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Header 5

General Information

Contact

Default Values

Discount

Document Information

Clarification Request

Procurement Folder: 779602

Procurement Type: Central Master Agreement

Vendor ID: VS0000019723

Legal Name: SOFTWARE PRODUCTIVITY STRATEGISTS INC

Alias/DBA:

Total Bid: \$1,330,419.07

Response Date: 10/13/2020

Response Time: 13:34

Responded By User ID: spsinc

First Name: Mary

Last Name: Stang

Email: sales@spsnet.com

Phone: 301-337-2290

SO Doc Code: CRFQ

SO Dept: 0231

SO Doc ID: OOT2100000001

Published Date: 10/7/20

Close Date: 10/14/20

Close Time: 13:30

Status: Closed

Solicitation Description: GRC Software Solution (OT21047)

Total of Header Attachments: 5

Total of All Attachments: 5



Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 50130
 Charleston, WV 25305-0130

**State of West Virginia
 Solicitation Response**

Proc Folder: 779602
Solicitation Description: GRC Software Solution (OT21047)
Proc Type: Central Master Agreement

Solicitation Closes	Solicitation Response	Version
2020-10-14 13:30	SR 0231 ESR10132000000002938	1

VENDOR
 VS0000019723
 SOFTWARE PRODUCTIVITY STRATEGISTS INC

Solicitation Number: CRFQ 0231 OOT2100000001
Total Bid: 1330419.0700000000065192580223 **Response Date:** 2020-10-13 **Response Time:** 13:34:42
Comments:

FOR INFORMATION CONTACT THE BUYER
 Jessica S Chambers
 (304) 558-0246
 jessica.s.chambers@wv.gov

Vendor Signature X **FEIN#** **DATE**

All offers subject to all terms and conditions contained in this solicitation

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Ln Total Or Contract Amount
1	GRC Software Solution				1330419.07

Comm Code	Manufacturer	Specification	Model #
43230000			

Commodity Line Comments:

Extended Description:

See attached Pricing Page

GRC Software Solution (OT21047)



Submitted to:

Bid Clerk
Department of Administration
Purchasing Division
2019 Washington St. E.
Charleston, WV 25305

Opening Date: Tuesday September 22nd, 2020
Closing Date: Wednesday October 14th, 2020 1:30 PM

ORIGINAL

Submitted by:

Software Productivity Strategists, Inc.

2400 Research Blvd. Suite 115
Rockville, MD 20850
301-337-2290

<http://www.spsnet.com>



Attn to Jessica S. Chambers

Bid Contact
Purchasing Division
2019 Washington Street East
Charleston, WV 25305-0130

October 05th, 2020

Dear Ms. Chambers,

Software Productivity Strategists, Inc. is pleased to submit the following proposal:

Request for Proposal No: CRFQ 0231 OOT2100000001

Bid Title: GRC Software Solution (OT21047)

Bidders Name: Software Productivity Strategists, Inc.

Due Date: Wednesday October 14th, 2020 1:30 PM

We acknowledge the receipt of the following:

RFP Release Date: Tuesday September 22nd, 2020

Due Date: Wednesday October 14th, 2020 1:30 PM

Addendum No. 1: October 02nd 2020

Addendum No 2: October 06th 2020

If you have any questions concerning this proposal, please contact Mary Stang through phone 301-337-2290 or via our email contracts@spsnet.com.

Sincerely,

James Davenport
Director GRC Practice
Software Productivity Strategists, Inc.

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STATEMENT OF CURRENT SITUATION

The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Office of Technology to establish an open-end contract for a Governance, Risk, and Compliance (GRC) software solution. This software will be a component of the Cyber Risk Program that was procured under CRFP ISC ISC200000001. The GRC software solution will enhance the ability of the State of West Virginia to maintain compliance with industry regulatory requirements, federal regulatory requirements, applicable laws, and security expectations. The vendor will provide a GRC technology solution that enables the State and its individual agencies to implement an adaptive and effective internal control system for establishing, maintaining, assessing, and reporting effective internal controls.

QUALIFICATIONS

Vendor, or Vendor's staff if requirements are inherently limited to individuals rather than corporate entities, shall have the following minimum qualifications:

3.1. Vendor must have implemented a GRC software solution with a Federal or State, or Local Government entity and provide proof of implementation upon request.

IBM OpenPages Regulatory Compliance Management helps financial institutions reduce time and costs to understand their regulatory requirements. The solution helps reduce risks, such as sanctions and fines, associated with a lack of adherence to regulations.

OpenPages Regulatory Compliance Management offers a diverse array of features and capabilities to banks.

The software can:

- Consolidate regulatory requirements in a central repository. A single repository can disaggregate and classify complex regulations and enable stakeholders across the enterprise to process large volumes of regulatory data more rapidly and efficiently.
- Map regulatory requirements to internal taxonomies and business structures. The tool provides the ability to map regulatory requirements to internal GRC data—connecting regulatory data to key risks, controls, and policies, and linking that data to an overall business strategy. Complex regulations are now organized, visible and measurable in firm-specific terminology.
- Distribute regulatory data to relevant stakeholders and owners. Regulatory requirements can be organized into logical groupings and assigned to owners across the organization.

3.2. Vendor must hold current SOC 2 Type 2 certifications. It is preferred to be provided with vendor's bid; however, it may be requested prior to award.

IBM provides a Service Organization Controls (SOC) 2 Type 2 report for IBM Cloud and the reports evaluate IBM's operational controls according to the criteria set by the American Institute of Certified Public Accountants (AICPA) Trust Services Principles. The Trust Services Principles define adequate control systems and establish industry standards for service providers such as IBM Cloud to safeguard their customers' data and information.

3.3. The Vendor must be compliant with Internal Revenue Service (IRS) 1075, Section 9.3.1.12 – Remote Access requirements.

- 3.3.1. IRS 1075, Section 9.3.1.12 states that *"FTI cannot be accessed remotely by agency employees, agents, representatives, or contractors located offshore - outside of the United States territories, embassies, or military installations. Further, FTI may not be received, processed, stored, transmitted, or disposed of by IT systems located offshore."***

SPS will not store any data on systems located outside of the United States. It will also only be access by individuals within the United States.

3.4. Vendor must appear in the Leaders quadrant of the Gartner’s Magic Quadrant for IT Risk Management Report published August 11, 2020.

Figure 1. Magic Quadrant for IT Risk Management



Source: Gartner (August 2020)

MANDATORY REQUIREMENTS

4.1. Contract Items and Mandatory Requirements: Vendor shall provide Agency with the Contract Items listed below on an open-end and continuing basis. Contract Items must meet or exceed the mandatory requirements as shown below.

4.1.1. Contract Item #1 Governance, Risk, and Compliance (GRC) Software Solution Mandatory Requirements:

SPS is pleased to propose IBM OpenPages with Watson and SPS Cognitive Security Manager for the GRC software requirements at the Agency.

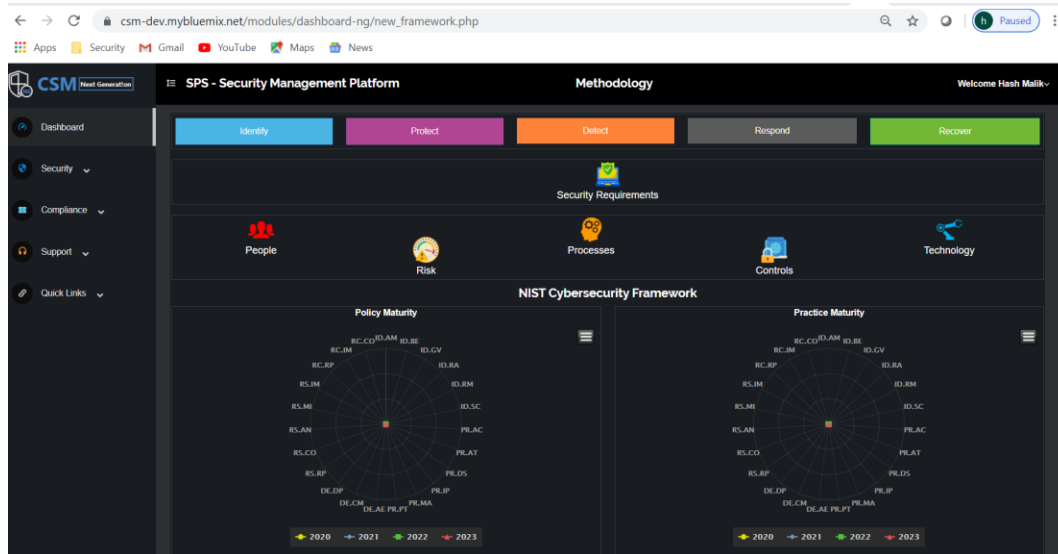
IBM OpenPages with Watson is a market-leading AI-driven Governance, Risk & Compliance (GRC) solution designed to help organizations achieve their business objectives in a world of dynamic risk. It centralizes your siloed risk management functions using an integrated GRC platform that reduces the cost of maintaining multiple solutions while also improving support for an enterprise-wide view of risk across multiple risk domains.

Part number	Description	Quantity
D01VDZX	IBM OpenPages Single Sign-On Setup on Cloud Engagement Remotely Delivered Service -- Distinct	1
D01VEZX	IBM OpenPages Starter Edition for Non-Production on Cloud Instance Subscription Per Month	1
D026PZX	IBM OpenPages Administrator User on Cloud Authorized User Subscription Per Month	2
D026QZX	IBM OpenPages General User on Cloud Authorized User Subscription Per Month	15
D026RZX	IBM OpenPages General User on Cloud Authorized User Overage	N/A
D026SZX	IBM OpenPages Single-Function User on Cloud Authorized User Subscription Per Month	200
D026TZX	IBM OpenPages Single-Function User on Cloud Authorized User Overage	N/A
D1A5XLL	IBM OpenPages Data Storage on Cloud Gigabyte per Month	1
D1A5ZLL	IBM OpenPages Data Storage on Cloud Gigabyte Overage	N/A
D1A66LL	IBM OpenPages Service Level Agreement on Cloud	Up To 1
D1KAHLL	IBM OpenPages IT Governance on Cloud Application per Month	1
D1VNFL	IBM OpenPages Starter Edition on Cloud per Instance per Month	1
D1TFGL	IBM OpenPages New Client Setup on Cloud per Engagement One-Time Setup	1

Here is Gartner ranking of IBM OpenPages with Watson



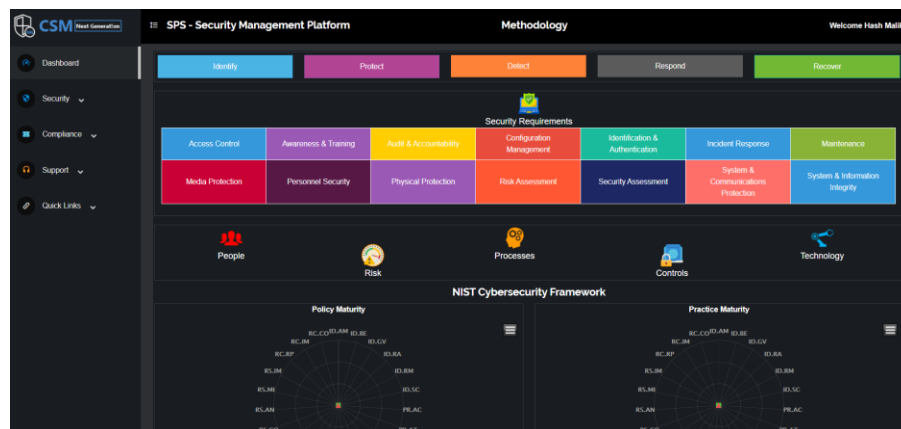
SPS Cognitive Security manager is an AI-based security management platform that enables organization to manage people, processes and technology leveraging the NIST cybersecurity, risk, and compliance standards.



4.1.1.1. Vendors GRC solution must provide a cost-effective cloud-based Software-as-a-Service (SaaS) risk management solution for the State Cybersecurity Framework. (including future scalability when new agencies are on-boarded)

IBM OpenPages with Watson is a secure SaaS-based solution

4.1.1.2. Vendors GRC solution must implement NIST Cybersecurity Framework (NIST CSF), NIST 800-53 control set, and align to PCI DSS, HIPAA, FERPA, CJIS, and other compliance programs.



SPS Cognitive Security Manager enables organizations to integrate GRC within the NIST cybersecurity frameworks including NIST 800-53 controls, NIST 800-171 requirements, NIST 800-37 Risk Management framework and NICE frameworks.

4.1.1.3. Vendors GRC solution must automatically implement changes or updates in laws or compliance programs and alert users to relevant updates.

IBM OpenPages with Watson automatically implements changes or updates in laws or compliance programs and alerts users to relevant updates

IBM OpenPages with Watson Regulatory Compliance Management (RCM) supports organizations in breaking down regulations into a catalog of requirements, evaluating its impact on the business, and creating actionable tasks. It also helps in establishing a governance framework to manage ongoing monitoring and triage of regulatory alerts.

IBM OpenPages with Watson RCM also partners with Thomson Reuters and Wolters Kluwer to help financial institutions address the ever-growing regulatory requirements through the powerful combination of artificial intelligence (AI) and real-time regulatory insights.

4.1.1.4. Vendors GRC solution must maintain the Security Requirements Traceability Matrix (including objectives, risks, controls, ranks, rates, etc.), and allow periodic updates to be made.

IBM OpenPages with Watson GRC solution maintains the Security Requirements Traceability Matrix including objectives, risks, controls, ranks, rates, etc. and allow periodic updates to be made.

4.1.1.5. Vendors GRC solution must identify and assess strategic risks, opportunities, and mitigating controls.

IBM OpenPages with Watson GRC solution identifies and assess strategic risks, opportunities, and mitigating controls.

4.1.1.6. Vendors GRC solution must monitor and manage strategic risks and opportunities.

IBM OpenPages with Watson GRC solution monitors and manages strategic risks and opportunities.

4.1.1.7. Vendors GRC solution must report strategic risks and opportunities.

IBM OpenPages with Watson GRC solution reports strategic risks and opportunities.

4.1.1.8. Vendors GRC solution must include a workflow management component that allows for work to be created and shared (internally or externally), including the ability to record user comments.

IBM OpenPages with Watson GRC solution includes a workflow management component that allows for work to be created and shared, internally, or externally, including the ability to record user comments.

4.1.1.9. Vendors GRC solution must automatically push out control assessments to control owners annually.

IBM OpenPages with Watson GRC solution automatically pushes out control assessments to control owners annually.

4.1.1.10. Vendors GRC solution must send reminders/receive feedback on due tasks and dates to all relevant resources and other stakeholders.

IBM OpenPages with Watson GRC solution sends reminders/receive feedback on due tasks and dates to all relevant resources and other stakeholders.

4.1.1.11. Vendors GRC solution must deliver automated escalations if deadline is approaching.

IBM OpenPages with Watson GRC solution delivers automated escalations if deadline is approaching.

4.1.1.12. Vendors GRC solution must provide standardized templates for different functions/areas, including reporting templates and a testing result reporting template linked to every control.

IBM OpenPages with Watson GRC solution provides standardized templates for different functions/areas, including reporting templates and a testing result reporting template linked to every control.

4.1.1.13. Vendors GRC solution must allow for documentation of risk/control issues/findings/remediation plans.

IBM OpenPages with Watson GRC solution allows for documentation of risk/control issues/findings/remediation plans.

4.1.1.14. Vendors GRC solution must track remediation deadlines/timelines.

IBM OpenPages with Watson GRC solution tracks remediation deadlines/timelines.

4.1.1.15. Vendors GRC solution must provide a dashboard to show, at a minimum, which updates are outstanding, the last Security Requirements Traceability Matrix review dates, and when testing is overdue.

IBM OpenPages with Watson GRC solution has a robust dashboard creation engine. Modules are easily pulled into additional user customized dashboards and can be easily modified to their preference.

4.1.1.16. Vendors GRC solution must provide data visualization tools or allow export of data to other tools such as Microsoft Office

IBM OpenPages with Watson GRC solution provides data visualization tools or allow export of data to other tools such as Microsoft Office.

4.1.1.17. Vendor must provide a means to summarize and track data in the system.

IBM OpenPages with Watson GRC solution provides a means to summarize and track data in the system.

4.1.1.18. Vendor must provide a means to summarize performance metrics.

IBM OpenPages with Watson GRC solution provides means to summarize performance metrics

4.1.1.19. Vendors GRC solution must have user/access management tools to allow for creation/management of user accounts (Active Directory integrated preferred for future use; role-based access required)

IBM OpenPages with Watson GRC solution has user/access management tools to allow for creation/management of user accounts. It can be integrated with Active Directory. Access is role-based.

4.1.1.19.1. Role-based access must be defined at the functional level (i.e. allow user access to data only relevant to their function)

This is addressed in 4.1.1.19.

4.1.1.19.2. Will restrict certain functions to authorized staff only (i.e. certain user group has read-only access, another user group has ability to delete records)

This is addressed in 4.1.1.19

4.1.1.20. Vendor solution must include ability to help manage the incident management process including the use of templates, automated workflows, and dashboards.

IBM OpenPages with Watson GRC solution has a built-in risk management features that enhance the incident reporting functions by providing insight from early detection through remediation. The robust reporting engine has many built in templates that can also be customized to improve visibility into ongoing processes.

4.1.2. Contract Item #1 Governance, Risk, and Compliance (GRC) Vendor Mandatory Requirements:

4.1.2.1. The vendor must conduct training with a group of at least fifteen (15) power users of the new tool enabling a “train- the- trainer” approach. This training is to be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support.

The following self-paced courses are available for IBM OpenPages for Watson. Our proposal includes these courses for one user. In addition, SPS will provide two weeks of on-site training.

Sr No.	Course Name	Course Number	Duration
1	IBM Open Pages: Task Focused UI and Workflow (v8.0.0.2)	10310GPK	16 Hours
2	IBM OpenPages - Internal Audit Management (v7.1)	10285GWPK	4 Hours

Sr No.	Course Name	Course Number	Duration
3	IBM OpenPages Administration (v 7.3) eLearning	10312GWPK	6 Hours
4	IBM OpenPages: Compliance Management (v7.1)	10284GWPK	4 Hours
5	IBM OpenPages: Core Team Fundamentals (7.4)	10300GPK	8 Hours
6	IBM OpenPages: Core Team Fundamentals (v8.0)	10305GPK	8 Hours
7	IBM OpenPages: Create Standard Reports-Part 1	10272GWPK	7 Hours
8	IBM OpenPages: Create Standard Reports-Part 2	10273GWPK	7 Hours
9	IBM OpenPages: Create Standard Reports-Part 3	10274GWPK	7 Hours
10	IBM OpenPages: Create Standard Reports-Part 4	10275GWPK	5 Hours
11	IBM OpenPages: Create Standard Reports-Part 5	10276GWPK	7 Hours
12	IBM OpenPages: Introduction to Reporting	10271GWPK	2 Hours
13	IBM OpenPages: Maintaining Reporting Functions	10270GWPK	1.5 Hours
14	IBM OpenPages: Policy Management (v7.1)	10283GWPK	4 Hours
15	IBM OpenPages: Task Focused UI and Workflow (v8.0.0.3)	10311GPK	8 Hours
16	IBM OpenPages: Using Event Studio	10299GWPK	1.5 Hours
17	Using IBM OpenPages (v7.3) - eLearning	10297GWPK	8 Hours

4.1.2.2. Additionally, tool must provide online on-demand, self-paced training.

Additional online training is available on demand for customers who wish to take advantage of it.

