plan.pdf**. Any additional or related project planning information may be submitted as additional attachments using the file naming convention of **Attachment 8<.1-n> State of DE-DOR <topical name of attachment>.pdf**. For example, two additional files could be provided that would be named as:

Attachment 8.1 State of DE-DOR Gantt Chart.pdf and

Attachment 8.2 State of DE-DOR Resource Allocation.pdf

Attachment 9 State of DE-DOR Cost Proposal

The vendor must complete the Cost proposal in **Attachment 9 State of DE-DOR Cost Proposal.xlsx** (included in the RFP) and provide in the vendor's Proposal under the same name.

Attachment 10.1 No Proposal Reply Form

NO PROPOSAL REPLY FORM

Contract No.: **FIN19001-REVENUE** Contract Title: **Integrated Revenue Administration System**

To assist us in obtaining good competition on our Request for Proposals, we ask that each firm that has received a proposal but does not wish to bid, state their reason(s) below and return in a marked envelope displaying the contract number. This information will not preclude receipt of future invitations unless you request removal from the Vendor's List by so indicating below, or do not return this form or bona fide proposal.

Unfortunately, we must offer a "No Proposal" at this time because:

- _____ 1. We do not wish to participate in the proposal process.
- _____ 2. We do not wish to bid under the terms and conditions of the Request for Proposal document. Our objections are:

- _____ 3. We do not feel we can be competitive.
- _____ 4. We cannot submit a Proposal because of the marketing or franchising policies of the manufacturing company.
- _____ 5. We do not wish to sell to the State. Our objections are:

- _____ 6. We do not sell the items/services on which Proposals are requested.
- _____ 7. Other: _____

FIRM NAME

SIGNATURE

_____ We wish to remain on the Vendor's List **for these goods or services.**

_____ We wish to be deleted from the Vendor's List **for these goods or services.**

PLEASE FORWARD NO PROPOSAL REPLY FORM TO THE CONTRACT OFFICER IDENTIFIED.

Attachment 10.2 Non-Collusion Statement

CONTRACT NO.: FIN19001REVENUE **TITLE:** Integrated Revenue Administration System
DEADLINE TO RESPOND: October 2, 2018, at 3:00 PM (EST)

NON-COLLUSION STATEMENT

This is to certify that the undersigned vendor has neither directly nor indirectly, entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive bidding in connection with this proposal, **and further certifies that it is not a subcontractor to another vendor who also submitted a proposal as a primary vendor in response to this solicitation** submitted this date to the State of Delaware, Division of Revenue (DOR).

It is agreed by the undersigned vendor that the signed delivery of this bid represents, subject to any express exceptions set forth at **Attachment 10.3 Exceptions Form**, the vendor's acceptance of the terms and conditions of this solicitation including all specifications and special provisions.

NOTE: Signature of the authorized representative **MUST** be of an individual who legally may enter his/her organization into a formal contract with the State of Delaware, Division of Revenue (DOR).

<input type="checkbox"/>	Corporation
<input type="checkbox"/>	Partnership
<input type="checkbox"/>	Individual

COMPANY NAME _____
 (Check one)

NAME OF AUTHORIZED REPRESENTATIVE _____

SIGNATURE _____ TITLE _____

COMPANY ADDRESS _____

PHONE NUMBER _____ FAX _____
 NUMBER _____

EMAIL ADDRESS _____

FEDERAL E.I. NUMBER _____ STATE OF DELAWARE LICENSE _____
 NUMBER _____

COMPANY CLASSIFICATIONS: CERT. NO.:	Certification type(s)	Circle all that apply	
		Minority Business Enterprise (MBE)	Yes
	Woman Business Enterprise (WBE)	Yes	No
	Disadvantaged Business Enterprise (DBE)	Yes	No
	Veteran Owned Business Enterprise (VOBE)	Yes	No
	Service Disabled Veteran Owned Business Enterprise (SDVOBE)	Yes	No

[The above table is for informational and statistical use only.]