4.1.2.3. The vendor must provide technical support within one (1) business day and make best efforts to resolve problems as quickly as possible.

SPS/IBM team for OpenPages with Watson GRC will provide technical support within one (1) business day and make best efforts to resolve problems as quickly as possible.

4.1.2.4. The vendor must guarantee application has 99.9% uptime.

SPS/IBM team for OpenPages with Watson GRC will guarantee application uptime of 99.9%.

4.1.2.5. The vendor must provide frequent progress reports during any outage.

SPS/IBM team for OpenPages with Watson GRC will provide frequent progress reports during any outage.

4.1.2.6. The vendor must ensure that State of West Virginia data is not co-mingled with other customer's data.

SPS/IBM team for OpenPages with Watson GRC will ensure that the State of West Virginia data is not co-mingled with other customer's data.

4.1.2.7. The vendor must ensure that State of West Virginia data can be exported and returned to the state.

SPS/IBM team for OpenPages with Watson GRC will ensure that State of West Virginia data can be exported and returned to the state.

4.1.2.8. The vendor must ensure State of West Virginia data is destroyed at the end of the contract.

SPS/IBM team for OpenPages with Watson GRC will ensure that the State of West Virginia data is destroyed at the end of the contract.

4.1.2.9. Vendor must support data in transit encryption using TLS 1.2 or higher.

SPS/IBM team for OpenPages with Watson GRC will support data in transit encryption using TLS 1.2 or higher.

4.1.2.10. Vendor must support encryption at rest using AES-256 or higher.

SPS/IBM team for OpenPages with Watson GRC will support encryption at rest using AES-256 or higher.

4.1.2.11. Vendor must use two-factor authentication and or network access control limiting access from an exposed IP or subnet preferred.

SPS/IBM team for OpenPages with Watson GRC will use two-factor authentication and or network access control limiting access from an exposed IP or subnet preferred.

4.1.3. Contract Item #2 Professional Services - Post Implementation Customization

4.1.3.1. The Post Implementation Customization Rate must be a single hourly rate that will be billed for all staff time and is to be used to consult with vendor staff on unforeseen customization issues that may arise after the GRC solution has been successfully implemented. Requests to use the Implementation Consultant Hours must be outlined in a SOW (Statement of Work) and include both the problem and required number of hours to address the problem and must be executed by an authorized representatives of both Parties.

SPS/IBM team for OpenPages with Watson GRC has quoted a single hourly rate as a Post Implementation Customization Rate that will be billed for all staff time and will be used to consult with the SPS/IBM team on unforeseen customization issues that may arise after the GRC solution has been successfully implemented. We understand that requests to use the Implementation Consultant Hours will be outlined in a SOW

(Statement of Work) and will include both the problem and required number of hours to address the problem and will be executed by an authorized representatives of both Parties.

4.1.4. Software as a Service Addendum

4.1.4.1. Vendor must sign the attached Software as a Service Addendum prior to award.

SPS will sign the attached Software as a Service Addendum if awarded the contract.

PROJECT LEADERSHIP

James Davenport – Director



James Davenport has an extensive IT background spanning more than 20 years. He has performed multiple IT and compliance assessments in a variety of industries. As a leader in the IT industry, he is pioneering 21st century solutions to modernize the eye care industry. Regulations such as HIPAA, PCI and ICD-10 have changed the way patient healthcare data is protected. During his tenure as the IT Director of one of the fastest growing eye care companies in the country, James helped oversee the growth of the organization from 39 offices in the DC metro area to 378 in 11 states and the District of Columbia, primarily through acquisition. James has devised innovative solutions to scale and protect the ever-increasing volume of patient data. While working with SPS as a strategic advisor he has provided services to clients as a virtual CISO. He has been instrumental in the creation and testing of the *Cognitive Security Manager* (CSM) application. He is recently supported a Fortune 500 client as an interim Director of IT supporting several transformation initiatives while maintaining operational delivery service levels. James earned his B.S. in Management of Information Systems from Brigham Young University.

Imran Mufti – Senior Consultant



Imran Mufti brings over 25 years of professional experience, with last fifteen in Cybersecurity and allied fields: Database Security and Monitoring, Identity and Access Management, Security Information and Event Management (SIEM), in IBM suite of products (Guardium, ISIM, ISAM, QRadar, TDI/IDI), as well as SNMP based network monitoring tools. Completed Training on processes and procedures in DOJ, based upon ISO 20000-1 and NIST CSF (Cybersecurity Framework) for compliance. Put in practice relevant processes used in database monitoring

Rizwan Ali – Consultant



Rizwan has been working with SPS since 2010 to present as a Cybersecurity Solution specialist. He has over 10 years of experience with diverse technologies in the field of Security and has been engaged in assisting customers plan, design, and implement security services. As an integral part of his job he has demonstrated knowledge and experience in information privacy and security laws and practices such as ISO 27000, PCI DSS, HIPAA, SOC, SOX, GLBA, GDPR. He has also developed and maintained our client's compliance policies and procedures based on the NIST Framework. Rizwan has also been a part of the team that helped in the creation and testing of the *Cognitive Security Manager* (CSM) application which helps organizations to evaluate all relevant business and regulatory risks and controls to monitor mitigation actions in a structured manner. He has hands on experience designing, and configuring GRC software like the IBM Open Pages, RSA Archer, MetricStream, etc.

Mohsin Ali – Consultant

Mohsin Ali Skilled Information Security Analyst with expertise in SIEM and a wide range of vulnerabilities and threats. Well-versed in direct and remote analysis with strong critical thinking communication and people skills. Able to thrive in fast-paced and challenging environments where accuracy and efficiency matter. Certified in Rapid 7 Insight IDR and IBM QRadar.

ASSUMPTIONS

In preparing this proposal, we have made the following assumptions. If these assumptions should prove invalid or change during the course of the engagement, we will discuss with the State of West Virginia and agree upon any revision of the scope, proposed timing, or estimated cost.

- State of West Virginia resource availability is critical to completing the deliverables within the specified time frames. All deliverables will be reviewed in a timely manner. All issues, questions, requests for feedback, and action items assigned to State of West Virginia team members will need to be completed in a timely manner in keeping with the project schedule. Requests that cannot be completed in a timely manner will be tracked at the executive management level to determine the impact on the project timeline and may result in delay of the final deliverables.
- State of West Virginia will provide system access to members of the SPS team.
- Changes to key project activities must be approved at the executive level, along with the resulting changes to the program timeline, cost, and associated deliverable.
- Members of the State of West Virginia project team will have the ability and authority to make timely decisions and commitments. State of West Virginia will provide full availability of information and personnel required for SPS to complete the activities.
- SPS will provide the State of West Virginia with a weekly status report (WIR). This report will highlight progress made, expectations of upcoming activity, and a summary of costs incurred for the week and for the project to date. This WIR report will be the mechanism by which both parties can evaluate progress, revise scope, and address issues, as necessary. To the extent possible, the WIR report will also enable us to discuss estimates to complete on the various workstreams.
- State of West Virginia will provide office space and building access for the project resources during the course of the engagement. SPS resources will be working primarily from State of West Virginia facilities, and remotely as required.

Should any of these assumptions prove invalid, SPS will be entitled to an equitable adjustment in the price and/or schedule, as applicable, for any additional tasks or activities in which it may be required to engage as a result of the inaccuracy or failure of any of the assumptions set forth in this proposal. SPS will not be required to undertake any activity or obligation outside of the scope of its obligations as defined in this proposal unless and until the fee and/or schedule impact of such activity or obligation has been agreed upon in writing by State of West Virginia's point of contact.

SUMMARY

SPS can provide the State of West Virginia with a comprehensive security assessment along with access to our *Cognitive Security Manager* (CSM) which is a key differentiator in offerings by other vendors. Our staff has extensive security experience in a variety of industries and is fluent in best practices and best of breed applications. IBM OpenPages with Watson provides a tailor-made solution for the requirements set forth by the State of West Virginia. SPS offers competitive training and long-term support options that also reduce the total cost of ownership. Our pricing is competitive and anticipate building an ongoing relationship with the State of West Virginia.

APPENDIX A: TERMS AND CONDITIONS

I. **Payment Terms**

- SPS will submit invoices to The State of West Virginia bi-weekly.
- Invoices will be based on time sheets with actual billable hours approved by The State of West Virginia and any pre-approved travel expense detailed in an expense report.
- SPS payment terms are Net 30 from date of invoice. A 1.5% finance charge will be added to all overdue invoices

II. **Responsibilities**

- The State of West Virginia will designate a single point of contact (sponsor), who will be responsible for directing and overseeing the services delivery and providing the SPS consultants with required information and resources in a timely and accurate manner. The sponsor will act as the primary point of contact for all project status and related items. The sponsor will also be responsible for providing access to other The State of West Virginia staff members who may be required to provide information and expertise.
- All services will be delivered during normal business hours (defined to be 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding the SPS holidays) unless other arrangements are mutually agreed upon by The State of West Virginia and SPS in advance.
- Delivery of any onsite consulting services defined in this proposal must be scheduled at a time, which is mutually agreeable to both The State of West Virginia and the SPS consultant.
- The price quoted above does not include travel expenses. All travel will be invoiced based on actual receipts.

III. **Change Orders & Termination**

- In the event engagement scope is cancelled or changed by The State of West Virginia, SPS will be informed at least 30 days in advance.
- If the engagement is cancelled or changed by The State of West Virginia after SPS consultants have started work, SPS will invoice The State of West Virginia and The State of West Virginia agrees to pay SPS for all time and travel up to that point.
- Either Party may terminate this Schedule upon thirty (30) day's advance written notice to the other Party.

APPENDIX B: ADDENDUMS

Addendum No. 1

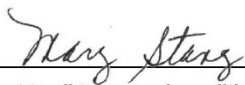
	Department of Administration Purchasing Division 2019 Washington Street East Post Office Box 50130 Charleston, WV 25305-0130	State of West Virginia Centralized Request for Quote Info Technology

Proc Folder: 779602 Doc Description: GRC Software Solution (OT21047)		Reason for Modification: Addendum No. 01 is being issued to address all technical questions received. No other changes.
Proc Type: Central Master Agreement		
Date Issued	Solicitation Closes	Solicitation No
2020-10-02	2020-10-07 13:30	CRFQ 0231 OOT210000001
		Version
		2

BID RECEIVING LOCATION
BID CLERK DEPARTMENT OF ADMINISTRATION PURCHASING DIVISION 2019 WASHINGTON ST E CHARLESTON WV 25305 US

VENDOR
Vendor Customer Code: Vendor Name : Software Productivity Strategists, Inc. Address : Street : 2400 Research Blvd. Suite 115 City : Rockville State : MD Country : USA Zip : 20850 Principal Contact : Mary Stang Vendor Contact Phone: 301-337-2290 Extension:

FOR INFORMATION CONTACT THE BUYER
Jessica S Chambers (304) 558-0246 jessica.s.chambers@wv.gov

Vendor Signature X 	FEIN# 52-1832154	DATE 10/07/2020
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All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION

The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Office of Technology to establish an open-end contract for a Governance, Risk, and Compliance (GRC) software solution. This software will be a component of the Cyber Risk Program that was procured under CRFP ISC ISC2000000001. The GRC software solution will enhance the ability of the State of West Virginia to maintain compliance with industry regulatory requirements, federal regulatory requirements, applicable laws, and security expectations. The vendor will provide a GRC technology solution that enables the State and its individual agencies to implement an adaptive and effective internal control system for establishing, maintaining, assessing, and reporting effective internal controls per the terms and conditions and specifications as attached.

INVOICE TO	SHIP TO
DEPARTMENT OF ADMINISTRATION OFFICE OF TECHNOLOGY 1900 KANAWHA BLVD E, BLDG 5 10TH FLOOR CHARLESTON WV 25305 US	WV OFFICE OF TECHNOLOGY BLDG 5, 10TH FLOOR 1900 KANAWHA BLVD E CHARLESTON WV 25305 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	GRC Software Solution				

Comm Code	Manufacturer	Specification	Model #
43230000			

Extended Description:
See attached Pricing Page

SCHEDULE OF EVENTS		
Line	Event	Event Date

	Document Phase	Document Description	Page
OOT210000001	Draft	GRC Software Solution (OT21047)	3

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

SOLICITATION NUMBER: CRFQ OOT210000001

Addendum Number: No.01

The purpose of this addendum is to modify the solicitation identified as (“Solicitation”) to reflect the change(s) identified and described below.

Applicable Addendum Category:

- | Modify bid opening date and time
- | Modify specifications of product or service being sought
- | Attachment of vendor questions and responses
- | Attachment of pre-bid sign-in sheet
- | Correction of error
- | Other

Description of Modification to Solicitation:

Addendum issued to publish and distribute the attached documentation to the vendor community.

1. The purpose of this addendum is to address all technical questions received.

No additional changes.

Additional Documentation: Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

Terms and Conditions:

1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.
2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

Revised 6/8/2012

ATTACHMENT A

Revised 6/8/2012

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: _____

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:

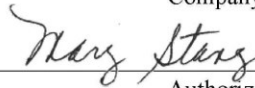
(Check the box next to each addendum received)

- | | |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6 |
| <input type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7 |
| <input type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8 |
| <input type="checkbox"/> Addendum No. 4 | <input type="checkbox"/> Addendum No. 9 |
| <input type="checkbox"/> Addendum No. 5 | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Software Productivity Strategists, Inc.

Company



Authorized Signature

10/07/2020

Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.
Revised 6/8/2012

CRFO OOT21*01 – GRC Tool Technical Questions and Answers

1. 4.1.1.20 Vendor solution must include ability to help manage the incident management process including the use of templates, automated workflows, and dashboards.

Can you please elaborate on what kind of incident is being referred to here? For example, is it simply an incident/risk gap discovered in the vendor risk assessment? Or is it more like an ad-hoc incident such as a CEO losing his/her laptop for example?

The type of incident referenced here is an ad-hoc incident such as a lost laptop, or unanticipated system downtime. The incident would need to be tracked in the solution through an incident management process that would include, but is not limited to:

- a. Logging the incident
 - b. Categorizing the incident
 - c. Prioritizing the incident
 - d. Assigning the incident to incident response team member
 - e. Creating tasks to help manage the incident response process for the incident
 - f. Ability to escalate incident to other incident response team members
 - g. Recording on what the resolution of the incident was along with tracking open vs closed incidents
2. Is the proposed solution intended to be used solely by the Office of Technology or are there multiple agencies under OIT who would use the solution?

The Office of Technology will be the primary users and administrating the system, but all agencies are expected to be onboarded into the application. In some cases, agencies will be using the tool directly to self-assess and in other cases the process will be managed by the Office of Technology or a designated contractor helping with the risk assessment process.

3. How many employees will be using the proposed solution? Do all of these employees work for OIT or do some work in other agencies under OIT? If so, how many employees in each agency would use the proposed solution?

Vendor must provide at least fifteen (15) power user licenses and must be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support. Not all users will work in the Office of Technology but will be users from other state agencies. If the solution is licensed by user, the Office of Technology would manage where the user licenses would be assigned as needed.

4. Where in the Pricing Page - Exhibit A – is appropriate to display pricing for implementation costs for starting up the proposed solution?

Initial implementation costs must be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support.

5. Could you please provide clarification on the units of measure? (LS, HR).

On the pricing sheet “LS” stands for lump sum and “HR” stands for hourly.

6. Would it be acceptable to receive responses before the deadline of 09/30/20? Also, would it be acceptable to extend the submission deadline to 10/14/20?

Bids must be received by the deadline. No, the deadline will not be extended.

7. 3.1: Is it mandatory that the GRC solution has implemented a Federal or State or Local Government entity?

Yes.

8. 4.1.1.1: Will we have the ability to have a discovery call with the West Virginia team to confirm your requirements and to confirm what is going to be shown on a demonstration?

Vendors are not being asked for a demonstration of their solution. The requirements have been provided in this solicitation. To be considered, a vendor should submit a written response on how their company and solution will meet each of the requirements in the Request for Quotation.

9. 4.1.1.2: Is the expectation that these Frameworks are all out of the box or does WV have some of the control sets available?

The expectation is that the Frameworks identified in section 4.1.1.2 would be available for use out of the box or vendor has a way to implement them for use by the State of WV.

10. 4.1.1.3: Can you confirm that WV is looking for a solution to update changes around only control sets or laws and regulations? Or both?

Both. As an example, if there is an update to PCI DSS, those updates should be made within the solution, and then alert users that there have been updates so any changes can be evaluated to ensure the agency maintains compliance.

11. If West Virginia is including laws and regulations, which laws and regulations are in scope here?

The primary laws, regulations and frameworks to be used are as follows: NIST Cyber Security Framework (CSF) 1.1, NIST 800-53, NIST 800-171, HIPAA, PCI, CIS, ISO27002:2013, IRS 1075, and CJIS. West Virginia will use a customized version of NIST CSF 1.1, to evaluate compliance for each agency. It is not expected that the West Virginia Cyber Security Framework (CSF), will already be populated in the solution. The solution should allow for the WV CSF to be evaluated against which would be configured during implementation.

12. 4.1.1.12: What type of work is being shared externally and for what purposes? ie - Auditors who look at your controls

The standardized templates / reports are for internal use by the State of WV to assist with validating compliance with the WV CSF and other compliance frameworks. As an example, there should be a report template that can be used by each agency to show how they are in or out of compliance with the WV CSF.

At times, data will need to be exported from the solution to external auditors to assist the agency with showing compliance with a compliance framework.

13. **4.1.1.16:** Can you provide examples of visualization tools WV is looking to use? Any other integrations needed?

Visualization tools should allow for the creation of executive style reports or dashboards to show not only an agency's level of compliance, but their level of risk based on their risk assessment. Each agency should roll up to a view where someone can quickly see the status of the State as a whole. If the solution does not allow for this then the data that would make up reports and views as mentioned, would need to be exported to Microsoft Office to create the same type of reports. It is preferred that the solution have these tools built in, and then only ad hoc data would have to be exported as necessary.

14. **4.1.2.1:** I see the power users(15) within the RFP, but there isn't insight for secondary users (ie control owners and process owners). Can you provide the number of secondary users so we properly quote West Virginia?

Vendor must provide at least fifteen (15) power user licenses and must be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support. At this point, there is no expectation that secondary users would need to access the solution.

15. **Contract Award** - When is West Virginia looking to select a solution by and are there any compelling dates/initiatives to keep in mind for project kickoff and go-live?

West Virginia is looking to select a solution and start implementation as soon as possible. The state anticipates starting implementation in November 2020 with expectation that the system would go live by the end of January 2021.

16. **Demonstration schedule:** When do you plan on scheduling the demonstration so we can properly prepare?

No demonstrations are being scheduled.

17. In reference to section 3.1. Vendor must have implemented a GRC software solution with a Federal or State, or Local Government entity and provide proof of implementation upon request. Will this opportunity accept public sector references outside of the US? For example, Canadian Federal Government, Provincial Governments of Municipal Governments.

United States Based Federal, State, or Local Government entities are preferred.


18. Is your client open to non-US citizens performing the services on this engagement. An example would be Canadian resources who are considered near-shore.

It is mandatory that all data within the solution be stored and accessed from within the United States. Some state agencies might have a requirement that only United States citizens can access their data.

19. One further question, do we have to fill this form out as well or is this form just for information purposes? Just curious, thank you.

You need to download all the attachments via wvOasis VSS and fill out accordingly. There are several files available for download, the "Bid Documents" file contains the complete specifications and the Exhibit A Pricing Page should be used to provide your pricing information.

Addendum No. 2

	Department of Administration Purchasing Division 2019 Washington Street East Post Office Box 50130 Charleston, WV 25305-0130	State of West Virginia Centralized Request for Quote Info Technology

Proc Folder: 779602 Doc Description: GRC Software Solution (OT21047)		Reason for Modification: Addendum No. 02 is being issued to extend the bid opening date and time one week. No other changes	
Proc Type: Central Master Agreement			
Date Issued	Solicitation Closes	Solicitation No	Version
2020-10-06	2020-10-14 13:30	CRFQ 0231 OOT2100000001	3

BID RECEIVING LOCATION

BID CLERK
 DEPARTMENT OF ADMINISTRATION
 PURCHASING DIVISION
 2019 WASHINGTON ST E
 CHARLESTON WV 25305
 US

VENDOR

Vendor Customer Code:

Vendor Name : Software Productivity Strategists, Inc.

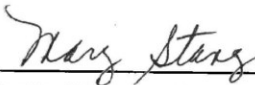
Address :

Street : 2400 Research Blvd. Suite 115
City : Rockville
State : MD **Country :** USA **Zip :** 20850

Principal Contact : Mary Stang

Vendor Contact Phone: 301-337-2290 **Extension:**

FOR INFORMATION CONTACT THE BUYER
 Jessica S Chambers
 (304) 558-0246
 jessica.s.chambers@wv.gov

Vendor Signature X  FEIN# 52-1832154 DATE 10/13/2020

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION:
 The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Office of Technology to establish an open-end contract for a Governance, Risk, and Compliance (GRC) software solution. This software will be a component of the Cyber Risk Program that was procured under CRFP ISC ISC2000000001. The GRC software solution will enhance the ability of the State of West Virginia to maintain compliance with industry regulatory requirements, federal regulatory requirements, applicable laws, and security expectations. The vendor will provide a GRC technology solution that enables the State and its individual agencies to implement an adaptive and effective internal control system for establishing, maintaining, assessing, and reporting effective internal controls per the terms and conditions and specifications as attached.

INVOICE TO	SHIP TO
DEPARTMENT OF ADMINISTRATION OFFICE OF TECHNOLOGY 1900 KANAWHA BLVD E, BLDG 5 10TH FLOOR CHARLESTON WV 25305 US	WV OFFICE OF TECHNOLOGY BLDG 5, 10TH FLOOR 1900 KANAWHA BLVD E CHARLESTON WV 25305 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	GRC Software Solution				

Comm Code	Manufacturer	Specification	Model #
43230000			

Extended Description:
 See attached Pricing Page

Line	Event	Event Date
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SOLICITATION NUMBER: CRFQ OOT210000001

Addendum Number: No.02

The purpose of this addendum is to modify the solicitation identified as (“Solicitation”) to reflect the change(s) identified and described below.

Applicable Addendum Category:

- Modify bid opening date and time
- Modify specifications of product or service being sought
- Attachment of vendor questions and responses
- Attachment of pre-bid sign-in sheet
- Correction of error
- Other

Description of Modification to Solicitation:

Addendum issued to publish and distribute the attached documentation to the vendor community.

1. The purpose of this addendum is to extend bid opening date one week.

No additional changes.

Additional Documentation: Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

Terms and Conditions:

1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.
2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

Revised 6/8/2012

ATTACHMENT A

Revised 6/8/2012

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: _____

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:

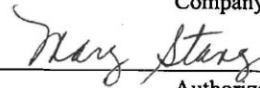
(Check the box next to each addendum received)

- | | |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6 |
| <input checked="" type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7 |
| <input type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8 |
| <input type="checkbox"/> Addendum No. 4 | <input type="checkbox"/> Addendum No. 9 |
| <input type="checkbox"/> Addendum No. 5 | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Software Productivity Strategists, Inc.

Company



Authorized Signature

10/13/2020

Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.
Revised 6/8/2012



Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 50130
 Charleston, WV 25305-0130

State of West Virginia
 Centralized Request for Quote
 Info Technology

Proc Folder: 779602
Doc Description: GRC Software Solution (OT21047)
Proc Type: Central Master Agreement

Reason for Modification:

Date Issued	Solicitation Closes	Solicitation No	Version
		CRFQ 0231 OOT210000001	1

BID RECEIVING LOCATION

BID CLERK
 DEPARTMENT OF ADMINISTRATION
 PURCHASING DIVISION
 2019 WASHINGTON ST E
 CHARLESTON WV 25305
 US

VENDOR

Vendor Customer Code:
Vendor Name : Software Productivity Strategists, Inc.
Address : 2400 Research Blvd, Suite 115
Street :
City : Rockville
State : Maryland **Country :** United States of America **Zip :** 20850
Principal Contact :
Vendor Contact Phone: 301-337-2290 **Extension:**

FOR INFORMATION CONTACT THE BUYER

Jessica S Chambers
 (304) 558-0246
 jessica.s.chambers@wv.gov

Vendor
 Signature X

FEIN# 52-1832154

DATE 10/05/2020

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION

The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Office of Technology to establish an open-end contract for a Governance, Risk, and Compliance (GRC) software solution. This software will be a component of the Cyber Risk Program that was procured under CRFP ISC ISC2000000001. The GRC software solution will enhance the ability of the State of West Virginia to maintain compliance with industry regulatory requirements, federal regulatory requirements, applicable laws, and security expectations. The vendor will provide a GRC technology solution that enables the State and its individual agencies to implement an adaptive and effective internal control system for establishing, maintaining, assessing, and reporting effective internal controls per the terms and conditions and specifications as attached.

INVOICE TO	SHIP TO
DEPARTMENT OF ADMINISTRATION OFFICE OF TECHNOLOGY 1900 KANAWHA BLVD E, BLDG 5 10TH FLOOR CHARLESTON WV 25305 US	WV OFFICE OF TECHNOLOGY BLDG 5, 10TH FLOOR 1900 KANAWHA BLVD E CHARLESTON WV 25305 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	GRC Software Solution				

Comm Code	Manufacturer	Specification	Model #
43230000			

Extended Description:
See attached Pricing Page

SCHEDULE OF EVENTS

<u>Line</u>	<u>Event</u>	<u>Event Date</u>
-------------	--------------	-------------------

	Document Phase	Document Description	Page
OOT210000001	Draft	GRC Software Solution (OT21047)	3

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

INSTRUCTIONS TO VENDORS SUBMITTING BIDS

1. REVIEW DOCUMENTS THOROUGHLY: The attached documents contain a solicitation for bids. Please read these instructions and all documents attached in their entirety. These instructions provide critical information about requirements that if overlooked could lead to disqualification of a Vendor's bid. All bids must be submitted in accordance with the provisions contained in these instructions and the Solicitation. Failure to do so may result in disqualification of Vendor's bid.

2. MANDATORY TERMS: The Solicitation may contain mandatory provisions identified by the use of the words "must," "will," and "shall." Failure to comply with a mandatory term in the Solicitation will result in bid disqualification.

3. PREBID MEETING: The item identified below shall apply to this Solicitation.

A pre-bid meeting will not be held prior to bid opening

A **MANDATORY PRE-BID** meeting will be held at the following place and time:

All Vendors submitting a bid must attend the mandatory pre-bid meeting. Failure to attend the mandatory pre-bid meeting shall result in disqualification of the Vendor's bid. No one individual is permitted to represent more than one vendor at the pre-bid meeting. Any individual that does attempt to represent two or more vendors will be required to select one vendor to which the individual's attendance will be attributed. The vendors not selected will be deemed to have not attended the pre-bid meeting unless another individual attended on their behalf.

An attendance sheet provided at the pre-bid meeting shall serve as the official document verifying attendance. Any person attending the pre-bid meeting on behalf of a Vendor must list on the attendance sheet his or her name and the name of the Vendor he or she is representing.

Additionally, the person attending the pre-bid meeting should include the Vendor's E-Mail address, phone number, and Fax number on the attendance sheet. It is the Vendor's responsibility to locate the attendance sheet and provide the required information. Failure to complete the attendance sheet as required may result in disqualification of Vendor's bid.

All Vendors should arrive prior to the starting time for the pre-bid. Vendors who arrive after the starting time but prior to the end of the pre-bid will be permitted to sign in but are charged with knowing all matters discussed at the pre-bid.

Questions submitted at least five business days prior to a scheduled pre-bid will be discussed at the pre-bid meeting if possible. Any discussions or answers to questions at the pre-bid meeting
Revised 01/09/2020

are preliminary in nature and are non-binding. Official and binding answers to questions will be published in a written addendum to the Solicitation prior to bid opening.

4. VENDOR QUESTION DEADLINE: Vendors may submit questions relating to this Solicitation to the Purchasing Division. Questions must be submitted in writing. All questions must be submitted on or before the date listed below and to the address listed below in order to be considered. A written response will be published in a Solicitation addendum if a response is possible and appropriate. Non-written discussions, conversations, or questions and answers regarding this Solicitation are preliminary in nature and are nonbinding.

Submitted e-mails should have solicitation number in the subject line.

Question Submission Deadline:

Submit Questions to:

2019 Washington Street, East

Charleston, WV 25305

Fax: (304) 558-4115 (Vendors should not use this fax number for bid submission)

Email:

5. VERBAL COMMUNICATION: Any verbal communication between the Vendor and any State personnel is not binding, including verbal communication at the mandatory pre-bid conference. Only information issued in writing and added to the Solicitation by an official written addendum by the Purchasing Division is binding.

6. BID SUBMISSION: All bids must be submitted electronically through wvOASIS or signed and delivered by the Vendor to the Purchasing Division at the address listed below on or before the date and time of the bid opening. Any bid received by the Purchasing Division staff is considered to be in the possession of the Purchasing Division and will not be returned for any reason. The Purchasing Division will not accept bids, modification of bids, or addendum acknowledgment forms via e-mail. Acceptable delivery methods include electronic submission via wvOASIS, hand delivery, delivery by courier, or facsimile.

The bid delivery address is:

Department of Administration, Purchasing Division

2019 Washington Street East

Charleston, WV 25305-0130

A bid that is not submitted electronically through wvOASIS should contain the information listed below on the face of the envelope or the bid may be rejected by the Purchasing Division.:

SEALED BID:

BUYER:

SOLICITATION NO.:

BID OPENING DATE:

BID OPENING TIME:

FAX NUMBER:

The Purchasing Division may prohibit the submission of bids electronically through wvOASIS at its sole discretion. Such a prohibition will be contained and communicated in the wvOASIS system resulting in the Vendor's inability to submit bids through wvOASIS. Submission of a response to an Expression or Interest or Request for Proposal is not permitted in wvOASIS.

For Request For Proposal (“RFP”) Responses Only: In the event that Vendor is responding to a request for proposal, the Vendor shall submit one original technical and one original cost proposal plus _____ convenience copies of each to the Purchasing Division at the address shown above. Additionally, the Vendor should identify the bid type as either a technical or cost proposal on the face of each bid envelope submitted in response to a request for proposal as follows:

BID TYPE: (This only applies to CRFP)

Technical

Cost

7. BID OPENING: Bids submitted in response to this Solicitation will be opened at the location identified below on the date and time listed below. Delivery of a bid after the bid opening date and time will result in bid disqualification. For purposes of this Solicitation, a bid is considered delivered when confirmation of delivery is provided by wvOASIS (in the case of electronic submission) or when the bid is time stamped by the official Purchasing Division time clock (in the case of hand delivery).

Bid Opening Date and Time:

Bid Opening Location: Department of Administration, Purchasing Division
2019 Washington Street East
Charleston, WV 25305-0130

8. ADDENDUM ACKNOWLEDGEMENT: Changes or revisions to this Solicitation will be made by an official written addendum issued by the Purchasing Division. Vendor should acknowledge receipt of all addenda issued with this Solicitation by completing an Addendum Acknowledgment Form, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

9. BID FORMATTING: Vendor should type or electronically enter the information onto its bid to prevent errors in the evaluation. Failure to type or electronically enter the information may result in bid disqualification.

10. ALTERNATE MODEL OR BRAND: Unless the box below is checked, any model, brand, or specification listed in this Solicitation establishes the acceptable level of quality only and is not intended to reflect a preference for, or in any way favor, a particular brand or vendor. Vendors may bid alternates to a listed model or brand provided that the alternate is at least equal to the model or brand and complies with the required specifications. The equality of any alternate being bid shall be determined by the State at its sole discretion. Any Vendor bidding an alternate model or brand should clearly identify the alternate items in its bid and should include manufacturer's specifications, industry literature, and/or any other relevant documentation demonstrating the

equality of the alternate items. Failure to provide information for alternate items may be grounds for rejection of a Vendor's bid.

[] This Solicitation is based upon a standardized commodity established under W. Va. Code § 5A-3-61. Vendors are expected to bid the standardized commodity identified. Failure to bid the standardized commodity will result in your firm's bid being rejected.

11. EXCEPTIONS AND CLARIFICATIONS: The Solicitation contains the specifications that shall form the basis of a contractual agreement. Vendor shall clearly mark any exceptions, clarifications, or other proposed modifications in its bid. Exceptions to, clarifications of, or modifications of a requirement or term and condition of the Solicitation may result in bid disqualification.

12. COMMUNICATION LIMITATIONS: In accordance with West Virginia Code of State Rules §148-1-6.6, communication with the State of West Virginia or any of its employees regarding this Solicitation during the solicitation, bid, evaluation or award periods, except through the Purchasing Division, is strictly prohibited without prior Purchasing Division approval. Purchasing Division approval for such communication is implied for all agency delegated and exempt purchases.

13. REGISTRATION: Prior to Contract award, the apparent successful Vendor must be properly registered with the West Virginia Purchasing Division and must have paid the \$125 fee, if applicable.

14. UNIT PRICE: Unit prices shall prevail in cases of a discrepancy in the Vendor's bid.

15. PREFERENCE: Vendor Preference may be requested in purchases of motor vehicles or construction and maintenance equipment and machinery used in highway and other infrastructure projects. Any request for preference must be submitted in writing with the bid, must specifically identify the preference requested with reference to the applicable subsection of West Virginia Code § 5A-3-37, and must include with the bid any information necessary to evaluate and confirm the applicability of the requested preference. A request form to help facilitate the request can be found at:

<http://www.state.wv.us/admin/purchase/vrc/Venpref.pdf>.

15A. RECIPROCAL PREFERENCE: The State of West Virginia applies a reciprocal preference to all solicitations for commodities and printing in accordance with W. Va. Code § 5A-3-37(b). In effect, non-resident vendors receiving a preference in their home states, will see that same preference granted to West Virginia resident vendors bidding against them in West Virginia. Any request for reciprocal preference must include with the bid any information necessary to evaluate and confirm the applicability of the preference. A request form to help facilitate the request can be found at: <http://www.state.wv.us/admin/purchase/vrc/Venpref.pdf>.

16. SMALL, WOMEN-OWNED, OR MINORITY-OWNED BUSINESSES: For any solicitations publicly advertised for bid, in accordance with West Virginia Code §5A-3-37(a)(7) and W. Va. CSR § 148-22-9, any non-resident vendor certified as a small, women-owned, or minority-owned business under W. Va. CSR § 148-22-9 shall be provided the same preference made available to any resident vendor. Any non-resident small, women-owned, or

minority-owned business must identify itself as such in writing, must submit that writing to the Purchasing Division with its bid, and must be properly certified under W. Va. CSR § 148-22-9 prior to contract award to receive the preferences made available to resident vendors. Preference for a non-resident small, women-owned, or minority owned business shall be applied in accordance with W. Va. CSR § 148-22-9.

17. WAIVER OF MINOR IRREGULARITIES: The Director reserves the right to waive minor irregularities in bids or specifications in accordance with West Virginia Code of State Rules § 148-1-4.6.

18. ELECTRONIC FILE ACCESS RESTRICTIONS: Vendor must ensure that its submission in wvOASIS can be accessed and viewed by the Purchasing Division staff immediately upon bid opening. The Purchasing Division will consider any file that cannot be immediately accessed and viewed at the time of the bid opening (such as, encrypted files, password protected files, or incompatible files) to be blank or incomplete as context requires, and are therefore unacceptable. A vendor will not be permitted to unencrypt files, remove password protections, or resubmit documents after bid opening to make a file viewable if those documents are required with the bid. A Vendor may be required to provide document passwords or remove access restrictions to allow the Purchasing Division to print or electronically save documents provided that those documents are viewable by the Purchasing Division prior to obtaining the password or removing the access restriction.

19. NON-RESPONSIBLE: The Purchasing Division Director reserves the right to reject the bid of any vendor as Non-Responsible in accordance with W. Va. Code of State Rules § 148-1-5.3, when the Director determines that the vendor submitting the bid does not have the capability to fully perform, or lacks the integrity and reliability to assure good-faith performance.”

20. ACCEPTANCE/REJECTION: The State may accept or reject any bid in whole, or in part in accordance with W. Va. Code of State Rules § 148-1-4.5. and § 148-1-6.4.b.”

21. YOUR SUBMISSION IS A PUBLIC DOCUMENT: Vendor’s entire response to the Solicitation and the resulting Contract are public documents. As public documents, they will be disclosed to the public following the bid/proposal opening or award of the contract, as required by the competitive bidding laws of West Virginia Code §§ 5A-3-1 et seq., 5-22-1 et seq., and 5G-1-1 et seq. and the Freedom of Information Act West Virginia Code §§ 29B-1-1 et seq.

DO NOT SUBMIT MATERIAL YOU CONSIDER TO BE CONFIDENTIAL, A TRADE SECRET, OR OTHERWISE NOT SUBJECT TO PUBLIC DISCLOSURE.

Submission of any bid, proposal, or other document to the Purchasing Division constitutes your explicit consent to the subsequent public disclosure of the bid, proposal, or document. The Purchasing Division will disclose any document labeled “confidential,” “proprietary,” “trade secret,” “private,” or labeled with any other claim against public disclosure of the documents, to include any “trade secrets” as defined by West Virginia Code § 47-22-1 et seq. All submissions are subject to public disclosure without notice.