PURCHASE ORDERS SHOULD BE SENT TO:

(COMPANY NAME) _____

ADDRESS _____

STATE OF DELAWARE DIVISION OF REVENUE

CONTACT _____

PHONE NUMBER _____

FAX NUMBER _____

EMAIL ADDRESS _____

AFFIRMATION: Within the past five years, has your firm, any affiliate, any predecessor company or entity, owner, Director, officer, partner or proprietor been the subject of a Federal, State, Local government suspension or debarment?

YES _____ NO _____ if yes, please explain _____

THIS PAGE SHALL BE SIGNED, NOTARIZED AND RETURNED FOR YOUR BID TO BE CONSIDERED

SWORN TO AND SUBSCRIBED BEFORE ME this _____ day of _____, 20 _____

Notary Public _____ My commission expires _____

City of _____ County of _____ State of _____

Attachment 10.5 Office of Supplier Diversity Certification Application

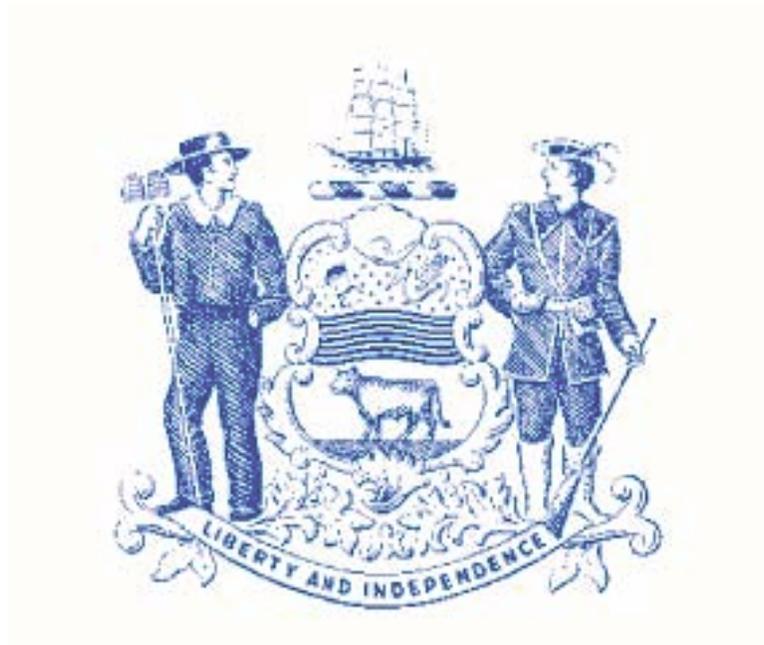
State of Delaware Office of Supplier Diversity Certification Application

The most recent application can be downloaded from the following site:

<http://gss.omb.delaware.gov/osd/certify.shtml>

Submission of a completed Office of Supplier Diversity (OSD) application is optional and does not influence the outcome of any award decision.

The minimum criteria for certification require the entity must be at least 51% owned and actively managed by a person or persons who are eligible: minorities, women, veterans, and/or service disabled veterans. Any one or all of these categories may apply to a 51% owner.



Complete application and mail, email or fax to:

Office of Supplier Diversity (OSD)

100 Enterprise Place, Suite 4

Dover, DE 19904-8202

Telephone: (302) 857-4554 Fax: (302) 677-7086

Email: osd@state.de.us

Web site: <http://gss.omb.delaware.gov/osd/index.shtml>

**THE OSD ADDRESS IS FOR OSD APPLICATIONS ONLY.
THE OSD WILL NOT ACCEPT ANY VENDOR BID RESPONSE PACKAGES.**

Attachment 11 Mandatory Requirements

The vendor must complete **Attachment 11 State of DE–DOR Mandatory Requirements.xlsx** (included in the RFP) in its entirety and return it in the submission package under the same file name: **Attachment 11 State of DE–DOR Mandatory Requirements.xlsx**.

Attachment 12.0 (Optional) Unclaimed Property Request for Information

For those prospective IRAS vendors, who in addition to an integrated tax COTS product, also have an Unclaimed Property COTS offering, we are asking as part of this RFP to provide information about their product. Information provided should be similar to a Request for Information (RFI), but somewhat specific to Delaware. Vendors may be asked to attend on-site sessions at State of Delaware offices to discuss their Unclaimed Property COTS offering and present a demonstration of its capabilities. Additionally, if the selected vendor does have an Unclaimed Property COTS offering, then DOR may consider including an option in the contract to possibly exercise its purchase via the Change Order process.