22. INTERESTED PARTY DISCLOSURE: West Virginia Code § 6D-1-2 requires that the vendor submit to the Purchasing Division a disclosure of interested parties to the contract for all contracts with an actual or estimated value of at least \$1 Million. That disclosure must occur on the form prescribed and approved by the WV Ethics Commission prior to contract award. A copy of that form is included with this solicitation or can be obtained from the WV Ethics Commission. This requirement does not apply to publicly traded companies listed on a national or international stock exchange. A more detailed definition of interested parties can be obtained from the form referenced above.

23. WITH THE BID REQUIREMENTS: In instances where these specifications require documentation or other information with the bid, and a vendor fails to provide it with the bid, the Director of the Purchasing Division reserves the right to request those items after bid opening and prior to contract award pursuant to the authority to waive minor irregularities in bids or specifications under W. Va. CSR § 148-1-4.6. This authority does not apply to instances where state law mandates receipt with the bid.

GENERAL TERMS AND CONDITIONS:

1. CONTRACTUAL AGREEMENT: Issuance of a Award Document signed by the Purchasing Division Director, or his designee, and approved as to form by the Attorney General's office constitutes acceptance of this Contract made by and between the State of West Virginia and the Vendor. Vendor's signature on its bid signifies Vendor's agreement to be bound by and accept the terms and conditions contained in this Contract.

2. DEFINITIONS: As used in this Solicitation/Contract, the following terms shall have the meanings attributed to them below. Additional definitions may be found in the specifications included with this Solicitation/Contract.

2.1. "Agency" or "Agencies" means the agency, board, commission, or other entity of the State of West Virginia that is identified on the first page of the Solicitation or any other public entity seeking to procure goods or services under this Contract.

2.2. "Bid" or "Proposal" means the vendors submitted response to this solicitation.

2.3. "Contract" means the binding agreement that is entered into between the State and the Vendor to provide the goods or services requested in the Solicitation.

2.4. "Director" means the Director of the West Virginia Department of Administration, Purchasing Division.

2.5. "Purchasing Division" means the West Virginia Department of Administration, Purchasing Division.

2.6. "Award Document" means the document signed by the Agency and the Purchasing Division, and approved as to form by the Attorney General, that identifies the Vendor as the contract holder.

2.7. "Solicitation" means the official notice of an opportunity to supply the State with goods or services that is published by the Purchasing Division.

2.8. "State" means the State of West Virginia and/or any of its agencies, commissions, boards, etc. as context requires.

2.9. "Vendor" or "Vendors" means any entity submitting a bid in response to the Solicitation, the entity that has been selected as the lowest responsible bidder, or the entity that has been awarded the Contract as context requires.

3. CONTRACT TERM; RENEWAL; EXTENSION: The term of this Contract shall be determined in accordance with the category that has been identified as applicable to this Contract below:

Term Contract

Initial Contract Term: **Initial Contract Term:** This Contract becomes effective on _____ and extends for a period of _____ year(s).

Renewal Term: This Contract may be renewed upon the mutual written consent of the Agency, and the Vendor, with approval of the Purchasing Division and the Attorney General's office (Attorney General approval is as to form only). Any request for renewal should be delivered to the Agency and then submitted to the Purchasing Division thirty (30) days prior to the expiration date of the initial contract term or appropriate renewal term. A Contract renewal shall be in accordance with the terms and conditions of the original contract. Unless otherwise specified below, renewal of this Contract is limited to _____ successive one (1) year periods or multiple renewal periods of less than one year, provided that the multiple renewal periods do not exceed the total number of months available in all renewal years combined. Automatic renewal of this Contract is prohibited. Renewals must be approved by the Vendor, Agency, Purchasing Division and Attorney General's office (Attorney General approval is as to form only)

Alternate Renewal Term – This contract may be renewed for _____ successive _____ year periods or shorter periods provided that they do not exceed the total number of months contained in all available renewals. Automatic renewal of this Contract is prohibited. Renewals must be approved by the Vendor, Agency, Purchasing Division and Attorney General's office (Attorney General approval is as to form only)

Delivery Order Limitations: In the event that this contract permits delivery orders, a delivery order may only be issued during the time this Contract is in effect. Any delivery order issued within one year of the expiration of this Contract shall be effective for one year from the date the delivery order is issued. No delivery order may be extended beyond one year after this Contract has expired.

Fixed Period Contract: This Contract becomes effective upon Vendor's receipt of the notice to proceed and must be completed within _____ days.

Fixed Period Contract with Renewals: This Contract becomes effective upon Vendor's receipt of the notice to proceed and part of the Contract more fully described in the attached specifications must be completed within _____ days. Upon completion of the work covered by the preceding sentence, the vendor agrees that maintenance, monitoring, or warranty services will be provided for _____ year(s) thereafter.

One Time Purchase: The term of this Contract shall run from the issuance of the Award Document until all of the goods contracted for have been delivered, but in no event will this Contract extend for more than one fiscal year.

Other: See attached.

4. NOTICE TO PROCEED: Vendor shall begin performance of this Contract immediately upon receiving notice to proceed unless otherwise instructed by the Agency. Unless otherwise specified, the fully executed Award Document will be considered notice to proceed.

5. QUANTITIES: The quantities required under this Contract shall be determined in accordance with the category that has been identified as applicable to this Contract below.

Open End Contract: Quantities listed in this Solicitation are approximations only, based on estimates supplied by the Agency. It is understood and agreed that the Contract shall cover the quantities actually ordered for delivery during the term of the Contract, whether more or less than the quantities shown.

Service: The scope of the service to be provided will be more clearly defined in the specifications included herewith.

Combined Service and Goods: The scope of the service and deliverable goods to be provided will be more clearly defined in the specifications included herewith.

One Time Purchase: This Contract is for the purchase of a set quantity of goods that are identified in the specifications included herewith. Once those items have been delivered, no additional goods may be procured under this Contract without an appropriate change order approved by the Vendor, Agency, Purchasing Division, and Attorney General's office.

6. EMERGENCY PURCHASES: The Purchasing Division Director may authorize the Agency to purchase goods or services in the open market that Vendor would otherwise provide under this Contract if those goods or services are for immediate or expedited delivery in an emergency. Emergencies shall include, but are not limited to, delays in transportation or an unanticipated increase in the volume of work. An emergency purchase in the open market, approved by the Purchasing Division Director, shall not constitute a breach of this Contract and shall not entitle the Vendor to any form of compensation or damages. This provision does not excuse the State from fulfilling its obligations under a One Time Purchase contract.

7. REQUIRED DOCUMENTS: All of the items checked below must be provided to the Purchasing Division by the Vendor as specified below.

BID BOND (Construction Only): Pursuant to the requirements contained in W. Va. Code § 5-22-1(c), All Vendors submitting a bid on a construction project shall furnish a valid bid bond in the amount of five percent (5%) of the total amount of the bid protecting the State of West Virginia. The bid bond must be submitted with the bid.

PERFORMANCE BOND: The apparent successful Vendor shall provide a performance bond in the amount of 100% of the contract. The performance bond must be received by the Purchasing Division prior to Contract award.

LABOR/MATERIAL PAYMENT BOND: The apparent successful Vendor shall provide a labor/material payment bond in the amount of 100% of the Contract value. The labor/material payment bond must be delivered to the Purchasing Division prior to Contract award.

In lieu of the Bid Bond, Performance Bond, and Labor/Material Payment Bond, the Vendor may provide certified checks, cashier's checks, or irrevocable letters of credit. Any certified check, cashier's check, or irrevocable letter of credit provided in lieu of a bond must be of the same amount and delivered on the same schedule as the bond it replaces. A letter of credit submitted in lieu of a performance and labor/material payment bond will only be allowed for projects under \$100,000. Personal or business checks are not acceptable. Notwithstanding the foregoing, West Virginia Code § 5-22-1 (d) mandates that a vendor provide a performance and labor/material payment bond for construction projects. Accordingly, substitutions for the performance and labor/material payment bonds for construction projects is not permitted.

MAINTENANCE BOND: The apparent successful Vendor shall provide a two (2) year maintenance bond covering the roofing system. The maintenance bond must be issued and delivered to the Purchasing Division prior to Contract award.

LICENSE(S) / CERTIFICATIONS / PERMITS: In addition to anything required under the Section of the General Terms and Conditions entitled Licensing, the apparent successful Vendor shall furnish proof of the following licenses, certifications, and/or permits upon request and in a form acceptable to the State. The request may be prior to or after contract award at the State's sole discretion.

The apparent successful Vendor shall also furnish proof of any additional licenses or certifications contained in the specifications regardless of whether or not that requirement is listed above.

8. INSURANCE: The apparent successful Vendor shall furnish proof of the insurance identified by a checkmark below and must include the State as an additional insured on each policy prior to Contract award. The insurance coverages identified below must be maintained throughout the life of this contract. Thirty (30) days prior to the expiration of the insurance policies, Vendor shall provide the Agency with proof that the insurance mandated herein has been continued. Vendor must also provide Agency with immediate notice of any changes in its insurance policies, including but not limited to, policy cancelation, policy reduction, or change in insurers. The apparent successful Vendor shall also furnish proof of any additional insurance requirements contained in the specifications prior to Contract award regardless of whether or not that insurance requirement is listed in this section.

Vendor must maintain:

Commercial General Liability Insurance in at least an amount of: _____ per occurrence.

Automobile Liability Insurance in at least an amount of: _____ per occurrence.

Professional/Malpractice/Errors and Omission Insurance in at least an amount of: _____ per occurrence. Notwithstanding the forgoing, Vendor's are not required to list the State as an additional insured for this type of policy.

Commercial Crime and Third Party Fidelity Insurance in an amount of: _____ per occurrence.

Cyber Liability Insurance in an amount of: _____ per occurrence.

Builders Risk Insurance in an amount equal to 100% of the amount of the Contract.

Pollution Insurance in an amount of: _____ per occurrence.

Aircraft Liability in an amount of: _____ per occurrence.

Notwithstanding anything contained in this section to the contrary, the Director of the Purchasing Division reserves the right to waive the requirement that the State be named as an additional insured on one or more of the Vendor's insurance policies if the Director finds that doing so is in the State's best interest.

9. WORKERS' COMPENSATION INSURANCE: The apparent successful Vendor shall comply with laws relating to workers compensation, shall maintain workers' compensation insurance when required, and shall furnish proof of workers' compensation insurance upon request.

10. [Reserved]

11. LIQUIDATED DAMAGES: This clause shall in no way be considered exclusive and shall not limit the State or Agency's right to pursue any other available remedy. Vendor shall pay liquidated damages in the amount specified below or as described in the specifications:

_____ for _____

Liquidated Damages Contained in the Specifications

12. ACCEPTANCE: Vendor's signature on its bid, or on the certification and signature page, constitutes an offer to the State that cannot be unilaterally withdrawn, signifies that the product or service proposed by vendor meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise indicated, and signifies acceptance of the terms and conditions contained in the Solicitation unless otherwise indicated.

13. PRICING: The pricing set forth herein is firm for the life of the Contract, unless specified elsewhere within this Solicitation/Contract by the State. A Vendor's inclusion of price adjustment provisions in its bid, without an express authorization from the State in the Solicitation to do so, may result in bid disqualification. Notwithstanding the foregoing, Vendor must extend any publicly advertised sale price to the State and invoice at the lower of the contract price or the publicly advertised sale price.

14. PAYMENT IN ARREARS: Payment in advance is prohibited under this Contract. Payment may only be made after the delivery and acceptance of goods or services. The Vendor shall submit invoices, in arrears.

15. PAYMENT METHODS: Vendor must accept payment by electronic funds transfer and P-Card. (The State of West Virginia's Purchasing Card program, administered under contract by a banking institution, processes payment for goods and services through state designated credit cards.)

16. TAXES: The Vendor shall pay any applicable sales, use, personal property or any other taxes arising out of this Contract and the transactions contemplated thereby. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.

17. ADDITIONAL FEES: Vendor is not permitted to charge additional fees or assess additional charges that were not either expressly provided for in the solicitation published by the State of West Virginia or included in the unit price or lump sum bid amount that Vendor is required by the solicitation to provide. Including such fees or charges as notes to the solicitation may result in rejection of vendor's bid. Requesting such fees or charges be paid after the contract has been awarded may result in cancellation of the contract.

18. FUNDING: This Contract shall continue for the term stated herein, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise made available, this Contract becomes void and of no effect beginning on July 1 of the fiscal year for which funding has not been appropriated or otherwise made available.

19. CANCELLATION: The Purchasing Division Director reserves the right to cancel this Contract immediately upon written notice to the vendor if the materials or workmanship supplied do not conform to the specifications contained in the Contract. The Purchasing Division Director may also cancel any purchase or Contract upon 30 days written notice to the Vendor in accordance with West Virginia Code of State Rules § 148-1-5.2.b.

20. TIME: Time is of the essence with regard to all matters of time and performance in this Contract.

21. APPLICABLE LAW: This Contract is governed by and interpreted under West Virginia law without giving effect to its choice of law principles. Any information provided in specification manuals, or any other source, verbal or written, which contradicts or violates the West Virginia Constitution, West Virginia Code or West Virginia Code of State Rules is void and of no effect.

22. COMPLIANCE WITH LAWS: Vendor shall comply with all applicable federal, state, and local laws, regulations and ordinances. By submitting a bid, Vendor acknowledges that it has reviewed, understands, and will comply with all applicable laws, regulations, and ordinances.

SUBCONTRACTOR COMPLIANCE: Vendor shall notify all subcontractors providing commodities or services related to this Contract that as subcontractors, they too are required to comply with all applicable laws, regulations, and ordinances. Notification under this provision must occur prior to the performance of any work under the contract by the subcontractor.

23. ARBITRATION: Any references made to arbitration contained in this Contract, Vendor's bid, or in any American Institute of Architects documents pertaining to this Contract are hereby deleted, void, and of no effect.

24. MODIFICATIONS: This writing is the parties' final expression of intent. Notwithstanding anything contained in this Contract to the contrary no modification of this Contract shall be binding without mutual written consent of the Agency, and the Vendor, with approval of the Purchasing Division and the Attorney General's office (Attorney General approval is as to form only). Any change to existing contracts that adds work or changes contract cost, and were not included in the original contract, must be approved by the Purchasing Division and the Attorney General's Office (as to form) prior to the implementation of the change or commencement of work affected by the change.

25. WAIVER: The failure of either party to insist upon a strict performance of any of the terms or provision of this Contract, or to exercise any option, right, or remedy herein contained, shall not be construed as a waiver or a relinquishment for the future of such term, provision, option, right, or remedy, but the same shall continue in full force and effect. Any waiver must be expressly stated in writing and signed by the waiving party.

26. SUBSEQUENT FORMS: The terms and conditions contained in this Contract shall supersede any and all subsequent terms and conditions which may appear on any form documents submitted by Vendor to the Agency or Purchasing Division such as price lists, order forms, invoices, sales agreements, or maintenance agreements, and includes internet websites or other electronic documents. Acceptance or use of Vendor's forms does not constitute acceptance of the terms and conditions contained thereon.

27. ASSIGNMENT: Neither this Contract nor any monies due, or to become due hereunder, may be assigned by the Vendor without the express written consent of the Agency, the Purchasing Division, the Attorney General's office (as to form only), and any other government agency or office that may be required to approve such assignments.

28. WARRANTY: The Vendor expressly warrants that the goods and/or services covered by this Contract will: (a) conform to the specifications, drawings, samples, or other description furnished or specified by the Agency; (b) be merchantable and fit for the purpose intended; and (c) be free from defect in material and workmanship.

29. STATE EMPLOYEES: State employees are not permitted to utilize this Contract for personal use and the Vendor is prohibited from permitting or facilitating the same.

30. PRIVACY, SECURITY, AND CONFIDENTIALITY: The Vendor agrees that it will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the Agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the Agency's policies, procedures, and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in <http://www.state.wv.us/admin/purchase/privacy/default.html>.

31. YOUR SUBMISSION IS A PUBLIC DOCUMENT: Vendor's entire response to the Solicitation and the resulting Contract are public documents. As public documents, they will be disclosed to the public following the bid/proposal opening or award of the contract, as required by the competitive bidding laws of West Virginia Code §§ 5A-3-1 et seq., 5-22-1 et seq., and 5G-1-1 et seq. and the Freedom of Information Act West Virginia Code §§ 29B-1-1 et seq.

DO NOT SUBMIT MATERIAL YOU CONSIDER TO BE CONFIDENTIAL, A TRADE SECRET, OR OTHERWISE NOT SUBJECT TO PUBLIC DISCLOSURE.

Submission of any bid, proposal, or other document to the Purchasing Division constitutes your explicit consent to the subsequent public disclosure of the bid, proposal, or document. The Purchasing Division will disclose any document labeled "confidential," "proprietary," "trade secret," "private," or labeled with any other claim against public disclosure of the documents, to include any "trade secrets" as defined by West Virginia Code § 47-22-1 et seq. All submissions are subject to public disclosure without notice.

32. LICENSING: In accordance with West Virginia Code of State Rules § 148-1-6.1.e, Vendor must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, West Virginia Insurance Commission, or any other state agency or political subdivision. Obligations related to political subdivisions may include, but are not limited to, business licensing, business and occupation taxes, inspection compliance, permitting, etc. Upon request, the Vendor must provide all necessary releases to obtain information to enable the Purchasing Division Director or the Agency to verify that the Vendor is licensed and in good standing with the above entities.

SUBCONTRACTOR COMPLIANCE: Vendor shall notify all subcontractors providing commodities or services related to this Contract that as subcontractors, they too are required to be licensed, in good standing, and up-to-date on all state and local obligations as described in this section. Obligations related to political subdivisions may include, but are not limited to, business licensing, business and occupation taxes, inspection compliance, permitting, etc. Notification under this provision must occur prior to the performance of any work under the contract by the subcontractor.

33. ANTITRUST: In submitting a bid to, signing a contract with, or accepting a Award Document from any agency of the State of West Virginia, the Vendor agrees to convey, sell, assign, or transfer to the State of West Virginia all rights, title, and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the State of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the State of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to Vendor.

34. VENDOR CERTIFICATIONS: By signing its bid or entering into this Contract, Vendor certifies (1) that its bid or offer was made without prior understanding, agreement, or connection with any corporation, firm, limited liability company, partnership, person or entity submitting a bid or offer for the same material, supplies, equipment or services; (2) that its bid or offer is in all respects fair and without collusion or fraud; (3) that this Contract is accepted or entered into without any prior understanding, agreement, or connection to any other entity that could be considered a violation of law; and (4) that it has reviewed this Solicitation in its entirety; understands the requirements, terms and conditions, and other information contained herein.

Vendor's signature on its bid or offer also affirms that neither it nor its representatives have any interest, nor shall acquire any interest, direct or indirect, which would compromise the performance of its services hereunder. Any such interests shall be promptly presented in detail to the Agency. The individual signing this bid or offer on behalf of Vendor certifies that he or she is authorized by the Vendor to execute this bid or offer or any documents related thereto on Vendor's behalf; that he or she is authorized to bind the Vendor in a contractual relationship; and that, to the best of his or her knowledge, the Vendor has properly registered with any State agency that may require registration.