Our mission at the OUP is to collect unclaimed property, safeguard it as custodian, and pay it back to the property's rightful owner. Over \$300 million has been returned to rightful owners in the last three (3) years. As part of our operations, we receive an average of 2,500 online views, searches, and claim submissions daily, with peaks of 10,000 or more. We pay and process thousands of claims each year. In one year alone, we processed approximately 17,000 claims. We track millions of shares of securities on an ongoing basis and compared to other states we have one of the largest inventories of property owned by foreign property owners under management.

OUP is interested in information pertaining to a fully functioning configurable Unclaimed Property system that would require little customization and allow the OUP to perform all required activities. Examples of these areas are:

- Improved claims processing
- Improved fraud detection
- Enhanced audit capabilities
- More flexible workflow
- Extendible role-based security
- Better integration with vendor's integrated tax COTS package
- Efficient handling of all aspects of managing assets
- More secure and robust management of a large inventory of assets (Delaware has a 50-year record retention policy)
- Seamless integration with 3rd party software for asset valuation
- More insightful and informative reporting
- A more robust self-servicing platform

For the OUP to get an understanding of the vendor's offering, DOR is requesting additional information. In addition to providing the information below, we are also asking the vendor to provide any incremental information that will help the OUP better understand and assess your offering.

STATE OF DELAWARE DIVISION OF REVENUE

Please provide your response in the light blue cells in the table below. Provide additional documentation as necessary and label the document **Attachment 11.<n>** where <n> is a unique number (1, 2, 3 etc.).

Category	Question/Request	Vendor Response
Commercial Off-the-Shelf (COTS)	What components and functionality do you offer as COTS?	
	What third-party products would you recommend for your solution?	
	Describe your experience with interfacing to existing revenue accounting systems.	
	Describe known efficiencies realized with the implementation of your COTS product.	
	Describe the biggest challenges other states have encountered while working with your team or your COTS solution.	
	How did your COTS help other customers improve fraud detection	
	Describe role-based security and flexibility we have to add and configure new roles	
	Describe your self-servicing capabilities.	
	Configuration and Custom Components Integration	Describe the types of configurations that can be made for your COTS. How easily can you add/change functionality so that new requirements can be accommodated in the future?
What portions of your COTS are customizable?		
Describe your approach to maintenance of customizations.		
What functional components do you recommend as interfaced custom components that would not be part of your COTS solution?		
User Interface Approach	Describe user interface (UI) features.	

STATE OF DELAWARE DIVISION OF REVENUE

Category	Question/Request	Vendor Response
	Is the UI configurable? If so, what features of the UI are configurable?	
	Is your solution 508 compliant for individuals with disabilities?	
Business Rules	Describe your approach to business rules. What functions can be supported by business rules?	
	Do you have a pre-defined/pre-installed set of business rules?	
	Do you interface with 3rd party business rules engines? Do you use proprietary business rules tool(s)? If 3rd party, what are they?	
Customer Relationship Management (CRM), Electronic Content Management (ECM), and Correspondence Tracking	<p>The OUP is interested in capturing and tracking all correspondence into and out of the agency. The State believes that the key to success in this area is to establish, through new and/or enhanced facilities, an environment in which all communications can be captured, categorized, linked (e.g., by holder, claimant, subject, priority, etc.), routed, tracked/managed, stored, accessed and reported on through a single user interface.</p> <p>Describe your approach to electronic content management and CRM.</p>	
Electronic Content Management (ECM)	Do you interface with a 3rd party ECM system, do you incorporate ECM functionality within your solution, or do you leverage the same ECM functionality as your integrated tax package?	
	Does your electronic content management solution support a redaction capability?	
	What is your approach to producing letters from letter templates?	