35. VENDOR RELATIONSHIP: The relationship of the Vendor to the State shall be that of an independent contractor and no principal-agent relationship or employer-employee relationship is contemplated or created by this Contract. The Vendor as an independent contractor is solely liable for the acts and omissions of its employees and agents. Vendor shall be responsible for selecting, supervising, and compensating any and all individuals employed pursuant to the terms of this Solicitation and resulting contract. Neither the Vendor, nor any employees or subcontractors of the Vendor, shall be deemed to be employees of the State for any purpose whatsoever. Vendor shall be exclusively responsible for payment of employees and contractors for all wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension, or other deferred compensation plans, including but not limited to, Workers' Compensation and Social Security obligations, licensing fees, etc. and the filing of all necessary documents, forms, and returns pertinent to all of the foregoing.

Vendor shall hold harmless the State, and shall provide the State and Agency with a defense against any and all claims including, but not limited to, the foregoing payments, withholdings, contributions, taxes, Social Security taxes, and employer income tax returns.

36. INDEMNIFICATION: The Vendor agrees to indemnify, defend, and hold harmless the State and the Agency, their officers, and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person, or firm performing or supplying services, materials, or supplies in connection with the performance of the Contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the Vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use, or disposition of any data used under the Contract in a manner not authorized by the Contract, or by Federal or State statutes or regulations; and (3) Any failure of the Vendor, its officers, employees, or subcontractors to observe State and Federal laws including, but not limited to, labor and wage and hour laws.

37. PURCHASING AFFIDAVIT: In accordance with West Virginia Code §§ 5A-3-10a and 5-22-1(i), the State is prohibited from awarding a contract to any bidder that owes a debt to the State or a political subdivision of the State, Vendors are required to sign, notarize, and submit the Purchasing Affidavit to the Purchasing Division affirming under oath that it is not in default on any monetary obligation owed to the state or a political subdivision of the state.

38. ADDITIONAL AGENCY AND LOCAL GOVERNMENT USE: This Contract may be utilized by other agencies, spending units, and political subdivisions of the State of West Virginia; county, municipal, and other local government bodies; and school districts (“Other Government Entities”), provided that both the Other Government Entity and the Vendor agree. Any extension of this Contract to the aforementioned Other Government Entities must be on the same prices, terms, and conditions as those offered and agreed to in this Contract, provided that such extension is in compliance with the applicable laws, rules, and ordinances of the Other Government Entity. A refusal to extend this Contract to the Other Government Entities shall not impact or influence the award of this Contract in any manner.

39. CONFLICT OF INTEREST: Vendor, its officers or members or employees, shall not presently have or acquire an interest, direct or indirect, which would conflict with or compromise the performance of its obligations hereunder. Vendor shall periodically inquire of its officers, members and employees to ensure that a conflict of interest does not arise. Any conflict of interest discovered shall be promptly presented in detail to the Agency.

40. REPORTS: Vendor shall provide the Agency and/or the Purchasing Division with the following reports identified by a checked box below:

Such reports as the Agency and/or the Purchasing Division may request. Requested reports may include, but are not limited to, quantities purchased, agencies utilizing the contract, total contract expenditures by agency, etc.

Quarterly reports detailing the total quantity of purchases in units and dollars, along with a listing of purchases by agency. Quarterly reports should be delivered to the Purchasing Division via email at purchasing.requisitions@wv.gov.

41. BACKGROUND CHECK: In accordance with W. Va. Code § 15-2D-3, the Director of the Division of Protective Services shall require any service provider whose employees are regularly employed on the grounds or in the buildings of the Capitol complex or who have access to sensitive or critical information to submit to a fingerprint-based state and federal background inquiry through the state repository. The service provider is responsible for any costs associated with the fingerprint-based state and federal background inquiry.

After the contract for such services has been approved, but before any such employees are permitted to be on the grounds or in the buildings of the Capitol complex or have access to sensitive or critical information, the service provider shall submit a list of all persons who will be physically present and working at the Capitol complex to the Director of the Division of Protective Services for purposes of verifying compliance with this provision. The State reserves the right to prohibit a service provider’s employees from accessing sensitive or critical information or to be present at the Capitol complex based upon results addressed from a criminal background check.

Revised 01/09/2020

Service providers should contact the West Virginia Division of Protective Services by phone at (304) 558-9911 for more information.

42. PREFERENCE FOR USE OF DOMESTIC STEEL PRODUCTS: Except when authorized by the Director of the Purchasing Division pursuant to W. Va. Code § 5A-3-56, no contractor may use or supply steel products for a State Contract Project other than those steel products made in the United States. A contractor who uses steel products in violation of this section may be subject to civil penalties pursuant to W. Va. Code § 5A-3-56. As used in this section:

- a. "State Contract Project" means any erection or construction of, or any addition to, alteration of or other improvement to any building or structure, including, but not limited to, roads or highways, or the installation of any heating or cooling or ventilating plants or other equipment, or the supply of and materials for such projects, pursuant to a contract with the State of West Virginia for which bids were solicited on or after June 6, 2001.
- b. "Steel Products" means products rolled, formed, shaped, drawn, extruded, forged, cast, fabricated or otherwise similarly processed, or processed by a combination of two or more or such operations, from steel made by the open heath, basic oxygen, electric furnace, Bessemer or other steel making process. The Purchasing Division Director may, in writing, authorize the use of foreign steel products if:
- c. The cost for each contract item used does not exceed one tenth of one percent (.1%) of the total contract cost or two thousand five hundred dollars (\$2,500.00), whichever is greater. For the purposes of this section, the cost is the value of the steel product as delivered to the project; or
- d. The Director of the Purchasing Division determines that specified steel materials are not produced in the United States in sufficient quantity or otherwise are not reasonably available to meet contract requirements.

43. PREFERENCE FOR USE OF DOMESTIC ALUMINUM, GLASS, AND STEEL: In Accordance with W. Va. Code § 5-19-1 et seq., and W. Va. CSR § 148-10-1 et seq., for every contract or subcontract, subject to the limitations contained herein, for the construction, reconstruction, alteration, repair, improvement or maintenance of public works or for the purchase of any item of machinery or equipment to be used at sites of public works, only domestic aluminum, glass or steel products shall be supplied unless the spending officer determines, in writing, after the receipt of offers or bids, (1) that the cost of domestic aluminum, glass or steel products is unreasonable or inconsistent with the public interest of the State of West Virginia, (2) that domestic aluminum, glass or steel products are not produced in sufficient quantities to meet the contract requirements, or (3) the available domestic aluminum, glass, or steel do not meet the contract specifications. This provision only applies to public works contracts awarded in an amount more than fifty thousand dollars (\$50,000) or public works contracts that require more than ten thousand pounds of steel products.

The cost of domestic aluminum, glass, or steel products may be unreasonable if the cost is more than twenty percent (20%) of the bid or offered price for foreign made aluminum, glass, or steel products. If the domestic aluminum, glass or steel products to be supplied or produced in a

“substantial labor surplus area”, as defined by the United States Department of Labor, the cost of domestic aluminum, glass, or steel products may be unreasonable if the cost is more than thirty percent (30%) of the bid or offered price for foreign made aluminum, glass, or steel products. This preference shall be applied to an item of machinery or equipment, as indicated above, when the item is a single unit of equipment or machinery manufactured primarily of aluminum, glass or steel, is part of a public works contract and has the sole purpose or of being a permanent part of a single public works project. This provision does not apply to equipment or machinery purchased by a spending unit for use by that spending unit and not as part of a single public works project.

All bids and offers including domestic aluminum, glass or steel products that exceed bid or offer prices including foreign aluminum, glass or steel products after application of the preferences provided in this provision may be reduced to a price equal to or lower than the lowest bid or offer price for foreign aluminum, glass or steel products plus the applicable preference. If the reduced bid or offer prices are made in writing and supersede the prior bid or offer prices, all bids or offers, including the reduced bid or offer prices, will be reevaluated in accordance with this rule.

44. INTERESTED PARTY SUPPLEMENTAL DISCLOSURE: W. Va. Code § 6D-1-2 requires that for contracts with an actual or estimated value of at least \$1 million, the vendor must submit to the Agency a supplemental disclosure of interested parties reflecting any new or differing interested parties to the contract, which were not included in the original pre-award interested party disclosure, within 30 days following the completion or termination of the contract. A copy of that form is included with this solicitation or can be obtained from the WV Ethics Commission. This requirement does not apply to publicly traded companies listed on a national or international stock exchange. A more detailed definition of interested parties can be obtained from the form referenced above.

45. PROHIBITION AGAINST USED OR REFURBISHED: Unless expressly permitted in the solicitation published by the State, Vendor must provide new, unused commodities, and is prohibited from supplying used or refurbished commodities, in fulfilling its responsibilities under this Contract.

ADDITIONAL TERMS AND CONDITIONS (Construction Contracts Only)

1. CONTRACTOR'S LICENSE: West Virginia Code § 21-11-2 requires that all persons desiring to perform contracting work in this state be licensed. The West Virginia Contractors Licensing Board is empowered to issue the contractor's license. Applications for a contractor's license may be made by contacting the West Virginia Division of Labor. West Virginia Code § 21-11-11 requires any prospective Vendor to include the contractor's license number on its bid. If an apparent low bidder fails to submit a license number in accordance with this section, the Purchasing Division will promptly request by telephone and electronic mail that the low bidder and the second low bidder provide the license number within one business day of the request. Failure of the bidder to provide the license number within one business day of receiving the request shall result in disqualification of the bid. Vendors should include a contractor's license number in the space provided below.

Contractor's Name: _____
Contractor's License No.: WV- _____

The apparent successful Vendor must furnish a copy of its contractor's license prior to the issuance of a contract award document.

2. DRUG-FREE WORKPLACE AFFIDAVIT: W. Va. Code § 21-1D-5 provides that any solicitation for a public improvement contract requires each Vendor that submits a bid for the work to submit an affidavit that the Vendor has a written plan for a drug-free workplace policy. If the affidavit is not submitted with the bid submission, the Purchasing Division shall promptly request by telephone and electronic mail that the low bidder and second low bidder provide the affidavit within one business day of the request. Failure to submit the affidavit within one business day of receiving the request shall result in disqualification of the bid. To comply with this law, Vendor should complete the enclosed drug-free workplace affidavit and submit the same with its bid. Failure to submit the signed and notarized drugfree workplace affidavit or a similar affidavit that fully complies with the requirements of the applicable code, within one business day of being requested to do so shall result in disqualification of Vendor's bid. Pursuant to W. Va. Code 21-1D-2(b) and (k), this provision does not apply to public improvement contracts the value of which is \$100,000 or less or temporary or emergency repairs.

2.1. DRUG-FREE WORKPLACE POLICY: Pursuant to W. Va. Code § 21-1D-4, Vendor and its subcontractors must implement and maintain a written drug-free workplace policy that complies with said article. The awarding public authority shall cancel this contract if: (1) Vendor fails to implement and maintain a written drug-free workplace policy described in the preceding paragraph, (2) Vendor fails to provide information regarding implementation of its drug-free workplace policy at the request of the public authority; or (3) Vendor provides to the public authority false information regarding the contractor's drug-free workplace policy.

Pursuant to W. Va. Code 21-1D-2(b) and (k), this provision does not apply to public improvement contracts the value of which is \$100,000 or less or temporary or emergency repairs.

3. DRUG FREE WORKPLACE REPORT: Pursuant to W. Va. Code § 21-1D-7b, no less than once per year, or upon completion of the project, every contractor shall provide a certified report to the public authority which let the contract. For contracts over \$25,000, the public authority shall be the West Virginia Purchasing Division. For contracts of \$25,000 or less, the public authority shall be the agency issuing the contract. The report shall include:

- (1) Information to show that the education and training service to the requirements of West Virginia Code § 21-1D-5 was provided;
- (2) The name of the laboratory certified by the United States Department of Health and Human Services or its successor that performs the drug tests;
- (3) The average number of employees in connection with the construction on the public improvement;
- (4) Drug test results for the following categories including the number of positive tests and the number of negative tests: (A) Pre-employment and new hires; (B) Reasonable suspicion; (C) Post-accident; and (D) Random.

Vendor should utilize the attached Certified Drug Free Workplace Report Coversheet when submitting the report required hereunder. Pursuant to W. Va. Code 21-1D-2(b) and (k), this provision does not apply to public improvement contracts the value of which is \$100,000 or less or temporary or emergency repairs.

4. AIA DOCUMENTS: All construction contracts that will be completed in conjunction with architectural services procured under Chapter 5G of the West Virginia Code will be governed by the attached AIA documents, as amended by the Supplementary Conditions for the State of West Virginia, in addition to the terms and conditions contained herein.

4A. PROHIBITION AGAINST GENERAL CONDITIONS: Notwithstanding anything contained in the AIA Documents or the Supplementary Conditions, the State of West Virginia will not pay for general conditions, or winter conditions, or any other condition representing a delay in the contracts. The Vendor is expected to mitigate delay costs to the greatest extent possible and any costs associated with Delays must be specifically and concretely identified. The state will not consider an average daily rate multiplied by the number of days extended to be an acceptable charge.

5. GREEN BUILDINGS MINIMUM ENERGY STANDARDS: In accordance with § 22-29-4, all new building construction projects of public agencies that have not entered the schematic design phase prior to July 1, 2012, or any building construction project receiving state grant funds and appropriations, including public schools, that have not entered the schematic design phase prior to July 1, 2012, shall be designed and constructed complying with the ICC International Energy Conservation Code, adopted by the State Fire Commission, and the ANSI/ASHRAE/IESNA Standard 90.1-2007: Provided, That if any construction project has a commitment of federal funds to pay for a portion of such project, this provision shall only apply to the extent such standards are consistent with the federal standards.

6. LOCAL LABOR MARKET HIRING REQUIREMENT: Pursuant to West Virginia Code §21-1C-1 et seq., Employers shall hire at least seventy-five percent of employees for public improvement construction projects from the local labor market, to be rounded off, with at least two employees from outside the local labor market permissible for each employer per project.

Any employer unable to employ the minimum number of employees from the local labor market shall inform the nearest office of Workforce West Virginia of the number of qualified employees needed and provide a job description of the positions to be filled.

If, within three business days following the placing of a job order, Workforce West Virginia is unable to refer any qualified job applicants to the employer or refers less qualified job applicants than the number requested, then Workforce West Virginia shall issue a waiver to the employer stating the unavailability of applicant and shall permit the employer to fill any positions covered by the waiver from outside the local labor market. The waiver shall be in writing and shall be issued within the prescribed three days. A waiver certificate shall be sent to both the employer for its permanent project records and to the public authority.

Any employer who violates this requirement is subject to a civil penalty of \$250 per each employee less than the required threshold of seventy-five percent per day of violation after receipt of a notice of violation.

Any employer that continues to violate any provision of this article more than fourteen calendar days after receipt of a notice of violation is subject to a civil penalty of \$500 per each employee less than the required threshold of seventy-five percent per day of violation.

The following terms used in this section have the meaning shown below.

(1) The term “construction project” means any construction, reconstruction, improvement, enlargement, painting, decorating or repair of any public improvement let to contract in an amount equal to or greater than \$500,000. The term “construction project” does not include temporary or emergency repairs;

(2) The term “employee” means any person hired or permitted to perform hourly work for wages by a person, firm or corporation in the construction industry; The term “employee” does not include:(i) Bona fide employees of a public authority or individuals engaged in making temporary or emergency repairs;(ii) Bona fide independent contractors; or(iii) Salaried supervisory personnel necessary to assure efficient execution of the employee's work;

(3) The term “employer” means any person, firm or corporation employing one or more employees on any public improvement and includes all contractors and subcontractors;

(4) The term “local labor market” means every county in West Virginia and any county outside of West Virginia if any portion of that county is within fifty miles of the border of West Virginia;

(5) The term “public improvement” includes the construction of all buildings, roads, highways, bridges, streets, alleys, sewers, ditches, sewage disposal plants, waterworks, airports and all other structures that may be let to contract by a public authority, excluding improvements funded, in whole or in part, by federal funds.

7. DAVIS-BACON AND RELATED ACT WAGE RATES:

- The work performed under this contract is federally funded in whole, or in part. Pursuant to _____, Vendors are required to pay applicable Davis-Bacon wage rates.
- The work performed under this contract is not subject to Davis-Bacon wage rates.

8. SUBCONTRACTOR LIST SUBMISSION: In accordance with W. Va. Code § 5-22-1, the apparent low bidder on a contract valued at more than \$250,000.00 for the construction, alteration, decoration, painting or improvement of a new or existing building or structure shall submit a list of all subcontractors who will perform more than \$25,000.00 of work on the project including labor and materials. (This section does not apply to any other construction projects, such as highway, mine reclamation, water or sewer projects.) The subcontractor list shall be provided to the Purchasing Division within one business day of the opening of bids for review. If the apparent low bidder fails to submit the subcontractor list, the Purchasing Division shall promptly request by telephone and electronic mail that the low bidder and second low bidder provide the subcontractor list within one business day of the request. Failure to submit the subcontractor list within one business day of receiving the request shall result in disqualification of the bid.

If no subcontractors who will perform more than \$25,000.00 of work are to be used to complete the project, the apparent low bidder must make this clear on the subcontractor list, in the bid itself, or in response to the Purchasing Division’s request for the subcontractor list.

a. Required Information. The subcontractor list must contain the following information:

- i. Bidder's name
- ii. Name of each subcontractor performing more than \$25,000 of work on the project.
- iii. The license number of each subcontractor, as required by W. Va. Code § 21-11-1 et. seq.
- iv. If applicable, a notation that no subcontractor will be used to perform more than \$25,000.00 of work. (This item iv. is not required if the vendor makes this clear in the bid itself or in documentation following the request for the subcontractor list.)

b. Subcontractor List Submission Form: The subcontractor list may be submitted in any form, including the attached form, as long as the required information noted above is included. If any information is missing from the bidder’s subcontractor list submission, it may be obtained from other documents such as bids, emails, letters, etc. that accompany the subcontractor list submission.

c. Substitution of Subcontractor. Written approval must be obtained from the State Spending Unit before any subcontractor substitution is permitted. Substitutions are not permitted unless:

- i. The subcontractor listed in the original bid has filed for bankruptcy;
- ii. The subcontractor in the original bid has been debarred or suspended; or
- iii. The contractor certifies in writing that the subcontractor listed in the original bid fails, is unable, or refuses to perform his subcontract.

**ADDITIONAL TERMS AND CONDITIONS
(Architectural and Engineering Contracts Only)**

1. PLAN AND DRAWING DISTRIBUTION: All plans and drawings must be completed and available for distribution at least five business days prior to a scheduled pre-bid meeting for the construction or other work related to the plans and drawings.

2. PROJECT ADDENDA REQUIREMENTS: The Architect/Engineer and/or Agency shall be required to abide by the following schedule in issuing construction project addenda. The Architect/Engineer shall prepare any addendum materials for which it is responsible, and a list of all vendors that have obtained drawings and specifications for the project. The Architect/Engineer shall then send a copy of the addendum materials and the list of vendors to the State Agency for which the contract is issued to allow the Agency to make any necessary modifications. The addendum and list shall then be forwarded to the Purchasing Division buyer by the Agency. The Purchasing Division buyer shall send the addendum to all interested vendors and, if necessary, extend the bid opening date. Any addendum should be received by the Purchasing Division at least fourteen (14) days prior to the bid opening date.

3. PRE-BID MEETING RESPONSIBILITIES: The Architect/Engineer shall be available to attend any pre-bid meeting for the construction or other work resulting from the plans, drawings, or specifications prepared by the Architect/Engineer.

4. AIA DOCUMENTS: All construction contracts that will be completed in conjunction with architectural services procured under Chapter 5G of the West Virginia Code will be governed by the attached AIA documents, as amended by the Supplementary Conditions for the State of West Virginia, in addition to the terms and conditions contained herein. The terms and conditions of this document shall prevail over anything contained in the AIA Documents or the Supplementary Conditions.

5. GREEN BUILDINGS MINIMUM ENERGY STANDARDS: In accordance with West Virginia Code § 22-29-4, all new building construction projects of public agencies that have not entered the schematic design phase prior to July 1, 2012, or any building construction project receiving state grant funds and appropriations, including public schools, that have not entered the schematic design phase prior to July 1, 2012, shall be designed and constructed complying with the ICC International Energy Conservation Code, adopted by the State Fire Commission, and the ANSI/ASHRAE/IESNA Standard 90.1-2007: Provided, That if any construction project has a commitment of federal funds to pay for a portion of such project, this provision shall only apply to the extent such standards are consistent with the federal standards.

DESIGNATED CONTACT: Vendor appoints the individual identified in this Section as the Contract Administrator and the initial point of contact for matters relating to this Contract.

(Name, Title)

(Printed Name and Title)

(Address)

(Phone Number) / (Fax Number)

(email address)

CERTIFICATION AND SIGNATURE: By signing below, or submitting documentation through wvOASIS, I certify that I have reviewed this Solicitation in its entirety; that I understand the requirements, terms and conditions, and other information contained herein; that this bid, offer or proposal constitutes an offer to the State that cannot be unilaterally withdrawn; that the product or service proposed meets the mandatory requirements contained in the Solicitation for that product or service, unless otherwise stated herein; that the Vendor accepts the terms and conditions contained in the Solicitation, unless otherwise stated herein; that I am submitting this bid, offer or proposal for review and consideration; that I am authorized by the vendor to execute and submit this bid, offer, or proposal, or any documents related thereto on vendor's behalf; that I am authorized to bind the vendor in a contractual relationship; and that to the best of my knowledge, the vendor has properly registered with any State agency that may require registration.

(Company)

(Authorized Signature) (Representative Name, Title)

(Printed Name and Title of Authorized Representative)

(Date)

(Phone Number) (Fax Number)

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.:

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

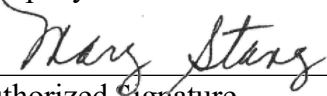
Addendum Numbers Received:

(Check the box next to each addendum received)

- | | |
|--|--|
| <input type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6 |
| <input checked="" type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7 |
| <input type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8 |
| <input type="checkbox"/> Addendum No. 4 | <input type="checkbox"/> Addendum No. 9 |
| <input type="checkbox"/> Addendum No. 5 | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Company



Authorized Signature

Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.

SPECIFICATIONS

- 1. PURPOSE AND SCOPE:** The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Office of Technology to establish an open-end contract for a Governance, Risk, and Compliance (GRC) software solution. This software will be a component of the Cyber Risk Program that was procured under CRFP ISC ISC2000000001. The GRC software solution will enhance the ability of the State of West Virginia to maintain compliance with industry regulatory requirements, federal regulatory requirements, applicable laws, and security expectations. The vendor will provide a GRC technology solution that enables the State and its individual agencies to implement an adaptive and effective internal control system for establishing, maintaining, assessing, and reporting effective internal controls.

- 2. DEFINITIONS:** The terms listed below shall have the meanings assigned to them below. Additional definitions can be found in section 2 of the General Terms and Conditions.
 - 2.1 “Business Hours”** means Monday - Friday 8:00 AM to 5:00 PM EST excluding weekends and Federal and State holidays, which are as follows:
 - 2.1.1** New Year’s Day (January 1)
 - 2.1.2** Martin Luther King Day (Third Monday in January)
 - 2.1.3** President’s Day (Third Monday in February)
 - 2.1.4** Memorial Day (Last Monday in May)
 - 2.1.5** West Virginia Day (June 20)
 - 2.1.6** Independence Day (July 4)
 - 2.1.7** Labor Day (First Monday in September)
 - 2.1.8** Columbus Day (Second Monday in October)
 - 2.1.9** Veterans Day (November 11)
 - 2.1.10** Thanksgiving (Fourth Thursday in November)
 - 2.1.11** Day After Thanksgiving (Fourth Friday in November)
 - 2.1.12** Christmas Day (December 25)

 - 2.2 “Contract Services”** means a Governance, Risk, and Compliance (GRC) software solution as more fully described in these specifications.

 - 2.3 “Pricing Page”** means the pages, contained wvOASIS or attached hereto as Exhibit A, upon which Vendor should list its proposed price for the Contract Services.

 - 2.4 “Solicitation”** means the official notice of an opportunity to supply the State with goods or services that is published by the Purchasing Division.

 - 2.5 “TLS”** means a cryptographic protocols designed to provide communications securely over a computer network. 1.2 is the version

 - 2.6 “AES”** means a specification for encrypting data.

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2.7 “Power User” means a user who uses advanced features of computer hardware and software including administrative rights.

3. QUALIFICATIONS: Vendor, or Vendor’s staff if requirements are inherently limited to individuals rather than corporate entities, shall have the following minimum qualifications:

3.1. Vendor must have implemented a GRC software solution with a Federal or State, or Local Government entity and provide proof of implementation upon request.

3.2. Vendor must hold current SOC 2 Type 2 certification. It is preferred to be provided with vendor’s bid; however, it may be requested prior to award.

3.3. The Vendor must be compliant with Internal Revenue Service (IRS) 1075, Section 9.3.1.12 – Remote Access requirements.

3.3.1. IRS 1075, Section 9.3.1.12 states that *“FTI cannot be accessed remotely by agency employees, agents, representatives, or contractors located offshore - outside of the United States territories, embassies, or military installations. Further, FTI may not be received, processed, stored, transmitted, or disposed of by IT systems located offshore.”*

3.4. Vendor must appear in the Leaders quadrant of the Gartner’s Magic Quadrant for IT Risk Management Report published August 11, 2020.

4. MANDATORY REQUIREMENTS:

4.1 Contract Items and Mandatory Requirements: Vendor shall provide Agency with the Contract Items listed below on an open-end and continuing basis. Contract Items must meet or exceed the mandatory requirements as shown below.

4.1.1 Contract Item #1 Governance, Risk, and Compliance (GRC) Software Solution Mandatory Requirements:

4.1.1.1 Vendors GRC solution must provide a cost-effective cloud-based Software-as-a-Service (SaaS) risk management solution for the State Cybersecurity Framework. (including future scalability when new agencies are on-boarded)

4.1.1.2 Vendors GRC solution must implement NIST Cybersecurity Framework (NIST CSF), NIST 800-53 control set, and align to PCI DSS, HIPAA, FERPA, CJIS, and other compliance programs.

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- 4.1.1.3 Vendors GRC solution must automatically implement changes or updates in laws or compliance programs and alert users to relevant updates.
- 4.1.1.4 Vendors GRC solution must maintain the Security Requirements Traceability Matrix (including objectives, risks, controls, ranks, rates, etc.), and allow periodic updates to be made.
- 4.1.1.5 Vendors GRC solution must identify and assess strategic risks, opportunities, and mitigating controls.
- 4.1.1.6 Vendors GRC solution must monitor and manage strategic risks and opportunities.
- 4.1.1.7 Vendors GRC solution must report strategic risks and opportunities.
- 4.1.1.8 Vendors GRC solution must include a workflow management component that allows for work to be created and shared (internally or externally), including the ability to record user comments.
- 4.1.1.9 Vendors GRC solution must automatically push out control assessments to control owners annually.
- 4.1.1.10 Vendors GRC solution must send reminders/receive feedback on due tasks and dates to all relevant resources and other stakeholders.
- 4.1.1.11 Vendors GRC solution must deliver automated escalations if deadline is approaching.
- 4.1.1.12 Vendors GRC solution must provide standardized templates for different functions/areas, including reporting templates and a testing result reporting template linked to every control.
- 4.1.1.13 Vendors GRC solution must allow for documentation of risk/control issues/findings/remediation plans.
- 4.1.1.14 Vendors GRC solution must track remediation deadlines/timelines.

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- 4.1.1.15 Vendors GRC solution must provide a dashboard to show, at a minimum, which updates are outstanding, the last Security Requirements Traceability Matrix review dates, and when testing is overdue.
- 4.1.1.16 Vendors GRC solution must provide data visualization tools or allow export of data to other tools such as Microsoft Office
- 4.1.1.17 Vendor must provide a means to summarize and track data in the system.
- 4.1.1.18 Vendor must provide a means to summarize performance metrics.
- 4.1.1.19 Vendors GRC solution must have user/access management tools to allow for creation/management of user accounts (Active Directory integrated preferred for future use; role-based access required)
 - 4.1.1.19.1 Role-based access must be defined at the functional level (i.e. allow user access to data only relevant to their function)
 - 4.1.1.19.2 Will restrict certain functions to authorized staff only (i.e. certain user group has read-only access, another user group has ability to delete records)
- 4.1.1.20 Vendor solution must include ability to help manage the incident management process including the use of templates, automated workflows, and dashboards.

4.1.2 Contract Item #1 Governance, Risk, and Compliance (GRC) Vendor Mandatory Requirements:

- 4.1.2.1 The vendor must conduct training with a group of at least fifteen (15) power users of the new tool enabling a “train- the- trainer” approach. This training is to be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support.
- 4.1.2.2 Additionally, tool must provide online on-demand, self-paced training.

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- 4.1.2.3 The vendor must provide technical support within one (1) business day and make best efforts to resolve problems as quickly as possible.
- 4.1.2.4 The vendor must guarantee application has 99.9% uptime.
- 4.1.2.5 The vendor must provide frequent progress reports during any outage.
- 4.1.2.6 The vendor must ensure that State of West Virginia data is not co-mingled with other customer's data.
- 4.1.2.7 The vendor must ensure that State of West Virginia data can be exported and returned to the state.
- 4.1.2.8 The vendor must ensure State of West Virginia data is destroyed at the end of the contract.
- 4.1.2.9 Vendor must support data in transit encryption using TLS 1.2 or higher.
- 4.1.2.10 Vendor must support encryption at rest using AES-256 or higher.
- 4.1.2.11 Vendor must use two-factor authentication and or network access control limiting access from an exposed IP or subnet preferred.

4.1.3 Contract Item #2 Professional Services - Post Implementation Customization

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4.1.3.1 The Post Implementation Customization Rate must be a single hourly rate that will be billed for all staff time and is to be used to consult with vendor staff on unforeseen customization issues that may arise after the GRC solution has been successfully implemented. Requests to use the Implementation Consultant Hours must be outlined in a SOW (Statement of Work) and include both the problem and required number of hours to address the problem, and must be executed by an authorized representatives of both Parties.

4.1.4 Software as a Service Addendum

4.1.4.1 Vendor must sign the attached Software as a Service Addendum prior to award.

5. CONTRACT AWARD:

Contract Award: The Contract is intended to provide Agencies with a purchase price on all Contract Items. The Contract shall be awarded to the Vendor that provides the Contract Items meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages.

Contract will be evaluated on all lines but only awarded on first year.

Renewal options for years 2, 3, and 4 will be initiated by the Agency, agreed to by the Vendor and processed by the West Virginia Purchasing Division as Change Orders for subsequent years.

5.1 Ordering: Vendor shall accept orders through wvOASIS, regular mail, facsimile, e-mail, or any other written form of communication. Vendor may, but is not required to, accept on-line orders through a secure internet ordering portal/website. If Vendor has the ability to accept on-line orders, it should include in its response a brief description of how Agencies may utilize the on-line ordering system. Vendor shall ensure that its on-line ordering system is properly secured prior to processing Agency orders on-line.

5.2 Pricing Page: Vendor should complete the attached Exhibit A-Pricing Page. The unit price will be multiplied with the quantity to provide the extended cost. **The Vendor should respond by entering the total overall cost calculated at the bottom of the Exhibit-A Pricing Page in the wvOASIS pricing section.**

The Vendor should complete the Pricing Page in full as failure to complete the Pricing Page in its entirety may result in Vendor's bid being disqualified.

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The Pricing Page contain a list of the Contract Items and estimated purchase volume. The estimated purchase volume for each item represents the approximate volume of anticipated purchases only. No future use of the Contract or any individual item is guaranteed or implied.

Vendor should provide with their bid a copy of any and all Software Terms and Conditions or licenses that the State of West Virginia or the Agency will have to agree to or accept as a part of this solicitation. This information will be required before contract is issued.

Vendor should include a copy of any Maintenance Terms and Conditions or Licenses that the State of West Virginia or the Agency will be required to agree to and accept as a part of this solicitation. This information will be required before contract is issued.

Vendor should type or electronically enter the information into the Pricing Pages through wvOASIS, if available, or as an electronic document. In most cases, the Vendor can request an electronic copy of the Pricing Pages for bid purposes by sending an email request to the following address: Jessica.S.Chambers@wv.gov

- 6. PERFORMANCE:** Vendor and Agency shall agree upon a schedule for performance of Contract Services and Contract Services Deliverables, unless such a schedule is already included herein by Agency. In the event that this Contract is designated as an open-end contract, Vendor shall perform in accordance with the release orders that may be issued against this Contract.
- 7. PAYMENT:** Agency shall pay a flat fee, as shown on the Pricing Pages, for all Contract Services performed and accepted under this Contract. Vendor shall accept payment in accordance with the payment procedures of the State of West Virginia.
- 8. TRAVEL:** Vendor shall be responsible for all mileage and travel costs, including travel time, associated with performance of this Contract. Any anticipated mileage or travel costs may be included in the flat fee or hourly rate listed on Vendor's bid, but such costs will not be paid by the Agency separately.
- 9. FACILITIES ACCESS:** Performance of Contract Services may require access cards and/or keys to gain entrance to Agency's facilities. In the event that access cards and/or keys are required:
 - 9.1.** Vendor must identify principal service personnel which will be issued access cards and/or keys to perform service.
 - 9.2.** Vendor will be responsible for controlling cards and keys and will pay replacement fee, if the cards or keys become lost or stolen.
 - 9.3.** Vendor shall notify Agency immediately of any lost, stolen, or missing card or key.

- 9.4. Anyone performing under this Contract will be subject to Agency's security protocol and procedures.
- 9.5. Vendor shall inform all staff of Agency's security protocol and procedures.

10. VENDOR DEFAULT:

- 10.1. The following shall be considered a vendor default under this Contract.
 - 10.1.1. Failure to perform Contract Services in accordance with the requirements contained herein.
 - 10.1.2. Failure to comply with other specifications and requirements contained herein.
 - 10.1.3. Failure to comply with any laws, rules, and ordinances applicable to the Contract Services provided under this Contract.
 - 10.1.4. Failure to remedy deficient performance upon request.
- 10.2. The following remedies shall be available to Agency upon default.
 - 10.2.1. Immediate cancellation of the Contract.
 - 10.2.2. Immediate cancellation of one or more release orders issued under this Contract.
 - 10.2.3. Any other remedies available in law or equity.

11. MISCELLANEOUS:

- 11.1. **Contract Manager:** During its performance of this Contract, Vendor must designate and maintain a primary contract manager responsible for overseeing Vendor's responsibilities under this Contract. The Contract manager must be available during normal business hours to address any customer service or other issues related to this Contract. Vendor should list its Contract manager and his or her contact information below.

REQUEST FOR QUOTATION
Governance, Risk, and Compliance (GRC) Software Solution (OT21047)

Contract Manager:	Mary Stang
Telephone Number:	301-337-2290
Fax Number:	
Email Address:	contracts@spsnet.com

Software as a Service Addendum

1. Definitions:

Acceptable alternative data center location means a country that is identified as providing equivalent or stronger data protection than the United States, in terms of both regulation and enforcement. DLA Piper's Privacy Heatmap shall be utilized for this analysis and may be found at <https://www.dlapiperdataprotection.com/index.html?t=world-map&c=US&c2=IN>.

Authorized Persons means the service provider's employees, contractors, subcontractors or other agents who have responsibility in protecting or have access to the public jurisdiction's personal data and non-public data to enable the service provider to perform the services required.

Data Breach means the unauthorized access and acquisition of unencrypted and unredacted personal data that compromises the security or confidentiality of a public jurisdiction's personal information and that causes the service provider or public jurisdiction to reasonably believe that the data breach has caused or will cause identity theft or other fraud.

Individually Identifiable Health Information means information that is a subset of health information, including demographic information collected from an individual, and (1) is created or received by a health care provider, health plan, employer or health care clearinghouse; and (2) relates to the past, present or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present or future payment for the provision of health care to an individual; and (a) that identifies the individual; or (b) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.

Non-Public Data means data, other than personal data, that is not subject to distribution to the public as public information. It is deemed to be sensitive and confidential by the public jurisdiction because it contains information that is exempt by statute, ordinance or administrative rule from access by the general public as public information.

Personal Data means data that includes information relating to a person that identifies the person by first name or first initial, and last name, and has any of the following personally identifiable information (PII): government-issued identification numbers (e.g., Social Security, driver's license, state identification card); financial account information, including account number, credit or debit card numbers; or protected health information (PHI).

Protected Health Information (PHI) means individually identifiable health information transmitted by electronic media, maintained in electronic media, or transmitted or maintained in any other form or medium. PHI excludes education records covered by the Family Educational Rights and Privacy Act (FERPA), as amended, 20 U.S.C. 1232g, records described at 20 U.S.C. 1232g(a)(4)(B)(iv) and employment records held by a covered entity in its role as employer.

Public Jurisdiction means any government or government agency that uses these terms and conditions. The term is a placeholder for the government or government agency.

Public Jurisdiction Data means all data created or in any way originating with the public jurisdiction, and all data that is the output of computer processing or other electronic manipulation of any data that was created by or in any way originated with the public jurisdiction, whether such data or output is stored on the public jurisdiction's hardware, the service provider's hardware or exists in any system owned, maintained or otherwise controlled by the public jurisdiction or by the service provider.

Public Jurisdiction Identified Contact means the person or persons designated in writing by the public jurisdiction to receive security incident or breach notification.

Restricted data means personal data and non-public data.

Security Incident means the actual unauthorized access to personal data or non-public data the service provider believes could reasonably result in the use, disclosure or theft of a public jurisdiction's unencrypted personal data or non-public data within the possession or control of the service provider. A security incident may or may not turn into a data breach.