STATE OF DELAWARE DIVISION OF REVENUE

Category	Question/Request	Vendor Response
	Do you interface with a 3rd party ECM system, do you incorporate ECM functionality within your solution, or do you leverage the same ECM functionality as your integrated tax package?	
Correspondence and Tracking	What is your approach to tracking all inbound and outbound communication?	
	What is your recommended approach for electronic correspondence, such as secure email communication?	
	How do you track and measure our responses to inquiries?	
External Interfaces	Describe your approach to interfacing with external components, such as an email system, USPS, etc.	
	Describe how your system would interface with: <ul style="list-style-type: none"> • Accurant • Lexis Nexus identity verification tools • Dun & Bradstreet • Delaware Department of Motor Vehicles • State of Delaware Treasury office for a financial roll up • State of Delaware’s electronic payment solution • Bloomberg or some other third-party • Receipt of payment (e.g., wire transfer, credit card, money orders, etc.) 	
	Describe your approach to interfacing with imaging systems such as IBML and Fairfax.	
Workflow	Describe your approach to workflow.	
	What is your base COTS product workflow?	

STATE OF DELAWARE DIVISION OF REVENUE

Category	Question/Request	Vendor Response
	In your approach, do you generally interface with a 3rd party workflow system, or do you incorporate workflow functionality within your solution? Describe functionality.	
	Is your workflow comprehensive across all application components or just within claims management?	
Reporting	Describe your approach to production, canned, and ad hoc reporting.	
	In your approach, do you generally interface with a 3rd party reporting tool or do you incorporate reporting functionality within your solution?	
	Do you support dashboard and other graphical reporting capabilities? Describe.	
	What types of reports would you recommend?	
	In your approach, can trained user/administrators create their reports?	
Foreign Addressees	How do you handle foreign addresses, including military addresses? Do you interface with a 3 rd party product to improve quality?	
	Describe how you uniquely accommodate nuances of foreign addresses, as compared to US addresses?	
Claims Management	Describe your general approach to claims management and include additional detail with regards to foreign claims.	
	Describe how you support the complete life cycle of a claim, including audit, and fraud detection capabilities?	
	Describe your fraud detection approach to find anomalous claims submitted from the same address or IP address	
	Do you allow for repeat, verified claimants (non-fraudulent) to use same identity documents for multiple claims?	

STATE OF DELAWARE DIVISION OF REVENUE

Category	Question/Request	Vendor Response
	Describe your role-based security and more specifically define our ability to selectively limit what is publicly searchable by a claimant from our self-service portal for property that to initiate a claim, check claim status, and upload claim documents	
	Do you allow for multiple, adjustable levels of claims approvals?	
	Does your workflow and claims assignment process allow for multiple levels of staff approval (e.g., claim receives first-level approval; immediately assigned to another staff for second-level, and so on)?	
Holder Reporting	Describe your Holder Reporting capabilities.	
	Do you leverage standard NAUPA formats for holder reports?	
	Are you able to receive payments online and integrate with standard Treasury/Accounting vendor systems?	
	Describe your reconciliation process between reports versus payments and securities received.	
Accounting, Asset Management, Fraud Detection, and Audit	Describe your general approach to asset management and include additional detail with regards to foreign assets. Please include all types of assets, e.g. savings or checking accounts, stocks, stock splits, un-cashed dividends or payroll checks, refunds, traveler's checks, trust distributions, unredeemed money orders or gift certificates, insurance payments or refunds and life insurance policies, annuities, certificates of deposit, customer overpayments, utility security deposits, mineral royalty payments, and contents of safe deposit boxes, etc.	
	Describe your approach to asset valuation.	
	Explain your approach to preventing/identifying fraud.	

STATE OF DELAWARE DIVISION OF REVENUE

Category	Question/Request	Vendor Response
	Explain how assets and claims are linked to associated correspondence, documents, images, events, involved persons, and related claims.	
	Describe your audit functionality.	
	Describe your abilities to reduce fraud.	
	Describe your Holder Reporting capabilities	
	Describe your manual and online filing capabilities, as well as how these filings would be corrected.	
Technical Architecture	Do you conform to a standard architectural framework supporting open system standards? If so, describe.	
	Describe how the use of open hardware and software standards support portability of your solution, allowing interfacing with an existing agency or third-party systems.	
	Define the required architectural components. Include diagrams, if available. <ul style="list-style-type: none"> • Software Architecture • Platform Architecture • Application Architecture • Database Platform 	
	Describe the security of your solution.	
Miscellaneous Vendor Input	Please provide any additional information that would provide the Office of Unclaimed Property with better insight into your product's capabilities.	

Attachment 13 Department of Technology and Information (DTI) Requirements

The vendor shall note any exceptions they may have with the DTI Requirements listed in **Attachment 13**, **Attachment 14** and **Attachment 15** by itemizing the exceptions in **Attachment 10.3 Exceptions Form**. The vendor shall return **Attachment 14** and **Attachment 15** with their proposal response in Adobe PDF format and title each attachment as noted below:

- **Attachment 14 Delaware Cloud Services Terms And Conditions Agreement.pdf**
- **Attachment 15 Data Usage Terms and Conditions.pdf**

STANDARD PRACTICES:

The contractor(s) shall be responsible for the professional quality, technical accuracy, timely completion, and coordination of all services furnished to the State. The contractor(s) shall follow practices consistent with generally accepted professional and technical policies and standards. The contractor(s) shall be responsible for ensuring that all services, products, and deliverables furnished to the State are consistent with practices utilized by, or policies and standards promulgated by, the Department of Technology and Information (DTI) published at <http://dti.delaware.gov/information/standards-policies.shtml>. If any service, product or deliverable furnished by a contractor(s) does not conform to State policies, standards or general practices, the contractor(s) shall, at its expense and option either (1) replace it with a conforming equivalent or (2) modify it to conform to State policies, standards or practices.

CONFIDENTIALITY AND DATA INTEGRITY:

The Department of Technology and Information is responsible for safeguarding the confidentiality and integrity of data in State computer files regardless of the source of those data or medium on which they are stored; e.g., electronic data, computer output microfilm (COM), tape, or disk. Computer programs developed to process State Agency data will not be modified without the knowledge and written authorization of the Department of Technology and Information. All data generated from the source data shall be the property of the State of Delaware. The control of the disclosure of those data shall be retained by the State of Delaware and the Department of Technology and Information.

The Contractor is required to agree to the requirements in the CONFIDENTIALITY AND INTEGRITY OF DATA STATEMENT, attached, and made a part of this RFP. Contractor employees, individually, may be required to sign the statement prior to beginning any work.

SECURITY CONTROLS:

As computer, network, and information security are of paramount concern; the State wants to ensure that computer/network hardware and software do not compromise the security of its IT infrastructure. Therefore, the Vendor is guaranteeing that any system or software meets or exceeds the Top 20 Critical Security controls located at <http://www.sans.org/critical-security-controls/>.

CYBER SECURITY:

It shall be the duty of the Vendor to assure that all products of its effort do not cause, directly or indirectly, any unauthorized acquisition of data that compromises the security, confidentiality, or integrity of information maintained by the State of Delaware. Vendor's agreement shall not limit or modify liability for information security breaches, and Vendor shall indemnify and hold harmless the State, its agents, and employees, from any and all liability, suits, actions or claims, together with all reasonable costs and expenses (including attorneys' fees) arising out of such breaches. In addition to all rights and remedies available to it in law or in equity, the State shall subtract from any payment made to Vendor all damages, costs, and expenses caused by such information security breaches that have not been previously paid to Vendor.

INFORMATION SECURITY:

Multifunction peripherals must be hardened when used or connected to the network. They should be configured to harden the network protocols used, management services, processing services (print, copy, fax, and scan), logging, and physical security. Care shall be taken to ensure that any State non-public data is removed from memory before service calls and equipment disposal.

Electronic information storage devices (hard drives, tapes, diskettes, compact disks, USB, multifunction peripherals, etc.) shall be disposed of in a manner corresponding to the classification of the stored information, up to and including physical destruction.

CLOUD AND EXTERNAL HOSTING:

All vendors shall be responsible for complying with the Terms and Conditions for Cloud Providers and External Hosting listed in Attachment 14. Vendors must complete and submit Attachment 14 with their response.

Attachment 14 Delaware Cloud Services Terms and Conditions Agreement



STATE OF DELAWARE
DEPARTMENT OF TECHNOLOGY AND INFORMATION
801 Silver Lake Blvd., Dover, Delaware 19904

DELAWARE CLOUD SERVICES TERMS AND CONDITIONS AGREEMENT

PUBLIC AND NON-PUBLIC DATA OWNED BY THE STATE OF DELAWARE

XaaS Contract # _____, Appendix _____
between State of Delaware and _____ dated _____

	Public Data	Non Public Data	Cloud Services (CS) Terms
			<p>PROVIDER must satisfy Clause CS1-A OR Clauses CS1-B and CS1-C, AND Clause CS4. Clause CS2 is mandatory for all engagements involving non-public data. Clause CS3 is only mandatory for SaaS or PaaS engagements involving non-public data.</p>
CS1-A		✓	<p>Security Standard Compliance Certifications: The PROVIDER shall meet, and provide proof of, one or more of the following Security Certifications.</p> <ul style="list-style-type: none"> • CSA STAR – Cloud Security Alliance – Security, Trust & Assurance Registry (Level Two or above) • FedRAMP - Federal Risk and Authorization Management Program
CS1-B		✓	<p>Background Checks: The PROVIDER must warrant that they will only assign employees and subcontractors who have passed a state-approved criminal background checks. The background checks must demonstrate that staff, including subcontractors, utilized to fulfill the obligations of the contract, have no convictions, pending criminal charges, or civil suits related to any crime of dishonesty. This includes but is not limited to criminal fraud or any conviction for any felony or misdemeanor offense for which incarceration for a minimum of 1 year is an authorized penalty. The PROVIDER shall promote and maintain an awareness of the importance of securing the State's information among the Service Provider's employees and agents. Failure to obtain and maintain all required criminal history may be deemed a material breach of the contract and grounds for immediate termination and denial of further work with the State of Delaware.</p>
CS1-C		✓	<p>Subcontractor Flowdown: The PROVIDER shall be responsible for ensuring its subcontractors' compliance with the security requirements stated herein.</p>
CS2		✓	<p>Breach Notification and Recovery: The PROVIDER must notify the State of Delaware immediately of any incident resulting in the destruction, loss, unauthorized disclosure, or alteration of State of Delaware data. If data is not encrypted (<i>see CS 3, below</i>), Delaware Code (6 Del. C. §12B-100 et seq.) requires public breach notification of any incident resulting in the loss or unauthorized disclosure of Delawareans' Personally Identifiable Information (PII, as defined in Delaware's <i>Terms and Conditions Governing Cloud Services</i> policy) by PROVIDER or its subcontractors. The PROVIDER will provide notification to persons whose information was breached without unreasonable delay but not later than 60 days after determination of the breach, except 1) when a shorter time is required under federal law; 2) when law enforcement requests a delay; 3) reasonable diligence did not identify certain residents, in which case notice will be delivered as soon as practicable. All such communication shall be</p>

STATE OF DELAWARE DIVISION OF REVENUE

	Public Data	Non Public Data	Cloud Services (CS) Terms
			<p>PROVIDER must satisfy Clause CS1-A OR Clauses CS1-B and CS1-C, AND Clause CS4. Clause CS2 is mandatory for all engagements involving non-public data. Clause CS3 is only mandatory for SaaS or PaaS engagements involving non-public data.</p>
			<p>coordinated with the State of Delaware. Should the PROVIDER or its contractors be liable for the breach, the PROVIDER shall bear all costs associated with the investigation, response, and recovery from the breach. This includes, but is not limited to, credit monitoring services with a term of at least three (3) years, mailing costs, website, and toll-free telephone call center services. The State of Delaware shall not agree to any limitation on liability that relieves the PROVIDER or its subcontractors from its negligence, or to the extent that it creates an obligation on the part of the State to hold a PROVIDER harmless.</p>
CS3		✓	<p>Data Encryption: The PROVIDER shall encrypt all non-public data in transit, regardless of transit mechanism. For engagements where the PROVIDER stores Personally Identifiable Information (PII) or other sensitive, confidential information, it shall encrypt this non-public data at rest. The PROVIDER’s encryption shall meet validated cryptography standards as specified by the National Institute of Standards and Technology in FIPS140-2 and subsequent security requirements guidelines. The PROVIDER and State of Delaware will negotiate mutually acceptable key location and key management details. Should the PROVIDER not be able to provide encryption at rest, it must maintain cybersecurity liability insurance coverage for the duration of the contract. Coverage must meet the State of Delaware’s standard in accordance with the <i>Terms and Conditions Governing Cloud Services</i> policy.</p>
CS4	✓	✓	<p>Notification of Legal Requests: The PROVIDER shall contact the State of Delaware upon receipt of any electronic discovery, litigation holds, discovery searches, and expert testimonies related to, or which in any way might reasonably require access to the data of the State. With regard to State of Delaware data and processes, the PROVIDER shall not respond to subpoenas, service of process, and other legal requests without first notifying the State unless prohibited by law from providing such notice.</p>

The terms of this Agreement shall be incorporated into the aforementioned contract. Any conflict between this Agreement and the aforementioned contract shall be resolved by giving priority to this Agreement. By signing this Agreement, the PROVIDER agrees to abide by the following applicable Terms and Conditions :

FOR OFFICIAL	<input type="checkbox"/>	CS1 A and CS4	OR	<input type="checkbox"/>	CS1-B and CS1-C and CS4
USE ONLY	<input type="checkbox"/>	CS2 (Non-public Data)		<input type="checkbox"/>	CS3 (SaaS, PaaS – Non-public Data)

PROVIDER Name/Address (*print*): _____

PROVIDER Authorizing Official Name (*print*): _____

PROVIDER Authorizing Official Signature: _____ Date: _____

Attachment 15 Data Usage Terms and Conditions



PUBLIC AND NON-PUBLIC DATA OWNED BY THE STATE OF DELAWARE

Contract/Agreement #/name _____, Appendix _____
 between State of Delaware and _____ dated _____

	Public Data	Non-Public Data		DATA USAGE (DU) TERMS
DU1	√	√	Data Ownership	The State of Delaware shall own all right, title and interest in its data that is related to the services provided by this contract. The PROVIDER shall not access State of Delaware user accounts, or State of Delaware data, except (i) in the course of data center operations, (ii) response to service or technical issues, (iii) as required by the express terms of this contract, or (iv) at State of Delaware’s written request. All information obtained or generated by the PROVIDER under this contract shall become and remain the property of the State of Delaware.

STATE OF DELAWARE DIVISION OF REVENUE

	Public Data	Non-Public Data		DATA USAGE (DU) TERMS
DU2	√	√	Data Usage	<p>PROVIDER will protect against any inappropriate use of State of Delaware information at all times. To this end, the PROVIDER shall comply with the following conditions. At no time will any information, belonging to or intended for the State of Delaware, be copied, disclosed, or retained by PROVIDER or any party related to PROVIDER for subsequent use in any transaction. PROVIDER may not use any personal information collected in connection with the service issued from this proposal for any purpose other than fulfilling the service. Protection of Personally Identifiable Information (PII, as defined in the State's <i>Terms & Conditions Governing Cloud Services</i> policy), privacy, and sensitive data shall be an integral part of the business activities of the PROVIDER to ensure that there is no inappropriate or unauthorized use of State of Delaware information at any time. The PROVIDER shall safeguard the confidentiality, integrity, and availability of State information.</p> <p>Only duly authorized PROVIDER staff will have access to the State of Delaware data and may be required to obtain security clearance from the State. No party related to the PROVIDER may retain any data for subsequent use in any transaction that has not been expressly authorized by the State of Delaware.</p>
DU3	√	√	Termination and Suspension of Service	<p>In the event of termination of the contract, the PROVIDER shall implement an orderly return (in CSV or XML or another mutually agreeable format), or shall guarantee secure disposal of State of Delaware data.</p> <p><i>Suspension of services:</i> During any period of suspension or contract negotiation or disputes, the PROVIDER shall not take any action to intentionally alter, erase, or otherwise render inaccessible any State of Delaware data.</p> <p><i>Termination of any services or agreement in entirety:</i> In the event of termination of any services or agreement in entirety, the PROVIDER shall not take any action to intentionally alter, erase, or otherwise render inaccessible any State of Delaware data for 90 days after the effective date of the termination. Within this 90-day timeframe, the vendor will continue to secure and back up State of Delaware data covered under the contract. After such 90-day period, the PROVIDER shall have no obligation to maintain or provide any State of Delaware data. Thereafter, unless legally prohibited, the PROVIDER shall dispose securely of all State of Delaware data in its systems or otherwise in its possession or control, as specified herein.</p> <p>Post-Termination Assistance: The State of Delaware shall be entitled to any post-termination assistance generally made available with respect to the Services unless a unique data retrieval arrangement has been established as part of the Service Level Agreement.</p>

STATE OF DELAWARE DIVISION OF REVENUE

	Public Data	Non-Public Data		DATA USAGE (DU) TERMS
DU4		√	Data Disposition	<p>At the end of this engagement, the PROVIDER will account for and return all State data in all of its forms, disk, CD / DVD, tape, paper, for example. At no time shall any data or processes that either belongs to or are intended for the use of State of Delaware or its officers, agents, or employees, be copied, disclosed, or retained by the PROVIDER.</p> <p>When required by the State of Delaware, the PROVIDER shall destroy all requested data in all of its forms (e.g., disk, CD/DVD, backup tape, paper). Data shall be permanently deleted, and shall not be recoverable, in accordance with National Institute of Standards and Technology approved methods. The PROVIDER shall provide written certificates of destruction to the State of Delaware.</p>
DU5		√	Data Location	<p>The PROVIDER shall not store, process, or transfer any non-public State of Delaware data outside of the United States, including for back-up and disaster recovery purposes. The PROVIDER will permit its personnel and subcontractors to access State of Delaware data remotely only as required to provide technical or call center support.</p>
DU6		√	Breach Notification and Recovery	<p>The PROVIDER must notify the State of Delaware immediately of any incident resulting in the destruction, loss, unauthorized disclosure, or alteration of State of Delaware data. If data is not encrypted (see CS 3, below), Delaware Code (6 Del. C. §12B-100 et seq.) requires public breach notification of any incident resulting in the loss or unauthorized disclosure of Delawareans' Personally Identifiable Information (PII, as defined in Delaware's <i>Terms and Conditions Governing Cloud Services</i> policy) by PROVIDER or its subcontractors. The PROVIDER will provide notification to persons whose information was breached without unreasonable delay but not later than 60 days after determination of the breach, except 1) when a shorter time is required under federal law; 2) when law enforcement requests a delay; 3) reasonable diligence did not identify certain residents, in which case notice will be delivered as soon as practicable. All such communication shall be coordinated with the State of Delaware. Should the PROVIDER or its contractors be liable for the breach, the PROVIDER shall bear all costs associated with the investigation, response, and recovery from the breach. This includes, but is not limited to, credit monitoring services with a term of at least three (3) years, mailing costs, website, and toll-free telephone call center services. The State of Delaware shall not agree to any limitation on liability that relieves the PROVIDER or its subcontractors from its negligence, or to the extent that it creates an obligation on the part of the State to hold a PROVIDER harmless.</p>

STATE OF DELAWARE DIVISION OF REVENUE

	Public Data	Non-Public Data		DATA USAGE (DU) TERMS
DU7		√	Data Encryption	The PROVIDER shall encrypt all non-public data in transit, regardless of transit mechanism. For engagements where the PROVIDER stores Personally Identifiable Information (PII) or other sensitive, confidential information, it shall encrypt this non-public data at rest. The PROVIDER's encryption shall meet validated cryptography standards as specified by the National Institute of Standards and Technology in FIPS140-2 and subsequent security requirements guidelines. The PROVIDER and State of Delaware will negotiate mutually acceptable key location and key management details. Should the PROVIDER not be able to provide encryption at rest, it must maintain cybersecurity liability insurance coverage for the duration of the contract. Coverage must meet the State of Delaware's standard in accordance with the <i>Terms and Conditions Governing Cloud Services</i> policy.

The terms of this Agreement shall be incorporated into the aforementioned contract. Any conflict between this Agreement and the aforementioned contract shall be resolved by giving priority to this Agreement. By signing this Agreement, the PROVIDER agrees to abide by the following applicable Terms and Conditions [check one]:

FOR OFFICIAL USE ONLY **DU 1 - DU 3 (PUBLIC DATA ONLY)** or **DU 1 - DU 7 (NON-PUBLIC DATA)**

PROVIDER Name/Address (*print*): _____

PROVIDER Authorizing Official Name (*print*): _____

PROVIDER Authorizing Official Signature: _____ Date: _____