Service Provider means the contractor and its employees, subcontractors, agents and affiliates who are providing the services agreed to under the contract.

Software-as-a-Service (SaaS) means the capability provided to the consumer to use the provider's applications running on a cloud infrastructure. The applications are accessible from various client devices through a thin-client interface such as a Web browser (e.g., Web-based email) or a program interface. The consumer does not manage or control the underlying cloud infrastructure including network, servers, operating systems, storage or even individual application capabilities, with the possible exception of limited user-specific application configuration settings.

2. Data Ownership: The public jurisdiction will own all right, title and interest in its data that is related to the services provided by this contract. The service provider shall not access public jurisdiction user accounts or public jurisdiction data, except (1) in the course of data center operations, (2) in response to service or technical issues, (3) as required by the express terms of this contract or (4) at the public jurisdiction's written request.

3. Data Protection and Privacy: Protection of personal privacy and data shall be an integral part of the business activities of the service provider to ensure there is no inappropriate or unauthorized use of public jurisdiction information at any time. To this end, the service provider shall safeguard the confidentiality, integrity and availability of public jurisdiction information and comply with the following conditions:

- a) The service provider shall implement and maintain appropriate administrative, technical and physical security measures to safeguard against unauthorized access, disclosure or theft of personal data and non-public data. In Appendix A,

the public jurisdiction shall indicate whether restricted information will be processed by the service provider. Such security measures shall be in accordance with recognized industry practice and not less stringent than the measures the service provider applies to its own personal data and non-public data of similar kind. The service provider shall ensure that all such measures, including the manner in which personal data and non-public data are collected, accessed, used, stored, processed, disposed of and disclosed, comply with applicable data protection and privacy laws, as well as the terms and conditions of this Addendum and shall survive termination of the underlying contract.

- b) The service provider represents and warrants that its collection, access, use, storage, disposal and disclosure of personal data and non-public data do and will comply with all applicable federal and state privacy and data protection laws, as well as all other applicable regulations, policies and directives.
- c) The service provider shall support third-party multi-factor authentication integration with the public jurisdiction third-party identity provider to safeguard personal data and non-public data.
- d) If, in the course of its engagement by the public jurisdiction, the service provider has access to or will collect, access, use, store, process, dispose of or disclose credit, debit or other payment cardholder information, the service provider shall at all times remain in compliance with the Payment Card Industry Data Security Standard ("PCI DSS") requirements, including remaining aware at all times of changes to the PCI DSS and promptly implementing all procedures and practices as may be necessary to remain in compliance with the PCI DSS, in each case, at the service provider's sole cost and expense. All data obtained by the service provider in the performance of this contract shall become and remain the property of the public jurisdiction.
- e) All personal data shall be encrypted at rest and in transit with controlled access. Unless otherwise stipulated, the service provider is responsible for encryption of the personal data.
- f) Unless otherwise stipulated, the service provider shall encrypt all non-public data at rest and in transit, in accordance with recognized industry practice. The public jurisdiction shall identify data it deems as non-public data to the service provider.
- g) At no time shall any data or process – that either belong to or are intended for the use of a public jurisdiction or its officers, agents or employees — be copied, disclosed or retained by the service provider or any party related to the service provider for subsequent use in any transaction that does not include the public jurisdiction.
- h) The service provider shall not use or disclose any information collected in connection with the service issued from this proposal for any purpose other than fulfilling the service.
- i) Data Location. For non-public data and personal data, the service provider shall provide its data center services to the public jurisdiction and its end users solely from data centers in the U.S. Storage of public jurisdiction data at rest shall be located solely in data centers in the U.S. The service provider shall not allow its personnel or contractors to *store* public jurisdiction data on portable devices, including personal computers, except for devices that are used and kept only at its

U.S. data centers. With agreement from the public jurisdiction, this term may be met by the service provider providing its services from an acceptable alternative data center location, which agreement shall be stated in Appendix A. The Service Provider may also request permission to utilize an acceptable alternative data center location during a procurement's question and answer period by submitting a question to that effect. The service provider shall permit its personnel and contractors to access public jurisdiction data remotely only as required to provide technical support.

4. Security Incident or Data Breach Notification: The service provider shall inform the public jurisdiction of any confirmed security incident or data breach.

- a) Incident Response: The service provider may need to communicate with outside parties regarding a security incident, which may include contacting law enforcement, fielding media inquiries and seeking external expertise as defined by law or contained in the contract. Discussing security incidents with the public jurisdiction shall be handled on an urgent as-needed basis, as part of service provider communication and mitigation processes defined by law or contained in the contract.
- b) Security Incident Reporting Requirements: The service provider shall report a confirmed Security Incident as soon as practicable, but no later than twenty-four (24) hours after the service provider becomes aware of it, to: (1) the department privacy officer, by email, with a read receipt, identified in Appendix A; and, (2) unless otherwise directed by the public jurisdiction in the underlying contract, the WVOT Online Computer Security and Privacy Incident Reporting System at <https://apps.wv.gov/ot/ir/Default.aspx>, and (3) the public jurisdiction point of contact for general contract oversight/administration. The following information shall be shared with the public jurisdiction: (1) incident phase (detection and analysis; containment, eradication and recovery; or post-incident activity), (2) projected business impact, and, (3) attack source information.
- c) Breach Reporting Requirements: Upon the discovery of a data breach or unauthorized access to non-public data, the service provider shall immediately report to: (1) the department privacy officer, by email, with a read receipt, identified in Appendix A; and, (2) unless otherwise directed by the public jurisdiction in the underlying contract, the WVOT Online Computer Security and Privacy Incident Reporting System at <https://apps.wv.gov/ot/ir/Default.aspx>, and the public jurisdiction point of contact for general contract oversight/administration.

5. Breach Responsibilities: This section only applies when a data breach occurs with respect to personal data within the possession or control of the service provider.

- a) Immediately after being awarded a contract, the service provider shall provide the public jurisdiction with the name and contact information for an employee of service provider who shall serve as the public jurisdiction's primary security contact and shall be available to assist the public jurisdiction twenty-four (24) hours per day, seven (7) days per week as a contact in resolving obligations associated with a data breach. The service provider may provide this information in Appendix A.

- b) Immediately following the service provider's notification to the public jurisdiction of a data breach, the parties shall coordinate cooperate with each other to investigate the data breach. The service provider agrees to fully cooperate with the public jurisdiction in the public jurisdiction's handling of the matter, including, without limitation, at the public jurisdiction's request, making available all relevant records, logs, files, data reporting and other materials required to comply with applicable law and regulation.
- c) Within 72 hours of the discovery, the service provider shall notify the parties listed in 4(c) above, to the extent known: (1) date of discovery; (2) list of data elements and the number of individual records; (3) description of the unauthorized persons known or reasonably believed to have improperly used or disclosed the personal data; (4) description of where the personal data is believed to have been improperly transmitted, sent, or utilized; and, (5) description of the probable causes of the improper use or disclosure.
- d) The service provider shall (1) cooperate with the public jurisdiction as reasonably requested by the public jurisdiction to investigate and resolve the data breach, (2) promptly implement necessary remedial measures, if necessary, and prevent any further data breach at the service provider's expense in accordance with applicable privacy rights, laws and regulations and (3) document responsive actions taken related to the data breach, including any post-incident review of events and actions taken to make changes in business practices in providing the services, if necessary.
- e) If a data breach is a direct result of the service provider's breach of its contract obligation to encrypt personal data or otherwise prevent its release, the service provider shall bear the costs associated with (1) the investigation and resolution of the data breach; (2) notifications to individuals, regulators or others required by state or federal law; (3) a credit monitoring service (4) a website or a toll-free number and call center for affected individuals required by state law — all not to exceed the average per record per person cost calculated for data breaches in the United States in the most recent Cost of Data Breach Study: Global Analysis published by the Ponemon Institute at the time of the data breach (or other similar publication if the named publication has not issued an updated average per record per cost in the last 5 years at the time of the data breach); and (5) complete all corrective actions as reasonably determined by service provider based on root cause. The service provider agrees that it shall not inform any third party of any data breach without first obtaining the public jurisdiction's prior written consent, other than to inform a complainant that the matter has been forwarded to the public jurisdiction's legal counsel and/or engage a third party with appropriate expertise and confidentiality protections for any reason connected to the data breach. Except with respect to where the service provider has an independent legal obligation to report a data breach, the service provider agrees that the public jurisdiction shall have the sole right to determine: (1) whether notice of the data breach is to be provided to any individuals, regulators, law enforcement agencies, consumer reporting agencies or others, as required by law or regulation, or otherwise in the public jurisdiction's discretion; and (2) the contents of such notice, whether any

type of remediation may be offered to affected persons, and the nature and extent of any such remediation. The service provider retains the right to report activity to law enforcement.

6. Notification of Legal Requests: The service provider shall contact the public jurisdiction upon receipt of any electronic discovery, litigation holds, discovery searches and expert testimonies related to the public jurisdiction's data under this contract, or which in any way might reasonably require access to the data of the public jurisdiction. The service provider shall not respond to subpoenas, service of process and other legal requests related to the public jurisdiction without first notifying the public jurisdiction, unless prohibited by law from providing such notice.

7. Termination and Suspension of Service:

- a) In the event of a termination of the contract, the service provider shall implement an orderly return of public jurisdiction data within the time period and format specified in the contract (or in the absence of a specified time and format, a mutually agreeable time and format) and after the data has been successfully returned, securely and permanently dispose of public jurisdiction data.
- b) During any period of service suspension, the service provider shall not take any action to intentionally erase any public jurisdiction data.
- c) In the event the contract does not specify a time or format for return of the public jurisdiction's data and an agreement has not been reached, in the event of termination of any services or agreement in entirety, the service provider shall not take any action to intentionally erase any public jurisdiction data for a period of:
 - 10 days after the effective date of termination, if the termination is in accordance with the contract period
 - 30 days after the effective date of termination, if the termination is for convenience
 - 60 days after the effective date of termination, if the termination is for cause

After such period, the service provider shall have no obligation to maintain or provide any public jurisdiction data and shall thereafter, unless legally prohibited, delete all public jurisdiction data in its systems or otherwise in its possession or under its control.

- d) The public jurisdiction 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 Contract.
- e) The service provider shall securely dispose of all requested data in all of its forms, such as disk, CD/ DVD, backup tape and paper, when requested by the public jurisdiction. Data shall be permanently deleted and shall not be recoverable, according to National Institute of Standards and Technology (NIST)-approved methods. Certificates of destruction shall be provided to the public jurisdiction.

8. Background Checks: The service provider shall conduct criminal background checks in compliance with W.Va. Code §15-2D-3 and not utilize any staff to fulfill the obligations

of the contract, including subcontractors, who have been convicted of any crime of dishonesty, including but not limited to criminal fraud, or otherwise convicted of any felony or misdemeanor offense for which incarceration for up to 1 year is an authorized penalty. The service provider shall promote and maintain an awareness of the importance of securing the public jurisdiction's information among the service provider's employees and agents.

9. Oversight of Authorized Persons: During the term of each authorized person's employment or engagement by service provider, service provider shall at all times cause such persons to abide strictly by service provider's obligations under this Agreement and service provider's standard policies and procedures. The service provider further agrees that it shall maintain a disciplinary process to address any unauthorized access, use or disclosure of personal data by any of service provider's officers, partners, principals, employees, agents or contractors.

10. Access to Security Logs and Reports: The service provider shall provide reports to the public jurisdiction in CSV format agreed to by both the service provider and the public jurisdiction. Reports shall include user access (successful and failed attempts), user access IP address, user access history and security logs for all public jurisdiction files and accounts related to this contract.

11. Data Protection Self-Assessment: The service provider shall perform a Cloud Security Alliance STAR Self-Assessment by completing and submitting the "Consensus Assessments Initiative Questionnaire" to the Public Jurisdiction Identified Contact. The service provider shall submit its self-assessment to the public jurisdiction prior to contract award and, upon request, annually thereafter, on the anniversary of the date of contract execution. Any deficiencies identified in the assessment will entitle the public jurisdiction to disqualify the bid or terminate the contract for cause.

12. Data Center Audit: The service provider shall perform an audit of its data center(s) at least annually at its expense and provide a redacted version of the audit report upon request. The service provider may remove its proprietary information from the redacted version. A Service Organization Control (SOC) 2 audit report or approved equivalent sets the minimum level of a third-party audit. Any deficiencies identified in the report or approved equivalent will entitle the public jurisdiction to disqualify the bid or terminate the contract for cause.

13. Change Control and Advance Notice: The service provider shall give 30 days, advance notice (to the public jurisdiction of any upgrades (e.g., major upgrades, minor upgrades, system changes) that may impact service availability and performance. A major upgrade is a replacement of hardware, software or firmware with a newer or better version in order to bring the system up to date or to improve its characteristics.

14. Security:

- a) At a minimum, the service provider's safeguards for the protection of data shall include: (1) securing business facilities, data centers, paper files, servers, back-up

systems and computing equipment, including, but not limited to, all mobile devices and other equipment with information storage capability; (2) implementing network, device application, database and platform security; 3) securing information transmission, storage and disposal; (4) implementing authentication and access controls within media, applications, operating systems and equipment; (5) implementing appropriate personnel security and integrity procedures and practices, including, but not limited to, conducting background checks consistent with applicable law; and (6) providing appropriate privacy and information security training to service provider's employees.

- b) The service provider shall execute well-defined recurring action steps that identify and monitor vulnerabilities and provide remediation or corrective measures. Where the service provider's technology or the public jurisdiction's required dependence on a third-party application to interface with the technology creates a critical or high risk, the service provider shall remediate the vulnerability as soon as possible. The service provider must ensure that applications used to interface with the service provider's technology remain operationally compatible with software updates.
- c) Upon the public jurisdiction's written request, the service provider shall provide a high-level network diagram with respect to connectivity to the public jurisdiction's network that illustrates the service provider's information technology network infrastructure.

15. Non-disclosure and Separation of Duties: The service provider shall enforce separation of job duties, require commercially reasonable non-disclosure agreements, and limit staff knowledge of public jurisdiction data to that which is absolutely necessary to perform job duties.

16. Import and Export of Data: The public jurisdiction shall have the ability to securely import, export or dispose of data in standard format in piecemeal or in entirety at its discretion without interference from the service provider. This includes the ability for the public jurisdiction to import or export data to/from other service providers identified in the contract (or in the absence of an identified format, a mutually agreeable format).

17. Responsibilities: The service provider shall be responsible for the acquisition and operation of all hardware, software and network support related to the cloud services being provided. The technical and professional activities required for establishing, managing and maintaining the environments are the responsibilities of the service provider.

18. Subcontractor Compliance: The service provider shall ensure that any of its subcontractors to whom it provides any of the personal data or non-public data it receives hereunder, or to whom it provides any personal data or non-public data which the service provider creates or receives on behalf of the public jurisdiction, agree to the restrictions, terms and conditions which apply to the service provider hereunder.

19. Right to Remove Individuals: The public jurisdiction shall have the right at any time to require that the service provider remove from interaction with public jurisdiction any

service provider representative who the public jurisdiction believes is detrimental to its working relationship with the service provider. The public jurisdiction shall provide the service provider with notice of its determination, and the reasons it requests the removal. If the public jurisdiction signifies that a potential security violation exists with respect to the request, the service provider shall immediately remove such individual. The service provider shall not assign the person to any aspect of the contract without the public jurisdiction's consent.

20. Business Continuity and Disaster Recovery: The service provider shall provide a business continuity and disaster recovery plan executive summary upon request. Lack of a plan will entitle the public jurisdiction to terminate this contract for cause.

21. Compliance with Accessibility Standards: The service provider shall comply with and adhere to Accessibility Standards of Section 508 Amendment to the Rehabilitation Act of 1973.

22. Web Services: The service provider shall use web services exclusively to interface with the public jurisdiction's data in near real time when possible.

23. Encryption of Data at Rest: The service provider shall ensure hard drive encryption consistent with validated cryptography standards as referenced in FIPS 140-2, Security Requirements for Cryptographic Modules for all personal data.

24. Subscription Terms: Service provider grants to a public jurisdiction a license to:

- a. Access and use the service for its business purposes;
- b. For SaaS, use underlying software as embodied or used in the service; and
- c. View, copy, upload, download (where applicable), and use service provider's documentation.

25. Equitable Relief: Service provider acknowledges that any breach of its covenants or obligations set forth in Addendum may cause the public jurisdiction irreparable harm for which monetary damages would not be adequate compensation and agrees that, in the event of such breach or threatened breach, the public jurisdiction is entitled to seek equitable relief, including a restraining order, injunctive relief, specific performance and any other relief that may be available from any court, in addition to any other remedy to which the public jurisdiction may be entitled at law or in equity. Such remedies shall not be deemed to be exclusive but shall be in addition to all other remedies available at law or in equity, subject to any express exclusions or limitations in this Addendum to the contrary.

AGREED:

Name of Agency: _____

Name of Vendor: _____

Signature: _____

Signature: Mary Stenz

Title: _____

Title: _____

Date: _____

Date: _____

Appendix A

(To be completed by the Agency's Procurement Officer prior to the execution of the Addendum, and shall be made a part of the Addendum. Required information not identified prior to execution of the Addendum may only be added by amending Appendix A and the Addendum, via Change Order.)

Name of Service Provider/Vendor: _____

Name of Agency: _____

Agency/public jurisdiction's required information:

1. Will restricted information be processed by the service provider?
Yes
No
2. If yes to #1, does the restricted information include personal data?
Yes
No
3. If yes to #1, does the restricted information include non-public data?
Yes
No
4. If yes to #1, may the service provider store public jurisdiction data in a data center in an acceptable alternative data center location, which is a country that is not the U.S.?
Yes
No
5. Provide name and email address for the Department privacy officer:
Name: _____
Email address: _____

Vendor/Service Provider's required information:

6. Provide name and contact information for vendor's employee who shall serve as the public jurisdiction's primary security contact:
Name: _____
Email address: _____
Phone Number: _____

STATE OF WEST VIRGINIA
Purchasing Division

PURCHASING AFFIDAVIT

CONSTRUCTION CONTRACTS: Under W. Va. Code § 5-22-1(j), the contracting public entity shall not award a construction contract to any bidder that is known to be in default on any monetary obligation owed to the state or a political subdivision of the state, including, but not limited to, obligations related to payroll taxes, property taxes, sales and use taxes, fire service fees, or other fines or fees.

ALL CONTRACTS: Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

EXCEPTION: The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

DEFINITIONS:

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceeds five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (*W. Va. Code §61-5-3*) that: (1) for construction contracts, the vendor is not in default on any monetary obligation owed to the state or a political subdivision of the state, and (2) for all other contracts, that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

WITNESS THE FOLLOWING SIGNATURE:

Vendor's Name: _____

Authorized Signature: _____ Date: _____

State of _____

County of _____, to-wit:

Taken, subscribed, and sworn to before me this ____ day of _____, 20__.

My Commission expires _____, 20__.

AFFIX SEAL HERE

NOTARY PUBLIC _____

West Virginia Ethics Commission



Disclosure of Interested Parties to Contracts

Pursuant to *W. Va. Code* § 6D-1-2, a state agency may not enter into a contract, or a series of related contracts, that has/have an actual or estimated value of \$1 million or more until the business entity submits to the contracting state agency a Disclosure of Interested Parties to the applicable contract. In addition, the business entity awarded a contract is obligated to submit a supplemental Disclosure of Interested Parties reflecting any new or differing interested parties to the contract within 30 days following the completion or termination of the applicable contract.

For purposes of complying with these requirements, the following definitions apply:

"Business entity" means any entity recognized by law through which business is conducted, including a sole proprietorship, partnership or corporation, but does not include publicly traded companies listed on a national or international stock exchange.

"Interested party" or *"Interested parties"* means:

- (1) A business entity performing work or service pursuant to, or in furtherance of, the applicable contract, including specifically sub-contractors;
- (2) the person(s) who have an ownership interest equal to or greater than 25% in the business entity performing work or service pursuant to, or in furtherance of, the applicable contract. (This subdivision does not apply to a publicly traded company); and
- (3) the person or business entity, if any, that served as a compensated broker or intermediary to actively facilitate the applicable contract or negotiated the terms of the applicable contract with the state agency. (This subdivision does not apply to persons or business entities performing legal services related to the negotiation or drafting of the applicable contract.)

"State agency" means a board, commission, office, department or other agency in the executive, judicial or legislative branch of state government, including publicly funded institutions of higher education: Provided, that for purposes of *W. Va. Code* § 6D-1-2, the West Virginia Investment Management Board shall not be deemed a state agency nor subject to the requirements of that provision.

The contracting business entity must complete this form and submit it to the contracting state agency prior to contract award and to complete another form within 30 days of contract completion or termination.

This form was created by the State of West Virginia Ethics Commission, 210 Brooks Street, Suite 300, Charleston, WV 25301-1804. Telephone: (304)558-0664; fax: (304)558-2169; e-mail: ethics@wv.gov; website: www.ethics.wv.gov.

West Virginia Ethics Commission
Disclosure of Interested Parties to Contracts

(Required by *W. Va. Code* § 6D-1-2)

Name of Contracting Business Entity: _____ Address: _____

Name of Authorized Agent: _____ Address: _____

Contract Number: _____ Contract Description: _____

Governmental agency awarding contract: _____

Check here if this is a Supplemental Disclosure

List the Names of Interested Parties to the contract which are known or reasonably anticipated by the contracting business entity for each category below (*attach additional pages if necessary*):

1. Subcontractors or other entities performing work or service under the Contract

Check here if none, otherwise list entity/individual names below.

2. Any person or entity who owns 25% or more of contracting entity (not applicable to publicly traded entities)

Check here if none, otherwise list entity/individual names below.

3. Any person or entity that facilitated, or negotiated the terms of, the applicable contract (excluding legal services related to the negotiation or drafting of the applicable contract)

Check here if none, otherwise list entity/individual names below.

Signature: _____

Date Signed: _____

Notary Verification

State of _____, County of _____:

I, _____, the authorized agent of the contracting business entity listed above, being duly sworn, acknowledge that the Disclosure herein is being made under oath and under the penalty of perjury.

Taken, sworn to and subscribed before me this _____ day of _____, _____.

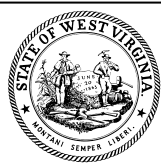
Notary Public's Signature

To be completed by State Agency:

Date Received by State Agency: _____

Date submitted to Ethics Commission: _____

Governmental agency submitting Disclosure: _____



Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 50130
 Charleston, WV 25305-0130

State of West Virginia
 Centralized Request for Quote
 Info Technology

Proc Folder: 779602		Reason for Modification:	
Doc Description: GRC Software Solution (OT21047)		Addendum No. 01 is being issued to address all technical questions received.	
Proc Type: Central Master Agreement		No other changes.	
Date Issued	Solicitation Closes	Solicitation No	Version
2020-10-02	2020-10-07 13:30	CRFQ 0231 OOT2100000001	2

BID RECEIVING LOCATION

BID CLERK
 DEPARTMENT OF ADMINISTRATION
 PURCHASING DIVISION
 2019 WASHINGTON ST E
 CHARLESTON WV 25305
 US

VENDOR

Vendor Customer Code:
Vendor Name : Software Productivity Strategists, Inc.
Address :
Street : 2400 Research Blvd. Suite 115
City : Rockville
State : MD **Country :** USA **Zip :** 20850
Principal Contact : Mary Stang
Vendor Contact Phone: 301-337-2290 **Extension:**

FOR INFORMATION CONTACT THE BUYER

Jessica S Chambers
 (304) 558-0246
 jessica.s.chambers@wv.gov

Vendor Signature X  **FEIN#** 52-1832154 **DATE** 10/07/2020

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION

The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Office of Technology to establish an open-end contract for a Governance, Risk, and Compliance (GRC) software solution. This software will be a component of the Cyber Risk Program that was procured under CRFP ISC ISC2000000001. The GRC software solution will enhance the ability of the State of West Virginia to maintain compliance with industry regulatory requirements, federal regulatory requirements, applicable laws, and security expectations. The vendor will provide a GRC technology solution that enables the State and its individual agencies to implement an adaptive and effective internal control system for establishing, maintaining, assessing, and reporting effective internal controls per the terms and conditions and specifications as attached.

INVOICE TO	SHIP TO
DEPARTMENT OF ADMINISTRATION OFFICE OF TECHNOLOGY 1900 KANAWHA BLVD E, BLDG 5 10TH FLOOR CHARLESTON WV 25305 US	WV OFFICE OF TECHNOLOGY BLDG 5, 10TH FLOOR 1900 KANAWHA BLVD E CHARLESTON WV 25305 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	GRC Software Solution				

Comm Code	Manufacturer	Specification	Model #
43230000			

Extended Description:
See attached Pricing Page

SCHEDULE OF EVENTS

<u>Line</u>	<u>Event</u>	<u>Event Date</u>
-------------	--------------	-------------------

	Document Phase	Document Description	Page
OOT210000001	Draft	GRC Software Solution (OT21047)	3

ADDITIONAL TERMS AND CONDITIONS

See attached document(s) for additional Terms and Conditions

SOLICITATION NUMBER:
Addendum Number:

The purpose of this addendum is to modify the solicitation identified as (“Solicitation”) to reflect the change(s) identified and described below.

Applicable Addendum Category:

- Modify bid opening date and time
- Modify specifications of product or service being sought
- Attachment of vendor questions and responses
- Attachment of pre-bid sign-in sheet
- Correction of error
- Other

Description of Modification to Solicitation:

Additional Documentation: Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

Terms and Conditions:

1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.
2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

ATTACHMENT A

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: _____

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:

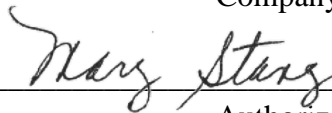
(Check the box next to each addendum received)

- | | |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6 |
| <input type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7 |
| <input type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8 |
| <input type="checkbox"/> Addendum No. 4 | <input type="checkbox"/> Addendum No. 9 |
| <input type="checkbox"/> Addendum No. 5 | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Software Productivity Strategists, Inc. _____

Company



Authorized Signature

10/07/2020 _____

Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.

Revised 6/8/2012

CRFO OOT21*01 – GRC Tool Technical Questions and Answers

1. 4.1.1.20 Vendor solution must include ability to help manage the incident management process including the use of templates, automated workflows, and dashboards.

Can you please elaborate on what kind of incident is being referred to here? For example, is it simply an incident/risk gap discovered in the vendor risk assessment? Or is it more like an ad-hoc incident such as a CEO losing his/her laptop for example?

The type of incident referenced here is an ad-hoc incident such as a lost laptop, or unanticipated system downtime. The incident would need to be tracked in the solution through an incident management process that would include, but is not limited to:

- a. Logging the incident
 - b. Categorizing the incident
 - c. Prioritizing the incident
 - d. Assigning the incident to incident response team member
 - e. Creating tasks to help manage the incident response process for the incident
 - f. Ability to escalate incident to other incident response team members
 - g. Recording on what the resolution of the incident was along with tracking open vs closed incidents
2. Is the proposed solution intended to be used solely by the Office of Technology or are there multiple agencies under OIT who would use the solution?

The Office of Technology will be the primary users and administrating the system, but all agencies are expected to be onboarded into the application. In some cases, agencies will be using the tool directly to self-assess and in other cases the process will be managed by the Office of Technology or a designated contractor helping with the risk assessment process.

3. How many employees will be using the proposed solution? Do all of these employees work for OIT or do some work in other agencies under OIT? If so, how many employees in each agency would use the proposed solution?

Vendor must provide at least fifteen (15) power user licenses and must be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support. Not all users will work in the Office of Technology but will be users from other state agencies. If the solution is licensed by user, the Office of Technology would manage where the user licenses would be assigned as needed.

4. Where in the Pricing Page - Exhibit A – is appropriate to display pricing for implementation costs for starting up the proposed solution?

Initial implementation costs must be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support.

5. Could you please provide clarification on the units of measure? (LS, HR).

On the pricing sheet “LS” stands for lump sum and “HR” stands for hourly.

6. Would it be acceptable to receive responses before the deadline of 09/30/20? Also, would it be acceptable to extend the submission deadline to 10/14/20?

Bids must be received by the deadline. No, the deadline will not be extended.

7. **3.1:** Is it mandatory that the GRC solution has implemented a Federal or State or Local Government entity?

Yes.

8. **4.1.1.1:** Will we have the ability to have a discovery call with the West Virginia team to confirm your requirements and to confirm what is going to be shown on a demonstration?

Vendors are not being asked for a demonstration of their solution. The requirements have been provided in this solicitation. To be considered, a vendor should submit a written response on how their company and solution will meet each of the requirements in the Request for Quotation.

9. **4.1.1.2:** Is the expectation that these Frameworks are all out of the box or does WV have some of the control sets available?

The expectation is that the Frameworks identified in section 4.1.1.2 would be available for use out of the box or vendor has a way to implement them for use by the State of WV.

10. **4.1.1.3:** Can you confirm that WV is looking for a solution to update changes around only control sets or laws and regulations? Or both?

Both. As an example, if there is an update to PCI DSS, those updates should be made within the solution, and then alert users that there have been updates so any changes can be evaluated to ensure the agency maintains compliance.

11. If West Virginia is including laws and regulations, which laws and regulations are in scope here?

The primary laws, regulations and frameworks to be used are as follows: NIST Cyber Security Framework (CSF) 1.1, NIST 800-53, NIST 800-171, HIPAA, PCI, CIS, ISO27002:2013, IRS 1075, and CJIS. West Virginia will use a customized version of NIST CSF 1.1, to evaluate compliance for each agency. It is not expected that the West Virginia Cyber Security Framework (CSF), will already be populated in the solution. The solution should allow for the WV CSF to be evaluated against which would be configured during implementation.

12. **4.1.1.12:** What type of work is being shared externally and for what purposes? ie - Auditors who look at your controls

The standardized templates / reports are for internal use by the State of WV to assist with validating compliance with the WV CSF and other compliance frameworks. As an example, there should be a report template that can be used by each agency to show how they are in or out of compliance with the WV CSF.

At times, data will need to be exported from the solution to external auditors to assist the agency with showing compliance with a compliance framework.

13. **4.1.1.16:** Can you provide examples of visualization tools WV is looking to use? Any other integrations needed?

Visualization tools should allow for the creation of executive style reports or dashboards to show not only an agency's level of compliance, but their level of risk based on their risk assessment. Each agency should roll up to a view where someone can quickly see the status of the State as a whole. If the solution does not allow for this then the data that would make up reports and views as mentioned, would need to be exported to Microsoft Office to create the same type of reports. It is preferred that the solution have these tools built in, and then only ad hoc data would have to be exported as necessary.

14. **4.1.2.1:** I see the power users(15) within the RFP, but there isn't insight for secondary users (ie control owners and process owners). Can you provide the number of secondary users so we properly quote West Virginia?

Vendor must provide at least fifteen (15) power user licenses and must be included in the lump sum cost on the Exhibit A Pricing Page Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support. At this point, there is no expectation that secondary users would need to access the solution.

15. **Contract Award** - When is West Virginia looking to select a solution by and are there any compelling dates/initiatives to keep in mind for project kickoff and go-live?

West Virginia is looking to select a solution and start implementation as soon as possible. The state anticipates starting implementation in November 2020 with expectation that the system would go live by the end of January 2021.

16. **Demonstration schedule:** When do you plan on scheduling the demonstration so we can properly prepare?

No demonstrations are being scheduled.

17. In reference to section **3.1**. Vendor must have implemented a GRC software solution with a Federal or State, or Local Government entity and provide proof of implementation upon request. Will this opportunity accept public sector references outside of the US? For example, Canadian Federal Government, Provincial Governments of Municipal Governments.

United States Based Federal, State, or Local Government entities are preferred.

18. Is your client open to non-US citizens performing the services on this engagement. An example would be Canadian resources who are considered near-shore.

It is mandatory that all data within the solution be stored and accessed from within the United States. Some state agencies might have a requirement that only United States citizens can access their data.

19. One further question, do we have to fill this form out as well or is this form just for information purposes? Just curious, thank you.

You need to download all the attachments via wvOasis VSS and fill out accordingly. There are several files available for download, the "Bid Documents" file contains the complete specifications and the Exhibit A Pricing Page should be used to provide your pricing information.



Department of Administration
 Purchasing Division
 2019 Washington Street East
 Post Office Box 50130
 Charleston, WV 25305-0130

State of West Virginia
 Centralized Request for Quote
 Info Technology

Proc Folder: 779602		Reason for Modification:	
Doc Description: GRC Software Solution (OT21047)		Addendum No. 02 is being issued to extend the bid opening date and time one week.	
Proc Type: Central Master Agreement		No other changes	
Date Issued	Solicitation Closes	Solicitation No	Version
2020-10-06	2020-10-14 13:30	CRFQ 0231 OOT210000001	3

BID RECEIVING LOCATION

BID CLERK
 DEPARTMENT OF ADMINISTRATION
 PURCHASING DIVISION
 2019 WASHINGTON ST E
 CHARLESTON WV 25305
 US

VENDOR

Vendor Customer Code:
Vendor Name : Software Productivity Strategists, Inc.
Address :
Street : 2400 Research Blvd. Suite 115
City : Rockville
State : MD **Country :** USA **Zip :** 20850
Principal Contact : Mary Stang
Vendor Contact Phone: 301-337-2290 **Extension:**

FOR INFORMATION CONTACT THE BUYER

Jessica S Chambers
 (304) 558-0246
 jessica.s.chambers@wv.gov

Vendor
 Signature X

FEIN# 52-1832154

DATE 10/13/2020

All offers subject to all terms and conditions contained in this solicitation

ADDITIONAL INFORMATION:

The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Office of Technology to establish an open-end contract for a Governance, Risk, and Compliance (GRC) software solution. This software will be a component of the Cyber Risk Program that was procured under CRFP ISC ISC2000000001. The GRC software solution will enhance the ability of the State of West Virginia to maintain compliance with industry regulatory requirements, federal regulatory requirements, applicable laws, and security expectations. The vendor will provide a GRC technology solution that enables the State and its individual agencies to implement an adaptive and effective internal control system for establishing, maintaining, assessing, and reporting effective internal controls per the terms and conditions and specifications as attached.

INVOICE TO	SHIP TO
DEPARTMENT OF ADMINISTRATION OFFICE OF TECHNOLOGY 1900 KANAWHA BLVD E, BLDG 5 10TH FLOOR CHARLESTON WV 25305 US	WV OFFICE OF TECHNOLOGY BLDG 5, 10TH FLOOR 1900 KANAWHA BLVD E CHARLESTON WV 25305 US

Line	Comm Ln Desc	Qty	Unit Issue	Unit Price	Total Price
1	GRC Software Solution				

Comm Code	Manufacturer	Specification	Model #
43230000			

Extended Description:
See attached Pricing Page

SCHEDULE OF EVENTS

<u>Line</u>	<u>Event</u>	<u>Event Date</u>
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SOLICITATION NUMBER: CRFQ OOT2100000001

Addendum Number: No.02

The purpose of this addendum is to modify the solicitation identified as (“Solicitation”) to reflect the change(s) identified and described below.

Applicable Addendum Category:

- Modify bid opening date and time
- Modify specifications of product or service being sought
- Attachment of vendor questions and responses
- Attachment of pre-bid sign-in sheet
- Correction of error
- Other

Description of Modification to Solicitation:

Addendum issued to publish and distribute the attached documentation to the vendor community.

1. The purpose of this addendum is to extend bid opening date one week.

No additional changes.

Additional Documentation: Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

Terms and Conditions:

1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.
2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

ATTACHMENT A

ADDENDUM ACKNOWLEDGEMENT FORM
SOLICITATION NO.: _____

Instructions: Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

Acknowledgment: I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum Numbers Received:

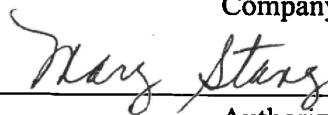
(Check the box next to each addendum received)

- | | |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6 |
| <input checked="" type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7 |
| <input type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8 |
| <input type="checkbox"/> Addendum No. 4 | <input type="checkbox"/> Addendum No. 9 |
| <input type="checkbox"/> Addendum No. 5 | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Software Productivity Strategists, Inc.

Company



Authorized Signature

10/13/2020

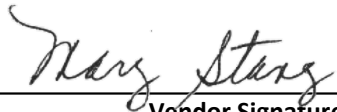
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.
Revised 6/8/2012

EXHIBIT A – Pricing Page
GRC Software Solution RFQ - OT21047

Section	Description	Unit of Measure	Estimated Quantity	Unit Cost	Extended Cost
4.1, 4.2	Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support	LS	1.00	285040.00	\$ 285,040.00
4.1.3	Contract Item #2: Post Implementation Customization	HR	200.00	239.00	\$ 47,800.00
4.1, 4.2	Optional Renewal Year 2: Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support	LS	1.00	262676.00	\$ 262,676.00
4.1.3	Optional Renewal Year 2: Contract Item #2: Post Implementation Customization	HR	200.00	250.00	\$ 50,000.00
4.1, 4.2	Optional Renewal Year 3: Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support	LS	1.00	279663.32	\$ 279,663.32
4.1.3	Optional Renewal Year 3: Contract Item #2: Post Implementation Customization	HR	200.00	262.00	\$ 52,400.00
4.1, 4.2	Optional Renewal Year 4: Contract Item #1: Governance, Risk, and Compliance (GRC) Software Solution, Training and Support	LS	1.00	297839.75	\$ 297,839.75
4.1.3	Optional Renewal Year 4: Post Implementation Customization	HR	200.00	275.00	\$ 55,000.00
Total Cost				\$	1,330,419.07

Contract will be evaluated on all lines but only awarded on first year. Renewal options for years 2, 3, and 4 will be initiated by the Agency, agreed to by the Vendor and processed by the West Virginia Purchasing Division as Change Orders for subsequent years.


 Vendor Signature:

10/07/2020
 Date: