

**State of Maine**  
**Master Score Sheet**

<b>RFP# 202110152</b>					
<b>Enterprise Licensing System</b>					
<b>Bidder Name:</b>		<b>AST</b>	<b>Carahsoft Technology Corporation</b>	<b>CGI</b>	<b>MTX Group</b>
<b>Proposed Cost:</b>		<b>\$11,339,726.57</b>	<b>\$14,695,784.47</b>	<b>\$9,857,085.00</b>	<b>\$13,986,031.40</b>
<b>Scoring Sections</b>	<b>Points Available</b>				
Section I: Preliminary Information	Pass/Fail	Pass	Pass	Pass	Pass
Section II: Organization Qualifications and Experience	20	3	15	14	4
Section III: Proposed Services	35	12	26	21	12
Section IV: Cost Proposal					
• Section IV: Lowest Bid	35	18.37	14.17	21.13	14.89
• Section IV: Highest Discount Percentages (5 Discount Categories x 2 pts. each)					
• Rate Discount Percentage	2	0	0	0	0
• Enterprise Solution Cost Discount: "Small" Implementation	2	0	0	0	0
• Enterprise Solution Cost Discount: "Medium" Implementation	2	0.5	0	0	0.5
• Enterprise Solution Cost Discount: "Large" Implementation	2	0.67	0	0	0.67
• Additional Discount per Implementation, up to 5	2	0	0	0	0
<b>TOTAL</b>	<b><u>100</u></b>	<b><u>34.54</u></b>	<b><u>55.17</u></b>	<b><u>56.13</u></b>	<b><u>32.06</u></b>

**RFP# 202110152**

**Enterprise Licensing System**

<b>Bidder Name:</b>		<b>GL Solutions</b>	<b>ProCom Consulting</b>	<b>Slalom</b>	<b>Stratosphere Consulting</b>
<b>Proposed Cost:</b>		<b>\$6,078,902.50</b>	<b>\$7,134,571.61</b>	<b>\$14,638,633.38</b>	<b>\$5,951,564.60</b>
<b>Scoring Sections</b>	<b>Points Available</b>				
Section I: Preliminary Information	Pass/Fail	Pass	Pass	Pass	Pass
Section II: Organization Qualifications and Experience	20	3	2	10	5
Section III: Proposed Services	35	7	1	1	9
Section IV: Cost Proposal					
• Section IV: Lowest Bid	35	34.27	29.20	14.23	35
• Section IV: Highest Discount Percentages (5 Discount Categories x 2 pts. each)					
• Rate Discount Percentage	2	2	0.3	0.5	1.5
• Enterprise Solution Cost Discount: "Small" Implementation	2	0	0	0	0
• Enterprise Solution Cost Discount: "Medium" Implementation	2	0.5	2	0.5	2
• Enterprise Solution Cost Discount: "Large" Implementation	2	0.67	2	0.67	2
• Additional Discount per Implementation, up to 5	2	2	0	0	0
<b>TOTAL</b>	<b><u>100</u></b>	<b><u>49.44</u></b>	<b><u>36.50</u></b>	<b><u>26.90</u></b>	<b><u>54.50</u></b>

**RFP# 202110152**

**Enterprise Licensing System**

<b>Bidder Name:</b>		<b>Tech Mahindra</b>	<b>Vanguard Direct</b>	<b>Windsor Solutions</b>	
<b>Proposed Cost:</b>		<b>\$11,870,128.00</b>	<b>\$12,537,196.04</b>	<b>\$16,039,532.31</b>	
<b>Scoring Sections</b>	<b>Points Available</b>				
Section I: Preliminary Information	Pass/Fail	Pass	Pass	Pass	
Section II: Organization Qualifications and Experience	20	6	7	17	
Section III: Proposed Services	35	11	14	32	
Section IV: Cost Proposal					
• Section IV: Lowest Bid	35	17.55	16.61	12.99	
• Section IV: Highest Discount Percentages (5 Discount Categories x 2 pts. each)					
• Rate Discount Percentage	2	0.5	0	0.3	
• Enterprise Solution Cost Discount: "Small" Implementation	2	0	0	0	
• Enterprise Solution Cost Discount: "Medium" Implementation	2	0.5	0.1	0	
• Enterprise Solution Cost Discount: "Large" Implementation	2	0.67	0.13	0	
• Additional Discount per Implementation, up to 5	2	0	0	0	
<b>TOTAL</b>	<b><u>100</u></b>	<b><u>36.22</u></b>	<b><u>37.84</u></b>	<b><u>62.29</u></b>	

**Award Justification Statement**  
**RFP# 202110152 – DEP Enterprise Licensing System**

**I. Summary**

The Department of Environmental Protection is seeking a modern, Software as a Service (SaaS) licensing system that has integrated licensing, certification, registration, notification, compliance, inspection, and enforcement functionality; a customer portal with online application functionality; a public information/search portal; ability to integrate with electronic payment processing software; and inherent business intelligence and reporting functionality.

**II. Evaluation Process**

The evaluation and scoring of proposals were conducted using a staged approach. Evaluation team members reviewed each submission individually and then a consensus approach was used to assign scores for Sections I, II, and III. The total cost proposed for the project was assigned a score according to a mathematical formula. The evaluation team consisted of four scoring members, including two DEP subject matter experts, a Departmental financial expert, and an IT subject matter expert from MaineIT.

**III. Qualifications & Experience**

Windsor Solutions replaced the same system that Maine DEP uses for licensing in another state with the proposed solution. The bidder specializes in providing licensing system services of the type that are required for this project and has already implemented this particular solution for regulatory agencies in eight states. The bidder has significant experience with licensing of this level of complexity.

**IV. Proposed Services**

- The bidder's solution satisfied most of the requirements requested in the RFP without customization.
- The solution included comprehensive assistance for data migration.
- The configurability of the proposed solution meets the Department's needs.
- The bidder's well-produced submittal demonstrated a deep understanding of the complexity of the Department's needs and the time and resources required.
- The services offered were well integrated and included reporting, a user-friendly public portal, and notifications.

**V. Cost Proposal**

Windsor Solutions' proposed cost is \$16,039,532.31.

## **VI. Conclusion**

Windsor Solutions qualifications matched the evaluation team's expectations for a bidder who would be able to complete this project. Likewise, the services offered were the best match for the needs of the Department. Windsor's comprehensive and transparent proposal demonstrated a keen awareness of the information management ecosystem of a regulatory institution. Windsor received 62.29 points, which was the highest point total received by a bid for this RFP.



JANET T. MILLS  
GOVERNOR

STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION



MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

Applications Software Technology, LLC  
Jordan Schulman  
4343 Commerce Court, Suite 701  
Lisle, IL 60532

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Jordan Schulman,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

- Windsor Solutions, Inc.

The bidder listed above received the evaluation team's highest ranking. The Department will be contacting the aforementioned bidder soon to negotiate a contract. As provided in the RFP, the Notice of Conditional Contract Award is subject to execution of a written contract and, as a result, this Notice does NOT constitute the formation of a contract between the Department and the apparent successful vendor. The vendor shall not acquire any legal or equitable rights relative to the contract services until a contract containing terms and conditions acceptable to the Department is executed. The Department further reserves the right to cancel this Notice of Conditional Contract Award at any time prior to the execution of a written contract.

As stated in the RFP, following announcement of this award decision, all submissions in response to the RFP are considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA). 1 M.R.S. §§ 401 et seq.; 5 M.R.S. § 1825-B (6).

This award decision is conditioned upon final approval by the State Procurement Review Committee and the successful negotiation of a contract. A Statement of Appeal Rights has been provided with this letter; see below.

AUGUSTA  
17 STATE HOUSE STATION  
AUGUSTA, MAINE 04333-0017  
(207) 287-7688 FAX: (207) 287-7826

BANGOR  
106 HOGAN ROAD, SUITE 6  
BANGOR, MAINE 04401  
(207) 941-4570 FAX: (207) 941-4584

PORTLAND  
312 CANCO ROAD  
PORTLAND, MAINE 04103  
(207) 822-6300 FAX: (207) 822-6303

PRESQUE ISLE  
1235 CENTRAL DRIVE, SKYWAY PARK  
PRESQUE ISLE, MAINE 04769  
(207) 764-0477 FAX: (207) 760-3143

Letter to Jordon Schulman, Applications Software Technology, LLC

June 17, 2023

Page 2 of 3

Thank you for your interest in doing business with the State of Maine.

Sincerely,

A handwritten signature in blue ink, appearing to read "Melanie Loyzim", with a stylized flourish at the end.

Melanie Loyzim

Letter to Jordon Schulman, Applications Software Technology, LLC

June 17, 2023

Page 3 of 3

### **STATEMENT OF APPEAL RIGHTS**

Any person aggrieved by an award decision may request an appeal hearing. The request must be made to the Director of the Bureau of General Services, in writing, within 15 days of notification of the contract award as provided in 5 M.R.S. § 1825-E (2) and the Rules of the Department of Administrative and Financial Services, Bureau of General Services, Division of Purchases, Chapter 120, § (2) (2).





JANET T. MILLS  
GOVERNOR

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DEPARTMENT OF ENVIRONMENTAL PROTECTION



MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

Carahsoft Technology Corporation  
Casey Oesterle  
11493 Sunset Hills Road, Suite 100  
Reston, VA 20190

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Casey Oesterle,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Letter to Casey Oesterle, Carahsoft Technology Corporation

June 17, 2023

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Melanie Loyzim

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MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

CGI  
Tanuja Thikekar  
78 Blanchard Road, Suite 300  
Burlington, MA 01803

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Tanuja Thikekar,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Letter to Tanuja Thikekar, CGI

June 17, 2023

Page 2 of 3

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Sincerely,

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Melanie Loyzim

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MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

GL Suite dba GL Solutions  
William Moseley  
555 Corporate Drive, Suite 301  
KalisPELL, MT 59901

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear William Moseley,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Letter to William Moseley, GL Solutions

June 17, 2023

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Melanie Loyzim



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MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

MTX Group, Inc.  
Kirk LaPorte  
6303 Cowboys Way STE. 400  
Frisco, TX 75034

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Kirk LaPorte,

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Letter to Kirk LaPorte, MTX Group, Inc.

June 17, 2023

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Melanie Loyzim

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JANET T. MILLS  
GOVERNOR

STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION



MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

ProCom Consulting, Inc.  
David Stich  
15800 Birmingham HWY, Building 400  
Alpharetta, GA 3004

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear David Stich,

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Letter to David Stich, ProCom Consulting, Inc.

June 17, 2023

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Thank you for your interest in doing business with the State of Maine.

Sincerely,

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Melanie Loyzim

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GOVERNOR

STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION



MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

Slalom, LLC  
Molly Plaisted  
399 Boylston Street, Suite 1000  
Boston, MA 02116

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Molly Plaisted,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Letter to Molly Plaisted, Slalom, LLC

June 17, 2023

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JANET T. MILLS  
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MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

Stratosphere Technical Consulting, LLC  
Colin Campbell  
1920 McKinney Avenue, Suite 700  
Dallas, TX 75201

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
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The bidder listed above received the evaluation team's highest ranking. The Department will be contacting the aforementioned bidder soon to negotiate a contract. As provided in the RFP, the Notice of Conditional Contract Award is subject to execution of a written contract and, as a result, this Notice does NOT constitute the formation of a contract between the Department and the apparent successful vendor. The vendor shall not acquire any legal or equitable rights relative to the contract services until a contract containing terms and conditions acceptable to the Department is executed. The Department further reserves the right to cancel this Notice of Conditional Contract Award at any time prior to the execution of a written contract.

As stated in the RFP, following announcement of this award decision, all submissions in response to the RFP are considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA). 1 M.R.S. §§ 401 et seq.; 5 M.R.S. § 1825-B (6).

This award decision is conditioned upon final approval by the State Procurement Review Committee and the successful negotiation of a contract. A Statement of Appeal Rights has been provided with this letter; see below.

AUGUSTA  
17 STATE HOUSE STATION  
AUGUSTA, MAINE 04333-0017  
(207) 287-7688 FAX: (207) 287-7826

BANGOR  
106 HOGAN ROAD, SUITE 6  
BANGOR, MAINE 04401  
(207) 941-4570 FAX: (207) 941-4584

PORTLAND  
312 CANCO ROAD  
PORTLAND, MAINE 04103  
(207) 822-6300 FAX: (207) 822-6303

PRESQUE ISLE  
1235 CENTRAL DRIVE, SKYWAY PARK  
PRESQUE ISLE, MAINE 04769  
(207) 764-0477 FAX: (207) 760-3143

Letter to Colin Campbell, Stratosphere Technical Consulting LLC

June 17, 2023

Page 2 of 3

Thank you for your interest in doing business with the State of Maine.

Sincerely,

A handwritten signature in blue ink, appearing to read "Melanie Loyzim", with a stylized flourish at the end.

Melanie Loyzim

Letter to Colin Campbell, Stratosphere Technical Consulting LLC

June 17, 2023

Page 3 of 3

### **STATEMENT OF APPEAL RIGHTS**

Any person aggrieved by an award decision may request an appeal hearing. The request must be made to the Director of the Bureau of General Services, in writing, within 15 days of notification of the contract award as provided in 5 M.R.S. § 1825-E (2) and the Rules of the Department of Administrative and Financial Services, Bureau of General Services, Division of Purchases, Chapter 120, § (2) (2).



JANET T. MILLS  
GOVERNOR

STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION



MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

Tech Mahindra Americas Inc.  
Arpit Shastri  
5700 Democracy Dr, Suite 2000  
Plano, TX 75024

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Arpit Shastri,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Letter to Arpit Shastri, Tech Mahindra Americas Inc.

June 17, 2023

Page 2 of 3

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Sincerely,

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Melanie Loyzim

### **STATEMENT OF APPEAL RIGHTS**

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JANET T. MILLS  
GOVERNOR

STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION



MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

Vanguard Direct, Inc. DBA Vanguard  
Preeti Sharma  
519 8<sup>th</sup> Avenue, Floor 23  
New York, NY 10018

**SUBJECT:** Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Preeti Sharma,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Letter to Preeti Sharma, Vanguard Direct, Inc.

June 17, 2023

Page 2 of 3

Thank you for your interest in doing business with the State of Maine.

Sincerely,

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Melanie Loyzim

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JANET T. MILLS  
GOVERNOR

STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION



MELANIE LOYZIM  
COMMISSIONER

June 16, 2023

Windsor Solutions, Inc.  
Simon Watson  
4386 S Macadam Ave, Suite 101  
Portland, OR 97239

SUBJECT: Notice of Conditional Contract Award under RFP # 202110152,  
Enterprise Licensing System

Dear Simon Watson,

This letter is in regard to the subject Request for Proposals (RFP), issued by the State of Maine Department of Environmental Protection for Enterprise Licensing System. The Department has evaluated the proposals received using the evaluation criteria identified in the RFP, and the Department is hereby announcing its conditional contract award to the following bidder:

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Letter to Simon Watson, Windsor Solutions, Inc.

June 17, 2023

Page 2 of 3

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Sincerely,

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Melanie Loyzim

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**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** AST

**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>3</b>
Section III. Proposed Services	<b>35</b>	<b>12</b>
Section IV. Cost Proposal	<b>35</b>	<b>18.37</b>
Section IV. Discounts Proposed	<b>10</b>	<b>1.17</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>34.54</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** AST

**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>3</b>

**Evaluation Team Comments:**

- Three required project examples were all small in scope and complexity, which does not give us confidence in their ability to complete a project of this size or scope.
- AST offered no evidence of their own experience with implementing licensing systems.
- AST included example projects that were not done by them.
- It was confirmed that AST provided competent assistance with the implementation of the Maine financial data warehouse using the Oracle Analytics Cloud. However, it used different team members than those proposed for this project, and it involved a different technology.
- Org chart was very basic and vague. It only included five AST team members and did not mention the use of subcontractors. All five AST resumes indicated Salesforce experience. Even though the proposed services indicate 27 AST staff, only five resumes were included. We question if they have sufficient staff to successfully complete this project.
- Proposed project manager only has six months of experience in that role, which does not seem sufficient for a project of this size.
- Financial analysis of the information provided within the RFP indicates that AST would be viable through the term of the project.



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** AST

**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>12</b>

**Evaluation Team Comments:**

- Salesforce as a PaaS has a good reputation within the State of Maine with several implementations having been completed.
- Describing their solution in Appendix E as “Pre-Built Use Case Specific” may indicate a lack of understanding relating to the statute and rule driven customizations that government applications require. The description of the software solution while thorough leads us to believe AST does not understand the complexity of the unique regulatory requirements involved.
- The proposal indicates that the vendor would implement AST License, Permitting and Inspections (LPI) powered by Salesforce. This raises the question of how the AST version differs from Salesforce’s out of the box LPI. If there is a difference, then why wasn’t an example of the implementation provided? The Salesforce LPI may be a viable solution. But, not providing examples of experience in implementing it leads to the belief that AST has not previously undertaken this and Maine would be their first attempt at it.
- Real benefits like compliance features are not referenced, exposing a lack of understanding of the comprehensive nature of the needs outlined in the RFP.
- AST's statements regarding CROMERR demonstrates that they do not understand the requirements of the application process, which would result in an extended application review process and would have a significant adverse impact on the project's schedule.
- AST provided an extensive list of valid risks.
- The phased staged approach outlined may cause duplicative work if all bureaus end up in active development at the same time. It would also cause an internal resource problem with the core team.
- Post Implementation Support from AST is limited to one week. We question if this is enough time.
- Response to some requirements in Appendix F, show a lack of understanding of regulatory process and site management.
- There are a lot of items marked as Customizations, but no associated cost is provided. We are unable to evaluate whether the cost is included.
- The inability of Salesforce to export reports to a MS Word document is a troubling lack of functionality.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** AST

**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)

- AST provided a well written, easy to read proposal.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$11,339,726.57</b>	<b>x</b>	<b>35 points</b>	=	<b>18.37</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>0</b>
		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		<b>0</b>
<b>5</b>		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.5</b>
<b>10</b>		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>.67</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		<b>0</b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152  
**RFP TITLE:** DEP Enterprise Licensing System  
**BIDDER:** Carahsoft  
**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)  
**SUMMARY PAGE**

**Department Name:** Environmental Protection  
**Name of RFP Coordinator:** Sam Krajewski  
**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<u>Pass/Fail Criteria</u>	<u>Pass</u>	<u>Fail</u>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<u>Scoring Sections</u>	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>15</b>
Section III. Proposed Services	<b>35</b>	<b>26</b>
Section IV. Cost Proposal	<b>35</b>	<b>14.17</b>
Section IV. Discounts Proposed	<b>10</b>	<b>0</b>
<u>Total Points</u>	<b><u>100</u></b>	<b><u>55.17</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Carahsoft

**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>15</b>

**Evaluation Team Comments:**

- There is nothing in the examples given to indicate that Carahsoft has managed a project with Vision33 implementing the Accela solution. We are unsure as to the value or the level of involvement provided by Carahsoft in this project.
- Accela has worked with Massachusetts DEP to implement a similar system and they are willing to share the solution used for Massachusetts.
- Vision33 has previously implemented the Accela platform and has 25 years of government experience.
- We liked that Massachusetts and Michigan were able to self-configure their solutions after initial implementation.
- The org chart was confusing, and it was difficult to identify who the project team will be. The proposal implies that Accela is a subcontractor but there is no information regarding Accela's involvement as a subcontractor.
- Accela recognizes Vision33 as a gold level partner and has implemented over 100 successful projects. Most project team members have multiple years of experience with the proposed Accela platform.
- Massachusetts's Accela solutions are U.S. EPA CROMERR-approved for associated Massachusetts federally delegated programs. This experience is directly transferable to our project.
- They did not provide the balance sheets or profit and loss sheets that were requested, but they provided a high-level summary for all three companies showing that they were reasonably viable.

**EVALUATION OF SECTION III**

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Carahsoft

**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)

**Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
	<u>e</u>	<u>d</u>
Section III. Proposed Services	<b>35</b>	<b>26</b>

**Evaluation Team Comments:**

- The proposed solution has received CROMERR approval in MA. Using the same approach could expedite our approval process with EPA.
- Bid package was well put together, comprehensive, and facilitated easy reading.
- The proposal mentioned an “Enhanced Reporting Database” for accessing data directly is an option, although not included in this proposal. This shows knowledge of institutional customer needs.
- Although highly configurable, all new functionality enhancements target all customer deployments. No special versions required per individual organization.
- Carahsoft's response to the questions regarding being composable, scalable, and extensible only addresses scalable, which it apparently is. They do not address extensibility and composability.
- The statement, “Vision33 and the State must then collaborate on the trade-offs between what the solution provides and State-specific requirements” implies a lack of flexibility or ability to customize the solution to meet our needs. Some “State requirements” are legal needs that cannot be compromised on.
- It appears that they have a good grasp of the level of effort for a project of this scope.
- Although the approach may change during the planning stage, the recommendation to first migrate BRWM in phase-1 and then the remaining bureaus in phase-2 makes sense to the team.
- Appendix F is completed with comprehensive commentary that reflects a thorough knowledge of regulatory business and instills confidence that functionality listed as Standard are currently part of the solution. However, we have clarifying questions about how the reporting function can be utilized.
- Accela comes across as a flexible licensing solution that is capable of accommodating more than just the DEP's needs.
- Per reference interview: While Massachusetts Department of Environmental Protection has been able to use Accela’s solution to manage their license process, it has required considerable time and in-house customizations to adapt the native functionality to the desired business workflows. User interface, GIS, and CROMERR tools all required significant work on the part of MA DEP developers to work, and in some cases not work. Carahsoft provided MA DEP as a reference for the Accela product even though MA uses an on-prem version vs. the SaaS solution proposed for Maine DEP.

**EVALUATION OF SECTION IV  
Cost Proposal**

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Carahsoft

**DATE:** 3-31-2023 (Section II)      4-24-2023 (Section III)

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$14,695,784.47</b>	<b>x</b>	<b>35 points</b>	=	<b>14.17</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>0</b>
		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		<b>0</b>
		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>0</b>
		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>0</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		<b>0</b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** CGI

**DATE:** 4-3-2023 (Section II)      4-26-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<u>Pass/Fail Criteria</u>	<u>Pass</u>	<u>Fail</u>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<u>Scoring Sections</u>	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>14</b>
Section III. Proposed Services	<b>35</b>	<b>21</b>
Section IV. Cost Proposal	<b>35</b>	<b>21.13</b>
Section IV. Discounts Proposed	<b>10</b>	<b>0</b>
<u>Total Points</u>	<u>100</u>	<u>56.13</u>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** CGI

**DATE:** 4-3-2023 (Section II)      4-26-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>14</b>

**Evaluation Team Comments:**

- Thirty years of experience developing systems for licensing systems of similar size and complexity to those of our project.
- The State has a long history working with CGI on other projects.
- CGI appears to be profitable and financially viable.
- CGI did not have cyber insurance listed.
- CGI appears to have the contract with EPA to maintain the CDX. This is a system we may want to interface with. Their experience could save time/effort.
- CGI has an existing Environmental Information Management Solution (licensing, compliance, enforcement) called TEMPO360. TEMPO360 has been used by regulatory agencies to provide complex licensing and compliance services under federal compliance requirements.
- The org chart considers DEP staff and aligns our project manager, SMEs, etc. with the equivalent on the CGI side. This makes it super easy to understand each person's role regardless of the "fancy title."
- Unable to determine impact of recent litigation due to lack of information provided. We would have preferred more specific information regarding litigation to ease any concern.
- Good longevity with employees listed (8-20 years). Organizational and project team info well put together, with complete documentation.
- Proposing to use a lot of the same team as is working on LA DEQ project, which is a similar project to ours.



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** CGI

**DATE:** 4-3-2023 (Section II)      4-26-2023 (Section III)

- CGI has a long history with the State of Maine for successfully supporting the Advantage product with very little downtime.

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>21</b>

**Evaluation Team Comments:**

- The solution (TEMPO360) is currently being used by six environmental agencies. This shows an ability to understand the scope of the project.
- CGI has an established TEMPO360 User Group (TUG) from various states that meets regularly. Participation would give us the opportunity to learn from other states and possibly share costs on common enhancements.
- CGI’s portal is CROMERR compliant, which could expedite our system’s approval with EPA.
- CGI's response to the questions regarding being composable, scalable, and extensible only addresses scalable, which it apparently is. They do not address extensibility and composability.
- CGI created the Advantage system for State of Maine. It works but is not the most modern functionality nor user friendly or intuitive. In addition, SOM personnel have expressed dissatisfaction with recent pace of work on another SOM/CGI Project. These experiences do not instill confidence in a CGI solution, nor their ability to implement one.
- Since the Tempo360 application was developed and is hosted by CGI, this should simplify any interfacing with the State's Financial system called Advantage also developed and hosted by CGI.
- TEMPO360 was created in 1993 and then webified in 2015. From the description it sounds like this was not built as is so much as it has evolved and been combined with other products which may help to explain why the interface comes across unfriendly and not intuitive.
- CGI does not use either AWS or Azure for their platform, but instead has private Data Centers in Phoenix with failover to Philadelphia. This has worked well for the State of Maine Financial system (Advantage) but seems outdated.
- Considering past SOM experience and communications with MN, CGI has established a pattern of cost overruns to complete the project as originally quoted.
- Some functionalities listed as Standard parts of the product in Appendix F are limited in part or in whole by Appendix E such that they will not meet the requirements of this RFP. For example, the number of reports offered, mobile inspection types allowed and restrictions on data migration, result in a solution which will not meet the needs of the Department.
- CGI’s implementation schedule seems to be unrealistic considering the number and scope of business processes involved.
- Online resources indicate that some customers, like Utah, are not satisfied with CGI and the TEMPO360 product stating "vendor is out dated with technology and difficult to work with."

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** CGI

**DATE:** 4-3-2023 (Section II)      4-26-2023 (Section III)

- Per a reference interview, the State of Maine Controller’s Office is very satisfied with their CGI solution.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$9,857,085.00</b>	<b>x</b>	<b>35 points</b>	=	<b>21.13</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>0</b>
		Enterprise Solution Cost Discount: “Small” Implementation Highest N/A	<b>x</b>	<b>2 points</b>		<b>0</b>
		Enterprise Solution Cost Discount: “Medium” Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>0</b>
		Enterprise Solution Cost Discount: “Large” Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>0</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		<b>0</b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** GL Solutions

**DATE:** 3-31-2023 (Section II)      4-27-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<u>Pass/Fail Criteria</u>	<u>Pass</u>	<u>Fail</u>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<u>Scoring Sections</u>	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>3</b>
Section III. Proposed Services	<b>35</b>	<b>7</b>
Section IV. Cost Proposal	<b>35</b>	<b>34.27</b>
Section IV. Discounts Proposed	<b>10</b>	<b>5.17</b>
<u>Total Points</u>	<u>100</u>	<u>49.44</u>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** GL Solutions

**DATE:** 3-31-2023 (Section II)      4-27-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>3</b>

**Evaluation Team Comments:**

- The example projects do not appear to be the level of complexity of our project and none of them involve environmental data or an enterprise system. We don't have confidence that they could deliver an enterprise level system.
- The pair of "breach of contract" suits do not inspire confidence.
- The org chart appears to be for the entire company and not specific to the project at hand.
- The proposal shows very little cash or revenue. It is an extremely small company and seems to be a big risk.
- Company principles providing credit to company does not reflect well on the long-term stability of the company.
- Proposed project personnel resumes don't show experience in any particularly complex enterprise systems.
- The team members have been with the company for a long time.

**EVALUATION OF SECTION III  
Proposed Services**

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** GL Solutions

**DATE:** 3-31-2023 (Section II)      4-27-2023 (Section III)

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>7</b>

**Evaluation Team Comments:**

- GL Solution's proposal had a lot of discussion about the software platform's potential, but no discussion of an existing regulatory solution that includes the requisite functionality (e.g. compliance tools).
- With the nascent nature of the vendor's solution in mind, the vendor's responses that functionality can be provided per the agency's needs are credible, but agency knowledge of the application development process indicates that such new functionality is highly unlikely to be provided within the cost and timing constraints of the department's needs.
- The answer to how the solution can be implemented in modules was vague and highlights that GL does not have a good understanding of the organization.
- GL Solution's answers to many of the questions were very non-descript with regards to how they would accomplish the given tasks. Their overall approach seemed to be one of complete agreement without a complete understanding of what's being requested. Due to its lack of specificity, this proposal appears to be a generic proposal that has been marginally modified to submit to the DEP.
- We question GL Solution's statement, "Our solution is CROMERR compliant," since they list no experience with EPA compliance workflows in their qualifications and experience submission.
- Every requirement in Appendix F was listed as standard and included with no customization effort. Since GL Solutions has not listed any experience with regulatory workflows of a scope that compares with the requirements of this RFP, we question the feasibility of these statements.
- GL Solution's response to the questions regarding being composable, scalable, and extensible does not address the questions

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$9,857,085.00</b>	<b>x</b>	<b>35 points</b>	=	<b>34.27</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
<b>20</b>		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>2</b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** GL Solutions

**DATE:** 3-31-2023 (Section II)      4-27-2023 (Section III)

		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
<b>5</b>		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.5</b>
<b>10</b>		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>.67</b>
<b>3</b>		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		<b>2</b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** MTX

**DATE:** 4-27-2023 (Section II)      4-27-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>4</b>
Section III. Proposed Services	<b>35</b>	<b>12</b>
Section IV. Cost Proposal	<b>35</b>	<b>14.89</b>
Section IV. Discounts Proposed	<b>10</b>	<b>1.17</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>32.06</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** MTX

**DATE:** 4-27-2023 (Section II)      4-27-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>4</b>

**Evaluation Team Comments:**

- Contact information for past projects is specifically not listed, even when the project was for another Maine agency. Whether for job interviews or bid evaluations, references are a standard request. A response of “we reserve the right to provide detailed reference contact information until later” is not appropriate and does not inspire confidence in the bidder’s citations.
- The bidder’s project descriptions do not appear to expand beyond the functionality provided by the out of the box Salesforce LPI and CRM modules. Meeting the RFP’s requirements would involve expansive customization (new functionality development). Thus, MTX’s experience does not show that they would be able to meet the requirements of our RFP within the time and resource constraints available.
- Of the 13 positions listed in the Project Team, the longest tenure is five years, and most are one year. This does not inspire confidence in team stability, which is important for a project of this scope.
- The online application process in example project 2 appears to rely on uploading a completed application document, which is a less complex solution than what the RFP envisioned.
- Indication of no pending litigation but does not address recent history.
- MTX underwent very fast growth in the past three years. We question whether the company is sustainable at this level of growth. A large portion of the company’s revenue appears to be from one large contract from 2020.

**EVALUATION OF SECTION III**



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** MTX

**DATE:** 4-27-2023 (Section II)      4-27-2023 (Section III)

**Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
	<u>e</u>	<u>d</u>
Section III. Proposed Services	<b>35</b>	<b>12</b>

**Evaluation Team Comments:**

- Salesforce as a PaaS has a good reputation within the State of Maine with several implementations having been successfully completed.
- MTX does not believe the project can be completed in 12 months (which was hinted at within the RFP) but is recommending instead a 22-month project, which is a more realistic timeframe but likely insufficient.
- The general terms used, and generic answers given, to many of the questions in the RFP, gives the impression that MTX lacks previous experience developing the solution we need in both scope and complexity. This could result in a very steep learning curve for MTX and would require extensive customizations to the software. We anticipate that the resources required for this level of custom work could exceed both MTX’s and DEP’s resources available for this project.
- MTX’s answers to how omitting Enforcement and Document Management functionalities would affect project schedules were not complete. Their recommendations do not show a thorough understanding of enterprise information system ecosystems and governmental operating constraints. This causes us to anticipate that MTX may be excessively challenged by working with large state agencies with complex systems and requirements.
- We understand and appreciate that the Salesforce LPI is a powerful application straight out of the box. But given that MTX has not shown an example of how they have already configured this solution for industrial facility regulation, we expect this will require an extremely challenging effort to make the customizations needed to fulfill the vast detailed requirements specified within the RFP.
- Almost every requirement in Appendix F was listed as standard and included with no customization effort. We question the accuracy of these statements given MTX’s lack of experience with projects of this complexity and scope and the limitations inherent within Salesforce.
- A significant fee for Tableau licenses is included in the cost proposal, but no mention of this software need is mentioned anywhere in Appendix E and only mentioned in a single short comment in Appendix F.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
	/	<b>\$13,986,031.40</b>	<b>x</b>	<b>35 points</b>	<b>=</b>	<b>14.89</b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** MTX

**DATE:** 4-27-2023 (Section II)      4-27-2023 (Section III)

<b>\$5,951,564.60</b>						
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Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		
		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
<b>5</b>		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.5</b>
<b>10</b>		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>.67</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152  
**RFP TITLE:** DEP Enterprise Licensing System  
**BIDDER:** ProCom  
**DATE:** 4-3-2023 (Section II)      4-27-2023 (Section III)  
**SUMMARY PAGE**

**Department Name:** Environmental Protection  
**Name of RFP Coordinator:** Sam Krajewski  
**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>2</b>
Section III. Proposed Services	<b>35</b>	<b>1</b>
Section IV. Cost Proposal	<b>35</b>	<b>29.2</b>
Section IV. Discounts Proposed	<b>10</b>	<b>4.3</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>36.50</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** ProCom

**DATE:** 4-3-2023 (Section II)      4-27-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>2</b>

**Evaluation Team Comments:**

- For Texas Alcoholic Beverage Commission, it is unclear whether they supplied “extensive support to a Platform as a Service (PaaS) vendor” or “Overall Project Management, Business Analysts, Scrum Master, Developers, Quality Assurance.” We have questions regarding what their specific role was in this project.
- Project 2 is for various applications at Maine agencies including Dept of Marine Resources and Board of Pesticide Control. Both are for small individual applications. DMR states they did not work with ProCom. It appears that the applications listed in this project are Pega solutions, but not necessarily provided by ProCom. Based on the ME DMR project not being done by ProCom, we have similar questions as to whether project 3 was done by ProCom. The same project was listed as a project by another vendor and is in process at the time of this proposal. We are not considering example projects 2 and 3 as experience, since they are not projects completed by ProCom.
- Based on the above, we don’t see sufficient experience to give us confidence that the bidder could satisfy the requirements of the RFP.
- The org chart wasn’t customized for the RFP and was a bit simple. It listed only five Project Team positions, and the five resumes did not include education or previous employers.
- The financial submittals were oversimplified. This does not give us sufficient information to evaluate the company’s financial viability.

**EVALUATION OF SECTION III**

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** ProCom

**DATE:** 4-3-2023 (Section II)      4-27-2023 (Section III)

**Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>1</b>

**Evaluation Team Comments:**

- The proposal is based on leaving legacy data in situ eliminating the need for the migration effort. This was not what was envisioned by the RFP and limits the project scope. It also implies that the current applications such as EFIS and ATS, along with the Oracle database(s) would need to be maintained in perpetuity. **This is not a viable option for the Department.**
- Pega as a platform has been consistently rated in the Gartner “Magic Quadrant”, and the Pega applications currently in use by The State of Maine have been reliable and consistently performed well.
- ProCom obviously put effort into researching CROMERR requirements and attempting to address them. They likely could build a compliant system, but their answers indicate they’ve never done it before, meaning we wouldn’t have that head-start of a proven system that could be fast-tracked for EPA approval.
- In many areas the focus of the proposal relies heavily on the Pega platform and the Pega reputation, but provides rather little detail regarding ProCom’s and DEP’s involvement.
- The schedule for completing the entire project is 236 days which is extremely concerning and unrealistic considering the detailed complexities involved in a project of this magnitude.
- The proposal repeatedly references breaking the project into four releases, but never describes what would be included in each release. This makes the proposal difficult to analyze.
- Every single requirement in Appendix F, with the exception of the Interface tab, was listed as standard and included with no customization effort. We question the accuracy of these statements given ProCom’s lack of experience with projects of this complexity and scope.
- Overall, we have low confidence that ProCom can deliver a workable solution.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$7,134,571.61</b>	<b>x</b>	<b>35 points</b>	<b>=</b>	<b>29.2</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** ProCom

**DATE:** 4-3-2023 (Section II)      4-27-2023 (Section III)

<b>3</b>		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.3</b>
		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
<b>20</b>		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>2</b>
<b>30</b>		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>2</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Slalom

**DATE:** 4-3-2023 (Section II)      4-28-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>10</b>
Section III. Proposed Services	<b>35</b>	<b>1</b>
Section IV. Cost Proposal	<b>35</b>	<b>14.23</b>
Section IV. Discounts Proposed	<b>10</b>	<b>1.67</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>26.90</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Slalom

**DATE:** 4-3-2023 (Section II)      4-28-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>10</b>

**Evaluation Team Comments:**

- They appear to have a good grasp of the complexity and scope of the RFP.
- For project example 1, Slalom didn't explain what the EPA system was for, other than to state "to support workflow, document storage, and data necessary to support a federal government agency with regulatory transactions and oversight activities." This is ambiguous and we would have liked to see more details so we could better understand what they did for them.
- Project 2 also had confusing details explaining Slalom's role in the project. It was difficult to understand if Slalom was involved in the configuration or coding of the application.
- Project 3 is a relevant licensing system, but it appears to be for a very specific system, not an enterprise level project.
- Since the proposed subcontractors are only for the minimum viable product (MVP), additional unnamed contractors would need to be brought on-board to complete the Department-wide project. We aren't being given the opportunity to assess those subcontractors as part of this proposal.
- Bringing in local environmental consultants as subcontractors is innovative. However, we need to be cautious not to allow the public perspective to influence the design of the system too heavily.
- Slalom provided a detailed org chart that incorporated DEP/OIT staff. It takes into account separate parts of the project including Portal System & Payments, the internal Licensing Process, and Data Management/Integrations.



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Slalom

**DATE:** 4-3-2023 (Section II)      4-28-2023 (Section III)

- The financial submittals were oversimplified. It is a multibillion-dollar company with over 12,000 employees, so it poses low financial risk.
- Slalom has an impressive suite of certifications including #4 Salesforce Partner Globally, #2 Salesforce Partner in North America for overall certifications, 7,000 Salesforce certifications, Salesforce Navigator Expert in Public Sector, #4 Tableau Partner, and Tableau 2022 Services Partner of the Year. However, these extensive certifications were not reflected in project examples that were provided for this RFP.

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u> <u>e</u>	<u>Points Awarded</u> <u>d</u>
Section III. Proposed Services	<b>35</b>	<b>1</b>

**Evaluation Team Comments:**

- Slalom has proposed to redefine the scope of the project to only create and deploy a solution for BRWM and BWQ as a minimum viable product (MVP), leaving the Air and Land Bureaus up to the DEP to find or develop additional solutions for. Obviously, this only addresses the needs of half of the Department which is not feasible, **therefore this is not a viable option.**
- Salesforce as a PaaS has a good reputation within the State of Maine with several implementations having been successfully completed.
- Slalom states both that they would need more information about CROMERR to answer our questions and that CROMERR is a Salesforce customer today. These are two opposing statements that imply that they don't understand what CROMERR is and that they didn't bother to do any research. This leads us to have concerns about valuing our requirements as a customer.
- Slalom says they will be building a bespoke solution for DEP and will not be reusing any work from previous implementations. This implies we would be starting from ground zero with no efficiencies to be gained from previous installations.
- Slalom will assist Maine with specifying the legacy data transformations but makes it clear that Maine will be responsible for developing, testing, and executing those transformations. This seems to be a convenient way for Slalom to avoid responsibility for some of the more arduous tasks associated with the project.
- Slalom indicates in Appendix F that a lot of customization work would be required. This doesn't align with the claim of 80% configuration to 20% customization as noted in Appendix E.
- Despite being requested, there are no costs provided for customization work in Appendix F which leaves us wondering what the magnitude of the changes are.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Slalom

**DATE:** 4-3-2023 (Section II)      4-28-2023 (Section III)

- We appreciate Slalom’s candor respecting what functionality Salesforce natively provides and what functionality would need to be custom configured, but the amount of customization appears to be so large that it would be a challenge meeting the requirements of the RFP within a reasonable timeframe.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$14,638,633.38</b>	<b>x</b>	<b>35 points</b>	=	<b>14.23</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
<b>5</b>		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.5</b>
		Enterprise Solution Cost Discount: “Small” Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
<b>5</b>		Enterprise Solution Cost Discount: “Medium” Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.5</b>
<b>10</b>		Enterprise Solution Cost Discount: “Large” Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>.67</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Stratosphere

**DATE:** 4-4-2023 (Section II)      4-28-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>5</b>
Section III. Proposed Services	<b>35</b>	<b>9</b>
Section IV. Cost Proposal	<b>35</b>	<b>35</b>
Section IV. Discounts Proposed	<b>10</b>	<b>5.5</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>54.50</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Stratosphere

**DATE:** 4-4-2023 (Section II)      4-28-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>5</b>

**Evaluation Team Comments:**

- Stratosphere’s first example project is a partially completed environmental licensing system similar to our project. Although it was an example of the use of the Pega platform, Stratosphere itself doesn’t appear to have been involved in the project. Several of the other example projects provided also don’t appear to be provided by Stratosphere. The only example project that was definitively their work was the CA Dept of Public Health, which doesn’t look like a system that covers the full scope of regulatory business.
- The State of Maine’s experience working with Stratosphere personnel has been very positive.
- Stratosphere provided a very basic, bare bones, org chart and only two people are listed by name. The team members total eight, including the CEO. We question whether they have the resources for a project of this magnitude.
- The proposed project team is stated to be representative of the resources that would be assigned to the project. We are concerned that they cannot define who the project team will be.
- The use of Pega technology is on the decline for the State of Maine.
- The financial information provided showed a 34% decrease in assets from 2020 to 2021. The company had a net ordinary income of -\$118,000 in 2021. This causes us to question the company’s long-term viability.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Stratosphere

**DATE:** 4-4-2023 (Section II)      4-28-2023 (Section III)

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>9</b>

**Evaluation Team Comments:**

- Overall, the bid package was well written and produced. We appreciate Stratosphere providing a thoughtful proposal that did a good job of explaining some of the basic core Pega capability. It gives a good indication of how the system would look and feel.
- Stratosphere seems to have many fundamental misunderstandings of the DEP’s business needs, especially the difference between Compliance and Enforcement activities. They appear to assume they are the same thing, which they aren’t. We’re concerned that this may have led them to underestimate the project scope.
- The answers given when responding to many of the requests in the RFP generally involve the potential of the software. This gives the impression that Stratosphere lacks previous experience developing a solution of the type we need in both scope and complexity.
- Stratosphere makes no mention of an out of the box solution or startup kit for licensing. We can only assume that they would endeavor to write the full application from scratch. Given the magnitude and complexity involved in the RFP, this sounds unrealistic.
- Stratosphere has indicated that nearly every single requirement in Appendix F is standard and does not require customization. We’re concerned that some of this optimism is based on not understanding the project scope or business needs.
- Stratosphere’s proposal of a seven-member project team to complete this project in under a year is an indication that they have seriously underestimated the magnitude of this project. Stratosphere is a well-known company within MaineIT and has a good reputation for understanding the Pega product. But as well as we know this company, we have a grave concern that a project of this magnitude would easily overwhelm their available resources.
- Per Reference Interview- While the State of Maine Department of Marine Resources is happy with the performance of the implementation staff from Stratosphere, they would not choose to implement a Pegasystems solution again because it was expensive and any changes to the screens and forms need to be completed by the vendor. They also stated that discovery was not thorough, and the complexity of their project was not fully appreciated.

**EVALUATION OF SECTION IV  
Cost Proposal**

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Stratosphere

**DATE:** 4-4-2023 (Section II)      4-28-2023 (Section III)

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$5,951,564.60</b>	<b>x</b>	<b>35 points</b>	=	<b>35</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
<b>15</b>		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>1.5</b>
		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
<b>20</b>		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>2</b>
<b>30</b>		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>2</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Tech Mahindra

**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>6</b>
Section III. Proposed Services	<b>35</b>	<b>11</b>
Section IV. Cost Proposal	<b>35</b>	<b>17.55</b>
Section IV. Discounts Proposed	<b>10</b>	<b>1.67</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>36.22</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Tech Mahindra

**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>6</b>

**Evaluation Team Comments:**

- As a group we found the proposal difficult to follow. The vendor did follow the instructions, but the organization of thoughts within the specific areas was at times confusing, which causes us concern regarding the vendor's ability to communicate effectively. There were significant copy and paste errors that show a lack of attention to detail, including listing the wrong RFP number and addressing the wrong Department. Communication and clear written documentation are important aspects of this project.
- Example project #1 was performed by the sub-contractor Spruce Technologies but involved only analysis and recommendations, which is only a small part of our project's scope.
- Example project #2 (NYC DEP Storm Water Permitting) was performed by the sub-contractor Spruce Technologies. It is a good example of a licensing application involving storm and sewer water licensing. Despite this being a multi-year effort, in relation to Maine's RFP it would be a fairly small part of the overall project.
- Overall, the project experience described does not rise to the level of complexity for the DEP's licensing system nor an enterprise level solution.
- The bidder claims Spruce has a vast collection of qualifications that are extremely relevant. However, these are difficult to verify without additional details that are not included in the proposal. We are left unsure as to what those qualifications are.
- There are no resumes provided for Spruce's staff, which makes it difficult to assess qualifications.



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Tech Mahindra

**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)

- The company financials appear to show they are very successful and will have no issue with viability for the term of the project.
- They state that they have no pending litigation, but they did not provide any information about other cases which may have closed over the past five years. This incomplete disclosure makes it difficult to assess the value of this answer.

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>11</b>

**Evaluation Team Comments:**

- There were many instances where it appeared as if Tech Mahindra (TM) didn't understand the questions in the RFP. The proposal was riddled with poor grammar and syntax. We have deep concerns about their ability to communicate effectively and their attention to detail.
- Salesforce as a PaaS has a good reputation within the State of Maine with several implementations having been successfully completed.
- Tech Mahindra's answer to the question on CROMERR compliance implies that they don't have experience with it nor understand how it works. This would result in extended timing for the CROMERR application process which would adversely affect project scheduling.
- Tech Mahindra's solution's only compliance components appear limited to inspection activities.
- We liked the use of a RACI chart (page 76) but unfortunately it does not separate out what TM would do from what the subcontractor Spruce would do. Regardless, the chart is helpful.
- Tech Mahindra's proposal to complete this project in 12 months is extremely concerning and unrealistic considering the detailed complexities involved in a project of this magnitude, especially considering that they said similar projects typically take 12-18 months to implement. From page 86 - "Typical implementation for similar size of engagement takes around 12 to 18 months." If TM has completed these size projects before then why were no examples of this provided in the Organization and Qualifications section of the proposal.
- The division of services provided by Tech Mahindra vs. Spruce is unclear. Although listed as a subcontractor, Spruce is not mentioned in the Technical Proposal beyond a brief reference on page 10.
- "Pre-Built Use Case Specific" and similar passages appear to be boilerplate verbiage in the Salesforce community and constitutes too much of the solution narrative. Narrative should include description of actual solution functionality that the bidder is intending to implement.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Tech Mahindra

**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)

- The approach using a combination of Waterfall to gather requirement and then Scrum for the development and testing does make sense.
- Tech Mahindra is proposing to include Tableau, Salesforce Mobile, and Business Rules Engine as part of the solution which makes sense. However, Tableau by itself is not sufficient to address all DEP reporting needs.
- Since TM is proposing that all testing be completed from outside the US, this will inhibit the use of any production data for testing due to the OIT policy forbidding access to production data from outside the US. Unless an exception is provided by the State of Maine security team, we anticipate that this would add time and expense to the project since it would require the creation of significant amounts of test data.
- Many of the critical requirements need customization, but it is unclear if the efforts and costs are included in the proposal or are extra. No cost estimates are included in the spreadsheet.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$11,870,128.00</b>	<b>x</b>	<b>35 points</b>	=	<b>17.55</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
<b>5</b>		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.5</b>
		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
<b>5</b>		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.5</b>
<b>10</b>		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>.67</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152  
**RFP TITLE:** DEP Enterprise Licensing System  
**BIDDER:** Vanguard  
**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)  
**SUMMARY PAGE**

**Department Name:** Environmental Protection  
**Name of RFP Coordinator:** Sam Krajewski  
**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>7</b>
Section III. Proposed Services	<b>35</b>	<b>14</b>
Section IV. Cost Proposal	<b>35</b>	<b>16.61</b>
Section IV. Discounts Proposed	<b>10</b>	<b>.23</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>37.84</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Vanguard

**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)

**OVERVIEW OF SECTION I  
Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>7</b>

**Evaluation Team Comments:**

- The first example project appears to be the beginning of a system similar to our project. However, it appears to be very limited in scope, and the system does not appear to be fully implemented after several years of development.
- Example projects 2 and 3 are not particularly complex nor relevant to our RFP.
- Example projects appear to very focused on payment of fees and less on processing of license applications. The scope of all the projects listed does not demonstrate experience with a project of the complexity required by our RFP.
- Vanguard’s profit margin is reasonable, but information for 2021 was omitted making it difficult to fully evaluate the submittal.
- The detailed org chart provided is for the organization showing the names of high-level positions. However, it was not specific to this project making it difficult to determine the staffing resources dedicated to this project.
- Litigation says, “not applicable,” which is not a responsive answer.
- The key personnel have a lot of experience with public sector agencies, which may be helpful in this project.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Vanguard

**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)

- PDF attachments for certifications could not be opened. Licenses and certifications for this vendor are unknown, making it difficult to fully evaluate the submittal.

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>14</b>

**Evaluation Team Comments:**

- Vanguard touts a similar project with Delaware. However, Delaware’s legacy system is still being used on their website and Vanguard’s been partnered with them for over four years.
- The “Expertly” software platform was developed by WebIntensive but now is promoted by its own website expertly.com. This is a low-code alternative platform that hasn’t reached a level of being able to compete with Microsoft or Salesforce. Consequently, we lack confidence in this as a long-term viable platform.
- Vanguard demonstrates a working knowledge of CROMERR requirements but doesn’t appear to have implemented a final solution yet.
- Despite Appendix F indicating that all functionality is included, Appendix E does not appear to include key functionalities, including permit management, compliance, or mobile inspection capability. Without describing the functionality that the solution would provide, the Department finds it a challenge to evaluate the Proposed Solution.
- Vanguard proposes a unique approach to phasing the project by starting with interfaces and developing a core solution and then working with bureaus. We’re concerned they’re assuming more consistency between bureaus than actually exists.
- Vanguard's proposal to complete this project in 12 months (with 3-4 months of post-go-live monitoring), as well as their assertion that similar projects typically take that amount of time, is extremely concerning and unrealistic considering the detailed complexities involved in a project of this magnitude.
- Vanguard assumes all discovery and design can be accomplished in 3 months, which is unrealistic.
- Almost every requirement in Appendix F was listed as standard and included with no customization effort. We question the accuracy of these statements given the lack of information in Appendix E and the project’s scope and complexity.
- Vanguard states that Expertly has extensive reporting functionality including the ability to create ad hoc reports and export to various formats including Word, PDF, and Excel.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Vanguard

**DATE:** 4-4-2023 (Section II)      5-01-2023 (Section III)

- The software being based on a low code platform does make it inherently composable and extendable. Being hosted in AWS also allows it to scale as needed.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$12,537,196.04</b>	<b>x</b>	<b>35 points</b>	=	<b>16.61</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		
		Enterprise Solution Cost Discount: "Small" Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
<b>1</b>		Enterprise Solution Cost Discount: "Medium" Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.1</b>
<b>2</b>		Enterprise Solution Cost Discount: "Large" Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		<b>.13</b>
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Windsor Solutions

**DATE:** 4-4-2023 (Section II)      5-02-2023 (Section III)

**SUMMARY PAGE**

**Department Name:** Environmental Protection

**Name of RFP Coordinator:** Sam Krajewski

**Names of Evaluators:** William D. Mason, Sherrie M. Kelley, Lynn Muzzey, Sam Krajewski

<b><u>Pass/Fail Criteria</u></b>	<b><u>Pass</u></b>	<b><u>Fail</u></b>
Section I. Preliminary Information (Eligibility)	<b>X</b>	
<b><u>Scoring Sections</u></b>	<b><u>Points Available</u></b>	<b><u>Points Awarded</u></b>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>17</b>
Section III. Proposed Services	<b>35</b>	<b>32</b>
Section IV. Cost Proposal	<b>35</b>	<b>12.99</b>
Section IV. Discounts Proposed	<b>10</b>	<b>.3</b>
<b><u>Total Points</u></b>	<b><u>100</u></b>	<b><u>62.29</u></b>

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Windsor Solutions

**DATE:** 4-4-2023 (Section II)

5-02-2023 (Section III)

**OVERVIEW OF SECTION I**

**Preliminary Information**

Section I. Preliminary Information

**Evaluation Team Comments:**

- Provided.

**EVALUATION OF SECTION II  
Organization Qualifications and Experience**

	<u>Points Available</u>	<u>Points Awarded</u>
Section II. Organization Qualifications and Experience	<b>20</b>	<b>17</b>

**Evaluation Team Comments:**

- Windsor works exclusively with public sector environmental regulatory agencies. Our project is their specialty. We could benefit from lessons learned from previous projects, but this also implies that extending the solution to other Maine Departments may be challenging.
- Example project 1 is for a replacement of South Carolina’s environmental licensing system, EFIS, which is the same licensing system being replaced with this RFP. This project is directly comparable to ours and is extremely similar in scope and scale. The writeup demonstrates they understand the full scope of the work to be done including document management, licensing & compliance data management, workflow, data migration, and online portal.
- The comprehensive regulatory nViro platform is used by South Carolina, Michigan, Kansas, Alaska, North Dakota, Wyoming, Indiana, Alabama, and Hawaii. This indicates a solution that is appreciated by other government agencies.
- The RFP proposal states they have successfully completed thousands of environmental software projects in nearly every state and developed specialized software to assist environmental agencies with licensing, permitting, compliance and enforcement, inspections, application submissions, pollution complaints, public records requests, and reporting.
- The extremely detailed scope of work provided for example project 2 clearly demonstrates that Windsor understands the depth, breadth, and complexity of the data that needs to be managed.



**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Windsor Solutions

**DATE:** 4-4-2023 (Section II)      5-02-2023 (Section III)

- Based on reviewing the website for Kansas DHE (example project 3), the public-facing part of the solution appears to be in full production with accompanying user’s manual. This gives us great confidence in their ability to successfully complete the project.
- nVIRO was designed and engineered specifically to support complex environmental and public health regulatory program management and business processes which matches closely with the scope of the DEP’s requirements.
- The organizational structure was well documented and resume data well produced, which inspires confidence in human resource competencies.
- Everyone on the proposed team listed by name has at least eight years with the company. Many people on the proposed team, including the Project Manager, worked on projects that are directly relatable to ours. This gives us confidence that the team members have the experience necessary for a successful project.
- Licensure and Certification documentation was missing, which makes it difficult to fully evaluate credentials.
- There were no litigations in the last five years.
- The vendor's solution has previously attained CROMERR approval, which is a significant compliance component and will save time for this project.
- Based on the financial information provided, the company appears to be viable through the term of the project. We noted that they had negative revenue in 2019, but have had growth in 2020 and 2021.

**EVALUATION OF SECTION III  
Proposed Services**

	<u>Points Available</u>	<u>Points Awarded</u>
Section III. Proposed Services	<b>35</b>	<b>32</b>

**Evaluation Team Comments:**

- Windsor’s proposal was very well laid out, easy to read and understand. It gives us confidence in their ability to communicate complex ideas to end users.
- The proposed solution appears to offer a lot of flexibility for each program area (e.g., Air, Water) to develop a system to best suit them instead of being forced into a one size fits all solution.
- Windsor states their system, “balances program-specific needs with agency standardization.” This is a key element needed by DEP as all parts of the Department do similar things but in slightly different ways.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Windsor Solutions

**DATE:** 4-4-2023 (Section II)      5-02-2023 (Section III)

- Appendix E describes the comprehensive functionality in proposed solution including application processing, compliance data management, enforcement process support and site management. This functionality aligns very well with the needs outlined in the RFP and provides confidence that the solution will perform well for The Department.
- Descriptions of functionality in proposed solution display a thorough knowledge of the regulatory process. This leads us to believe that Windsor's understanding of the business will result in efficient workflow migrations.
- Windsor's online forms are reported to be ADA-compliant and CROMERR-ready. They have demonstrated the ability for their solution to be approved by EPA for other jurisdictions. This should save us time with our own CROMERR certification.
- At the time the proposal was written, nViro was specifically targeting Environmental Protection Licensing which may not make it a good candidate for other agencies or departments to use as a licensing system.
- Proposed services differentiate between querying and reporting which demonstrates a deep understanding of institutional needs. We anticipate that this will allow for more rapid development of querying and reporting needs.
- Windsor's proposed timeline sounds reasonable and realistic. They listed all programs and provided a timeline for each one. Windsor will give DEP the option to pick which programs are priorities for implementation. We appreciate the thoroughness and built-in flexibility within the proposed approach.
- Solution is proposed to deliver the ability for Departmental staff to configure and maintain the system after implementation, which is a capability with great appeal to The Department.
- Windsor's Objective 1 (improved customer service) is spot on. It shows a deep understanding of the DEP's fundamental needs and the public's expectations. This gives us great confidence that Windsor understands the project's goals.
- As part of the requirements gathering process, Windsor requires access to a test version of the current application (EFIS), which implies that they are interested in a deep analysis of the current use cases, which we anticipate will positively impact migration efforts.
- There are some items throughout Appendix F that are listed as customizations. Windsor has provided the requested costs for each customization effort, which would be helpful to the Department during contract negotiation.
- Windsor's claims of nVIRO being composable misses the mark as their definition of composable does not agree with current industry best practices. Also, Windsor's response to the question of Scalable and extensible only addresses scalable, which it apparently is. They do not address extensibility.
- Comments in appendix F are insightful, displaying a deep understanding of institutional information systems and regulatory processes.
- Windsor included thoughtful and insightful comments in Appendix F that showed they understood the project well. Items marked as not able to be included had rational reasons and are not considered show-stoppers by the review team.

**STATE OF MAINE  
TEAM CONSENSUS EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** DEP Enterprise Licensing System

**BIDDER:** Windsor Solutions

**DATE:** 4-4-2023 (Section II)      5-02-2023 (Section III)

- Michigan was satisfied with Windsor’s solution and provided information that reinforced the validity of Windsor’s bid package.

**EVALUATION OF SECTION IV  
Cost Proposal**

Lowest Submitted Cost Proposal	/	Cost Proposal Being Scored	x	Score Weight	=	Score
<b>\$5,951,564.60</b>	/	<b>\$16,039,532.31</b>	<b>x</b>	<b>35 points</b>	=	<b>12.99</b>

Discount Percentage Being Scored	/	Highest Discount Offered	x	Score Weight	=	Score
<b>3</b>		Enterprise Rate Discount Percentage Max <b>20</b>	<b>x</b>	<b>2 points</b>		<b>.3</b>
		Enterprise Solution Cost Discount: “Small” Implementation Highest N/A	<b>x</b>	<b>2 points</b>		
		Enterprise Solution Cost Discount: “Medium” Implementation Highest <b>20</b>	<b>x</b>	<b>2 points</b>		
		Enterprise Solution Cost Discount: “Large” Implementation Highest <b>30</b>	<b>x</b>	<b>2 points</b>		
		Additional Discount per Implementation, up to 5 Highest <b>3</b>	<b>x</b>	<b>2 points</b>		

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.  
 \*\*\*\*\*

## Overarching comments on bid package:

Seems like a small company that doesn't quite understand or appreciate the complexity of the solution DEP needs.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed.
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Mentioned the public's expectations for government systems.</p> <p>Listed many "use cases" where the Salesforce platform was employed, but it doesn't appear like AST did the actual development on those projects (other than the one for Maine). They are championing projects done by other companies that use the Salesforce platform.</p> <p>All of AST's projects appear to be low-complexity types of licenses/registrations or tax data. None of the use cases or AST projects is for an environmental department.</p> <p>1<sup>st</sup> project is Utah Tax Commission. System to streamline submission of appeals. Appeals are a very tiny aspect of DEP's workflow.</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>2<sup>nd</sup> project is AZ property tax appeal system. Again, a very small aspect compared to our requirements.</p> <p>3<sup>rd</sup> project is Cook Cnty, IL property tax system.</p>
II	2	Subcontractors	AST is not proposing the use of any subcontractors, but the AST team itself is very small.
II	3	Organizational Chart	VERY basic org chart provided. No names and only broad descriptions. Nine boxes on the entire chart including DEP staff.
II	4	Litigation	None
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	Provided
II	5-a.-ii.	Income (Profit/Loss) Statements	
II	6	Licensure/Certification	List of Salesforce certifications provided.
II	7	Certificate of Insurance	<p>General Liability = \$1 million</p> <p>Umbrella Liability = \$5 million</p> <p>Professional = not listed</p> <p>Cyber Liability = \$3 million / \$4 million</p>
III	1	<p><b>Appendix E- Technical Proposal (aka Attachment 1):</b> Key Proposed Project Personnel and Project Team Organization</p>	<p>Basic org chart with only 5 team members (all appropriately listed by name).</p> <p>The escalation point of contact for all roles is the Project Manager. No escalation point of contact for the Project Manager themselves.</p> <p>Only 1 team member has been with the firm more than 2 years.</p> <p>Resumes are easy to read.</p> <p>The project manager has less than 6 months experience in that role.</p> <p>I don't see anyone on the team with any experience with complex environmental permits.</p>
III	1	<p><b>Appendix E- Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance</b></p>	<p>Solution proposed: AST LPI built on Salesforce</p> <p>(p18) Good information and level of detail on user registration.</p> <p>Sections on Regulatory Education (p19) and Dynamic Pre-screening (p21) indicates that they do not understand that our permits require referencing</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>hundreds of rules and regulations to make determinations.</p> <p>The description of the software solution while thorough leads me to believe AST does not understand the complexity of the regulatory requirements involved. We do not have a lot of repetitive tasks that need to be automated, and a lot of our decision making involves judgement calls.</p> <p>Licenses: 350 (50 mobile inspection)</p> <p>Three upgrades released each year.</p> <p>Uses “multi-tenant” architecture to segregate each customer’s data from others.</p> <p>Hosted by Amazon Web Services. For government services, production data centers are provisioned in pairs, fully mirrored and geographically separated.</p> <p>The end-to-end process flow (p34) assumes inspection comes before license issuance which is incorrect. AST appears to believe inspection and enforcement are parts of determining whether to approve a license instead of confirmation that the license holder is complying with their permit. This could be a fundamental problem as inspections are ongoing actions that occur in the years after license issuance.</p> <p>Responded “Not Applicable” to questions regarding how the core functionality developed for other users would be included. (p35) Implies that they are starting completely from scratch.</p> <p>Regrading compatibility with third-party software (p36), claims that no additional software or infrastructure is required. However, there are several instances in the Appendix F spreadsheet where they call on third-party software solutions.</p> <p>Didn’t really answer the question on how the project can be implemented in modules (p37). Instead reinforced how much control the Dept has over customizing the software.</p>
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# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>Regarding the Department’s question on CROMERR compliance (p37), AST responded, “We would need more information on EPA’s specific CROMERR requirements to provide a response to this question. CROMERR is a Salesforce customer today.” These statements do not make sense. CROMERR itself cannot be a Salesforce customer because it is a regulatory requirement (i.e., a rule) not a system or a customer. Also, AST could have done the research to find CROMERR requirements on EPA’s website but chose not to.</p> <p>Regarding the Department getting a full copy of the database (p38), AST said, “Receiving a copy of the database is N/A to the Salesforce services. Customers have the ability to export their data at any time.” These statements appear to be contradictory.</p> <p>I’m unsure as to who will develop the extensive user guides that will be needed, AST or DEP?(p38)</p> <p>(p39) “Anyone can build comprehensive reports and dashboards using a wizard-driven reporting engine.” Does this mean a data warehouse is included?</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies.</p> <p>Table 2.2: (p44) 1. Customer Data hosted by Amazon Web Services.</p> <p>4&amp;5. Regarding “your company” vendor-managed solutions, AST’s answers are for Salesforce not their own work.</p> <p>8&amp;9. Declines to answer questions about instances of unplanned outages.</p>
III	1	<b>Appendix E-</b> Project Approach	<p>(p50) Validation sessions to identify the final set of requirements.</p> <p>(p51) Uses a hybrid-agile methodology. Multiple sprints. Focuses on knowledge transfer and self-sufficiency.</p> <p>(p54) Extensive list of valid risks.</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>(p55) Travel expenses not included in proposal since all work is expected to be done remotely.</p> <p>AST states they typically implement the solution in a single phase, but then talks about building the solution in stages with each bureau going at its own pace. The intent appears to be having all bureaus in development concurrently. I have concerns about this approach. It could lead to duplicative effort, and I doubt DEP has enough ITC staff to manage all this work at once. This leads me to question whether the fully understand the scope of the project. (p57)</p> <p>(p58.9) Deliverables are to be approved within 2 days of submission. Feedback is due within 1 day of submission. This seems to be a very tight timeline. What if SMEs are out that day?</p> <p>(p59.18) Responsibility for end user training is on the State.</p> <p>(p60.32) AST assumes DEP will provide API's for connecting to legacy applications.</p> <p>(p60) Post go-live support appears to be provided by Salesforce, not AST.</p> <p>(p59 &amp; 62) Post Implementation Support is limited to one week. I question if this is enough time. We certainly won't have used all aspects of the functionality in one week.</p> <p>(p63) Enhancements would be part of a separate Managed Services contract.</p> <p>(p64) AST states that many of their government customers have found it more cost effective and efficient to offload application support back to a maintenance contract with AST rather than support the system internally. Since their previous projects are low-complexity, this raises concerns about whether they can provide a complex system that can be maintained by the customer.</p>
III	1	<b>Appendix E-</b> Project Management	(p68) Using ProjectFit as a management tool.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**BIDDER NAME:** Applications Software Technology, LLC (AST)

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			Overall impression is that AST used a lot of jargon and restatement of the question to put a lot of words on paper that didn't really tell me much.
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p75) Basic chart of project timeline presented.</p> <p>The preliminary project plan provided lists deliverables and their "severity." I don't know what severity refers to and almost all are listed as "high" or "critical." This feels like a meaningless chart.</p> <p>(p76) Believes a typical implementation time for a similar size project is 12-15 months. Although that matches what we asked for, it again makes me question if the bidder understands the scope and scale of the project.</p> <p>(p77) Again mentions a tiered approach that appears to have all bureaus going through development concurrently. This could be a huge drain on resources.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>(p83) RFP asked the bidder to describe the stages of implementation. AST said this would be developed as part of the negotiated statement of work.</p> <p>(p87) AST estimates the Department needing to provide 1-2 SMEs who will devote 50% of their time to the project. Unless they mean 1-2 SMEs per Bureau, this estimate is insufficient and indicates that AST does not understand the complexity of the project.</p> <p>(p92) AST intends to use pre-built templates to migrate legacy data including a wizard interface. I am doubtful of the success of this approach.</p> <p>(p94) AST intends to be the lead in developing the crosswalk of legacy systems to new system.</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>(p95) AST intends to develop the test scripts themselves.</p> <p>(p98) AST will not have staff onsite for testing. Remote support only.</p>
III	1	<b>Appendix E-</b> Training Approach	<p>(p101) AST to create all training materials and will train DEP designated trainers.</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			(p103) Does not nail down a specific training delivery approach. All delivery methods are thrown out a possibilities. This makes it difficult to ascertain what is likely to be provided.
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>	There are a lot of items marked as Customizations, but no associated cost is provided. Should we assume this customization is included?
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	(R40-42) I don't consider interested persons or intervenors to be "applicants, but I can see how that would be misunderstood since they are referred to as "requestors."
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	
III	2	<b>Appendix F-</b> Sheet "4. Payments"	AST indicates that all data sharing with Advantage and Elavon is a custom feature
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	Lots of references to "the County" that appear to be cut/paste errors from other proposals.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	(R37) Bidder provided a link to a Salesforce message board where users were complaining about the lack of functionality to do things like export to MS Word.  If Salesforce cannot export a report to Word, how are we supposed to generate renewal letters or draft licenses?  (R38) It appears that all reports are generated as either xls or csv files. Not all of our reporting needs can be squashed into those formats.
III	2	<b>Appendix F-</b> Sheet "7. Technical"	The comments the bidder entered on this tab have poor sentence structure. In some cases, it's so bad that I'm not able to work out what the bidder is trying to convey.

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	In many cases AST has stated that no interface is required because their solution will cover the functionality. I assume they mean it will replace the system listed. This is incorrect. For example, this system will not replace FRS or ICIS (EPA systems).  In cases where AST agrees that an interface is needed, they assume DEP will provide the API to send the data.
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	In all cases bidder states that Salesforce Dataloader will be used to transform/upload data into Salesforce.
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b>	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Applications Software Technology, LLC (AST)

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/4-4/5/2023 (Sections III & IV)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

		Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: AST

DATE: P1 3/31/2023 & P2 4/24/2023

EVALUATOR NAME: Sherrie Kelley

EVALUATOR DEPARTMENT: Environmental Protection

\*\*\*\*\*  
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## Overarching comments on bid package:

### PHASE I –

Well thought out introduction explaining the company and proposed solution.

The do mostly smaller tax systems -our project seems way to complex for the experience they have.

Small scope project examples for the three required examples. The other examples were projects that AST didn't do, rather projects that used Salesforce platform. The did do the Maine Financial Data Warehouse however that was using Oracle Analytics cloud. Not the solution they are proposing in this RFP.

27 years; Salesforce and Oracle. Extensive Public Sector experience 800+ employees (large pool) Licensing experience, State of Maine experience, State of Minnesota system not complete Not clear who the actual identified project team is. Looks like only 5, not including developers. Very basic org chart.

The company financials appear to show they had a difficult 2021 vs previous years, not sure if that is concerning at this point. As it is still a multi-million-dollar company. I believe the company will remain viable for the term of the project

30 Salesforce certified professionals- All AST employees. No Licensing experience.

They propose a very small project team with a pre-build LPI solution this is a bit concerning as it is a huge project with many programs impacted. Resumes – of the 5-person team, none worked on the previous state of ME development. Team appears to have a decent salesforce development skill set.

### Phase II

Pre-built Salesforce 'public sector' solution. They offer a Pre-Built AP that supposedly does Licensing, Permitting and Inspections (LPI) ??I'm not aware of any 'pre-built' AP that can meet our vast needs. Looks like more 'workflow' related approval processing. What is 'selling transaction fees? They think they can do it in 12 months! Impossible, did they read the RFP?? Feels like that depends heavily on in-house technical skills.

We don't have a lot of repetitive automated work flows.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** AST

**DATE:** P1 3/31/2023 & P2 4/24/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

The proposal indicates that the vendor would implement AST License, Permitting and Inspections (LPI) powered by Salesforce. This raises the question of how the AST version differs from Salesforce's out of the box LPI. If there is a difference, then why wasn't an example of the implementation provided? The Salesforce LPI may be a viable solution. But, not providing examples of experience in implementing it leads to the belief that AST has not previously undertaken this and Maine would be their first attempt at it.

5-person project team?? No subs...

Milestones & deliverables as a payment model. Payment model – bill for milestones/deliverables. How will this work with overall cost estimate.

Omnistudio advertised as a benefit but real benefits like compliance features are not referenced, exposing a lack of understanding of the comprehensive nature of the needs outlined in the RFP. Very confusing contradicting information regarding CROMEER

Provided a nice list of valid risks to the project.

Agreed to all required State of Maine policies. AST platform feels like they build & walk away, we will be on our own they refer to 'Salesforce' who we know will not support us directly. Support is a big deal, and it only says a week of post go live. Very small window of support.

ProjectFIT

They didn't answer some questions we asked or were very vague.

The phased staged approach outlined may cause duplicative work if all bureaus end up in active development at the same time. It would also cause an internal resource problem.

Appendix F Comments:

Response to some requirements specific show a lack of understanding of regulatory process and site management.

There are a lot of items marked as Customizations, but no associated cost is provided how can we evaluate whether the cost is included?

Can not export to MSword?? That is not going to work for us, we use for Mail Merge license documents.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** Application Software Technology  
**DATE:** 3/23/2023  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*

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## Overarching comments on bid package:

Salesforce Technology  
 Well laid out proposal

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>The proposal included many examples of Salesforce licensing use cases, but none were directly attributable to AST other than the three projects listed.</p> <p>Project #1 – Utah Property and other tax appeals</p> <p>Project #2 – Maricopa County Tax appeals</p> <p>Project #3 – Cook County Citizens requests for refunds for overpayments and missed property tax exemptions</p> <p>The 3 project examples given involved other (non-Maine) states' tax appeals and refund requests. There were no examples given for AST that identified experience with more extensive licensing, environmental protection, or enterprise level systems.</p> <p>AST helped implement the current SOM data warehouse. This was confirmed by the Data Warehouse staff who gave praise to AST.</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Application Software Technology

**DATE:** 3/23/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

II	1	Key Proposed Project Personnel and Project Team Organization	Project team of 5 primary people, all with reasonable experience. But table 4 shows about 27 people needed for the project Full resumes for each of the five primary personnel are included
II	2	Subcontractors	No Subcontractors to be used
II	3	Organizational Chart	Minimal Org Chart
II	4	Litigation	No litigations
II	5	Financial Viability	Financial statements included
II	5-a.-i.	Balance Sheets	2021 Total current assets = \$43.2M
II	5-a.-ii.	Income (Profit/Loss) Statements	2021 Gross Sales \$102.4M
II	6	Licensure/Certification	Salesforce Certifications
II	7	Certificate of Insurance	\$5M umbrella \$3M Cyber
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	The proposal indicates that the vendor would implement <b>AST</b> License, Permitting and Inspections (LPI) powered by Salesforce. This raises the question of how the AST version differs from Salesforce's out of the box LPI. If there is a difference, then why wasn't an example of the implementation provided? The Salesforce LPI may be a viable solution. But, not providing examples of experience in implementing it leads to the belief that AST has not previously undertaken this and Maine would be their first attempt at it.  AST indicates that the core modules would be implemented within 12 months.  The description of the product and implementation is fairly generic and looks like much of it was written by Salesforce as a promotional for their LPI.  "We would need more information on EPA's specific CROMERR requirements to provide a response to this question. <b>CROMERR is a Salesforce customer today</b> "
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	AST agrees to all stated MaineIT required policies.
III	1	<b>Appendix E-</b> Project Approach	Normal discovery process and use case development.  Hybrid agile approach, but does include 4-week sprints for implementation
III	1	<b>Appendix E-</b> Project Management	AST is advocating a primarily remote project team  <b>ProjectFit</b> , "A complete Project Management Platform, based on Microsoft Sharepoint, MSOffice, and IE" Looks like a reasonable tool for communication and issue tracking. But, unclear if they use this for task management.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**DATE:** 3/23/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>A project outline with specific deliverables and completion criteria is included in the package.</p> <p>Scope is identified up front and change orders are required once that has been approved by both parties. Change orders impacting cost or schedule will need approval by an appointed ESC</p>		
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>AST is recognizing the need for individual bureau deployments and speaks to implementing core functionality first and then addressing the individual needs of each bureau.</p> <p>Independent project reviews may be conducted by unrelated AST staff as a quality assurance tool.</p>		
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>Normal unit, integration, UAT, and performance testing are specifically identified.</p> <p>Post implementation support is limited to a very short period.</p>		
III	1	<b>Appendix E-</b> Training Approach	<p>verbose training description provided by AST, covering all aspects.</p>		
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b></p> <p><b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b></p>			
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	LC.13	The system has the ability to set future drop down values (e.g., active on a future date, expire on a future date, and active for a limited duration).	Using Customization this functionality can be provided
			LC.28	The system has the ability to allow an administrator to configure which business processes are prompted with a request to proceed, with appropriate security permissions	Customization can be added to show the prompts for defined processes
			LC.92	The system has the ability to allow a ME DEP administrator to define which workflow steps can be overridden and which cannot.	Cusotmization can be added to define steps that can be overridden

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Application Software Technology

**DATE:** 3/23/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			LC.108	The system has the ability to accommodate a ME DEP defined checklist for initial application acceptance.	Cusotmization can be added define checklists for application acceptance
			LC.109	The system has the ability to accommodate a ME DEP defined review checklist for each application type for use by application reviewers.	Cusotmization can be added define checklists for application acceptance
			LC.110	The system has the ability to provide user alerts/pop-up reminders to notify users of pending workflow tasks and necessary actions.	Customization can be added to show the prompts for defined processes
			LC.133	The system has the ability to store and apply electronic copies of signatures to documents (e.g. notification letters) with appropriate security permissions.	Customization can be added to allow usage of stored signatures
			LC.139	The system has the ability to generate orders/certificates/licenses and export them to Microsoft Word for editing by ME DEP before sending to an applicant.	Customization can be added to allow editing in Microsoft word before submission
			LC.141	The system has the ability to provide a customer portal that can be customized to have a similar look and feel as the ME DEP website.	Customizations can be added to achive the required look and feel
			LC.177	The system has the ability to allow portal users to identify delegates to perform certain functions on their behalf.	Customizations can be added to allow delegation
			LC.178	The system has the ability to allow portal users to identify delegates to perform certain functions on their behalf, on an application by application or project by project basis.	Customizations can be added to allow delegates access the application and make updates
			LC.180	The system has the ability to allow portal users to modify previously selected delegates on an application by application or project by project basis depending on the status of the application (e.g., change of the company/contractor being used for a portion of the work).	Customizations can be added to allow changes in assigned delegates
			LC.193	The system has the ability to allow applicants to add comments for each document uploaded.	Customization can be added to allow adding comment for each file
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	PP.12	The system has the ability to provide user alerts/pop-up reminders to notify users of pending tasks and necessary actions.	Cusotmization can be added to show popup messages for defined processes
			PP.20	The system has the ability to provide a publically accessible map viewer for searching for and viewing approved and pending applications.	Customization can be added to configure the maps for required information
			PP.45	The system has the ability to generate an electronic approval based upon approved login credentials, eliminating the need to sign (interested person and intervenor) requestor submission forms.	Customization can be added to trigger approval process
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	DM.2	The system has the ability to allow for ME DEP staff to categorize documents in the system that correlate with specific document retention schedules.	AST's Licensing and permitting solution can configure to meet the ME DEP's need and tag documents with different category.
			DM.3	The system has the ability to retain ME DEP's document retention policies throughout all system modules.	AST's Licensing and permitting solution can configure to meet the ME DEP's need and tag documents with different category and based on the category different retention policies can be implemented using various automations.

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			DM.4	The system has the ability to automatically delete documents according their document retention categorization.	AST's Licensing and permitting solution can configure to meet the ME DEP's need and tag documents with different category and based on the category different retention policies can be implemented using various automations.
			DM.27	The system has the ability to require that files submitted through the portal are linked to specific required file types (e.g., applicants associate/link each uploaded file 1:1 with required submittal types).	AST's Solution provide files to get attached to cases when submitting from portal and the cases can be tagged as different type of case.
			DM.28	The system has the ability to allow applicants to add comments for each document uploaded.	Custom functionality using LWC can be provided to fulfill this functionality.
			DM.30	The system has the ability to allow automatically lock a document, to prevent further editing, after a ME DEP defined step in the drafting process or after marking a document as final.	AST's Solution provided functionality to assign Attachments objects in page layouts based on profiles. There we can give different type of access to it.
			DM.31	The system has the ability to identify records with attached documentation (e.g., paperclip symbol on the record).	AST's Solution can provide custom LWC where user can search with file name and get the record to which the document is attached.
III	2	<b>Appendix F- Sheet "4. Payments"</b>	PY.1	The system has the ability to send invoicing information (e.g. invoice amounts, invoice line items, and contact billing information) for current licensees to Common Billing.	Changed to remove direct connection to AdvantageME
			PY.2	The system has the ability to allow for manual creation of invoicing information for unique scenarios (e.g., ad hoc training, fees determined by state fire marshal's office, event driven) and for manual inclusion of that information in the Common Billing batch submission creation process.	Changed to remove direct connection to AdvantageME
			PY.14	The system has the ability for customers who wish to pay for a service to call the PayMaine II application, send and receive transaction information, and then allow the customer to continue with their licensing transaction after payment completion.	AST solution provide callout from Salesforce to PayMaine II application if that support TLS 1.2+ Protocol. The callout will send the required data in the format PayMaine II application needed.  PayMaine II need to provide End Point URL, Authentication parameters, Request body format, Response Body format
			PY.15	The system has the ability for DEP staff to initiate a refund by calling the PayMaine II application, sending and receiving transaction information, and allowing the staff member to continue with their licensing transaction.	Refer PY. 14

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			PY.16	The system has the ability to create receipts based on information from PayMaine II and automatically route/attach them to the correlating customer record, for viewing by ME DEP staff and current licensees.	Refer PY. 14	
			PY.17	The system has the ability to allow customers to print or download receipts created with PayMaine II information at any time after payment.	Refer PY. 14	
III	2	<b>Appendix F- Sheet "5. Comp-Insp-Enf"</b>	CIE.2	The system has the ability to provide digital signature capture in the field.	AST's licensing and permitting solution gives the feature of capturing signature using LWC and that can be stored as custom formula field to show the signature.	
III	2	<b>Appendix F- Sheet "6. Reporting"</b>	RP.4	The system has the ability to allow for choosing elastic search or exact results options when querying.	The LWC component can be provided to perform elastic searches for any Objects/fields.	
			RP.6	The system has the ability to search by any number of combinations of key user-defined fields (e.g., facility address, license type, license status, license number, license owner, town, contact name)	The LWC component can be implemented for combinations of key user-defined fields and search it.	
			RP.20	The system has the ability to export reports to Adobe PDF format.	Export a printable copy (or xls/csv), then save that file as a PDF. Otherwise custom functionality can be provided.	
			RP.29	The system has the ability to post, as defined by the ME DEP, regularly scheduled reports generated by the system, to the ME DEP website.	Custom code would be needed to transfer the information from salesforce to another system.	
III	2	<b>Appendix F- Sheet "7. Technical"</b>	TC.1	The system has the ability to flow all changes made in the system throughout all proposed system modules without the need for duplicate data entry.	AST Solution provide API for third party and also calls API from Salesforce. Duplicate entry can be handle with External Id Unique	
			TC.18	The system is compliant with the United States Environmental Protection Agencies Cross-Media Electronic Reporting Rule (CROMERR)	We can meet ME DEP's requirement with customization.	
			TC.20	The system has the ability to consume external Application Programming Interfaces (APIs) from third parties for system integration.	AST solution provide to do callout from salesforce to any third party application either through REST or SOAP.  Third party application need to provide end point url, authentication paramerts, headers, sample request body(payload), sample response body	
			TC.27	The system will provide comprehensive error log information to DEP system administrators.	AST solution provide option for storing the error logs for integration failure in thr form of object record	
			TC.37	The system has the ability to partially mask ME DEP administrator defined fields.	AST solution will mask the partial value using LWC or formula field	
III	2	<b>Appendix F- Sheet "8. Interfaces"</b>	INT.1	Common Billing- DEP's spoke and hub system which has "billing clients" for various DEP applications. The clients transform data so that it can be packaged for consumption by AdvantageME, the State's official billing system.	Reason: Provide billing information for invoices to process payment into correct accounts Frequency: When DEP user requests billing batch	AST Assumes, ME Dep provides the API to send the data.
			INT.5	DEP Warehouse / Business Intelligence (BI) Application	Reason: Provide permitting and licensing data Frequency: Nightly	AST Assumes, ME Dep provides the API to send the data.

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			INT.6	Maine Air Emissions Inventory Reporting System (MAIRIS) [DEP Java Application]	Reason: Provide licensing, equipment, and facility data Frequency: Nightly	AST Assumes, ME Dep provides the API to send the data.
			INT.8	EPA ICIS – ICIS NPDES (National Pollutant Discharge Elimination System) [EPA's VES]	Reason: Provide discharge monitoring data and facility permit data for compliance purposes Method: Virtual Exchange System (network of file servers; files pulled in by nodes) Frequency: Scheduled tasks through Virtual Exchange System and CDX	AST Assumes, ME Dep provides the API to send the data.
			INT.10	AdvantageME Financial Data Reporting Warehouse	Reason: Provide information for various reporting purposes Frequency: Real time	AST Assumes, ME Dep provides the API to send the data.
			INT.11	PayMaine II (Elavon)	Reason: Allow for payment processing and sharing of amounts due and amounts paid Frequency: Real time	AST Assumes, ME Dep provides the API to send the data.
			INT.12	DocuWare	Reason: To post electronic documents to DocuWare and dynamically retrieve them from DocuWare Frequency: Real time	AST Assumes, Docuware provided API to send and receive the data.
			INT.15	Common Billing	Reason: Provide all permitting information for billing purposes. Frequency: Weekly	AST Assumes, ME Dep provides the API to send the data.
			INT.16	DEP Warehouse/Business Intelligence (BI) Application	Reason: Provide application tracking information for BI Frequency: Nightly	AST Assumes, ME Dep provides the API to send the data.
			INT.17	Maine Air Emissions Inventory Reporting System (MAIRIS) [DEP Java Application]	Reason: Provide licensing, equipment, and facility data Frequency: Nightly	AST Assumes, ME Dep provides the API to send the data.
			INT.20	EPA ICIS – ICIS NPDES (National Pollutant Discharge Elimination System) [EPA's VES]	Reason: Provide discharge monitoring data and facility permit data for compliance purposes Method: Virtual Exchange System (network of file servers; files pulled in by nodes) Frequency: Scheduled tasks through Virtual Exchange System and CDX	AST Assumes, ME Dep provides the API to send the data.
			INT.22	AdvantageME Data Warehouse	Reason: Provide licensing/permitting/certification/notification information Frequency: Real time	AST Assumes, ME Dep provides the API to send the data.
			INT.24	SWReduct Database [MS Access]	Reason: Provide solid waste compliance information Frequency: Real time	AST Assumes, ME Dep provides the API to send the data.
			INT.27	PayMaine II (Elavon)	Reason: Allow for payment processing and sharing of amounts due and amounts paid Frequency: Real time	AST Assumes, ME Dep provides the API to send the data.
			INT.28	DocuWare	Reason: To post electronic documents to DocuWare and dynamically retrieve them via API from DocuWare Frequency: Real time	
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	AST Responded Yes to all questions			
IV	1-a.	Bidders must submit a cost proposal that covers the period				

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		starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** AST

**DATE:** 3-27-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
\*\*\*\*\*

## Notes:

### Phase I: Qualifications and experience:

Qualification material provided in "use cases" is for Salesforce implementations that did not involve AST.

The three tax appeals and exemptions solutions implemented by vendor do not demonstrate experience with functionality requirements as complex as is required to satisfy the RFP and includes no licensing experience.

Org chart too simple. Does not include developers.

Confirmed that they worked for the DAFS Analytics team.

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### Phase II: Proposed Services:

Proposal is based on the Salesforce platform, which is robust.

Salesforce LPI Module would be a core part of the solution. Describing their solution as "Pre-Built Use Case Specific" is both an oxymoron, and may indicate a lack of understanding relating to the statute and rule driven customizations that government applications require.

Omnistudio advertised as a benefit (it's a developer tool) but real benefits like compliance features are not referenced, exposing a lack of understanding of the comprehensive nature of the needs outlined in the RFP.

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** Environmental Protection

Still talking about experience, which is not a selling point for a bidder with little regulatory experience.

This was brought into relief in their saying "12-15 months" when asked for typical timeframe for implementation.

ProjectFIT™ description seemed like sales pitch? And then "Where the client chooses not to use the ProjectFIT™ tool"? So is that an extra cost?

Answer of "Managed Services" to our question "*g. Is ongoing operational product support offered directly by the Bidder staff, or is this support sub-contracted to a third-party support contractor?*" is confusing considering that the bidder's answer to the previous six questions was basically "we give one week of support, and Salesforce provides support thereafter." It almost seems like a sales pitch (see "ProjectFIT™") which might make sense since many low-code implementers appear to count on Salesforce for support. (see below)

Hosting is a big deal (so is cost of subscriptions).

Some answered for Salesforce, some answered for themselves.

AST declined to answer about outages / downtime.

Salesforce hosted on AWS so downtime. So much redundancy.

Oh dear: "AST not expecting a significant change to schedule by not implementing enforcement and document management as part of project schedule"

"15. Post Implementation Support includes one week of technical and functional support." This seems like a small amount. They go on to reinforce this in that "ongoing support" will be from Salesforce, which is kind of like saying that I'll get support for Adobe Acrobat from Microsoft Windows.



## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** Environmental Protection

"8 week of post-production support provided by the implementation team to address any lingering issues post go-live." **Contradictory**. But matches block in schedule. Miscommunication internally?

Response to some requirements (see LC66, 67, 68, 75, PP23, 24,25) show a lack of understanding of regulatory process and site management.

Response to other requirements (see 177, 178, 179) show that the solution does not currently include standard functionality that a government regulatory agency would need.

Oh dear. DM12-20. Again, I think something was lost in translation.

No cost listed for customizations. We asked.

## Reference Questions

### MA DEP

- 1) How large is your organization? **3 agencies (DEP, Ag, EGR)**  
**300 DEP programs**
  - a. How many staff total? **290 internal users**
  - b. How many users of the system? **>130,000 registered users (external)**
  
- 2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)?  
**Use a data warehouse for a lot of the querying.**  
**Submission of applications and review. Don't use any other Accela modules except reports.**  
**Don't use it for Compliance or Enforcement.**  
  
**Currently is an On Prem deployment, non SaaS.**
  
- 3) How long has your office been working with the vendor? **Accela did not do the implementation. GCom(?) was the implementer. They now do their own development.**
  
- 4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not?  
**Yes, you could. Took quite a bit of time for MA to understand Accela and for Accela to understand their business so that they could speak the same language. Was very hard for quite a while.**  
  
**Had no interaction with Accela itself during implementation. Worked with the implementer. Sounds like they had a lot of compromises between what business wanted and what Accela could do.**
  
- 5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation? **N/A**
  
- 6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)?  
**Every permit has the same flow and same components. Feel this establishment of common components was the best thing they did.**

It is a COTS product. Cannot make any changes to the software system. But they can build any workflow they need. They haven't come up with anything they haven't been able to do. Have always been able to make it work.

- 7) During implementation, how many vendor staff and organization staff supported your implementation:
  - a. On the "Business side"- People helping staff with change management and configuring new license types in the system.
  - b. "Developer / database side"- People keeping the system running and configuring new license types in the system.  
Vendor team was about 7.  
MA IT team was about 5.  
Business depends on the program about 30 SME at a time.
  
- 8) After implementation, how many vendor and organization staff support your implementation:
  - a. On the "Business side"
  - b. "Developer / database side" 3 State application "help desk" / 0 implementer
  
- 9) If your system was intended to be implemented in multiple parts of your enterprise:
  - a. Were all implementations completed?
  - b. If all implementations were not completed, are there plans to complete the implementation?
    - i. Do the plans involve the vendor?  
State developers did about 90% of the permit forms.  
Felt it was much better to do a small sample set and learn from those.
  
- 10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project?  
  
Our implementor will be different from theirs. Someone that knows the business would be a big benefit.
  
- 11) How flexible was the vendor regarding changes from the original RFP?
  - a. How flexible was the software when changes in functionality were required?  
N/A

12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services?

Accela developers are challenging to find. They aren't easy to find locally. Can get them remotely at a great cost. Learning the product is not something that just anyone can do.

13) Do you think that the deployment schedule for your implementation went well?

a. If not, what would you have changed?

14) What was the original quoted cost?

a. How close to your original quoted cost was your actual cost:

a. For initial implementation **pretty close**

b. For ongoing Licensing and Maintenance

c. Factoring in work left undone / professional services retained after the initial contract period?

15) Do you have a current contract for professional services with the vendor? **None, other than licensing.**

16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?

a. If historic data was migrated, did the vendor assist with the migration?

Accela has a migration tool. It was cumbersome. When they took over they did it old-school with scripts. Weren't trying to move everything at once.

17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit your existing processes, or did it lean more toward redesigning your business processes to fit the system?

a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution?

Timelines were an incredibly complex workflow. Got through it eventually, but was a very big lift. Accela can do any workflow, but it may take work. This took a lot of custom code.

Accela is basically Java script that is stored in the database. You aren't going outside the platform, but writing some code to run inside it.

- 18) How easy is it to create the new forms and workflows for a new license type?
- Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)?

Spoke a lot to this. Very positive.

- 19) Does your implementation include:
- Document management- was it worth it to use the vendor's solution? Use an external AWS service so they don't have to go through Accela to call any document.
  - Compliance functionality – both in office and in the field (mobile devices) Didn't do.
  - Enforcement functionality- was it worth it to use the vendor's solution? Didn't do.
  - Identity management- how does your organization manage customer information?
  - Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes? They have information of what was submitted in applications, but there is nothing that stored the details of what was actually licensed (issued). This is a big red flag for me. It may be because they didn't have any legacy systems that previously did this.
  - Data Warehouse- If not, how do you handle ad-hoc querying?
  - Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer?
  - A built-in GIS map functionality for either location viewing or "map-click" location delineation? Should interface with other GIS tools, but they haven't been able to get it to work right. Have to use only the internal GIS tool. Too complicated.

Facility information is housed in a different system and is just a picklist.

- 20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)? Really good with this.
- 21) How user friendly is the system:
- For customers?
  - For internal staff?

22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)?

23) Has your solution obtained CROMERR application approval?

MA had to develop their own CROMERR system. Does not come that way out of the box. Not 100% electronic. Still requires them to do a final wet-ink signature.

- a. If so- is it easy to have one program CROMERR compliant, and another not?
- b. What is the upload method used by your CROMERR system? (file upload, EPA API, other)
- c. If your business does not involve environmental regulation:
  - a. has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?

Login security is all or nothing. Cannot separate those that require CROMERR from those that don't. It's a sore spot at their agency because smaller programs don't like having to use the full security suite.

24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it?

25) Are you familiar with other organizations who use your licensing system?

- a. If so, do you communicate with them?

26) How many/which business units have a public-facing portal where applications can be submitted online?

- a. If not all, why not?
- b. For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded?

27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account?

- 28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year?
- 29) Is your organization satisfied with the look and feel of the system?
- Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?
  - Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect?
  - Is your system intuitive and easy to use?
  - Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate?
- 30) Having it to do over again, what would you do differently?
- Would you choose to convert any particular business unit before another?
  - Is there anything in general you would do differently?
- 31) Having it to do over again, would you choose the same vendor?
- Can you share what other vendors you might have considered, and what made you choose XXXX over them?
  - Is there anything about the vendor you would change or have them do differently?

"Vendor options are fairly limited." They seemed hesitant to recommend Accela whole-heartedly.

Suggested also looking at TEMPO.

- 32) Were there any major surprises during the process?
- Was there anything you didn't expect or you expected to happen differently?
- 33) Is there anything else you'd like to share relating to your experience with this vendor?

Use external portals to allow members of the public to review submitted data without having a login.

They are not integrated with an Inventory system.

The system is pre-approval only. No information about post-application facility details. It could have been added as an "Asset" module, but it would have been an extra \$1 million.

I worry this system will not replace all of the EFIS functionality. We don't want to maintain our legacy system.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: Carahsoft Technology Corporation

DATE: 3/27/2023 (Sections I, II, & project team), 4/5-4/7/2023 (Section III)

EVALUATOR NAME: Lynn Muzzey

EVALUATOR DEPARTMENT: Environmental Protection

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**Instructions:** *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
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## Overarching comments on bid package:

There was almost no information provided on the Bidder, only subcontractors. Bidder appears to be the middleman only, i.e., they provide contracting services for other smaller firms.

The solution provider/platform (Accela) has experience with enterprise licensing systems for environmental agencies, which looks like a good fit. But it is unclear how much influence they would have on the project. The main subcontractor (Vision 33) doesn't seem to have enterprise-level experience with environmental data. There is little information on Carahsoft's role and no information on their team members or resumes for them.

Proposal document is easy to read although it is riddled with cut/paste errors. There are lots of references to what Accela will provide, but it is unclear how much involvement they will have in the project beyond supplying the base code of the solution itself. I'm left with a lot of uncertainty as to which organization we would be interacting with regularly, presumably Vision33 but only until the solution is deployed. Post Go-Live it appears we would be on our own to interface directly with Accela.

I'm very concerned about the inability to request software enhancements that may be necessary to meet state or federal requirements. Ability to request enhancements appears to be very limited.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
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# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Carahsoft Technology Corporation

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I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p><b>No information provided for the Bidder (Prime Contractor).</b> There is no overview of Carahsoft itself. All information is about the subcontractors. I assume this means Carahsoft does coordination/contracting only and is not involved in the actual software development.</p> <p>“Solution Provider” = Accela, Inc. “Implementation Partner” = Vision33</p> <p>Total of 5 projects listed, 2 for Accela and 3 for Vision33.</p> <p>Accela has worked with MA DEP and implemented CROMERR compliant systems.</p> <p>Willing to share MA DEP solution which may be a head-start for us.</p> <p>Accela provided ELS to MA DEP. I looked it up on MA website and it is a VERY extensive online licensing system. It appears to be a (mostly) complete solution and CROMERR compliant. They certainly understand the complexity of the type of permits we would have and are familiar with our types of data.</p> <p>Subcontractors currently/previously worked together.</p> <p>Subcontractors did a project for Monterey Bay Air Resources District for Permit, Compliance, and Emissions Inventory. (relevant to some of our data.)</p>
II	2	Subcontractors	Solution Provider: Accela, Inc. Implementation: Vision 33
II	3	Organizational Chart	Org charts provided for Vision 33 subcontractor only.
II	4	Litigation	<p>Previous litigation case with Accela for breach of contract for failure to provide goods and services under a contract.</p> <p>None listed for Carahsoft or Vision 33.</p>
II	5	Financial Viability	

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II	5-a.-i.	Balance Sheets	not provided
II	5-a.-ii.	Income (Profit/Loss) Statements	not provided
II	6	Licensure/Certification	Cloud hosting audit and compliance attestation reports to be provided "following contract award" and "under non-disclosure agreement."
II	7	Certificate of Insurance	General Liability = \$1 million Umbrella Liability = \$5 million Professional = \$10 million Cyber Liability = \$10 million
III	1	<b>Appendix E- Technical Proposal (aka Attachment 1):</b> Key Proposed Project Personnel and Project Team Organization	<p>The escalation point of contact is the Delivery Manager.</p> <p>I do not understand the relationship between the Bidder and the subs. Subcontractors are listed in Table 1.1 (Bidder Project Team) and Table 1.2 (Sub Project Team) is left blank. But Vision 33 is clearly listed as a sub.</p> <p>I can't find the Project Manager (Mark Fahey) on the org chart.</p> <p>Most all project team members have extensive IT experience and multiple years of experience in the proposed Accela Civic platform.</p> <p>Clear, thorough resumes.</p> <p>Some team members appear to have worked on the MA DEP project.</p>
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	<p>Solution proposed: Accela Environmental Health, an Accela Civic Application</p> <p>Proposal document is well written and easy to read. However, there are lots of references to what Accela will provide, but it is unclear how much involvement they will have in the project beyond supplying the base code of the solution itself.</p> <p>(p15) Estimating 2 SMEs per Bureau.</p> <p>(p16) There are lots of references to "health departments." The application appears to be designed for "retail food, recreational health, institutions, land use, and personal services." Most of that is unrelated to the work we do. This leads me to question if the bidder understands the DEP as a customer.</p>

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			<p>(p19) Major releases twice per year. Service packs are released monthly as needed.</p> <p>Licenses: 415 (+50 mobile)</p> <p>(p20) Every tenant receives a dedicated database to house data independently. Complete isolation.</p> <p>Hosted by Microsoft Azure.</p> <p>(p22) Says there is no third-party software to be used. I wonder if this includes for reporting. Was not able to find any information in the proposal about reporting functions.</p> <p>(p24) All customizations become part of the source code for all customers. DEP can elect to not to turn on specific functions. I question what happens if a DEP need conflicts with needs of other customers. Will we be told we can't configure our system in a certain way because an existing customer needs the opposite?</p> <p>(p25) Bidder states 85-90% of features are configurable by the Department.</p> <p>(p26) Has received CROMERR approval in MA. Using the same approach could escalate our approval process.</p> <p>An "Enhanced Reporting Database" for accessing data directly is an option, although not included in this proposal. This could make ad-hoc reporting substantially easier for us.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies.</p> <p>Table 2.2: (p35)</p> <p>1. Hosted by Microsoft Azure located in the US</p> <p>4&amp;5. Regarding "your company" vendor-managed solutions, Carahsoft's answers appear to be for Accella, not their own work or Vision 33.</p> <p>(p38) Moved to SaaS model in September 2020.</p>
III	1	<b>Appendix E-</b> Project Approach	<p>(p39) Project approach is called "eGovernment Implementation Methodology." Includes these stages:</p>

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			<ul style="list-style-type: none"><li>- Initiate</li><li>- Blueprint</li><li>- Build</li><li>- Test &amp; Train</li><li>- Go-Live and Support</li></ul> <p>Stages were well described. Wondering if they are proposing to do all bureaus concurrently or in phases. (See p60, plan on 2 phases. BRWM in phase 1 and all other bureaus in phase 2.)</p> <p>(p41) The statement, "Vision33 and the State must then collaborate on the trade-offs between what the solution provides and State-specific requirements" implies a lack of flexibility or ability to customize the solution to meet our needs. Some "State requirements" are legal needs that cannot be compromised on.</p> <p>(p43) Answered "N/A" to the question on whether the solution would be implemented in a single or multiple phases. This is a key question I had. Unfortunately, the question is lumped in with questions about on-site presence and may have been missed because of this.</p> <p>(p44) Post Go-Live support appears to be provided by Accela only. There is no mention of Vision33's involvement. I'm still confused about the level of interaction with each subcontractor. If we are working directly with Vision33 for implementation, it feels odd to switch to working directly with Accela for ongoing support.</p> <p>(p45) Post Go-Live support appears to be provided for 15 business days (3 weeks). In this time, they will address all issued that are not classified as a software bug. It feels odd that software bugs are frequent enough that this has to be mentioned. How do bugs get resolved?</p> <p>(p48) Under standard support model, live support is only available during business hours. Could pay extra for 24/7 support.</p> <p>Ongoing support is offered by Accela, not Vision33 or the bidder.</p>
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			<p>“Accela does not provide custom software enhancements for customers.” This raises concerns about what happens if we have specific data needs required to implement new rules or regulations.</p> <p>Bidder states that they are an active member in government and trade associations, which allows them to remain compliant with State and Federal mandated changes. However, the organizations that list are mostly municipality associations and the rules/standards they would be considering have nothing to do with DEP’s business uses or even those of the State of Maine. I have serious concerns about the solutions ability to flex to manage either DEP or enterprise level licensing where there are state-specific requirements to be met.</p> <p>(p51) Assumes approx. 6 FTE positions to support the system post go-live.</p> <p>(p52) Regarding the minimum training the Bidder’s technical support staff will have, Carahsoft answer is about the level of training our users will need instead.</p>
III	1	<b>Appendix E-</b> Project Management	(p58) Uses Smartsheet to manage and track projects.
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p60) Phase 1 = BRWM, Phase 2 = BLQ, BAQ, BWQ</p> <p>Phase 1 = 24 months Phase 2 = 18 months</p> <p>I question whether three bureaus can be completed in less time than BRWM. Yes, there will be common elements that will be developed in phase 1, but each bureau also have very specific needs.</p> <p>Total project timeline would be 3.5 years.</p> <p>Can start in 2-3 weeks from contract signing.</p> <p>(p61) Removing Enforcement and Document management not seen to significantly change schedule.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	(p66-67) Little information on customization, other than Vision33 will work to minimize it.

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			<p>(p67) Assumes that customization does not include modifications to the core Accela Civic Platform. Since I don't know what is included in the core software, it's difficult to assess how big of a problem this is. Looking at their website, the solution seems to be focused on workflow, which is great, but we have a large database element as well. Would this be included?</p> <p>(P)(p72) Recognizes that multiple sources may store similar information and there is a need to manage which is the authoritative source.</p> <p>Outlined a plan for a data migration including which entity (Vision33 or State) was responsible for each step of the process.</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	No concerns with the approach to testing.
III	1	<b>Appendix E-</b> Training Approach	<p>(p81-82) Seems to include training at all stages of the project.</p> <p>(p83) Some references to "the Region" that appear to be cut/paste errors.</p>
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b>  <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b></p>	Bidder basically promised us everything, including some things we asked for that likely aren't actually possible.
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	(R198) Confused by this one lone feature that is not supported.
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	

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III	2	<b>Appendix F-</b> Sheet "4. Payments"	Unclear why there are a bunch of lines marked as Third-Party features when they also say they are included in the integration.
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	(R20) No explanation given why elastic searches are not available.  I was unable to find a description of the reporting functions or options anywhere in the written proposal. With only one exception, Carahsoft has said that all of the requested reporting functions requested are standard parts of the package. There was no indication given of what kind of reporting options are native to the system vs what require third-party software, although they state in the proposal there is no third-party software required. Unsure if there will be a data warehouse.
III	2	<b>Appendix F-</b> Sheet "7. Technical"	
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	
III	2	<b>Appendix F-</b> Sheet "9. Interfaces"	
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the	



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		contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

## Reference Questions

### Summary:

- When asked about choosing same vendor, they mentioned Tempo360.
- Carahsoft claimed CROMERR approved, but MA was very clear it was all MA's work, including paper wet ink. CROMERR mentioned both in Phase I and II.
- State picked the product, MA DEP was told to use it. 6-8 mos of learning on implementer side. "Back end took a lot of training for our staff. The views were not what they thought they should be." Will have to migrate to SQL and SaaS.
- "It's COTS, we don't change it"- lots of workarounds. Made painfully clear by ugly look and feel. Can't reconfigure pick lists. A lot of their own custom javascript code is objects in on-prem Oracle database.
- Getting it to talk to other systems is tricky (javascript again).
- Accela data migration tool cumbersome. Their team did better with traditional ETL.
- GIS: "We've never gotten it to work right"
- On Prem developers know the business- contracting remote developers is not great, but necessary

Assistant Commissioner for IT at Mass DEP. Jona and Peter.

Jona Program Manager for 8 years.

Peter IT Tech Lead for this project.

- 1) How large is your organization?
  - a. How many staff total?
  - b. How many users of the system?

Enterprise level, multiple within EEA: MA DEP , AGR, ECR. Three agency. DEP is the largest, all 300 permits at DEP. MJAR is large voluce. PCR is 290

users internal. Each license must be per person on the user side. 130,000 customers. Because we're on Prem, we have different portals.

Victoria- we don't use accelera for search.

Me: Export?

Peter: Views in Accela, portal.

2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)?

Jona: Submission and review. External and internal. From Accela we use licensing. And reporting. Intake to determ.

3) How long has your office been working with the vendor?

Victoria: Check that Vision33 is a "Gold Partner".

State picked this product, used it for something else, we were told to use it.

SaaS is better than it was. Told non SaaS will not be an option in a few years

4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not?

I think you could. One of the challenges: In the beginning, we put a LOT of resources in this- we always knew we had our IT team working with the developers. It took quite a bit of time to understand accelera, and the integrator a lot more time to learn: 6-8 months. A lot of standardizations: This is what we call this and that. It was very hard for quite a while. Working with them daily.

ME: Did you interact with Accela during initial implementation?

No

Peter: The state hired a team to work with the integrator. We started small: Lets do a small subset and try it out. We had a dedicated on-prem space for the whole initial project.

State had a vision, and we had to figure out we had to adjust the vision to fit what we got.

Victoria: We built a standard application framework. Program / Signature / et c. Saved us a lot of time. Prevent each group from designing their own forms. Having those pre-defined sections. Made it easier for everyone.

Jona: That was probably the best thing "common components" About 12: How pages look, contacts look, standardization. Same look and field, Facility, document, then we could just focus on the business.

Bill: Accela not involved? You never had Accela modify the application?

Victoria: We would go back to GCOM if we couldn't figure out how things are working, but it's COTS- we don't change it.

Bill: You've got legislation, what did you do.

Victoria: We can configure the workflow.

Peter: We've always been able to make it work. There are funky things that the product does, and we ask, but the issues were fixed largely in the beginning.

Bill: Are you working with Accela on issues?

Victoria: Yes, bugs, and a meet and greet. We've suggested build CROMERR Compliance into the system, they've been fascinated by that. Four years of asking but nothing done.

They didn't do anything for MA: We had to interpret the regs, then build the pieces, arm wrestle with EPA and we eventually got there. EPA would really like it if when you signed on, to re-log in so that one person is for sure submitting the application. We've had people where they submit an application, please wet ink sign this because we can't do dual signature on the screen. To be honest, we have "Per EPA" we need this. Things like that. Signature was hardest part. Everything else you can build in.

- 5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation?

- 6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)?

Used Integrator RFP. All in One, then "You use this product", then "Slice of project, use this product". Third try at RFP

- 7) During implementation, how many vendor staff and organization staff supported your implementation:
- On the "Business side"- People helping staff with change management and configuring new license types in the system.
  - "Developer / database side"- People keeping the system running and configuring new license types in the system.

Jona: The vendor: Their team was (it was 2015), PM, BA, 2 developers and report writer, tech lead, and QA tester.  
We had Peter, Jona, another PM. Business side depended on SME numbers. They were all parts of the requirements.

Lynn: Your regionalized?

Victoria: I was about half /  $\frac{3}{4}$  time. "We need your people now" Agency resources. Change management. Lead SME in each program. The believer. Then that person would rope in staff for testing et c. Jona got adept at everyone testing, including external users. Priceless.

- 8) After implementation, how many vendor and organization staff support your implementation:
- On the "Business side"
  - "Developer / database side"

Change Management: Your work is going to slow down. That's OK

After initial scope (33 permits), Peter, Myself, 2 Bas, 2/3 Help Desk

- 9) If your system was intended to be implemented in multiple parts of your enterprise:
- Were all implementations completed?
  - If all implementations were not completed, are there plans to complete the implementation?
    - Do the plans involve the vendor?

The standardization helped this significantly. Discovered issues, and refactored the process. No way in the beginning there's no way. We adjusted three time.

ME: We started in version 7- it didn't allow edit (send it back to customer). Brand new feature to figure out. External users have done things that we didn't anticipate.

10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project?

6-8 Months. Updated frequently.

Bill: Do you think you would have the same flexibility with SaaS? It seems like you've had a lot of flexibility?

Peter: Some of that is, in the early days, they had certain issues where you had to deploy at certain times, and they had situations where you had to look at log files to figure out what happened. In SaaS, you had to request the log files... a little more involved, but we can do it. We learned the database and can fix things in the database. We're Oracle, but we'll have to switch to SQL because they will stop.

Victoria: Accela developers don't like on Prem, and they aren't in Boston, we either had an external resource.

Peter: IN the early days. Next year we may try to find another external resource.

Victoria: One of the benefits of the on prem was that they knew the agency. That helped with learning curve.

Jona: Backlog

11) How flexible was the vendor regarding changes from the original RFP?  
a. How flexible was the software when changes in functionality were required?

12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services?

GCOM they could answer, but not Accela.

13) Do you think that the deployment schedule for your implementation went well?

- a. If not, what would you have changed?

We found our way.

- 14) What was the original quoted cost?
  - a. How close to your original quoted cost was your actual cost:
    - a. For initial implementation
    - b. For ongoing Licensing and Maintenance
    - c. Factoring in work left undone / professional services retained after the initial contract period?

Pretty close: A lot of discussion about what they were supposed to do, vs. what they thought they did.

- 15) Do you have a current contract for professional services with the vendor?

Just licensing.

- 16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?
  - a. If historic data was migrated, did the vendor assist with the migration?

That evolved. Accela had a tool, but it was cumbersome. Basic scripting worked better. We moved one program at a time. I still think that worked well- doing small pieces. Moving code from dev to test. Integrator would try to move a lot at once. We move a little at a time.

- 17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit your existing processes, or did it lean more toward redesigning your business processes to fit the system?
  - a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution?

Victoria: An example of a triumph: Timelines: Admin / Technical / Public comment, if the timeline isn't met, et c. Sounds simple, but it was incredibly complex (vendor had to pick themselves up). Between vendor and implementor after the vendor and Peter's team "Got That Done". SO Accela can do any workflow- it works: I'm impressed. That was the most challenging.

Peter: There was a lot of custom code, and it m.. Scripting is stored in the database. That becomes an object. Javascript.

18) How easy is it to create the new forms and workflows for a new license type?

- a. Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)?

19) Does your implementation include:

- a. Document management- was it worth it to use the vendor's solution?
- b. Compliance functionality – both in office and in the field (mobile devices)
- c. Enforcement functionality- was it worth it to use the vendor's solution?
- d. Identity management- how does your organization manage customer information?
- e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes?
- f. Data Warehouse- If not, how do you handle ad-hoc querying?
- g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer?
- h. A built-in GIS map functionality for either location viewing or "map-click" location delineation?

Document Management: Used to use Onbase- that became untenable so we use a custom document service with AWS. The only way is to do a call through accelera. So we went to an external service. OnBase was too expensive.

Didn't do C & E.

Identity management: Accela is containing some identity.

Licensed Facility Details: Started with a variety of details. Started with Air so we could do anything. Started with all the details. 22 pages. Thought that air would use the data as data, but a lot of the data that we built wasn't used by the actual license, so we over-engineered that form. Attaching a Word fillable form would have been better from a cost-benefit. Evolved to that. Down to the weeds is not a value.



Lynn: Is there another system?

Victoria: It's on paper.

Peter: We have facility information, but we don't manage it. Pick list.

Victoria: One of the tricks is getting it to talk to other systems. It works (it talks to payment and document management). Again- on prem vs. SaaS, but it was a trick. Not as simple.

Peter: Because it's javascripting.

ME: GIS?

Peter: We've never gotten it to work right. Lots of training. "Just connect it to the service. We still want mapping. Just not rely on it.

Victoria: Hired some experts. Didn't do it cursory. Screamed- what they're showing us is not what we got.

Peter: Was it Accela? Was it GIS? Don't know.

Victoria: (users ask) Why can't it be google?

20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)?

Jona: Yes, renewal- six months, do that every sixty, ninety days. Batch job for external users. For internal- its' send a notification reminder. Different batch job. There's a group. Waterways. All sorts. ON event (submission) or batch job.

Peter: That's all we built the logic and take advantage.

21) How user friendly is the system:

- a. For customers?
- b. For internal staff?

Demostration starts-----

Jona: I can show a CPA (comprehensive Planning)

This is one of the pages that we standardized. This is Accela's template. We don't allow anyone to just anonymously. All users MUST register first.

Lynn: External partners can look.

Peter: Thought we would use Accela, but because it had to be anonymous, we couldn't do that, so we built a system outside of accela that ties into Accela.

Jona: When they start an application, it takes the registration information

ME: CROMERR modulation? Can some customers use it, and some not?

Jona / Victoria: Sore spot- there's no way to do that.

ME: Different registrant vs applicant?

Jona: I'll show that

Logged in: The customization to create the button to fill out an application will GO AWAY.

Should have done in test... In dashboard: We've chosen what columns and agencies.

ME: What helps a customer with figuring out what license to use?

Victoria: Mass.gov- how to tell what permit I need. When you're ready, it will give a link over to this. We've standardized.

Jona: Click the application type, and continue: Standard breadcrumbs (tabs) standardizing application flows.

Lynn: Does it allow you to skip?

Jona: Yes- it's skipped if not necessary.

Sam's question- consultants "I'm permittee" or "Look Up". "Look up" so that the permittee will get an email at the end.

Peter: This is all version 2.0, we didn't know this the first time around.

**ME (to myself): This is not so pretty.**

These are contact types.

All custom to have different licensee.

Ties in with

- 22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)?
- 23) Has your solution obtained CROMERR application approval?
  - a. If so- is it easy to have one program CROMERR compliant, and another not?
  - b. What is the upload method used by your CROMERR system? (file upload, EPA API, other)
  - c. If your business does not involve environmental regulation:
    - a. has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?
- 24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it?
- 25) Are you familiar with other organizations who use your licensing system?
  - a. If so, do you communicate with them?

Victoria: Another portal that is sheer data

Peter: Early there was a bit of exchange, but

- 26) How many/which business units have a public-facing portal where applications can be submitted online?
  - a. If not all, why not?
  - b. For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded?
- 27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account?

28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year?

Victoria: We require repermitting. We have transporter licenses, but we license to the facility.

Lynn: It's an issue with FRS where they don't recognize a license that has changed address because their licenses are location based.

- 29) Is your organization satisfied with the look and feel of the system?
- Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?
  - Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect?
  - Is your system intuitive and easy to use?
  - Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate?

People really like that we serve up the application. Especially that they can pull up an application without talking to us.

Lynn: Is it possible to fill out a paper app?

Victoria: It's a high bar- they can sit down next to a person in a region.

Jona: SO rare

- 30) Having it to do over again, what would you do differently?
- Would you choose to convert any particular business unit before another?
  - Is there anything in general you would do differently?

Do you think Air first was a good idea?

Yes. We didn't want to get to Air and find out that the product wouldn't work.

Peter: That Air SME controlled the offices to be able to say "no" to variance.

Lynn: How many MassDEP employees?

Victoria: About 740. Was 660 in the beginning.

31) Having it to do over again, would you choose the same vendor?

- a. Can you share what other vendors you might have considered, and what made you choose XXXX over them?
- b. Is there anything about the vendor you would change or have them do differently?

Peter: Vendor options are fairly limited

Victoria: Have you spoken with Minnesota about Tempo?

Peter: We're good for now, going to have to migrate to SQL and SaaS.

- 32) Were there any major surprises during the process?
- a. Was there anything you didn't expect or you expected to happen differently?

Victoria: From "what we would do differently". Build the in-house IT capacity again. That MADE the project. Jona's team, and the EEA IT Developers sat in room with consultants.

- 33) Is there anything else you'd like to share relating to your experience with this vendor?

The back end display. Staff accounts: Create roles; super user / reviewer / accounts.

Victoria: Back end took a lot of training for our staff. The views were not what they thought they should be. Jona did a lot of work, but it's come a long way.

Jona: Card view. Pages "Portlet" Record, ad-hoc reports, documentation, support, so all that. Module: DEP, DCR, EEA, LSP, Lices, MDR.

My Filters has been a challenge- no drill-down for filter. Filters for Region, They can see all the applications that come it. That's the Mask (year, Type, sequence number,

Summary page is a challenge: A lot of manual work, and it's not really pretty- AA the summary page. And we generate a report.

Lynn: This is from the application?

Peter: Yes

Lynn: Can you add something?

Jona: You can do an RFI

Victoria: Accela can do form level validation. One of our biggest time sucks is completeness of applications.

Lynn: Does it pre-populate a license template?

Victoria: We worked hard, but it didn't happen for Air.

Lynn: You mentioned that you don't store facility as issues, because you didn't before, but COULD you have equipment information.

Peter: Some licenses are just a comment field.

Lynn: Report on

Victoria: We don't track post permit.

Peter: It could if you wanted to. Assets in Accela. IT said "That would be a million dollars", and we let it go. It is all capable. We do so much custom, that we feel we could do this externally.

Lynn: Is your system integrated with Air Emissions?

Victoria: No.

Jona: (back on Demonstration).

Reports under "Reports" Portlet.

Ad-Hoc reporting.

---

Bill: We had a vendor say they can do it in 4-5 years, what do you think?

Jona / Victoria: How many licenses?

Me: 130, but if you count renewals and transfers it's ~300

Victoria: Yeah, that sounds about right.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: Carasoft -

DATE: Phase I 3/31/2023 & Phase II 4/24/2023

EVALUATOR NAME: Sherrie Kelley

EVALUATOR DEPARTMENT: Environmental Protection

\*\*\*\*\*  
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## Overarching comments on bid package:

### PHASE I –

Good introduction explaining the company and proposed solution utilizing Accela SaaS- designed specifically for one purpose – government licensing and permits. Mass has 350 apps and permits online. However, Carasoft is a 're-seller' and want to partner with Accela & Vision33. Middle-man approach. Carasoft is not directly involved in providing or implementing the solution. This is concerning.

Carasoft Vision 33 – 450 IT staff only 12 Accela consultants 100 with government exp. 25 years' experience. Many different state projects. Accela is widely used. First Purpose built end-to-end civic application, with regulatory focus. Accela & Vision33 partnered in similar Licensing projects with government. Prebuilt solution. Mass DEP used Accela. Michigan 800 permit/license types – directly with Accela.

Shows Vision 33 Accela Team only, not clear who would work on our project directly from Accela or Vision 33 to facilitate the whole thing.

None for Carasoft, one settled claim with Accela.

Carasoft does not publicly disclose. States stable profitable company, Accela – included statement of 40 years & 600 clients. Vision 33 - revenue 100K annual, profitable for 20+ years

Vision33 is gold level partner with Accela

Only listed Delivery Manager as a POC - from Vision33. Earl Woodman  
Confusing relationship between bidder & subs.

### PHASE II

Software Solution, Solution Architecture and Functionality

Pretty good job in writing the proposal for ease of reading.

Many health applications mentioned, not sure the bidder understands the customer

The proposed solution is the Accela Civic Application has been around long enough for comfort. Includes A fully hosted SaaS solution security and reliability of Accela SaaS, hosted by Microsoft Azure. Modern

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**EVALUATOR NAME:** Sherrie Kelley

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and customizable user interface Customizable reporting and querying options Online access allows applicants to submit plans and applications & track the status of their project.

The proposed solution has already received CROMERR approval in MA.

Proposal mentions an "Enhanced Reporting Database" for accessing data directly is an option.

All new functionality enhancements target all customer deployments.

No special versions per individual organization. May not be flexible enough for us, but appreciate the attempt at more standardization.

Acella appears to be well loved by other states that currently use it.

15 days of post go live support included.

Says we will need approximately 6 dedicated FTE post go live internal support. Seems reasonable.

It appears that they have a good grasp of the scheduling requirements of a project of this complexity and size.

Happy that online help will be available.

The proposed approach makes sense although, we may use a different approach.

Most requirements are listed as Standard – although not sure how many will need to be tweaked to meet our needs.

Appendix F is completed with notes that shows they understand regulatory business

Gives me confidence that the 'S's marked are currently actually part of the solution.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** Carahsoft  
**DATE:** 3/28/2022  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*

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## Overarching comments on bid package:

- Carahsoft is proposing Vision 33 as an implementer for the Accela product
- Accela Civic is a SaaS application hosted in Azure
- The Accela solutions are deployed in a 3-tier model consisting of:
  - the database tier (MSSQL),
  - Business Services/Application tier (J2EE web application leveraging web services for data exchange) and Presentation/Public Web tier (predominantly Java and .NET).
- Accela comes across as a flexible licensing solution that is capable of accommodating more than just the DEP's needs.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	Project #1 – City of Hartford Accela Cloud Implementation for multiple modules such as business, business licensing, environmental health, relocation, residential licensing, and planning

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			<p>Project #2 – Monterey Bay Air Resources permit, compliance, and emission inventory</p> <p>Project #3 – City of Seattle Street use permitting</p> <p>Projects #1 &amp; #2 are good examples of environmental protection and enterprise system.</p> <p>Projects #4 &amp; #5 are examples of Accela implementations, but not necessarily by Vision33</p>
II	1	Key Proposed Project Personnel and Project Team Organization	
II	2	Subcontractors	Vision33 and Accela
II	3	Organizational Chart	Org charts shows Vision33 Executive team and Vision33 Accela team, which are mostly labeled “Consultant”
II	4	Litigation	One claim from 2017 involving the village of Rockville for failure to provide goods and services
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	Not publicly available
II	5-a.-ii.	Income (Profit/Loss) Statements	Not publicly available
II	6	Licensure/Certification	Only certificate cited is for Vision33 issued by Accela
II	7	Certificate of Insurance	Umbrella = \$5M Cyber = \$10M Prof Liab = \$10M
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	<p>MSSQL Database J2EE for web services Java &amp; .NET for presentation/Public web</p> <p>All enhancements target all deployments. No special versions per individual organization</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>The RFP indicates that Accela will comply with all State of Maine policies listed in the RFP and all NIST 800-53 rev 5 standards listed in the RFP</p> <p>24/7/365 onsite security Multi-factor authentication</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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			<p>Ongoing vulnerability scans with third-party software</p> <p>Adheres to data encryption standards</p> <p>Redundant middle-tier application servers</p> <p>All systems record and capture both failed and successful login attempts</p> <p>Annual, thorough penetration testing</p> <p>NIST</p> <p>SOC 2 Type II available</p> <p>Horizontal &amp; Vertical scaling (add CPU or Servers)</p>
III	1	<b>Appendix E-</b> Project Approach	<p>Accela is CROMERR-compliant and approved by U.S. EPA for the Massachusetts Department of Environmental Protection's implementation (called ePLACE). Massachusetts DEP has implemented Accela enterprise-wide for over 350 permit types. We are proposing to leverage the same approach for the State of Maine.</p>
III	1	<b>Appendix E-</b> Project Management	
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>BRWM first then Land, Air, Water</p> <p>Phase-1 is 24 months</p> <p>Phase-2 is 18 months</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>Phase 2 is estimated at 18 months. Concern that phase-2 includes the remaining Land, air, water deployments simultaneously.</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<ul style="list-style-type: none"> <li>- Staged, Bottom-Up testing approach</li> <li>- The State will be responsible for developing the test cases, with Vision33's support, and for validating the test criteria.</li> </ul> <p>Test Levels</p> <ul style="list-style-type: none"> <li>- Component Testing - Application Form Prototype Reviews</li> <li>- Integration Testing - Individual Unit Confirmation</li> <li>- System Level Testing</li> </ul> <p>Testing method does not change if on site or remote</p>

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III	1	<b>Appendix E- Training Approach</b>	<p>Formal classroom training for the State will focus on the following three user groups:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Core Project Team (Helps Vision33 with the analysis)</li> <li><input type="checkbox"/> System Administrators (i.e. Power Users)</li> <li><input type="checkbox"/> Daily Users (i.e. End Users)</li> </ul> <p>Starts at config time with a 3–5-day class on Civic Platform for the core project team</p> <p>Next is a Long-Term Systems Management class for the systems admins</p> <p>Daily user training will be done using the State’s build of Accela</p> <p>The proposal did NO</p>		
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder’s Appendix F workbook to comment on individual requirements.</b>			
III	2	<b>Appendix F- Sheet “1. Licensing”</b>	LC.174	The system has the ability to automate the classification process based on a series of yes or no answers to questions or key word identifiers via the portal (e.g., decision tree to help guide an applicant to the correct application type).	Accela offers our Premium Citizen Experience powered by OpenCities (not currently proposed). Should the State be interested, we can provide pricing.
III	2	<b>Appendix F- Sheet “2. Public Portal”</b>	Everything comes standard		
III	2	<b>Appendix F- Sheet “3. Document Management”</b>	DM.21	The system has the ability to allow staff to convert non-readable file types, that have been uploaded into the system, into OCR accessible file within the system.	The solution can integrate with OCR technology.
III	2	<b>Appendix F- Sheet “4. Payments”</b>	Everything comes standard except for these 3 <sup>rd</sup> party		
			PY.1	The system has the ability to send invoicing information (e.g. invoice amounts, invoice line items, and contact billing information) for current licensees to Common Billing.	This is a third-party interface that we have included under the Implementation Costs tab of the Volume 4 – Cost Worksheet attachment.

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			PY.2	The system has the ability to allow for manual creation of invoicing information for unique scenarios (e.g., ad hoc training, fees determined by state fire marshal's office, event driven) and for manual inclusion of that information in the Common Billing batch submission creation process.	This is a third-party interface that we have included under the Implementation Costs tab of the Volume 4 – Cost Worksheet attachment.
			PY.3	The system has the ability to intake key invoice and past due data (e.g., dates sent, amount due, days past due, violations given, billing address sent to) from the AdvantageME Warehouse and automatically update the correlating customer records such that queries and reports can be created and viewed by ME DEP staff and current licensees.	This is a third-party interface that we have included under the Implementation Costs tab of the Volume 4 – Cost Worksheet attachment.
			PY.5	The system has the ability to intake key refund data (e.g., amount refunded, date of refund, and reason for refund) from the AdvantageME Warehouse and automatically update the correlating customer records for viewing by ME DEP staff and current licensees.	This is a third-party interface that we have included under the Implementation Costs tab of the Volume 4 – Cost Worksheet attachment.
			PY.6	The system has the ability to intake payment status information (e.g., payment received, payment cleared, and payment not received) from the AdvantageME Warehouse and automatically update the correlating customer records for viewing by ME DEP staff and current licensees.	This is a third-party interface that we have included under the Implementation Costs tab of the Volume 4 – Cost Worksheet attachment.
III	2	<b>Appendix F-</b> Sheet “5. Comp-Insp-Enf”	Everything comes standard		
III	2	<b>Appendix F-</b> Sheet “6. Reporting”	This feature is not included		
			RP.4	The system has the ability to allow for choosing elastic search or exact results options when querying.	
III	2	<b>Appendix F-</b> Sheet “7. Technical”	TC-18	The system is compliant with the United States Environmental Protection Agencies Cross-Media Electronic Reporting Rule (CROMERR)	Accela platform has the ability to interface with CROMERR; however, additional analysis and development considerations would be needed to ensure the interface aligns with CROMERR policies and certifications.  Accela is CROMERR-compliant and approved by U.S. EPA for the Massachusetts Department of Environmental Protection's implementation (called ePLACE). We would leverage the same approach for Maine.
III	2	<b>Appendix F-</b> Sheet “8. Interfaces”	The vendor responded “Y” to all questions in this section		
III	2	<b>Appendix F-</b> Sheet “9. Data Migration”	The vendor responded “Y” to all questions in this section		
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.			

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

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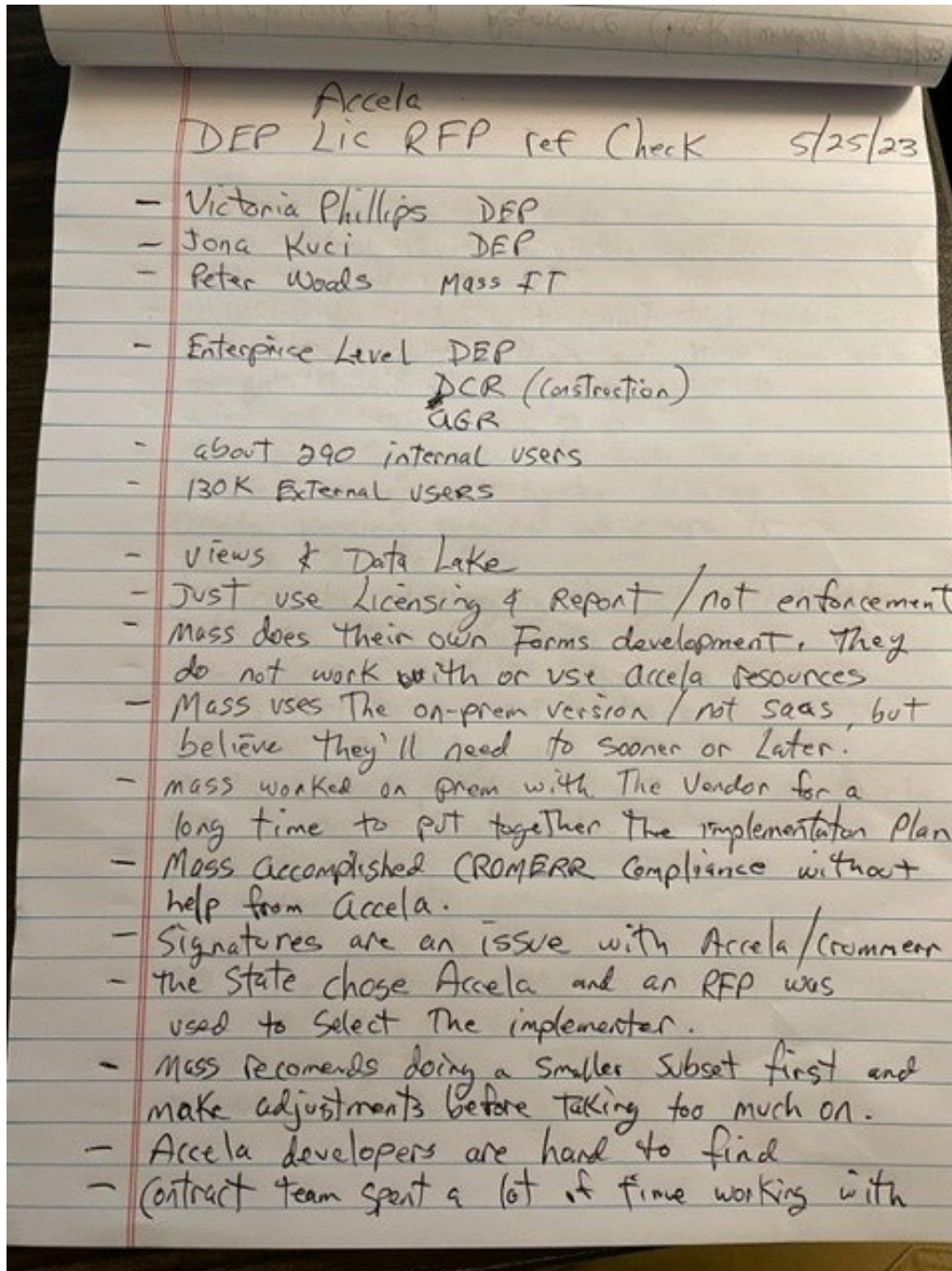
BIDDER NAME: Carahsoft

DATE: 3/28/2022

EVALUATOR NAME: William Mason

EVALUATOR DEPARTMENT: DAFS/OIT

Carahsoft Reference Check Notes with Massachusetts 5-25-23





**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

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- The implementer to get everything in the contract so the costs didn't vary much.
- The standard Accela migration tool for data didn't work very well.
- Workflow for conforming to permit time tables was one of the biggest challenges and Mass was able to get Accela to work, but needed to add a lot of custom Java script into the product.
- Mass found they needed to create their own document management system because the Accela version required all access to go through Accela.
- It can be challenging to get Accela to talk to other systems.
- Accela (on-prem) doesn't work with ESRI.
- Events that trigger notifications work well, but most of the logic was built by mass.
- Mass's external portals are not part of Accela but do access Accela data.
- Demo of app
  - looks a bit antiquated
- Mass will need to switch from Oracle to GCP Server (Accela discontinuing Oracle) and then will need to go to the SaaS version.
- Mass was glad they built up their in-house IT staff for the project.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Carahsoft

**DATE:** 3-29-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

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## Notes:

### Phase I: Organizational Qualifications and Experience:

Carahsoft contracting Vision33 to implement Accela.

I'm not getting any real sense for the support that Accela might provide for their solution.

It would also be nice to have a sense of what other states use Accela at a level on par with Mass (other than possibly Hartford).

Vision33's recent experience doesn't appear to have the compliance complexity required, but if Accela will get us 50% there, perhaps their experience with Accela and govt agencies adds up to a worthwhile value.

I wonder who did the coding / configuration for Hartford and Seattle. "Managing" and "Technical Consultation" do not necessarily include software development / configuration.

MA DEP's experience with self implementation is highly encouraging.

Contracting scheme seems complicated for a small state like Maine.

---

### Phase II: Proposed Services:

Bid Package is well put together with excellent formatting and Appreciate the implication that Vision33 would become a long term partner.

Supported by Accela Customer Service

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

Why 415 back office licenses? We don't have that many employees.  
85-90% user configurable (and so says MA DEP), but it doesn't mention implementing new license types.

"Enhanced Reporting Database" appears to be a data warehouse. Would be nice.

Comprehensive documentation is great to see.  
Online help blurbs likewise very awesome.

Mention of data warehouse option shows knowledge of institutional customer needs.

Collaborate on what the solution provides vs the state needs- **Talk to Massachusetts?**  
Custom Application timing. Can they customize to accommodate laws / ? How many laws did MA have to change in order to use software. Whether equipment / entity management is standard. What Accela provides as far as report production. Carahsoft value?

Customizations do not affect core Civic Platform.

Some concerns about equipment management.^(up there)

Appendix F is completed with comprehensive commentary that reflects a thorough knowledge of regulatory business and instills confidence that functionality listed as Standard are currently part of the solution.

That said, some responses (TC10) make me wonder if they are being helpful, or are deflecting. I lean toward helpful, since I have heard other sites are able to implement independently, but still...

Too bad that one of the foundational functionalities we want- assisting customers with what permit they need- is shunted off to marketing for a partnership that involves a solution that is likely overwrought for our use case. Granicus OpenCities.

Enhanced Reporting Database (not currently proposed).

Reporting tab says "Y", but they aren't including it?

Accela AdHoc Reporting Tool

**STATE OF MAINE  
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**DATE:** 3-29-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: CGI Technologies and Solutions Inc. (CGI)

DATE: 3/28/2023 (Sections I, II, & project team)

4/7-4/10/2023 (Section III)

EVALUATOR NAME: Lynn Muzzey

EVALUATOR DEPARTMENT: Environmental Protection

\*\*\*\*\*  
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## Overarching comments on bid package:

They certainly have depth and they have experience with environmental systems.

The proposal gives me confidence that they see the State as a partner. However, it is unclear if CGI understands the small size of the MEDEP. It's understood that there will need to be several staff devoted to this project, but they seem to expect the DEP to have a separate dedicated staff for each CGI role and also to stand up a dedicated HelpDesk. Sessions are specifically "limited to 20" when they may be lucky to get five to attend.

CGI appears to have unrealistic expectations for the amount of time it will take to gather information from DEP SMEs. They have allocated only three days of Module Configuration Sessions per release. A single release encompasses multiple bureaus.

A lot of responsibility falls back on the Department. For example, DEP must move data to staging tables (which significantly simplifies CGI's migration effort). Documents are expected to be handled by a 3<sup>rd</sup> party document management system managed by the DEP. Almost all reporting features are considered custom reports. Only 15 custom reports are included in the proposal.

Overall, I believe CGI is capable of delivering a working solution. However, it is likely to end up costing more than anticipated. The constant references to change order procedures and additional funding gives the impression that CGI will take every opportunity to increase the project cost.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

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**EVALUATOR NAME:** Lynn Muzzey

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Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed. Strange that they didn't use the company's full name.
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>"30 years of experience implementing Environmental Information Management Solutions (EIMS)"</p> <p>Worked with 8 state environmental agencies to implement an enterprise environmental information management solution including permitting, compliance, and enforcement. These are systems of similar size and complexity to our project.</p> <p>Appears to have the contract with EPA to maintain the CDX.</p> <p>Project 1 is for MN DEP – Appear to have deployed an enterprise system for env licensing, compliance, enforcement, and complaints. Includes public-facing portal.</p> <p>Looked at the MN website. Submission of some applications online are supported, but certainly not all. They appear to have a basic solution.</p> <p>Project 2 is for LA DEQ – Appears to have deployed an enterprise system for env licensing, compliance, and enforcement.</p> <p>Looked at LA website. I don't see any electronic submittal of applications. There may be a few minor public-facing forms (e.g. record request and complaint forms).</p> <p>Project 3 is Maine's Advantage system. I am familiar with Advantage. It's not exactly the most user-friendly system, but it is implied that may be due to limited funding.</p>
II	2	Subcontractors	None proposed

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II	3	Organizational Chart	I really like that the org chart takes into account the DEP staff and aligns our project manager, SMEs, etc. with the equivalent on the CGI side. This makes it super easy to understand each person's role regardless of the "fancy title."
II	4	Litigation	<p>The proposal refers us to the SEC filing on their website which I dug through to find statements that they are involved in "legal proceedings, audits, claims, and litigation arising from the ordinary course of business." And that some of these matters seek damages of significant amounts. Could not find more detailed information in CGI's documentation, so resorted to searching online.</p> <p>Found a case brought by CGI against NY where they contracted for an "off the shelf" system but sued NY for more money and ownership of intellectual property when the project turned into "custom" work and ran into delays.</p>
II	5	Financial Viability	I think what was provided covers these requirements. Will defer to Sherrie.
II	5-a.-i.	Balance Sheets	
II	5-a.-ii.	Income (Profit/Loss) Statements	
II	6	Licensure/Certification	Detailed list of certifications
II	7	Certificate of Insurance	<p>General Liability = \$2 million Professional = \$1 million</p>
III	1	<b>Appendix E- Technical Proposal (aka Attachment 1): Key Proposed Project Personnel and Project Team Organization</b>	<p>The point of contact for escalation is the project manager. Not sure why the paragraph that says to submit tickets through JIRA is included.</p> <p>Proposed project team has extensive experience and longevity with the company (8-20 years).</p> <p>Table 1.1 aligns well with org chart.</p> <p>Proposing to use a lot of the same team as is working on LA DEQ project. Table 1.1 shows most team members working on the LA DEQ project, but this doesn't show up in any of their resumes.</p> <p>Project manager has a lot of experience, but all projects appear to be finance related.</p>

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			<p>Several members state they have very good proficiency with environmental regulations, which would be good, but I don't see how that is backed up.</p>
III	1	<p><b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance</p>	<p>Solution proposed: TEMPO360</p> <p>(p10) The solution is currently being used by six environmental agencies. This shows an ability to understand the scope of the project.</p> <p>(p11) The portal is CROMERR compliant.</p> <p>(p14) They have an established User Group (TUG) from various states that meets regularly. Participation would give us the opportunity to learn from other states.</p> <p>TUG has a lot of influence over the direction of software releases but does not have "veto" power over any enhancements that MEDEP wants to make to its own system.</p> <p>(p15) CGI maintains a dedicated maintenance and product engineering team. Shows they are devoted to maintaining the product they deliver.</p> <p>Did not state the number of licenses included in the proposal as requested in the RFP.</p> <p>(p16) Major releases 1-2 times per year.</p> <p>Every tenant has its data segregated from other tenants in dedicated databases.</p> <p>(p17) Hosted by CGI's Private Cloud in Phoenix, AZ.</p> <p>(p18) 3<sup>rd</sup> Party Software needs: Oracle, Tableau (reporting), ARInspect (mobile inspection)</p> <p>(p101) The architecture diagram seemed to make sense.</p> <p>(p22) Environments: Prod, Test, Dev, and Data Conversion. The last one goes away after system goes live.</p>

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			<p>(p23) We could benefit from lessons learned from solutions provided to other states. We wouldn't need to start from ground zero. Some functionality specific to our needs may already be available.</p> <p>Other State of Maine customers may be able to use the core functionality, i.e., it may be capable of being an enterprise solution.</p> <p>(p24) Contains a "Requirements Library" for all standard requirements that is configurable by the user.</p> <p>(p24) Reporting from within the system can be done either via grid exports to Excel or more advanced reporting. "Reports may be written by power users or developers and are maintained by the system administrator."</p> <p>(p25) CROMERR compliant and currently used by MNPCA.</p> <p>They listed NJ as a client currently using the system and 3<sup>rd</sup> party partnership. Looking at their system online, it looks very much like Advantage, which is provided by the same vendor.</p>
III	1	<p><b>Appendix E-</b> Software Security, Hosting and Performance</p>	<p>Table 2.1:</p> <ul style="list-style-type: none"> <li>- Remote Hosting: "Additional fees may apply to non-standard reporting requirements."</li> <li>- Stated 2 of the polies were not applicable to service providers. (Possibly true)</li> </ul> <p>Table 2.2:</p> <ul style="list-style-type: none"> <li>- Data center physically located in AZ with backup in PA.</li> <li>- Destruction procedures meet Dept of Defense standards.</li> <li>- No unplanned outages since moving to the Private Cloud.</li> <li>- Scheduled Maintenance is once/month from Sat 12AM to Sun 11PM (all weekend). Seems excessive to be down essentially 2 full days per month. Perhaps they mean that maintenance would take place within that timeframe?</li> </ul>



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III	1	<p><b>Appendix E-</b> Project Approach</p>	<p>(p35) CGI states, “instead of spending CGI and ME DEP staff time designing, building, and testing software, our approach focuses that time on more important activities [business processes].” This is a bold statement for a software developer to make. However, reassessing business processes will need to be a significant portion of this project.</p> <p>(p37) CGI states, “CGI assumes that it is the responsibility of ME DEP to extract data from existing data sources into an agreed upon format or staging tables so that CGI’s processes can move data from staging tables to the TEMPO360 database.” This appears to mean that DEP is responsible for the bulk of the data migration scripts.</p> <p>(p38) Accurately assess that MEDEP staff availability is a significant risk in the timing of the project.</p> <p>Proposing on-site sessions for requirement sessions and testing.</p> <p>The project is planned to have two releases. The selection of the programs that are in each release will be determined after CGI has a chance to understand our priorities and program dependencies. This is a thoughtful approach. The proposed project outline tentatively starts with Air and Water. (p53)</p> <p>(p39) It is possible to go live with the Compliance module without using Enforcement functionality.</p> <p>Proposal does not include a document management system, but it does include building an interface to an existing document management system. Files would be stored as Blobs in the database. I question if this will be a problem for programs that don’t currently use a document management system.</p> <p>(p40) The proposal only includes development of 10 new detail screens. Not knowing what is already available in their library, I question whether that is enough.</p>
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			<p>The proposal includes writing code for up to five “project number functions.” I assume this is the code to recreate our alpha-numeric license numbering system. I question whether this is enough. Assuming all of Air could be covered under one “function” perhaps it’s not too far off.</p> <p>The proposal does not include functionality to calculate fees from business data. This is functionality some programs need. This would be a change order or something OIT programmers would need to do.</p> <p>The project includes configuration of up to seven inspection types for mobile inspections. This seems low.</p> <p>The proposal suggests limiting data conversion/migration to only that data necessary for continued business operation and not bringing over historic data. We will still need to access historic data for reference purposes. I dislike the idea of having to look up historic data in a different system from active data. This could also be a problem should we need to write reports that straddle both systems.</p> <p>(p41) CGI assumes it is DEP’s responsibility to extract data from existing data sources and load them into staging tables. That sounds like a significant amount of work.</p> <p>The reporting software suggested is Tableau, although it says other tools may be used.</p> <p>The proposal includes the writing of up to 15 reports (5 low, 5 mid, and 5 high complexity). That may not be enough which means DEP staff will need to be able to develop their own reports. The proposal includes only 50 Tableau viewing licenses and 6 developer licenses for DEP. Additionally, the DEP is paying for a license for the developer. Assumes most reports will be management reports from Core. I’m worried about the agility/flexibility of reporting. We need to easily get our detail-level data back out of the system.</p> <p>(p43) I don’t see where they state the duration of post-go-live support. I assume this is because they expect there will be an ongoing maintenance agreement.</p>
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			<p>(p44) Support for software issues is only available during normal business hours. After hours support only for system and batch processor availability problems.</p> <p>Change requests including State-specific functionality may be requested and CGI will quote the work.</p> <p>(p46) I don't see where they provided a full SLA for review.</p>
III	1	<b>Appendix E-</b> Project Management	<p>(p48) They have a robust defect resolution system that utilizes JIRA for defect/bug tracking.</p> <p>(p49) "CGI typically recommends having a Department counterpart to the CGI resource for all project roles including team leads, analysts, and developers." That seems like a lot of DEP staff to devote to this project. I'm not sure we have that many people.</p> <p>(p50) CGI points out the benefit of having them as a single point of contact and accountability.</p> <p>(p52) Regular weekly communication between CGI PM and DEP PM.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p53) Attachment numbers don't line up with narrative, e.g., Attachment 8 was supposed to be Project Schedule, but it was in Attachment 7.</p> <p>Release 1: 7/17/23, Release 2: 4/25/24</p> <p>Release 1 starts with Air and Water.</p> <p>Release 2 would follow with Land and BRWM.</p> <p>Able to begin work 8/1/22.</p> <p>Typical similar implementations usually take 18-24 months.</p> <p>(p54) Will have access to the previously built Compliance, Enforcement, and Monitoring modules.</p>

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			<p>A document management system is not included in the proposal. CGI will build an interface to an existing system but not stand up one of their own.</p>
III	1	<p><b>Appendix E-</b> Implementation Project Planning and Execution</p>	<p>(p57) (P) The approach recognizes the need to account for SME time constraints and to have advanced planning of when those time commitments will be needed.</p> <p>CGI sees modifying workflows to fit the software rather than modifying software to fit our workflow as a cost-saving measure. How detrimental this would be would depend on how much our workflow diverges from what CGI envisions.</p> <p>CGI provided a detailed sample implementation plan that listed key responsibilities for both CGI and DEP. The plan also outlines CGI's assumptions.</p> <p>(p60) Enhancements and customizations identified during fit/gap sessions may have an impact on cost. I'm concerned that anything that deviates from CGI's standard functionality is going to be seen as a change order with associated cost.</p> <p>(P61) CGI assumes module configuration sessions for each release can be completed in three days. I worry that this is unrealistic for the complexity of some of the systems to be included especially since each release includes two bureaus.</p> <p>(p64) CGI assumes that business processes will be modified as needed to fit the TEMPO360 solution. I'm concerned about how much DEP will be asked to compromise existing workflows.</p> <p>(p64) CGI does not provide a test plan or test scripts.</p> <p>Release 1: 7/17/23, Release 2: 4/25/24</p> <p>Will provide release notes with new releases.</p> <p>(p69) CGI states that they recognize that some business processes and needs are unique to individual states and require custom modules or functionality. Further, CGI says they are accustomed to managing a certain level of</p>

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			<p>state-specific functionality along with the baseline functionality. However, CGI also provides details for how to proceed “If ME DEP chooses to fund product enhancements or modules that are deemed to be outside of the baseline.” This implies that any customizations that aren’t part the existing TEMPO360 solution are considered change orders that will be at an added cost.</p> <p>(p72) Thoughtful approach to data migration. However, assumes DEP staff will move data to appropriate staging tables. Includes end users/data owners to ensure the data is going to the right place.</p> <p>(p73) CGI plans to limit conversion to current data. Doesn’t intend to migrate historical data. “CGI recommends keeping the legacy system active for one or two months in a “read only” mode to look up legacy data. At the point of legacy system decommissioning, the unconverted data is moved into a data format indicated in the data migration plan in case that data is needed at a future point.” I dislike the idea of having to look up historic data in a different system from active data, especially a system that does not include a user interface. This could also be a problem should we need to write reports that straddle both systems</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>(p75) CGI provides support for developing UAT test scripts but expects DEP to develop all acceptance test scenarios, scripts and data.</p> <p>CGI will hold a two hour training for testers instructing them how to perform the testing and how to log and track issues in JIRA.</p> <p>(p77) On-site support is planned for UAT.</p>
III	1	<b>Appendix E-</b> Training Approach	<p>(p77) Train-the-Trainer approach.</p> <p>Includes coaching on how to be an effective trainer.</p> <p>Assumes DEP will establish its own HelpDesk for TEMPO360.</p>

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			(p78) Recommends training take place onsite and not via Teams.
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b>  <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b></p>	<p>My assumption is that items marked as "C" are not part of the current product but can be added as a customization and the cost listed is included in the Cost Workbook.</p> <p>Overall – the majority, if not all requirements are either included in the standard offer or promised as part of a customization.</p> <p>However, I am concerned that they may be overpromising on things they can't deliver. They stated they could do some items that I believe are big stretches and potentially not even possible.</p> <p>Even if they can deliver on everything stated, it is with a lot of customization.</p>
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	<p>(R156) Does not currently integrate with 3<sup>rd</sup> party signature tools such as DocuSign. For portal users it will be added in Release 3.0.</p> <p>(R188) Fully CROMERR compliant portal.</p>
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	<p>(R45) I'm surprised it is a customization to allow the public to download documents from the portal. I question whether someone would need an account just to view issued licenses.</p> <p>About half of the requirements would be a Customization with an associated cost.</p>
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	<p>Although files may be stored in the database, CGI does not provide a document management system. They assume this would be provided by a third party.</p>
III	2	<b>Appendix F-</b> Sheet "4. Payments"	<p>For many items it's stated that they will develop an interface with Advantage/Common Billing and that the cost is included.</p>

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III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	ALL of the reporting features are considered custom Tableau reports. CGI is only promising us 15. It will be critical that DEP staff become proficient in using Tableau, because 15 reports is nowhere near enough for our needs.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	Does not support elastic searches.  (R29) The system does not have an integrated report writer. Canned reports cannot be modified. Other reports can be written and maintained by an Administrator. I question how difficult it will be for us to create ad-hoc reports.  DEP staff will need to use Tableau.
III	2	<b>Appendix F-</b> Sheet "7. Technical"	(R26 & 28) CGI relies heavily on the configurability of their numerous existing forms. Assumes they are sufficient for the DEP to "plug and play." However, changes to the screens themselves will likely require paid help from the contractor.
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to	

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		be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	



## Reference Questions

Kim Hall – Controllers Office

Doug Cotnoir – State Controller

System used – Advantage (CGI solution)

- 1) How large is your organization?
  - a. How many staff total?
  - b. How many users of the system?

1,100 users internal users

15,000 vendors using the self-service portal

- 2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)?

Advantage – Financial management system. General ledger, accounts payable/receivable, vendor management, AI bots. Budget module not in process.

- 3) How long has your office been working with the vendor? Since 2005. Went live in 2007.

- 4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not?

Yes, they can definitely accomplish a project of this size/scale.

- 5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation?

N/A – CGI was the entire implementation team. Have had a great experience working with them.

- 6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)?

They have met all requirements.

- 7) During implementation, how many vendor staff and organization staff supported your implementation:
  - a. On the "Business side"- People helping staff with change management and configuring new license types in the system.
  - b. "Developer / database side"- People keeping the system running and configuring new license types in the system.

At the peak it was somewhere between 50-60 split about 50/50 between State (business & technical) and CGI resources.

- 8) After implementation, how many vendor and organization staff support your implementation:
  - a. On the "Business side"
  - b. "Developer / database side"

Business side = 3 staff managing all oversight.

Has "discretionary" hours with CGI. Has had the same group of people since go-live.

- 9) If your system was intended to be implemented in multiple parts of your enterprise:
  - a. Were all implementations completed?
  - b. If all implementations were not completed, are there plans to complete the implementation?
    - i. Do the plans involve the vendor?

For the original implementation, yes. Separate teams were working in parallel. Had a Big Bang go-live.

Have since added modules. Have purchased the budget module which is in-process.

- 10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project?

For the ERP suite that is live now, yes. Had a great understanding and did a good job gathering requirements. Had an outstanding team.

- 11) How flexible was the vendor regarding changes from the original RFP?
  - a. How flexible was the software when changes in functionality were required?

Very flexible. Didn't really have many changes. Most discussions were around whether things were true business requirements, not form a push back but making sure we were where we needed to be.

- 12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services?

Yes. When there were issues, they addressed them very quickly.

- 13) Do you think that the deployment schedule for your implementation went well?  
a. If not, what would you have changed?

Original deployment went according to schedule, except the major interface partner was not ready. But that had nothing to do with CGI.

- 14) What was the original quoted cost?  
a. How close to your original quoted cost was your actual cost:  
a. For initial implementation  
b. For ongoing Licensing and Maintenance  
c. Factoring in work left undone / professional services retained after the initial contract period?

Not sure. Guessing somewhere in the \$20 million range. There were no overruns. Any cost changes were due to changes in scope.

- 15) Do you have a current contract for professional services with the vendor?

Have a contract to maintain the system we have now. We own the code base. Also have a contract to upgrade to the newest subscription based system.

- 16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?  
a. If historic data was migrated, did the vendor assist with the migration?

Yes, they migrated/converted data. CGI helped with this. CGI did the scripts and the State validated.

- 17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit

your existing processes, or did it lean more toward redesigning your business processes to fit the system?

- a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution?

They changed their workflows to fit the system. Went from a mostly paper-based system to an electronic system.

18) How easy is it to create the new forms and workflows for a new license type?

- a. Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)?

19) Does your implementation include:

- a. Document management- was it worth it to use the vendor's solution?
- b. Compliance functionality – both in office and in the field (mobile devices)
- c. Enforcement functionality- was it worth it to use the vendor's solution?
- d. Identity management- how does your organization manage customer information?
- e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes?
- f. Data Warehouse- If not, how do you handle ad-hoc querying?  
Does have a data warehouse, but it was not ready at go-live. Have since implemented a entirely new data warehouse. It is external to the CGI system.
- g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer?  
Extensive reporting, but no no analytics (ad-hoc reports) within the native system.  
Users cannot create new reports within the CGI system, would have to go to the data warehouse.
- h. A built-in GIS map functionality for either location viewing or "map-click" location delineation?

20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)?

Several different notification opportunities.

- 21) How user friendly is the system:
- For customers?
  - For internal staff?

That's a very subjective question. It's generally intuitive.  
They next application they will move to is more "user focused."  
Doug believes this is a change management issue.

- 22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)?

Interfaces with a lot of systems both upstream and downstream.  
Currently FTP a lot of things and looking to go to API.

- 23) Has your solution obtained CROMERR application approval?
- If so- is it easy to have one program CROMERR compliant, and another not?
  - What is the upload method used by your CROMERR system? (file upload, EPA API, other)
  - If your business does not involve environmental regulation:
    - has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?

N/A

- 24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it?

N/A

- 25) Are you familiar with other organizations who use your licensing system?
- If so, do you communicate with them?

Yes, huge. A very large user group across the globe. A very large forum.  
Do a lot of presentations within those groups.

- 26) How many/which business units have a public-facing portal where applications can be submitted online?
- If not all, why not?
  - For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded?

Just certain components.

- 27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account?

N/A

- 28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year?

N/A

- 29) Is your organization satisfied with the look and feel of the system?
- Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?
  - Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect?
  - Is your system intuitive and easy to use?
  - Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate?

Pretty much any software becomes legacy as soon as you implement it. The new system will have a better look and feel. Generally, feel the system has a modern look and feel.

Whether it is intuitive is a subjective question.

- 30) Having it to do over again, what would you do differently?
- Would you choose to convert any particular business unit before another?
  - Is there anything in general you would do differently?

In hindsight, should have gone with a hosted solution in the cloud. But 15 years ago, there was a fear of being off-prem.

Had a hard time retain people once they got trained.

- 31) Having it to do over again, would you choose the same vendor?
- Can you share what other vendors you might have considered, and what made you choose XXXX over them?
  - Is there anything about the vendor you would change or have them do differently?

Absolutely would choose them again. Wouldn't change anything about the vendor or the relationship.

- 32) Were there any major surprises during the process?
- Was there anything you didn't expect or you expected to happen differently?

In 16 years of being a live application, never had a single business day when it was not operational. Has now had 1 business day it was down, not the fault of the vendor (vandalism). Had the traffic rerouted in less than 24 hours.

- 33) Is there anything else you'd like to share relating to your experience with this vendor?

This is the vendor relationship he would use as a model. They've been a great partner.

## Reference Questions

### Summary:

- Contract was large and open ended, obviating any issues with budgeting, change orders, or scope.
- Controller's office is happy with the solution. On prem, they own code, pay for maintenance.
- Seemed odd that they considered unintuitive interface to be a security feature.

- 1) How large is your organization?
  - a. How many staff total?
  - b. How many users of the system?

Kim, Director of Operations

1100 users.

Doug Vendor SS 10% of 150,000. 15,000 customers. How they interact for contract award. Part of ERP.

- 2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)?

Financial Management. Ledger, Procurement, Case Management, Accounts payable and receivable. AI Suite, Vendor Management. B

- 3) How long has your office been working with the vendor?

2005 Live 2007 16 years.

- 4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not?

Doug. Simple answer is yes. Did they propose their native licensing or Salesforce. I was able to see what they had at that time.

They are proposing



5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation?

No- they were the implementer and all that. Bill can attest that I've experienced. I would model any off of CGI. We've had a great experience.

6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)?

Met all of our requirements.

7) During implementation, how many vendor staff and organization staff supported your implementation:

- a. On the "Business side"- People helping staff with change management and configuring new license types in the system.
- b. "Developer / database side"- People keeping the system running and configuring new license types in the system.

At the peak 50-60 50/50 split state / vendor. Upstream and Downstream. Some was subcontractors. Change management and. Most of them were full time. Multiple SMEs for consultation and training.

8) After implementation, how many vendor and organization staff support your implementation:

- a. On the "Business side"
- b. "Developer / database side"

Business side: Kims group is three, configuration and oversight. Unique: We have a discretionary budget of 6FTE. Work on whatever we ask them to work on. Testing, review, cycle management. Had that since day one of go live. No OIT, just MoveIT and High Speed Print.

9) If your system was intended to be implemented in multiple parts of your enterprise:

- a. Were all implementations completed?
- b. If all implementations were not completed, are there plans to complete the implementation?
  - i. Do the plans involve the vendor?

Original they were all completed, not done in phases- separate teams in parallel. Financial, technical interfaces. Big Bang Go Live. Added Case Management. UIPap (AI Software). Purchased Budget module, in process.

10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project?

For the ERP suite that's live now, yes, keep in mind we weren't doing agile 15 years ago. The largest portion of the first year was documenting requirements. Then building the business rules for configuration. Had an outstanding team. Tought the state to write good business requirements.

11) How flexible was the vendor regarding changes from the original RFP?  
a. How flexible was the software when changes in functionality were required?

Very flexible. Wide open ERP Suite implementation. Very little time looking at the contract because it was a pretty broad scale implementation. Very flexible. Ensuring they were true business requirements. Look at process to get in line with industry.

12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services?

They did. When there were issues and weaknesses they addressed them quickly. 2-3 project managers. Some switchout, but seamless.

13) Do you think that the deployment schedule for your implementation went well?  
a. If not, what would you have changed?

Our original deploy went well except we realized at "go live" that our major interface partner was not ready. They needed to complete their interface.

14) What was the original quoted cost?  
a. How close to your original quoted cost was your actual cost:  
a. For initial implementation  
b. For ongoing Licensing and Maintenance  
c. Factoring in work left undone / professional services retained after the initial contract period?

~20 Million. There were no overruns with the agreed scope. Any changes were because of a change in scope. For example we had a module that we decided to replace internal billing. ~500,000 hchange order because we

realized we'd be better off replacing the system. (must be nice to be able to do that.)

15) Do you have a current contract for professional services with the vendor?

We own the code and have a team that manages the code and they host. We have in our contract an implementation to the cloud. It's part of the contract, not a service agreement. Ongoing subscription. Some of those team members have been on the team for the entire time (16 years). No holes or single points of failure.

16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?  
a. If historic data was migrated, did the vendor assist with the migration?

We converted / migrated entire general ledger. Migrated any open documents, payments, receivables, entire. CGI helped with that migration. Had multiple mock migrations to make sure that everything was good. Three mock migrations before real. State was responsible for validation and review.

17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit your existing processes, or did it lean more toward redesigning your business processes to fit the system?  
a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution?

We changed our workflows. Went from mainframe greenscreen and paper to electronic workflows incorporated in it. Payment documents in old system, now it's approval processes. Had to build and configure that in the system. Central management. The agency was responsible for original documentation, and approval was the central agency.

18) How easy is it to create the new forms and workflows for a new license type?  
a. Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)?

Depends on complexity. Kim's team does workflow for security. We can clone transactions, create workflow and implementation. When we have physical, we can do that. We use CGI for forms. Use CGI for bots. Really depends Kim's team does some.

19) Does your implementation include:

- a. Document management- was it worth it to use the vendor's solution?
- b. Compliance functionality – both in office and in the field (mobile devices)
- c. Enforcement functionality- was it worth it to use the vendor's solution?
- d. Identity management- how does your organization manage customer information?
- e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes?
- f. Data Warehouse- If not, how do you handle ad-hoc querying?
- g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer?
- h. A built-in GIS map functionality for either location viewing or "map-click" location delineation?

Integrated with DocuWare. Also have the ability to manage as attachments. User Security (Kim's team) and vendor customer management.

Warehouse with original called InfoAdvantage. It was not prioritized at go live. 70-85 percent of need. In order to fill gap, it would be cheaper to update warehouse 4-5 years later. Went back to legacy warehouse. 5-6 years ago implemented Oracle intelligent cloud. External to CGI.

Kim: Reporting in CGI, but there is a daily download to warehouse.

Doug: Quite complex reports: Budget vs Actual.

Can a user create a report?

Doug, not in CGI: They can pull down data to analyze external to the system.

20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)?

Email Back and forth, password notification, Kim can contact all users if need be.

- 21) How user friendly is the system:
- a. For customers?
  - b. For internal staff?

Very subjective. Intuitive once your familiar with structure. Change management will be going from document based workflows to transaction based. New system will be transactional. Online help, field level help, very subjective. Very subjective. Some think point and click is helpful, some don't like to navigate between pages. Subscription we're moving to is user focused. Human centric design to make it more intuitive / more efficient. We can customize it to only request information that we need in our environment.

Some people didn't want to go from green screen (tabbed mainframe interface) to point and click (modern interface).  
Natcha national banking system. Up

Kim: We do a lot of uploads. A lot of FTP. Looking to go to API so we can do transactions.

Doug: So infrequent. Annual census- script extracts data.

- 22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)?

- 23) Has your solution obtained CROMERR application approval?
- a. If so- is it easy to have one program CROMERR compliant, and another not?
  - b. What is the upload method used by your CROMERR system? (file upload, EPA API, other)
  - c. If your business does not involve environmental regulation:
    - a. has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?

- 24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it?

- 25) Are you familiar with other organizations who use your licensing system?
- a. If so, do you communicate with them?

Oh yeah. Huge. Aware of most- very large. Annual forum 5-600 people. We do presentations at those groups. I was user group steering community. Any requests for changes for that system. Community web portal that CGI hosts to email or post questions.

Kim: There are meetings that they host monthly as well. Different threads.

- 26) How many/which business units have a public-facing portal where applications can be submitted online?
- a. If not all, why not?
  - b. For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded?

Just certain have VSS (vendor self service). ~15,000

- 27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account?

- 28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year?

- 29) Is your organization satisfied with the look and feel of the system?
- a. Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?
  - b. Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect?
  - c. Is your system intuitive and easy to use?
  - d. Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate?

Modern? Legacy a week after you implement it. The transition to the hosted software will update it. In general it has a modern look and feel. Intuitive? I think the system itself is intuitive, but the transactions are complex. **Not like turbotax, but that's intentional, we wouldn't want the public to be able to do it if they hacked in.**

Trust? Yes, no question about accuracy or validity.

- 30) Having it to do over again, what would you do differently?
- Would you choose to convert any particular business unit before another?
  - Is there anything in general you would do differently?

Honest, vendor state wouldn't do anything different. But the data warehouse. Not a decision I supported. First went live on premise, few years later went hosted. Should have gone hosted initially. Finding people to manage it / retaining people for the on premise was challenging. 16 years ago. Fears about hosting.

- 31) Having it to do over again, would you choose the same vendor?
- Can you share what other vendors you might have considered, and what made you choose XXXX over them?
  - Is there anything about the vendor you would change or have them do differently?

Absolutely would. Exposure with other vendors. Have yet to see one with a superior product or vendor customer relationship for the scope I'm talking about.

Oracle, SAP, WorkDay trying to get into financial. Infor. IBM had something.

Vendor change? Not that I can think of. Tier 1, 2, 3.

- 32) Were there any major surprises during the process?
- Was there anything you didn't expect or you expected to happen differently?

One: In 16 years of live application. We had never had a single business day where the system was down. We've had now ONE business day where the system was down. Within Recovery Point Objective. Within the last mile of data center, someone cut the fiber in three different places. Couldn't splice. Never a down day, but even a situation as bad as this. State has 72 hour recovery point objective. Re-route traffic in less than 24 hours in order for us to have online up the next day. Even though we were down that day, we have a way for Kim's to interact with critical systems- process all internal disbursements even though the customer portal was down. One Online day.

- 33) Is there anything else you'd like to share relating to your experience with this vendor?

Don't want to sound like a care salesman, but this is the model that works well for us, they've been a great partner.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** CGI

**DATE:** 3/31/2023 & 4/26/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
\*\*\*\*\*

## Overarching comments on bid package:

### PHASE I-

TEMPO360 Solution used by other state for environmental programs. Enterprise end-to end ELS. Advantage ME was created by CGI.

Thirty years of experience developing systems for licensing systems of similar size and complexity to those of our project. CPMF Framework

40 years; 80,000 employees no parent company

TEMPO360 8 state environmental agencies also EPA applications. Very similar program types in other states. No Subcontractors.

Very concerned as Maine state has long history working with CGI on Advantage and other projects.

Based on these experiences and discussions with other CGI customers, they have a history of coming in under budget and making it up with change orders.

I do like the clear business inclusion in the proposed structure/org charts.

Appears to have contract with EPA to maintain the CDX. This is a system we may want to interface with. Their experience could save time/effort.

Litigation - says yes, but no impact to performing contracts. According to google CGI lawsuit with NY.

From all reports I reviewed via the link shared, CGI is profitable and very financially viable

Certifications - ISO 9001, Scrum master, Cybersecurity, ITIL certifications. AWS - a bunch. Not sure if this is a low code easily configurable solution.

JIRA tickets for issues. CGI Project Manager- 6 senior consultants – appears very well qualified, wish we could have a demo of the product. IMO Advantage not overly user friendly, but very little down time since implementation.

### PHASE II

TEMPO360 web-based application that enables agencies permitting, licensing, inspection, and compliance activities for all programs and organizations

29 year record of use,

In use by 6 state environmental agencies

Multi state user group helps share costs on common enhancements/solutions.

CGI created the Advantage system for State of Maine.

Works, but not the most modern functionality.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

SOM personnel not super satisfied with recent pace of work on another CGI Project. These experiences do not instill confidence in CGI solution provision.

Ability to leverage the existing Advantage infrastructure, network, security, and disaster recovery. ME DEP will not be responsible for ongoing operation and maintenance of the TEMPO360 product, and the hardware required to host it.

TUG is pretty cool, staff can configure, heavy lift staff time/involvement. composable and scalable. It consists of multiple modules that may be enabled or disabled depending on regulatory program needs. 20 years implementing TEMPO360-based enterprise environmental management systems in eight states.

CGI assumes that it is the responsibility of ME DEP to extract data from existing data sources into an agreed upon format or staging tables so that CGI's processes propose doing requirements gathering together. Phases two release approach; does not house its own database or warehouse. No document management system – would need to interface with DocuWare? Recommends Tableau for reporting (additional cost)

CGI's proposal includes several instances where they significantly limit the project's scope beyond what was asked for in the RFP or anticipated by the State.

CGI's hosted environment guarantees 99.7% system; Availability 24 hours per day 7 days; Uses QM Approach & JIRA;

CGI and ME DEP will review specific expectations and deliverables of the overall project during the kickoff and discovery phase to ensure alignment. 2 release plan, Air & Water - live within 10 months? The rest 7 months later. Seems impossible.

Nice graphic & explanation overall AdaptiveSI approach again Strong requirement for DEP staff to configure also with Data Migrations

CGI's development approach is complemented by a comprehensive internal testing and quality control approach that is designed to identify software defects early in the development process Many phases/ much on DEP train-the-trainer" approach; 5 days of end user training 5 days of SA training

Most are standard with a few customizations and one future offering

Most are 'standard' price included in quotes for all customizations needed to meet DEP needs

A lot of customization included, included in cost estimate Some deferrals to third party software assumptions

A lot of customization included in cost estimate, bonus CGI created and maintains Advantage ME

Reports of this type are typically handled via custom Tableau Reporting integration. This is included in the estimate for building fifteen reports.

Mostly standard options, some 3<sup>rd</sup> party & all costs included in estimate. All interfaces are custom, costs Data Migration included?

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** CGI  
**DATE:** 4/3/2023  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
 \*\*\*\*\*

## Overarching comments on bid package:

CGI currently has a project in flight for implementing the Performance Budget Module to replace the State of Maine Budget application - BFMS.  
 Proposed solution is called TEMPO360, release 3.0  
 TEMPO360 was trademarked in 2012  
 Proposing to implement as a SaaS  
 Private Data Center in Phoenix with failover to Philadelphia  
 Oracle Database  
 Tableau Reporting  
 ASP .NET  
 .NET Framework 4.8  
 CGI does not use either AWS or Azure for their platform, but instead has private Data Centers in Phoenix with failover to Philadelphia. This has worked well for the State of Maine Financial system (Advantage) but seems a little old-fashioned.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	Project #1 – Minn Pollution Control Center for licensing and permitting many DEP activities

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** CGI

**DATE:** 4/3/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			<p>Project #2 – Louisiana Dept of Env Quality for licensing and permitting a select number of DEP activities</p> <p>Project #3 – State of Maine state financial system (Advantage).</p> <p>There is a project in flight between CGI and SOM to replace the current State Budget System (BFMS). Since I am on the ESC for this project, I have first-hand knowledge. The project is running into difficulty due to a lack of “Discovery” information leading to consistent reassessments of how the PB4 application will handle certain functions currently facilitated by BFMS. I think both teams, SOM and CGI, are at fault for not doing a better job during the discovery phase of the project and rushed in without knowing all of the requirements and how the new application would satisfy them.</p>
II	2	Subcontractors	No subcontractors
II	3	Organizational Chart	Project team with names included
II	4	Litigation	Weblink pointing to their website where we can search for litigations. The search utility was frustrating.
II	5	Financial Viability	Check with Sherrie Kelley on this
II	5-a.-i.	Balance Sheets	info provided through annual report. See if Sherrie has a good understanding.
II	5-a.-ii.	Income (Profit/Loss) Statements	info provided through annual report. See if Sherrie has a good understanding.
II	6	Licensure/Certification	ISO9001, some FEDRAMP certified environments, ITIL, AWS, some Salesforce certs
II	7	Certificate of Insurance	No umbrella or cyber insurance shown Employee Dishonesty = \$5M
III	1	Key Proposed Project Personnel and Project Team Organization	Use of Jira for tracking issues
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	TEMPO360 Core, TEMPO360 Web Portal, TEMPO360 Self-Service Portal, TEMPO360 Inspect In use by 6 states

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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			<p>Includes a public facing portal, and a mobile inspection module that can work offline.  CROMERR compliant  Partnership with ARInspect (mobile inspections)  TEMPO360 was created in 1993 and then webified in 2015. From the description it sounds like this was not built as is so much as it has evolved and been combined with other products which may help to explain why the interface comes across a unfriendly and not intuitive.  Diagram on page 17 shows CGI's own primary data center in Phoenix and a DR site in Philadelphia  Major releases occur 1-2 times per year and require regression testing</p> <p>Application code base and middleware are shared by all implementations, but data is separated logically into individual DBs. I verified with Victor that this is robust for segregation of SOM data, and in alignment w/ current industry best practices.  Page 21 identifies that ARInspect data is stored in AWS and not with the TEMPO360 DB  Confirming this is a SaaS product and Maine will not be involved in the operation or maintenance of the product or hardware.  SOC 2 Type II available  Oracle 19 DB &amp; Tableau  Support for ARInspect comes from ARInspect and not CGI  Page 27 describes how the product is composable and scalable.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>CGI answered Yes to all applicable questions in the table on page 30  CGI maintains their own hosting facility in Phoenix and leases a DR site in Philadelphia  ARInspect data appears to be hosted in AWS and not CGI</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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			<p>Zero unscheduled downtime in the last 5 years</p> <p>SOC 2 Type II (Security and Availability Only), - Limited to Security and Availability (page 33). Not a show stopper, but worth mentioning</p>
III	1	<b>Appendix E-</b> Project Approach	<p>Standard ESC approach</p> <p>DEP Governance team</p> <p>Software is designed for licensing, so the activity will be more configuring than customizing</p> <p>Page 38(d) implies this is a one &amp; done. How does this work with multiple bureaus and programs within those bureaus? This is addressed at the top of page 40.</p> <p>“Our track record of 100% successful deployments”</p> <p>Orchestrate, Align, Deliver, achieve are the pillars for success</p> <p>Project can go live without the use of the enforcement module.</p> <p>Page 40 - Writing of PL/SQL fee calculations and document validations are not included in this estimate</p> <p>Page 41 - CGI will write up to 15 reports (5 low complexity, 5 medium complexity and 5 high complexity). Is this enough?</p>
III	1	<b>Appendix E-</b> Project Management	<p>Page 51 – collaboration schedule indicates no daily scrum meetings between the DEP and CGI</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>Two releases planned. Air &amp; Water Quality first (10 months) and then Land and remediation (7 months later)</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>The TEMPO360 Integration Engine looks interesting – based on SOA architecture</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>Testing approach looks ordinary</p> <p>CGI will train Maine to build test scripts</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**DATE:** 4/3/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			Maine is responsible for developing all acceptance test scripts CGI will train users in UAT On-Site support during UAT
III	1	<b>Appendix E-</b> Training Approach	Train the trainer's approach 5-days of admin training Training should be on-site
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>	
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	<ul style="list-style-type: none"> <li>- 30 Criticals that need customization – cost are well documented</li> <li>- 6 Desired that need customization</li> <li>- 3 Criticals that are future</li> <li>- 1 Desired that is future</li> <li>- 1 Critical that is not available (admins can customize screens)</li> </ul>
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	<ul style="list-style-type: none"> <li>- 17 Criticals that need customization – costs are well documented</li> </ul>
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	<ul style="list-style-type: none"> <li>- 2 Criticals that need customization</li> <li>- 1 Desired that is future</li> <li>- 5 Criticals that are third party</li> </ul>
III	2	<b>Appendix F-</b> Sheet "4. Payments"	<ul style="list-style-type: none"> <li>- 11 Critical that need customization</li> </ul>
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	<ul style="list-style-type: none"> <li>- 21 Criticals that need customization</li> </ul>

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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III	2	<b>Appendix F-</b> Sheet "6. Reporting"	<ul style="list-style-type: none"> <li>- 1 each critical &amp; desired that need customization</li> <li>- 2 criticals that are future</li> <li>- References to both Tableau and Power BI</li> </ul>
III	2	<b>Appendix F-</b> Sheet "7. Technical"	<ul style="list-style-type: none"> <li>- 1 Critical that needs customization</li> <li>- 3 – desired that need customization</li> <li>- 1 desired that is future</li> </ul>
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	<ul style="list-style-type: none"> <li>- 29 Critical (all) that need customization</li> </ul>
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	<ul style="list-style-type: none"> <li>- All data migrations include the object, with no assumptions noted.</li> </ul>
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook</b>	



**STATE OF MAINE  
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		(aka Attachment 3): Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

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CGI Reference Check Notes (SOM OSC) 6-5-23

## Reference Questions

- 1) How large is your organization?
  - a. How many staff total? **1,100 Internal users across the state + 15,000 vendors**
  - b. How many users of the system?
- 2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)? **GL, AP, AR, Procurement, fixed assets, vendor management**
- 3) How long has your office been working with the vendor? **Started live in 2007**
- 4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not? **Yes**
- 5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation? **Dealt with CGI directly. Doug felt that CGI was the best vendor for implementation he has worked with.**
- 6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)? **Great**
- 7) During implementation, how many vendor staff and organization staff supported your implementation:
  - a. On the "Business side"- People helping staff with change management and configuring new license types in the system.
  - b. "Developer / database side"- People keeping the system running and configuring new license types in the system.  
**50-60 resources total at the peak of implementation**
- 8) After implementation, how many vendor and organization staff support your implementation:
  - a. On the "Business side"
  - b. "Developer / database side"  
**Business side is 3 people managing the system**

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Utilizes a bucket of hours with CGI as needed

- 9) If your system was intended to be implemented in multiple parts of your enterprise:
  - a. Were all implementations completed? **Yes, separate teams working in parallel. Have added a few modules since the initial implementation**
  - b. If all implementations were not completed, are there plans to complete the implementation?
    - i. Do the plans involve the vendor?
  
- 10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project? **For the ERP suite: yes.**
  
- 11) How flexible was the vendor regarding changes from the original RFP?
- 12) How flexible was the software when changes in functionality were required? **Very flexible, although SOM didn't need a lot of changes. But, they helped vet changes to ensure they were necessary.**
  
- 13) How well did the vendor support the implementation of their system- did they provide competent project management and change management services? **Yes**
  
- 14) Do you think that the deployment schedule for your implementation went well?
  - a. If not, what would you have changed? **Just b4 go-live discovered that one of the integrated partners was not ready. Need to ensure all are ready.**
  
- 15) What was the original quoted cost?
  - a. How close to your original quoted cost was your actual cost:
    - a. For initial implementation **@ \$20M**
    - b. For ongoing Licensing and Maintenance
    - c. Factoring in work left undone / professional services retained after the initial contract period?
  
- 16) Do you have a current contract for professional services with the vendor? **Yes, for maintain the system and hosting, and upgrades to keep the system current.**
  
- 17) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?
  - a. If historic data was migrated, did the vendor assist with the migration? **Yes, migrated the entire GL along with any open documents, and the entire vendor file. CGI did all of the scripting**

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- 18) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit your existing processes, or did it lean more toward redesigning your business processes to fit the system? **SOM went from a mainframe system using greenbar paper to a fully electronic system.**
- a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution?
- 19) How easy is it to create the new forms and workflows for a new license type? **Internal unless the new workflows are complex**
- a. Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)?
- 20) Does your implementation include:
- a. Document management- was it worth it to use the vendor's solution? **Yes, we use both the vendor internal document management, but also use Docuware**
  - b. Compliance functionality – both in office and in the field (mobile devices)
  - c. Enforcement functionality- was it worth it to use the vendor's solution?
  - d. Identity management- how does your organization manage customer information?
  - e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes?
  - f. Data Warehouse- If not, how do you handle ad-hoc querying?  
**Yes, but it was not prioritized at the onset so it was only utilized 70-80%. 3-4 years after implementation the vendor DW was sunsetted. Currently using the SOM data warehouse.**
  - g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer? **Need CGI to build new reports, but can extract data for external analysis.**
  - h. A built-in GIS map functionality for either location viewing or “map-click” location delineation?
- 21) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)? **Handles it well. Automated vendor notifications is an example.**
- 22) How user friendly is the system:
- a. For customers? **Once trained it is friendly. But, this is a subjective question. Next version was built to be more user-centric. The implementation for this is just beginning.**
  - b. For internal staff?

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- 23) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)? [Federally regulated banking systems are one example.](#)
- 24) Has your solution obtained CROMERR application approval?
- If so- is it easy to have one program CROMERR compliant, and another not?
  - What is the upload method used by your CROMERR system? (file upload, EPA API, other)
  - If your business does not involve environmental regulation:
    - has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?
- 25) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it?
- 26) Are you familiar with other organizations who use your licensing system?
- If so, do you communicate with them? [Yes, very large user group. Maine attends annual meetings and makes presentations.](#)
- 27) How many/which business units have a public-facing portal where applications can be submitted online? [The vendor portal](#)
- If not all, why not?
  - For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded?
- 28) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account?
- 29) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year?
- 30) Is your organization satisfied with the look and feel of the system? [Yes, but the new version is even better.](#)
- Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?

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- b. Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect?
  - c. Is your system intuitive and easy to use? *Subjective question, but system requires some training to use.*
  - d. Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate? *Yes, absolutely.*
- 31) Having it to do over again, what would you do differently? *Would have stayed with the native data warehouse.*  
*Initially started with an on-prem version and then switched to hosted. Would have started with hosted.*
- a. Would you choose to convert any particular business unit before another?
  - b. Is there anything in general you would do differently?
- 32) Having it to do over again, would you choose the same vendor? *Absolutely*
- a. Can you share what other vendors you might have considered, and what made you choose XXXX over them? *Oracle, SAP, Infor, Lawson, Workday, IBM (at the time)*
  - b. Is there anything about the vendor you would change or have them do differently?  
*Nothing comes to mind*
- 33) Were there any major surprises during the process?
- a. Was there anything you didn't expect or you expected to happen differently? *We've had one day in 16 years where the system was unavailable due to vandalism on the fiber link to the data center. The vendor was able to reroute the traffic in less time than the SLA RTO called for.*
- 34) Is there anything else you'd like to share relating to your experience with this vendor? *This is the vendor relationship that Doug would recommend as a model for others.*

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** CGI  
**DATE:** 3-28-2023  
**EVALUATOR NAME:** Sam Krajewski  
**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
\*\*\*\*\*

## Notes:

### Phase I: Organizational Qualifications and Experience:

CGI has an existing Environmental Information Management Solution (licensing, compliance, enforcement) called TEMPO360.

TEMPO360 has been used by regulatory agencies to provide complex licensing and compliance services under federal compliance requirements.

Minnesota, Louisiana & Kentucky use CGI TEMPO360 system.

CGI created the Advantage system for State of Maine. Works, but not the most modern functionality. SOM personnel not super satisfied with recent pace of work on another CGI Project. These experiences do not instill confidence in CGI solution provision.

Litigation disclosure was a bit more nuanced- admitted some legal actions existed, but asked for understanding (which I appreciate).

Good longevity with employees listed. Organizational and project team info well put together, with complete documentation.

---

### Phase II: Proposed Services:

Assumptions and exceptions mentioned in the body of the proposal are leading me to believe that while the software solution they own may theoretically be capable of meeting our needs, the solution package that they are offering will not.

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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Reporting capabilities included in solution are very limited and the Tableau reporting solution in proposed services is not included in solution and so the solution would not be able to meet the Department's needs.

Solution appears to involve a large amount of customization (vs. configuration).

Contact with New Jersey and other past customers indicate that CGI's solution has less tenure with state customers than the "TEMPO History" graphic may intimate, leading me to believe that the solution may not be as mature as the State of Maine would prefer.

TEMPO360 User Group community mentions are an encouraging sign of collaboration.

"While TEMPO360 fully supports the ICIS-NPDES required data elements, modifications will need to be made to the database and user interfaces to include the required NPDES eReporting Rule data elements, found in Appendix A. To this end, IDEM, Kentucky Department of Environmental Quality (KYDEQ), Mississippi Department of Environmental Quality (MDEQ), Louisiana Department of Environmental Quality (LDEQ), and Minnesota Pollution Control Agency (MPCA), which all utilize TEMPO360, have partnered on a multi-state Exchange Network grant to add these missing data elements."

However, some customers, like Utah, are not satisfied with the product:

[https://www.4cleanair.org/wp-content/uploads/Documents/UT\\_NACAA\\_E-Permitting\\_Survey.xlsx](https://www.4cleanair.org/wp-content/uploads/Documents/UT_NACAA_E-Permitting_Survey.xlsx)

Jessica Flemming went from CGI to Accela in 2015:

[https://agenda.shelbycountyttn.gov/sirepub/view.aspx?cabinet=published\\_meetings&fileid=785695](https://agenda.shelbycountyttn.gov/sirepub/view.aspx?cabinet=published_meetings&fileid=785695)

Utah Air Quality uses it (along with 6 others):

<https://www.scribd.com/document/168972215/FY2014-Utah-Department-of-Technology-Services-Information-Technology-Plan>

Louisiana does not have public facing portal and their comments do not imply that reporting is a strong point:

[https://nationalsbeap.org/files/nationalsbeap/SBEAPresources/NSBEAP\\_QandA\\_08.31.20.pdf](https://nationalsbeap.org/files/nationalsbeap/SBEAPresources/NSBEAP_QandA_08.31.20.pdf)



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The number of reports offered and restrictions on data migration result in a solution which will not meet the needs of the Department.

Does not have the ability to calculate fee

7 inspections for mobile inspections (assumptions)

“Assumptions and limitations

No document management.

Scheduling

Project does not include migrating historical data,

Maine responsible for acceptance testing scripts

Appendix E and F: Functionalities listed as Standard parts of the product in Appendix E are limited by Appendix E such that they will not meet the requirements of this RFP.

Appendix F: New forms can not be created without CGI involvement

Appendix F: Notification functionality limited.

The proposed schedule is unrealistic, considering the number of scope of business process

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** GL Suite dba GL Solutions

**DATE:** 3/29/2023 (Sections I, II, & project team) 4/10 & 4/12//2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
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 \*\*\*\*\*

## Overarching comments on bid package:

I don't see any experience with enterprise systems or environmental licensing. I don't have confidence they can deliver an enterprise system. They've worked on small systems or pieces of systems.

I doubt the appreciate the complexity of the solution DEP needs.

My impression of the proposal was that it was a generic description of how they would approach any project. It was not customized to this RFP. There were many instances that made me question whether they truly understand the scope and scale of this project.

I am very skeptical of their responses to the technical requirements (Appendix F). Every single element was marked as a standard part of the system. Nothing was considered a customization or would need to be provided by a third-party, not even reporting tools or document management.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed. CEO is also the proposal contact
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed

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II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>State they have experience supporting licensing and compliance and business process automation.</p> <p>Not sure what they mean by “GL Suite can meet every functional requirement without development of the software application.”</p> <p>Project 1 is for IL Dept of Health swimming and tanning facilities. Very little detail about the project. Seems to be an extremely low complexity project.</p> <p>Project 2 is for VA. System used to track reporting requirements for foster care children. Appears to be a more complex licensing system than other two.</p> <p>Project 3 is for AZ Board of Osteopathic Medicine to track data for licensed doctors.</p> <p>These projects do not appear to be the level of complexity of our project and none of them involve environmental data or an enterprise system.</p>
II	2	Subcontractors	None proposed
II	3	Organizational Chart	<p>Tiniest org chart ever, but I could read it if blown up to 200%.</p> <p>Appears to be an org chart for the entire company, not for the project at hand.</p>
II	4	Litigation	<p>Listed two allegations of Breach of Contract where Mississippi Board of Medicine sued GL Solutions and GL Solutions countersued.</p> <p>It appears the parties agreed to simply part ways and be done.</p>
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	Provided
II	5-a.-ii.	Income (Profit/Loss) Statements	Provided
II	6	Licensure/Certification	Microsoft Partner?
II	7	Certificate of Insurance	<p>General Liability = \$1 million</p> <p>Umbrella Liability = \$6 million</p> <p>Tech E&amp;O = \$6 million</p> <p>Cyber Liability = \$5 million</p> <p>(I think these are right. The scan was really hard to read.)</p>
III	1	<b>Appendix E-</b> <b>Technical Proposal</b> <b>(aka Attachment 1):</b> Key Proposed Project	Escalation point of contact is an assigned “Agency Partner”

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		Personnel and Project Team Organization	Proposed project personnel resumes are fine, but they don't show any experience in environmental systems or even any particularly complex enterprise systems.
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	<p>Solution proposed: GL Suite (built on a .NET platform) (tagline is "software that takes care of itself")</p> <p>(p20) Licenses: Site license for any number of internal or external users.</p> <p>Major upgrades are released every three years and minor patches monthly. That seems like a long time between releases.</p> <p>(p22) Not a lot of detail on how the State's data would be segmented, but a interesting discussion on configuration of user roles and permissions.</p> <p>(p23) Hosted by Microsoft Azure</p> <p>GL states that there are no third-party software products involved in the solution.</p> <p>(p25) GL provided several case studies as examples where functionality developed for other agencies could be used by DEP. The case studies highlight how previous projects do not rise to the level of complexity needed.</p> <p>(p27) The answer to how the solution can be implemented in modules was vague and highlights that GL does not have a good understanding of the organization.</p> <p>(p27) "GL Suite's percentage of configuration is 100 percent." I don't understand what this means.</p> <p>(p28) GL has experience with CROMERR interfaces and they would facilitate the application to EPA.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies.</p> <p>Table 2.2: (p33)</p> <p>1. Customer Data hosted by Microsoft Azure.</p> <p>4. Currently serves 40 clients</p>

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			8-11. Actually answered the questions about unplanned outages.
III	1	<u>Appendix E</u> - Project Approach	<p>(p39) Plans to use a modified waterfall implementation methodology because they believe an agile method would not meet the fixed deliverables schedule.</p> <p>(p40) Mediocre and generic assessment of project risks. I'm left questioning if they understand the project well enough to accurately assess risk.</p> <p>(p41) Plans to be on-site for UAT process.</p> <p>(p42) GL states that they typically implement in phases. Development for each bureau would be offset but run concurrently. No mention of who would go first.</p> <p>Can go live without Enforcement or Document Management. Both are included in the proposal and removal would deduct from the project cost.</p> <p>(p44) Doesn't answer how long support is provided for after go-live.</p> <p>Live support is only available during business hours (CST). 24/7 support is only offered for high-priority issues. My assumption is a high-priority issue would likely be equivalent to the system being down.</p> <p>Requests for software enhancements are supported.</p> <p>(p45) GL doesn't seem to think DEP staff will be needed to provide ongoing support (post go-live) other than to review and test enhancements. It seems odd that there wouldn't need to be at least one or two staff Admins needed to maintain the system.</p> <p>Issued a monthly service credit for 14 months for failure to resolve defects. GL blames the agency for not being responsive.</p>
III	1	<u>Appendix E</u> - Project Management	<p>(p47) Uses GL Portal to track defects.</p> <p>(p45-46) When asked about how deliverables receive appropriate review before being submitted to the Department, GL provides extensive information about</p>

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			<p>user acceptance testing. It makes it appear like the only deliverable they've considered is the final software package itself instead of all the documentation along the way.</p> <p>(p48) The way most of this section is written, it feels like the bidder is used to working on very small projects. In several places it describes work flows such that it sounds like there is one GL employee working with one DEP staff person to complete the work. This language isn't used universally, but enough to make me question their understanding of the project scope.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p52) Proposing four phases, one for each bureau. Phases would run off-set and concurrently.</p> <p>(p53) The project schedule was hard to read, and I was unable to discern which activities were owned by the Department. There is no discussion in the narrative of the DEP's responsibilities. They have relied exclusively on the Gantt chart to answer these questions and it's not enough information.</p> <p>States similar projects take anywhere from 14-24 months.</p> <p>(p54) Does not answer how removing Enforcement and Doc Management would affect the schedule, other than it would be adjusted.</p> <p>Weak discussion on deliverables.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>GL provided a very generic description of the project management methodology and then just kept referring back to it with lots of copy/paste. It was not customized for this project, nor did I see any descriptions the expected DEP's responsibilities. This makes me question if there are expectations GL has of the DEP that will take us by surprise.</p> <p>Did not see a description of the different environments proposed (e.g., Test, Prod).</p> <p>(N)(p63) GL states that GL Suite is 100% configuration changes (i.e., 0% customization). I don't see how this is possible. Every agency is going to something that is unique about them.</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** GL Suite dba GL Solutions

**DATE:** 3/29/2023 (Sections I, II, & project team) 4/10 & 4/12//2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>GL goes on to insist that no custom coding would be needed.</p> <p>(p65) GL Suite can interface with any system that has an API.</p> <p>(p66) The expectation for data migration is that data would be provided by the DEP in a specified format. Not sure if it's on DEP to write all the migration scripts to pull data out of legacy systems.</p> <p>Based on the description given, I'm again not sure they understand the amount of data we have to convert.</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>Basically, just agreed to what the DEP wanted and reiterated the question/statement.</p> <p>(p71) They propose an on-site presence for testing.</p>
III	1	<b>Appendix E-</b> Training Approach	<p>(p72) Describe a standard Train the Trainer approach.</p>
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b>  <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b></p>	<p>There were a lot of cells that read like sales brochures rather than just answering the question.</p> <p>ALL requirements were listed as standard. Not a single requirement was a customization or required third-party software, not even reporting functions.</p>
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	<p>(R70) Includes a sales pitch for letting users apply for licenses online. Of course we agree, that's one of the main goals of the project.</p> <p>(R78) Has the ability to re-route flows based on availability status, but it's a status you have to set within GL Suite itself, not an Outlook status.</p>

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR NAME:** Lynn Muzzey

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III	2	<u>Appendix F</u> - Sheet "2. Public Portal"	
III	2	<u>Appendix F</u> - Sheet "3. Document Management"	
III	2	<u>Appendix F</u> - Sheet "4. Payments"	
III	2	<u>Appendix F</u> - Sheet "5. Comp-Insp-Enf"	
III	2	<u>Appendix F</u> - Sheet "6. Reporting"	No discussion of any third-party reporting software. Apparently, everything can be done within the system itself, including any ad-hoc report we want to generate. I am skeptical if this is true.
III	2	<u>Appendix F</u> - Sheet "7. Technical"	
III	2	<u>Appendix F</u> - Sheet "8. Interfaces"	
III	2	<u>Appendix F</u> - Sheet "9. Interfaces"	
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the	



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**EVALUATOR DEPARTMENT:** Environmental Protection

		implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: GL

DATE: 3/31/2023 & 4/27/2023

EVALUATOR NAME: Sherrie Kelley

EVALUATOR DEPARTMENT: Environmental Protection

\*\*\*\*\*  
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## Overarching comments on bid package:

### PHASE I –

GL Solutions develops and supports GL Suite a configurable SaaS application designed to automate operations for regulatory agencies. 25 years. Seems overly simple for our project!

Not clear, org chart appears to be the whole company. Two settled breach of contracts,

Not much cash or revenue/small company seems to be a big risk. Company principles providing credit to company does not reflect well on long term stability

GL Solutions is a Microsoft Partner—Gold Application Development

Small team, many have been with the team a very long time.

Proposed project personnel resumes don't show experience in any particularly complex enterprise systems.

### Phase II

Software platform's potential, but not of a regulatory solution that includes requisite functionality (e.g. compliance tools).

The answer to how the solution can be implemented in modules was weak and highlights that GL does not have a good understanding of the organization. For example, they didn't suggest breaking the project down by bureau or other functional area.

GL Solution's answers to many of the questions were very vague with regards to how they would accomplish the given tasks. Their overall approach seemed to be one of complete agreement without a complete understanding of what's being requested.

Seemed like they read it and just said 'sure we can do that' but no thought-out approach.

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**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

The don't think DEP staff will not maintain the staff post go-live, very weird.

The 'software that takes care of itself' - seriously?

No experience with EPA but it says it is CROMERR compliant – very questionable.

There are no third-party software firms or products involved in this solution.

Very generic proposal

The response of "Standard" and "Y" for every requirement listed in Appendix F indicates a lack of appreciation of the challenges embodied within the requirements. No confidence

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** GL Solutions  
**DATE:** 5/18/2022  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*  
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 \*\*\*\*\*

## Overarching comments on bid package:

Product is called GL Suite

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Response (P,N,Q,I)	Comments
<b>Section I- Preliminary Information</b>				
I	1	<b>Appendix A-</b> Proposal Cover Page	P	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	P	Included
<b>Section II- Organization Qualifications and Experience</b>				
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience		Project #1 – IL Dept of Health for Environmental Health Protection. Licenses for swimming, tanning, lead abatement, asbestos, plumbing, env health, and food safety. “Being maintained by agency staff.”  Project #2 – VA Dept of Behavioral Health & Development for foster care facility regulation

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**EVALUATOR DEPARTMENT:** DAFS/OIT

				Project #3 – AZ Medical Board and AZ Board of Osteopathic Medicine for case tracking, complaints, and investigations. Question if these are examples of enterprise use by multiple agencies.
II	1	Key Proposed Project Personnel and Project Team Organization		Good longevity in the company Adequate response
II	2	Subcontractors		No subcontractors
II	3	Organizational Chart		An org chart full the whole company was provided.
II	4	Litigation		2 litigations – both resolved with “Mutual release and agreement of non-disparagement
II	5	Financial Viability		
II	5-a.-i.	Balance Sheets		Total Assets (2020) = \$2.1M
II	5-a.-ii.	Income (Profit/Loss) Statements		Revenue (2020) \$4M
II	6	Licensure/Certification		SOC II Type 2 MS certified partner – Gold App-Development FEDRAMP
II	7	Certificate of Insurance		A little difficult to read due to blurring Umbrella and E&O \$5M
<b>Section III- Proposed Services</b>				
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance		<ul style="list-style-type: none"> <li>• SaaS Solution</li> <li>• .NET Framework</li> <li>• SQL Server Database</li> <li>• Modular approach means individual modules can be excluded if desired</li> <li>• CROMMER compliant and includes CROMMER interfaces</li> </ul>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance		<ul style="list-style-type: none"> <li>• Hosted in Azure</li> <li>• Client Data is separated both logically and physically</li> <li>• No 3<sup>rd</sup> party products</li> <li>• GL Acknowledged and agreed to all MaineIT policies listed in the RFP</li> </ul>
III	1	<b>Appendix E-</b> Project Approach		<ul style="list-style-type: none"> <li>• Project plan indicates simultaneous (but staggered) implementations for each of the 4 bureaus.</li> </ul>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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				<ul style="list-style-type: none"> <li>No order specified.</li> <li>Project plan indicates a 16-month total engagement</li> <li>Vendor notes say similar-sized projects can take 14-24 months</li> </ul>
III	1	<b>Appendix E-</b> Project Management		
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables		<p>One goals and scope document per plan year period Standard scope management plan with change orders Use of MS Project implied</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution		<p>The agency is responsible for supplying clean data for importing into the new system.</p> <p>From the vendor</p> <p>“Implementation of the 4 bureaus concurrently but off-set utilizes both Maine DEP and GL Solutions resources more effectively. It does little to affect the Project Schedule but ensures a smoother implementation with multiple departments.”</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance		<p>Normal SDLC process GL Portal will be used to track issues There are three levels of support offered post implementation. Each at a different cost: Standard, Professional, Enterprise</p>
III	1	<b>Appendix E-</b> Training Approach		Train the Trainer approach
III	2	<b>Appendix F-</b> Functional and Technical Requirements (aka Attachment 2): <b>Please feel free to make a copy of (and attach) the bidder’s</b>		

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** DAFS/OIT

		Appendix F workbook to comment on individual requirements.		
III	2	<b>Appendix F-</b> Sheet "1. Licensing"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "3. Document Management"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "4. Payments"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "7. Technical"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"		GL has indicated that everything in this tab is Standard.
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"		GL answered Y to every question in this tab
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.		
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.		
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the		

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**DATE:** 5/18/2022

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

		proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.		
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"		
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"		
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"		
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"		
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"		
IV	2	<b>Appendix G-</b> Sheet "Data Migration"		



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** GL Solutions

**DATE:** 3-30-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
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## Notes:

### Phase I: Organizational Qualifications and Experience:

Plan on using their own "GL Suite" low-code solution.

Cited projects do not reflect the complexity of a licensing scheme with heavy compliance requirements and enforcement cases: GL Solutions has not listed any experience with regulatory workflows of a scope that compares with the requirements of this RFP

Company principles providing credit to company does not reflect well on long term stability.

Pair of "breach of contract" suits not encouraging.

Org chart does not appear customized for our project. Are they implying that the whole company would work on our project?

I would have liked them to have spent more time explaining their approach to "maintaining team stability", similar to the time they spent a lot of time explaining how they prepare for turnover (via documentation, et al).

### Phase II: Proposed Services

Much discussion about the software platform's potential, but no discussion of an extant regulatory solution that includes requisite functionality (e.g. compliance tools).

They "GL Suite" a "licensing system" and "easy-to-use enterprise SaaS application specifically tailored to meet each agency's needs"

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** Environmental Protection

With the nascent nature of the vendor's solution in mind, the vendor's responses that functionality can be provided per the agency's needs are credible, but agency knowledge of the application development process indicates that such new functionality is highly unlikely to be provided within the cost and timing constraints of the department's needs.

"Our solution is CROMERR compliant" is an odd declaration, since they list no experience with EPA compliance workflows in their qualifications and experience submission.

The response of "Standard" and "Y" for every requirement listed in appendix F may indicate a lack of appreciation of the challenges inherent within the requirements.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: MTX

DATE: 3/31/2023 & 4/27/2023

EVALUATOR NAME: Sherrie Kelley

EVALUATOR DEPARTMENT: Environmental Protection

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## Overarching comments on bid package:

### PHASE I-

Salesforce Platform, MTX's LPI out of box configurable solution. 1000+ staff Did the latest DECD project. Massachusetts & Utah projects.

Very fast growing company from 2019 to 2021; not sure what year they were established.  
800 Consultants 3100+ Salesforce certifications. They believe they are fully capable as staffed and certified .

Highly experienced team, all fairly new to the company. Many with experience in similar implementations. I like the close staff interaction proposed and the aggressive timeline.  
Contact information for past projects is specifically not listed, even when the project was for another Maine agency. Leaves us wondering why.

Online application process of example projects appears to rely on uploading a completed application document, which is a less complex solution than what the RFP envisioned.

### PHASE II

Salesforce solution  
22 month project – seems more realistic

MTX's answer to the question on CROMERR implies that they don't have experience or understanding how it works.

The answers given give the impression that MTX may be able to meet many functional requirements with custom configuration, their lack of previous experience with regulatory requirements comparable with those in the RFP means that the configuration will likely be excessive. We anticipate that the resources required for this level of custom configuration would likely exceed the resources available for this project.

MTX's answers to how omitting Enforcement and Document Management functionalities would affect project schedules were not complete, and their recommendations regarding Document Management and Enforcement solution options did not show a thorough understanding of enterprise information system

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ecosystems and governmental operating constraints. This causes us to anticipate that MTX may be challenged by the enterprise nature of this project.

Salesforce LPI is a powerful application straight out of the box. But given that MTX has not shown an example of how they have already configured this solution for industrial facility regulation This will require extreme effort to make the customizations needed to fulfill the vast detailed requirements specified within the RFP.

Almost every requirement in Appendix F was listed as standard and included with no customization effort. We question the accuracy of these statements given MTX's lack of experience with projects of this complexity and scope and the limitations inherent within Salesforce.

Overall not an impressive proposal. Lack of general understanding of our needs and effort it would take to get there. 😞

A significant fee for Tableau licenses is included in the cost proposal, but no mention of this software need is mentioned anywhere in Appendix E and only mentioned in a single short comment in Appendix F.

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**DATE:** 4/21/2023  
**EVALUATOR NAME:** William Mason  
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## Overarching comments on bid package:

Salesforce Technology  
 Recent personal experience with MTX has been very positive. They implemented a relatively small Salesforce Grant Management application for Maine DECD and then trained some of our App-Dev team to support it. It is currently in operation and working well.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	15 examples of MTX licensing projects  Project #1 – Utah Dept of Env Quality division of Waste Mgmt and Radiation.  Project #2 – Maine DECD Grant Mgmt  Project #3 – Mass Dep of Early Education and Care for licensing and administration of all public and private early education and care programs and services

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			Project #1 qualifies as experience with environmental protection agency. And though the Mass project encompassed a large audience, none of the projects rose to the level of an enterprise system approach
II	1	Key Proposed Project Personnel and Project Team Organization	The project team, with one exception, appear at the time of this proposal have minimal time with MTX.
II	2	Subcontractors	No subcontractors
II	3	Organizational Chart	Reasonable org chart with names and titles. Resumes for all key project personnel included
II	4	Litigation	Indication of no pending litigation, but does not address recent history
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	Dramatic (8 fold) increase in Assets ( 4M to 50M) over short period of time from 2019-2020
II	5-a.-ii.	Income (Profit/Loss) Statements	Not included
II	6	Licensure/Certification	Salesforce certifications
II	7	Certificate of Insurance	Umbrella = \$10M Pro = \$5M Cyber = \$5M (\$500k deductible)
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	Standard Salesforce Upgrade Process: <b>Frequency of Upgrades</b> Salesforce releases three complimentary upgrades each year, in Winter, Spring, and Summer versions. <b>Testing Process</b> Prior to every release, resources are made available to customers and employees to prepare for the release. A general outline of these resources and their timing are listed below. As part of your release planning, make sure you have at least one preview sandbox, and make sure it stays on the new release throughout the sandbox preview period. If an issue is found by the Department, Salesforce Support should be engaged per standard procedure. If the Department makes changes or customizations to the

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			<p>application that have a negative impact, Support should also be engaged to diagnose the issue.</p> <p>Four to Six Weeks</p> <ul style="list-style-type: none"> <li>● Customer Pre-Release gives the customer access to the upcoming major release in a test environment.</li> <li>● Customers are notified, via email and Trust, of the release maintenance dates and general downtime window by the Product Operations team</li> <li>● Release preview email is sent to customer admins that describes new features and enhancements.</li> </ul> <p>Release preview available on corporate website</p> <p>Three Weeks</p> <ul style="list-style-type: none"> <li>● Release Notes are made available</li> <li>● Sandbox (test) environment is upgraded (two or three weeks prior)</li> </ul> <p>Two Weeks</p> <ul style="list-style-type: none"> <li>● Sandbox (test) environment is upgraded (two or three weeks prior)</li> </ul> <p>One Week</p> <ul style="list-style-type: none"> <li>● Customers are notified via email and Trust of the exact downtime window for the upgrade by the Product Operations team.</li> </ul> <hr/> <p>Data is logically separated in Salesforce</p> <hr/> <p>Salesforce systems are hosted in AWS GovCloud West</p> <ul style="list-style-type: none"> <li>● ISO 27001</li> <li>● ISO 27017</li> <li>● ISO 27018</li> <li>● SOC 1 Type II (SSAE 18 Report)</li> <li>● SOC 2 Type II (Trust Principles Report)</li> </ul>
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**EVALUATOR DEPARTMENT:** DAFS/OIT

			<ul style="list-style-type: none"> <li>● PCI-DSS</li> <li>● TRUSTe Certified Privacy Seal</li> <li>● FedRAMP (NIST 800-53)</li> <li>● PrivacyMark from the JIPDEC</li> </ul>
III	1	<b>Appendix E-</b> Project Approach	<p><b>Axxy Public Sector Mobile: offline-first Salesforce no-code mobile solutions</b></p> <p>The Axxy Public Sector Mobile is an offline-first, cross-platform, no-code mobile app for Salesforce Public Sector Solutions and LPI that helps provide fast and effective guidance to your inspectors who work in the field.</p>
III	1	<b>Appendix E-</b> Project Management	Discovery, Define and Design
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<ul style="list-style-type: none"> <li>● <b>Phase 1 - Project Initiation</b></li> </ul> <p>Culminates with a project kickoff meeting so that team members understand project objectives, challenges, DEP expectations, and their roles and responsibilities.</p> <ul style="list-style-type: none"> <li>● <b>Phase 2 - Discovery, Define and Design</b></li> </ul> <p>MTX engages with DEP in validation sessions to map out the requirements and deliver detailed, agile sprint-based plans. MTX engages with DEP to understand the underlying technology and connectivity options to design an optimal integration plan.</p> <ul style="list-style-type: none"> <li>● <b>Phase 3 - Configuration, Development and Testing Sprints</b></li> </ul> <p>MTX rapidly and incrementally develops, prototypes, and demos the solution for DEP review.</p> <p>This phase is marked by multiple iterative design sprints and each ends with the client</p> <p><i>Maine Department of Environmental Protection - RFP# 202110152 - File 3 - Proposed Services</i></p>



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
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**EVALUATOR NAME:** William Mason  
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			<p>© MTX Group Inc., May 2022 52</p> <p>reviewing and confirming the solution developed during that sprint meets requirements.</p> <p>Testing (i.e., quality assurance), integration, data migration, and training activities are conducted in parallel with solution development.</p> <p>● <b>Phase 4 - User Acceptance Testing, Training, and Operational Readiness</b></p> <p>This phase is divided into (a) user acceptance and testing (UAT) and (b) training / change enablement. For UAT, MTX builds a detailed UAT plan for testing and artifacts. At the end of UAT, we provide a list of the identified and resolved issues for approval and sign-off. In parallel with UAT, MTX continues to provide training and change enablement services to DEP.</p> <p>● <b>Phase 5 - Deployment, Go-Live, and Post Go-Live Support</b></p> <p>MTX deploys the system. Regression testing confirms that full functionality has not been affected by deployment efforts. Once the solution has been confirmed functional in the production environment, MTX will provide post go-live support for a period of time to confirm solution performance and stability. At the conclusion of this support period, the engagement between MTX and DEP will officially transition to the Maintenance &amp; Operation support period.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>Standard Project documents included:</p> <ul style="list-style-type: none"> <li>Project Plan</li> <li>Communications Plan</li> <li>Risk Register</li> <li>Schedules</li> <li>Etc</li> </ul> <p>MTX does not believe the project can be completed in 12 months but is recommending instead a 22 month project. This is a more reasonable approach.</p>

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III	1	<b>Appendix E- Testing and Quality Assurance</b>	<p>MTX QA provides the following testing services in accordance with the scope of work, MTX recommendations, and DEP’s final approval. These are described in detail within the document:</p> <ul style="list-style-type: none"> <li>● Functional Testing</li> <li>● Integration Testing</li> <li>● End-to-End Testing</li> <li>● Regression Testing</li> <li>● UAT Support</li> <li>● Performance Testing</li> <li>● Security Testing</li> <li>● Test Automation</li> <li>● Accessibility Testing</li> <li>● Mobile Testing</li> <li>● Review of Functional and Technical Designs</li> <li>● Review of Business and Technical Requirements</li> </ul>
III	1	<b>Appendix E- Training Approach</b>	<p>“Our blended learning curriculum offers live training in the form of virtual instructor-led webinars, or in-person training, based on each role group, in which your users get hands-on with the new system.”</p>
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and</b>	

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		<b>attach) the bidder's Appendix F workbook to comment on individual requirements.</b>					
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	All critical licensing requirements are standard				
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	The only critical non-Standard Public Portal was a third-party response:				
			PP.20	The system has the ability to provide a publically accessible map viewer for searching for and viewing approved and pending applications.	<b>CRITICAL</b>	<b>T</b>	We recommend using Google Maps api for this feature.
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	Critical responses that were non-Standard:				
			DM.21	The system has the ability to allow staff to convert non-readable file types, that have been uploaded into the system, into OCR accessible file within the system.	<b>CRITICAL</b>	<b>T</b>	MavQ can provide conversion of non-readable files into OCR.
			DM.22	The system has the ability to support scanning of paper application directly into system (e.g., paper application file can be scanned directly to a record in the system, without the need to first save locally and attach).	<b>CRITICAL</b>	<b>T</b>	This can be achieved with an app exchange product called ccScan. This product is an additional fee to use.

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			DM.30	The system has the ability to allow automatically lock a document, to prevent further editing, after a ME DEP defined step in the drafting process or after marking a document as final.	<b>CRITICAL</b>	<b>C</b>	MTX will work with DEP to determine what actions will indicate that a record should be locked and will develop workflows to automatically lock the record based on these actions.
III	2	<b>Appendix F-</b> Sheet "4. Payments"	All critical Payment requirements are standard				
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	Critical responses that were non-Standard:				
			CIE.2	The system has the ability to provide digital signature capture in the field.	<b>CRITICAL</b>	<b>T</b>	DocuSign is thirdparty product that can be integrated with Salesforce to capture digital signatures.
			CIE.9	The system has the ability to work offline in the field and record enforcement actions which can later be uploaded to the system at a user defined time.	<b>CRITICAL</b>	<b>T</b>	A third-party application called Axy can solve for offline access.
			CIE.97	The system has the ability to generate reports based on public complaints, according to GIS location.	<b>CRITICAL</b>	<b>C</b>	This can be achieved using Tableau.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	Critical responses that were non-Standard:				
			RP.29	The system has the ability to post, as defined by the ME DEP, regularly scheduled reports generated by the system, to the ME DEP website.	<b>CRITICAL</b>	<b>C</b>	Custom effort is to post reporting to ME DEP website

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			RP.37	The system has the ability to generate exception reports from integrated systems.	<b>CRITICAL</b>	<b>C</b>	Depends on the level of detail needed and how the external data source is constructed
III	2	<b>Appendix F-</b> Sheet "7. Technical"	All Critical responses were Standard				
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	As expected all Critical Interfaces require customization either in the form of an API or batch job, or other.				
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	All migrations are included				
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.					
IV	1-b.						
IV	1-c.						
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"					
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"					
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"					
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"					
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"					
IV	2	<b>Appendix G-</b> Sheet "Data Migration"					

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
 \*\*\*\*\*

## Overarching comments on bid package:

The only similar environmental project MTX has worked on was for UT DEQ. That project appears to be a very small part of the agency's platform. Not much other relevant experience. I'm concerned about the lack of contact info for past projects.

Company that has grown exponentially over the past 3 years. Probably due to one very large project in TX.

The solution appears to be based on the assumption that an applicant submits information, and as long as all of the required information is submitted, a simple approval is issued. This is not how our type of licensing works.

MTX shows a good understanding of the process of system development, although a lot of the proposal sounds like it was copied from a textbook. I believe they have a poor understanding of the DEP and its needs.

I am skeptical of their responses to the technical requirements (Appendix F). Most all requirements were marked as standard even though other resources indicate some of the requirements would be customizations or not available in Salesforce at all.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.
I	2	<b>Appendix B-</b> Debarment,	Signed

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		Performance and Non-Collusion Certification	
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Contact information for past projects is specifically not listed. (Even when the project was for another Maine agency.)</p> <p>Project 1 was UT DEQ for Waste Management/Radiation only. Couldn't find evidence of their work on UT website. Sam confirmed this work was done, but it was a very simple process.</p> <p>Project 2 was for Maine Economic &amp; Community Development. Found the instructions for using the system on their website. Of 16 pages, 9 are devoted to how to log in. Simple web portal that relies on uploading other documents as the "meat" of the application process. This is a good approach for when you have a wide range of application types, but our system also needs to hold the individual data on the back end. Doesn't look like that was part of the project here.</p> <p>Project 3 was MA Education. Appears to include integrations with other systems. Not sure of the level of complexity of the applications themselves. Likely low.</p>
II	2	Subcontractors	None proposed
II	3	Organizational Chart	Mostly standard org chart. Not sure what "MTX Licensing Vertical Team" is.
II	4	Litigation	"MTX has no pending litigation." How about cases which closed in past 5 years? There seems to be a case with TX in 2020.
II	5	Financial Viability	They have grown VERY fast in the last 3 years. From <\$1 MM in revenue to >\$133 MM. Probably has a lot to do with a very large and controversial contract in TX for contact tracing data center in 2020.
II	5-a.-i.	Balance Sheets	Provided.
II	5-a.-ii.	Income (Profit/Loss) Statements	Not Provided.
II	6	Licensure/Certification	State all needed licenses/certifications in place.
II	7	Certificate of Insurance	<p>General Liability = \$1 million</p> <p>Umbrella Liability = \$10 million</p> <p>Professional = \$5 million</p> <p>Cyber Liability = \$5 million</p>
III	1	<b>Appendix E-</b> <b>Technical Proposal</b> <b>(aka Attachment 1):</b>	Resumes provided align with org chart.

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		<p>Key Proposed Project Personnel and Project Team Organization</p>	<p>I like that the resumes clearly identify the scope of the person's proposed role in the project.</p> <p>Carol Beth Martin's role is stated as being a SME on the business aspects. She does have experience with State entities, but her background is as an administrator in non-Env agencies. Not sure how this is transferable.</p> <p>Ashley Papp also considered SME but with limited Env experience. Only been with MTX since 2021.</p> <p>Most of the project team has been with MTX less than 1-2 years.</p> <p>Luke Slevin is on the org chart as the Managed Services Lead and is listed as the escalation point of contact for the O&amp;M period, but his resume wasn't provided. Not sure if this was required for this phase of the project.</p>
III	1	<p><b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance</p>	<p>Solution proposed: Salesforce</p> <p>(p20) "MTX will provide a solution that has an easy to use portal that navigates the user through each step of the licensing process so that licensing staff does not have to take a phone call."</p> <p>(p22) Refers to Cost Proposal Workbook for number of licenses included, but I was not able to find the information there.</p> <p>Three upgrades released each year.</p> <p>Uses "multi-tenant" architecture to segregate each customer's data from others.</p> <p>Hosted by Amazon Web Services. For government services, production data centers are provisioned in pairs, fully mirrored and geographically separated.</p> <p>Third-Party Software: Axsy Public Sector Mobile and Google Maps</p> <p>(p32) I like that the architecture diagram has been customized for MEDEP. I wonder however if license details or some kind of requirements library should have been included</p>



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			<p>Constantly refers to license applicants as “constituents,” which yes, some of them are, but many/most of our applicants are companies/organizations, so the phrasing is odd. It makes me question whether MTX understands the complexity of the application information needed.</p> <p>(p34-35) Good information on interactive application forms and uploading application documents.</p> <p>(p39) MTX states, “Once the application is approved the license document will be automatically generated by the system. The document can be printed for staff to mail to recipients or can be automatically emailed to them.” This is an almost comical misunderstanding of they type of licenses we issue.</p> <p>(p40) Danced around the question about how functionality developed for another Maine agency would be included.</p> <p>(p42) I don’t feel they answered the question on how the solution can be implemented in modules. Just stated that DEP can determine what features and functionality to implement.</p> <p>(p43) The answer to the CROMERR question implies that they don’t have experience with it nor understand how it works. CROMERR is not a system that DEP uses to submit reports, it is a requirement of a system where reports are being submitted <u>to us</u>.</p> <p>I question whether a full copy of the sandbox environment is what we meant when we said we wanted a full copy of the database upon request. But maybe.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies.</p> <p>Table 2.2: (p44) 1. Customer Data hosted by Amazon Web Services.</p> <p>4&amp;5. Regarding “your company” vendor-managed solutions, MTX answers are for Salesforce not their own work.</p> <p>8,9&amp;11. Declines to answer questions about instances of unplanned outages.</p>

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III	1	<u>Appendix E</u> - Project Approach	<p>(p52) I like that the project approach references the documentation provided in the RFP.</p> <p>MTX again demonstrates how they have no idea what CROMERR is or what it is used for.</p> <p>They focus on work flows, which is important, but I continues to see a failure to recognize that we have a lot of license detail data that we need to determine how to best capture and store.</p> <p>(p53) Proposing a hybrid Agile methodology.</p> <p>(p55) Will prioritize configuration over customization. I worry about how much we will be asked to change our process to match the system rather than the other way around.</p> <p>Although there is an extensive list of risks and how they would be mitigated, the way it is presented it is sometimes hard to determine what the risk itself is.</p> <p>One of the methods of managing scope involves a “Phase II” bucket for enhancements that will be done as a subsequent project.</p> <p>(p56) References a liquor licensing solution as experience in volume testing. I’m not sure how this relates. Word salad.</p> <p>Significant list of activities they propose to be done on site. Will this add to travel expenses?</p> <p>(p58.4) The DEP is responsible for extracting the data from legacy systems in an agreed upon format.</p> <p>(p58.6) Travel costs were not included in the proposal.</p> <p>(p58.7) Proposing two releases. Release 1 = Land and Air, Release 2 = Water and BRWM</p> <p>(p58.8) I don’t quite understand the workshare approach, but it sounds like they don’t’ want the DEP to do any of the configuration and to have it all done by MTX.</p>
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			<p>(p59) Included premium support level in the proposal. Includes 24/7/236 support provided by Salesforce (not MTX).</p> <p>(p60) Post go-live support for four weeks for each of the two releases.</p> <p>(p60-62) Very detailed description of pre-go-live and cut-over period.</p> <p>(p63) Enhancements would be part of a separate managed services support package.</p> <p>(p65) The typical DEP staffing expected for normal application maintenance is 2-3 part time resources.</p>
III	1	<b>Appendix E-</b> Project Management	<p>(p75) Uses "MTX Beans" as a project management tool including issue resolution.</p> <p>(p76) There is a very extensive discussion of risk management. It feels like it was pulled from a textbook.</p> <p>(p80) The risk descriptions aren't sufficient for me to fully understand some of the risks identified. I cannot evaluate the proposed solution without understanding the risk itself.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>Detailed Gantt chart of project plan provided.</p> <p>(p89) Release 1 go-live 10 months from project start. Release 2 go-live 22 months from project start.</p> <p>Can begin within 14 days of contract signing.</p> <p>(p89-90) Past implementation has been incremental releases over 18-60 months. Proposes being able to deliver our system in 23 months. Here there is finally some acknowledgement of the complexity of DEP licensing systems.</p> <p>(p91) Does not believe a big bang release over 12 months is achievable based on past experience. (Likely correct)</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>(p121-153) Regurgitation of the full project schedule for the 2<sup>nd</sup> or 3<sup>rd</sup> time.</p>

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			<p>(p155.5) I'm not sure test environments for the financial systems are allowed.</p> <p>(p156) I don't understand how the public portal can be established on its own. Wouldn't the establishment of the portal be specific to each bureau?</p> <p>(p159) I'm worried that MTX hasn't considered the amount of detailed information we collect about facilities, licenses, and equipment. Reporting appears to be all internal and uses wizard-driven reporting engine.</p> <p>(p160) Estimates 90% configuration / 10% customization.</p> <p>(p161) Plan to use Apex Code for customizations. Is that something OIT is familiar with?</p> <p>(p162) Why would they propose to integrate with ICIS NPDES in Release 1 when BWQ is in Release 2?</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>More generic textbook-like language.</p> <p>Very extensive and lengthy description of approach to testing and QA.</p> <p>(p177) Agrees to providing UAT plan and guidance for developing test scripts and on-site support if requested.</p> <p>(p182) Proposal includes 6 weeks of UAT and defect mitigation per release. DEP must provide enough resources to execute all test cases in a one week period. Extending UAT duration would be a change order.</p>
III	1	<b>Appendix E-</b> Training Approach	<p>(p184) MTX recognizes that people learn in different ways.</p> <p>Appears to include training for all staff, including end users. If so, that's a lot of value, but I'm not positive that is really their intent.</p> <p>(P185) I really like the idea of the online micro-video learning modules and the detailed step-by-step user guides. This seems like a lot to develop. Is one module per role sufficient? I can't find where they define what a "role" is.</p>

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			<p>(p187) They recommend in-person training.</p> <p>(p188) Salesforce does not generally provide data dictionary because data is stored as metadata. This makes me VERY nervous about the ability of DEP staff to develop ad-hoc reports on licenses, especially facility and equipment details. We need these reports “on the fly,” i.e. the same day. Can the built in tools really do this?</p>
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b>  <b>Please feel free to make a copy of (and attach) the bidder’s Appendix F workbook to comment on individual requirements.</b></p>	
III	2	<p><b>Appendix F-</b> Sheet “1. Licensing”</p>	<p>Everything on this sheet is listed as standard with only a few comments. Other Salesforce resources indicate many items on this sheet would be customizations.</p> <p>(R52) That’s not the point. We want to be able to do things like copy text out of a document to paste into a field.</p>
III	2	<p><b>Appendix F-</b> Sheet “2. Public Portal”</p>	<p>Everything on this sheet is listed as standard except for one instance where Google Maps is suggested as a third-party vendor.</p>
III	2	<p><b>Appendix F-</b> Sheet “3. Document Management”</p>	
III	2	<p><b>Appendix F-</b> Sheet “4. Payments”</p>	<p>MTX indicates that data sharing with Advantage and Elavon is a standard part of the system (with no comments). Other Salesforce resources indicate all of this functionality would be custom.</p>
III	2	<p><b>Appendix F-</b> Sheet “5. Comp-Insp-Enf”</p>	<p>(R116) Tableau is mentioned as being needed to generate a report based on GIS location. This appears to be the one and only instance in the entire proposal that Tableau is mentioned.</p>

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III	2	<b>Appendix F-</b> Sheet "6. Reporting"	<p>(R37) MTX states that it is a standard feature to be able to export reports to MS Word. The online message board for Salesforce indicates this is a feature users have been requesting for years but it hasn't yet rolled out.</p> <p>MTX indicates that all query requirements are a standard part of the system (with no comments).</p>
III	2	<b>Appendix F-</b> Sheet "7. Technical"	<p>(R26-28) MTX recommends Salesforce certified staff implement new or modified forms and workflows.</p> <p>No discussion of any third-party reporting software. Apparently, everything can be done within the system itself, including any ad-hoc report we want to generate. I am skeptical if this is true.</p> <p>MTX indicates that all functionality on this sheet is a standard part of the solution. Other Salesforce resources indicate many items are customizations.</p>
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the	

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		contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** MTX

**DATE:** 3-31-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
\*\*\*\*\*

## Notes:

### Phase I: Organizational Experience and Qualifications:

Implementing Salesforce.

Whether for job interviews or bid evaluations, references are a standard request. A response of "we reserve the right to provide detailed reference contact information until later" is not appropriate and does not inspire confidence in the bidder's citations

The bidder's project descriptions do not appear to expand beyond functionality provided by the Salesforce LPI and CRM modules, which means that without expansive customization (new functionality development) their experience, and the tools available to them would not be able to meet the requirements of our RFP within the time and resource constraints available.

Of the 13 positions listed in the Project Team, the longest tenure is 5 years and most are 1 year, which does not inspire confidence in team stability, which is important for a project of this scope.

### Phase II: Proposed Services:

The general terms of many of the answers given give the impression that while MTX may be able to meet many functional requirements with custom application development, their lack of previous experience with regulatory requirements comparable with those in the RFP means that excessive configuration will be necessary.

he time and money required for this custom configuration would likely exceed the resources available for this project.



## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** MTX

**DATE:** 3-31-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

MTX's answers to how omitting Enforcement and Document Management functionalities would affect project schedules were not complete.

Their recommendations regarding Document Management and Enforcement solution options did not show a thorough understanding of enterprise information system ecosystems and governmental operating constraints.

Reporting capabilities are odd-

The reporting functionality of MTX's solution is not mentioned in their proposed services. This is particularly odd since significant fees for Tableau licenses are included in the cost proposal even though no mention of this third-party software need is mentioned anywhere in Appendix E and only mentioned in a single short comment in Appendix F

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: Procom

DATE: 3/31/2023 & 4/27/2023

EVALUATOR NAME: Sherrie Kelley

EVALUATOR DEPARTMENT: Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
\*\*\*\*\*

## Overarching comments on bid package:

### PHASE I-

For Texas Alcoholic Beverage Commission, it is unclear whether they supplied "extensive support to a Platform as a Service (PaaS) vendor" or "Overall Project Management, Business Analysts, Scrum Master, Developers, Quality Assurance." We have questions regarding what their specific role was in this project.

Project 2 is for various applications at Maine agencies including Dept of Marine Resources and Board of Pesticide Control. Both are for small individual applications. DMR states they did not work with ProCom. It appears that the applications listed in this project are Pega solutions, but not necessarily provided by ProCom. Based on the ME DMR project not being done by ProCom, we have similar questions as to whether project 3 was done by ProCom. The same project was listed as a project by another vendor and is in process at the time of this proposal. We are not considering example projects 2 and 3 as experience, since they are not projects completed by ProCom.

Based on the above, we don't see sufficient experience to give us confidence that the bidder could satisfy the requirements of the RFP.

The org chart wasn't customized for the RFP and was a bit simple. It listed only five Project Team positions, and the five resumes did not include education or previous employers.

The financial submittals were oversimplified. This does not give us sufficient information to evaluate the company's financial viability.

### PHASE II

The proposal repeatedly references breaking the project into four releases, but never describes what would be included in each release. This makes the proposal difficult to analyze.

In many areas the focus of the proposal relies heavily on the Pega platform and the Pega reputation but provides rather little detail regarding ProCom's & DEP's involvement in the project.

The schedule for completing the entire project is 236 days which is extremely concerning and unrealistic considering the detailed complexities involved in a project of this magnitude.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Procom

**DATE:** 3/31/2023 & 4/27/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

The proposal is based on leaving legacy data in situ minimizing the migration effort. This was not what was envisioned by the RFP and limits the project scope.

Every single requirement in Appendix F, with the exception of the Interface tab, was listed as standard and included with no customization effort. We question the accuracy of these statements given ProCom's lack of experience with projects of this complexity and scope.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** ProCom  
**DATE:** 4/3/2023  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*  
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 \*\*\*\*\*

## Overarching comments on bid package:

Pega technology

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Response (P,N,Q,I)	Comments
<b>Section I- Preliminary Information</b>				
I	1	<b>Appendix A-</b> Proposal Cover Page	P	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	P	Included
<b>Section II- Organization Qualifications and Experience</b>				
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience		Project #1 – Texas Alcoholic Beverage Commission for licensing, excise tax, enforcement, evidence mgmt., inspections, complaints, label registration, financial mgmt., Port of Entry taxing  Project #2 – State of Maine for undisclosed projects related to Pega. I do not believe Procom

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** ProCom

**DATE:** 4/3/2023


**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

				<p>was involved in the projects, just citing it as a reference for Pega technology.</p> <p>Project #3 – NJ DEP for undisclosed projects related to Pega. It does not appear that Procom played a role in the project. Again, citing it as a reference for Pega and as an environmental project.</p> <p>I really only see one project listed that Procom was directly involved in. And I don't see a reference where Procom actually worked on an environmental protection project or an enterprise system.</p>
II	1	Key Proposed Project Personnel and Project Team Organization	N	Resumes for five staff members only
II	2	Subcontractors	P	No subcontractors
II	3	Organizational Chart	Q	No subcontractors, but Pega resources included along with their subsidiary PerseusX
II	4	Litigation	P	No litigations to report
II	5	Financial Viability		
II	5-a.-i.	Balance Sheets	N	Not provided due to Procom being a private company
II	5-a.-ii.	Income (Profit/Loss) Statements	N	Not provided due to Procom being a private company. Procom indicates 2021 revenue = \$50.56M
II	6	Licensure/Certification	P	Pega authorized Pega Alliance Partner
II	7	Certificate of Insurance	P	Umbrella = \$5M Cyber and Errors & Omission = \$20M
<b>Section III- Proposed Services</b>				
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance		
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance		<p>Pega has been consistently in the Gartner "Magic Quadrant".</p> <p>The Pega applications currently in use by The State of Maine have been reliable and have consistently performed well. Security has never</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
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**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

				<p>been an issue as Pega has stayed on top of new global security threats. All current SOM Pega applications pass a Security and Accessibility scan at least once per year with no issues being detected.</p> <p>In the proposal, Pega agrees with most all of the MaineIT policies and refers to Pega documentation for a select few.</p>
III	1	<b>Appendix E-</b> Project Approach		<p>The project approach appears adequate, although often times boiler-plate.</p>
III	1	<b>Appendix E-</b> Project Management		<p>In many areas the focus of the proposal relies heavily on the Pega platform and the Pega reputation, but provides rather little detail regarding ProComm's involvement. Somewhat surprisingly the project uses Jira rather than the Pega PMF tool for tracking issues.</p> 
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables		<p>The schedule for completing the entire project in 236 days is very concerning and unrealistic considering some of the complexities of the formulas involved in the licensing and monitoring.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution		<p>Realistic approach to interfaces with a lot of thought going into them.</p> <p><b>Procomm's plan and cost will be based on leaving the legacy data in situ. (see page 108 for reference)</b></p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance		<ul style="list-style-type: none"> <li>- Procomm will provide on-site support for UAT testing. This would be a plus.</li> <li>- The chart on page 111 references all kinds of testing but leaves out Security testing.</li> </ul>
III	1	<b>Appendix E-</b> Training Approach		<p>Procomm offers a variety of training options including train-the-trainer, private, public, specialist, etc. This makes sense in such a large scale adoption.</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2): Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>		
III	2	<b>Appendix F- Sheet "1. Licensing"</b>		All critical items are Standard with the caveat that says "The solution can be configured to meet this requirement"
III	2	<b>Appendix F- Sheet "2. Public Portal"</b>		All critical items are Standard with the caveat that says "The solution can be configured to meet this requirement"
III	2	<b>Appendix F- Sheet "3. Document Management"</b>		All critical items are Standard with the caveat that says "For the Document Management tab all rows marked by an "S" are standard out of the box items for Pega that will be configured to integrate with the state's current Document Management platform to meet ME DEP's needs"
III	2	<b>Appendix F- Sheet "4. Payments"</b>		All critical items are Standard with the caveat that says "Pega supports connections to other systems via a variety of standard APIs. Standard out-of-the-box Connectors include web services (HTTP, REST, SOAP, WSDL, ODBC, JDBC), EJB, Java, JMS, MQ, .NET, SQL, CMIS, BPEL, ATOM, Cassandra, HBase, Email, and File. This robust set of integration capabilities can be leveraged to create work to be completed. Using Pega's dynamic case management, processes need to be created only one time and can be started from a multitude of different intake methods.  Services and connectors are available for integrating Pega applications with legacy applications, third party applications, and data repositories within your production environment."

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** DAFS/OIT

III	2	<b>Appendix F-</b> Sheet "5. Comp- Insp-Enf"		All critical items are Standard with the caveat that says "The solution can be configured to meet this requirement"									
III	2	<b>Appendix F-</b> Sheet "6. Reporting"		All critical items are Standard with the caveat that says "For the Reporting tab all rows marked by an "S" are standard out of the box items for Pega that will be configured to meet ME DEP's reporting needs.  Pega natively provides comprehensive reporting and analytics capabilities for business users to create, manage, and share within the application. Pega also allows you to create ad-hoc or custom reports to meet your business needs."									
III	2	<b>Appendix F-</b> Sheet "7. Technical"		All critical items are Standard , each with an individual explanation.									
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"		All marked Standard with the exception of: <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">INT.2</td> <td style="width: 45%;">Application Tracking System (ATS) Compliance Database [Microsoft (MS) Access]</td> <td style="width: 40%;">Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)</td> </tr> <tr> <td>INT.3</td> <td>SWReduct Database- Solid Waste Compliance System [MS Access]</td> <td>Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)</td> </tr> <tr> <td>INT.21</td> <td>Gravel Pits Licensing System [MS Access]</td> <td>Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)</td> </tr> </table>	INT.2	Application Tracking System (ATS) Compliance Database [Microsoft (MS) Access]	Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)	INT.3	SWReduct Database- Solid Waste Compliance System [MS Access]	Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)	INT.21	Gravel Pits Licensing System [MS Access]	Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)
INT.2	Application Tracking System (ATS) Compliance Database [Microsoft (MS) Access]	Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)											
INT.3	SWReduct Database- Solid Waste Compliance System [MS Access]	Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)											
INT.21	Gravel Pits Licensing System [MS Access]	Connections from PegaCLOUD to MS Acc databases are generally done. We will have to confirm connectivity, an drivers. (295 hours or \$35,400)											



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** DAFS/OIT

				INT.24	SWReduct Database [MS Access]	Connections from PegaCLOUD to MS Access databases are generally not done. We will have to confirm connectivity, and drivers. (295 hours or \$35,400)
				INT.25	Application Tracking System (ATS) Compliance Database [Microsoft (MS) Access]	Connections from PegaCLOUD to MS Access databases are generally not done. We will have to confirm connectivity, and drivers. (295 hours or \$35,400)
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"		All responses are Y		
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.				
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.				
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only				

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** DAFS/OIT

		costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.		
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"		
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"		
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"		
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"		
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"		
IV	2	<b>Appendix G-</b> Sheet "Data Migration"		

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** PROCOM

**DATE:** 3-24-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
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## Notes:

### Phase I: Organizational Qualifications and Experience:

For Texas Alcoholic Beverage Commission, did they provide “extensive support to a Platform as a Service (PaaS) vendor” or did they provide “Overall Project Management, Business Analysts, Scrum Master, Developers, Quality Assurance?”. The first statement implies a supporting role, but the second statement doesn't leave much for the supported vendor to do.

Client provided Pegasystems projects at the State of Maine as references. Unfortunately, the general appreciation for Pegasystems value at the State of Maine is low. Some of the projects cited are planned for retirement (MainePays), and some of these projects (LEEDS) did not involve Procom in their implementation.

Closest thing to involvement with referenced New Jersey project appears to be “Pega has been working closely with the client to divide the legacy application into self-contained functional areas and create a pipeline of MLPs, projects, and releases.”, which doesn't necessarily imply that ProCom is involved with the project.

Org chart wasn't customized for RFP, and was a bit simple.  
Financial submittals were oversimplified.  
Only 5 Project Team positions, and the 5 “resumes” did not include education or previous employers.

---

### Phase II

General nature of responses show ProCom's lack of software and lack of experience.

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202110152

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**BIDDER NAME:** PROCOM

**DATE:** 3-24-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

Approach to migration shows enterprise system knowledge, even if I don't like the suggested approach.

Overly enthusiastic deployment of "The solution can be configured to meet this requirement" imply that the solution does not currently have the ability to "meet this requirement"

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** ProCom Consulting, Inc.

**DATE:** 3/29/2023 (Sections I, II, & project team), 4/14/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
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 \*\*\*\*\*

## Overarching comments on bid package:

ProCom appears to be taking credit for systems that were Pega solutions but that they didn't actually work on. The project for NJ is claimed by Stratosphere (another bidder). When we contacted the DMR project manager for LEEDS, we found out that they had never worked with ProCom. It may be a Pega solution, but it was provided by another company. This makes me uncomfortable.

The proposal has very little discussion of DEP roles and responsibilities other than our Project Manager. I didn't feel like DEP was considered a true partner in this project plan.

The proposal repeatedly references breaking the project into four releases, but never describes what would be included in each release. This makes the proposal difficult to analyze.

ProCom's proposal includes leaving legacy data in situ to be referenced by the system instead of migrating it to the new system. I don't think this is a viable solution for us.

Overall, I have low confidence that ProCom can deliver a workable solution.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**BIDDER NAME:** ProCom Consulting, Inc.

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>1<sup>st</sup> Project was TX Alcoholic Beverages.</p> <p>Provided project management and development support but it appears they did not provide the actual solution.</p> <p>They provided contact information for this project but not for the other two, including the one for Maine.</p> <p>Project 2 is for various applications at Maine agencies including Dept of Marine Resources and Board of Pesticide Control. Both are for small individual applications. DMR states they did not work with ProCom. It appears that the applications listed in this project are Pega solutions, but not necessarily provided by ProCom.</p> <p>Project 3 is a large enterprise system for NJ DEP. It seems to be a very similar project to what we're proposing.</p> <p>Based on the ME DMR project not being done by ProCom, I have similar questions as to whether this project was done by ProCom. Would definitely want to ask NJ if they worked with ProCom or a different Pega provider.</p> <p>NJ DEP's project is not complete. Bidder states they are "in the middle" of this large-scale project.</p> <p>Looked at NJ DEP website. They appear to have a lot of programs that can use a CROMERR compliant system to apply for various permits. The permits listed are smaller "registrations" and not complex permits. Not sure how complete or extensive the data management is on the DEP side.</p>
II	2	Subcontractors	Not using a "subcontractor" but will be using their fully-owned subsidiary, PerseusX, to provide the Pega configuration team.
II	3	Organizational Chart	Basic generic org chart. Names are only provided for 5 high-level team members.
II	4	Litigation	"no litigations within the past 5 years"
II	5	Financial Viability	As a private company, they provided only gross revenue for the past 3 years. (\$32 – 50 million). No other information provided.
II	5-a.-i.	Balance Sheets	
II	5-a.-ii.	Income (Profit/Loss) Statements	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**BIDDER NAME:** ProCom Consulting, Inc.

**DATE:** 3/29/2023 (Sections I, II, & project team), 4/14/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

II	6	Licensure/Certification	Provided Pega Alliance Certification Letter.
II	7	Certificate of Insurance	General Liability = \$1 million Umbrella Liability = \$5 million Professional = I think this is part of Cyber and Errors & Omissions (E&O) Cyber and E&O Liability = \$20 million
III	1	<b>Appendix E- Technical Proposal (aka Attachment 1):</b> Key Proposed Project Personnel and Project Team Organization	Provided resumes for the 5 key staff named.  Listed the Client Lead as the escalation contact for all matters.  Project Manager has lots of experience but not with enterprise solutions of this size.  Apart from the Project Manager, none of the proposed team appear to have any experience with Env data at all.
III	1	<b>Appendix E- Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance</b>	Solution proposed: Pega Government Platform  (p20) 99% no code/low code  (p21) Role-based access that correspond to specific granular functions in the system.  (p22) No custom code required to integrate with other systems.  (p23) Not sure I understand the "case-based approach." I think they consider each application a "case."  (p24) ProCom states non-technical users can build their own ad-hoc reports.  (p26) Quarterly releases  (p27) Regarding the licensing/subscription options, ProCom states that Pega has a flexible model and works with its customers to define appropriate licensing models.  Proposal is based on 100 user licenses using a pro-rated model based on hourly periods accessed per month.  (p28) Limited to processing 5,000 DEP licenses per year.  (p30) Pega uses isolation and security best practices to create a protective bubble in Pega Cloud.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>(p31) Hosted by Amazon Web Services.</p> <p>(p33) I think they've stated that no third-party software or partnership is required.</p> <p>I think there is a key word missing in the next to last paragraph on p33.</p> <p>(p35) Detailed architecture and data flow diagrams provided.</p> <p>Two sandbox environments, small and large.</p> <p>(p36) I don't understand how the "Situational Layer Cake" works, but I expect Bill does.</p> <p>Calls on Word for correspondence, Excel for report export, Adobe for charts/reports.</p> <p>(p40) ProCom is proposing four release trains. I assume each bureau is a release, but it doesn't explicitly say that, so I'm not sure. It says further described in Project Approach).</p> <p>(p41) "Much of the solution can be configured by Maine DEP."</p> <p>90% configuration / 10% customization (I'm skeptical if they've considered our database of detailed facility information in these numbers.)</p> <p>(p43) I give ProCom credit for looking into CROMERR requirements and attempting to address them. They likely could build a compliant system, but their answers indicate they've never done it before, meaning we wouldn't have that head-start of a proven system that could be fast-tracked for EPA approval.</p> <p>(p45) Data can be exported to a warehouse.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>(p49) Table 2.1: Responded Yes to most policies. Some did not have the declarative statement and referred to links. Will need to ask Bill if there are any concerns here.</p> <p>Table 2.2: (p54)</p>



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** ProCom Consulting, Inc.

**DATE:** 3/29/2023 (Sections I, II, & project team), 4/14/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>1. I think Pega Cloud is hosted by Amazon Web Services (see row 8). Link is broken.</p> <p>4&amp;5. Answered questions for both ProCom and Pega. ProCom currently supporting four active clients with 23 “statements of work” (projects?).</p> <p>8&amp;9. Unplanned outage information provided for AWS only, not the Pega system.</p> <p>11. Declines to answer questions about instances of unplanned outages.</p>
III	1	<u>Appendix E</u> - Project Approach	<p>(p61) MLP = Minimum Loveable Product – A bit too cute.</p> <p>(p64) Good list of reasonable risks. I like that they’ve acknowledged Native Knowledge as a risk.</p> <p>(p66) Proposing a lot of time on-site. I wonder if this has changed since the RFP was developed.</p> <p>Throughout the proposal ProCom has repeatedly referenced having four releases, but has not stated what is included in each release (i.e., which bureaus, systems, or functions). Here they make it clear that this has not yet been determined and that they would work with the DEP to make that determination. Although I understand that approach, it makes it difficult to analyze their proposal when the proposal itself isn’t clearly defined.</p> <p>(p67) No additional assumptions to list. It’s odd that they would have absolutely no assumptions that haven’t already been addressed.</p> <p>(p70) Post go-live support is 30 days.</p> <p>(p71) No information on whether after hours or weekend support is available.</p> <p>Believe requests where professional help from ProCom for enhancements will be rare. Believes staff will be able to handle most system configurations on their own. I’d like to hear from Bill if that’s been OIT’s experience with other Pega projects.</p>

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III	1	<b>Appendix E-</b> Project Management	<p>Overall – Throughout the proposal I've seen no (or very little) mention of the use of SMEs. Not sure how ProCom expects that collaboration to occur.</p> <p>(p74) JIRA used as a tracking tool for requirements, user stories, risks, action items, issues, etc. Curious as to why they didn't propose Pega Agile Studio.</p> <p>(p78) The discussion on resource management makes me feel like ProCom has been burned in the past by overscheduling resources.</p> <p>No discussion of the DEP roles other than our Project Manager.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>I can't really read the Gantt chart in the PDF format provided. That's partially our fault for asking for it in MS Project.</p> <p>Each sprint appears to have only 1 day for Discovery. That seems like a laughably short amount of time to determine requirements.</p> <p>I would have expected the first Release Train to take longer than those that follow.</p> <p>(p87) Can start within 30 days of contract award.</p> <p>In their experience, implementation of projects of similar size and complexity takes 9-12 months. I believe this very much underestimates the amount of work to be done.</p> <p>(p88) Don't feel like they really answered the question on implementing bureaus in stages.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>(p89) Again, no discussion of DEP staff roles or tasks. I don't feel like we are being considered a true partner in this project.</p> <p>ProCom provided a schedule, but no detailed implementation plan.</p> <p>(p91) Three environments, Development, Staging, and Production.</p>

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			<p>(p94) The diagrams appear to be missing headings or a description of what they're attempting to convey.</p> <p>No description on how ProCom will work with the DEP to determine what can be done through configuration vs. customization. They've provided stock sales language around how easy the system is to configure.</p> <p>(p97) Relying on documentation automatically generated within the Pega platform. I have questions about how much usable information this provides to business users.</p> <p>(p99) Implies that only the MS Access database integrations need to be a customization. Everything else is standard in the system. I am skeptical of this.</p> <p>(p101) Recognizes that interfacing with an MS Access system is difficult.</p> <p>(p108) Proposal based on leaving legacy data in situ (where it currently lives) eliminating the need for migration. I assume this means all of the legacy systems would also need to continue to be maintained as "live" to allow access to the legacy data. I don't think this is a workable solution for us.</p> <p>I'm also not sure what the difference is between option 1 and option 2.</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>(p110) No discussion of test scripts and what level of assistance ProCom will offer developing them.</p> <p>ProCom did not provide a lot of detail on Testing/QA.</p>
III	1	<b>Appendix E-</b> Training Approach	<p>(p113) ProCom says it will train administrators and users, but also mentions Train-the-Trainer approach.</p> <p>Post implementation training for new users in both classroom settings and online self-service modules. While this may be good for admins, I'm not sure how training directly from Pega helps business users of our specific system.</p> <p>In this section, ProCom seems to "step back" and rely on Pega's training systems. There appears to be very little provided by ProCom itself.</p>

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III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>	ProCom has indicated that every single requirement is standard and does not require customization. I'm concerned that some of this optimism is based on not understanding the project.
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	ProCom indicates that every single requirement is standard and does not require customization.
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	ProCom indicates that every single requirement is standard and does not require customization.
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	ProCom indicates that every single requirement is standard and does not require customization.  In Row 16, ProCom states that it is a standard out of the box item for Pega to be configured to integrate with the State's current Document Management platform. They are failing to realize the instances where we don't have one.
III	2	<b>Appendix F-</b> Sheet "4. Payments"	ProCom indicates that every single requirement is standard and does not require customization.
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	ProCom indicates that every single requirement is standard and does not require customization.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	ProCom indicates that every single requirement is standard and does not require customization.  R17 indicates that Pega allows the creation of ad-hoc reports, but the proposal contains no information about how this would be done or what third-party reporting tools can be used. I am skeptical that the level of reporting we need can be handled by a native tool.
III	2	<b>Appendix F-</b> Sheet "7. Technical"	ProCom indicates that every single requirement is standard and does not require customization.

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III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	Interfacing with Access databases listed as a customization.
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	Although all requirements are marked as being included, the written proposal indicated that some data would be left in situ.
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	

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IV	2	<u>Appendix G</u> - Sheet "Enterprise Solution Costs"	
IV	2	<u>Appendix G</u> - Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**BIDDER NAME:** Slalom

**DATE:** 4/3/2023 & 4/28/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
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## Overarching comments on bid package:

### PHASE I –

It appears that Slalom's comprehensive understanding of the RFP, combined with their experience leads them to propose a novel approach which limits their proposal: "This approach is grounded in architecting a complete solution, delivering a high quality, fully functional and public-facing solution for a subset of your Bureaus, and ensuring your team's readiness to expand the solution upon project conclusion." Despite Slalom's extensive experience, this approach will not meet the requirements or scope of the RFP.

Salesforce, 6000 projects. Understand scope, build foundation. Approach is different, but I like it. Top 5 state & local Salesforce partner in the US. 10 years Salesforce services. 2700 Salesforce consultants. Incremental delivery strategy. Built for Maine Office of Cannabis. Talks about being expandable to other agencies (I like that) Founded in 2001. Talks about long term success. "Love your future" LOCAL presence in Maine.

Did not see examples of enterprise level projects.

Project 3 is a relevant licensing system, but it appears to be for a very niche system

Bringing in local environmental consultants as subcontractors is innovative. That said, while we will need to capture our customer's needs in the course of this project, our customers (the consultants) should not be given too much sway over the business processes which the system will be facilitating.

LOCAL subs, Brooke Barnes – former DEP Deputy Commish one of contacts, very unique and I love this sharing with the state consultants.

Revenue is in the billions,(2.39b 2021) no outstanding borrowings; 12,000 employees worldwide, Appears extremely viable.

#3 Salesforce Partner in North America

#4 Salesforce Partner Globally

#2 Salesforce Partner in North America for overall certifications

7,000 Salesforce certifications

Salesforce Navigator Expert in Public Sector

#4 Tableau Partner

Tableau 2022 Services Partner of the Year

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## PHASE II

Salesforce is a good platform however the proposal vastly limits the scope and needs layed out in the RFP

Slalom states both that they would need more information about CROMERR to answer our questions and that CROMERR is a Salesforce customer today. These are two opposing statements that imply that they don't understand what CROMERR is and that they didn't bother to do any research.

Concerns about valuing our requirements as a customer since they only offer 'limited viable product'

They state the solution for DEP will not be reusing any work form previous implementations. This is weird, starting with nothing seems inefficient

They propose to change the scope of the project to only create and deploy a solution for BRWM and BWQ as a minimum viable product (MVP), leaving the Air and Land Bureaus up to the DEP to find or develop additional solutions for. Obviously, this only addresses the needs of half of the Department, which is not reasonable or acceptable  
Timeframe for implementation does not appear sufficient to transition to a new enterprise licensing system.

Not much support postproduction included

No costs provided for customization work in Appendix F – how much??

Salesforce natively provides and what functionality would need to be custom configured, but the amount of customization appears to be so large that it would be a challenge meeting the requirements of the RFP within a reasonable timeframe.

Overall, it is very unclear, the proposal is to complete a little over half the project, inconsistencies throughout the proposal and the technical proposal.



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## Overarching comments on bid package:

- Salesforce Technology
- For such a large company, the project examples seem a bit weak
- “Recently announced that we are expanding Slalom with a local presence in Maine”. Wondering what this actually means.
- In File 7 Slalom is already proposing contract language changes. Some of these could delay the contract negotiations based on a quick review.
- Slalom is proposing to build out the solution for BRWM and Water Quality, which will act as a prototype for the DEP to build out the solutions for Air and land.
- Many of the critical technical requirements are considered custom, but no associated cost information was provided
- Costs provided include 4-weeks post go-live “Hypercare”, but no support after that. Slalom does offer a care package called E&O, but costs will need to be negotiated and service will need to be reviewed. Slalom recommends that the DEP consider hiring several Salesforce Administrators for part time work during the implementation phase, and that we implement a Salesforce COE to help support the solution.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included

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II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Project #1 – EPA for workflow, document storage, and data support. It's unclear exactly what the project did or the extent of it. But it was done by a company called Innovate! And supported by Slalom.</p> <p>Project #2 – AZ Dept of Health and Services for a licensing platform to support “a myriad” of related industries &amp; Child Welfare. Slalom was responsible for PM, user stories, backlog, discovery, data analysis, integration, change mgmt. &amp; training. Looks like a 2-year project that has resulted in the creation of a “core platform”, but the details are lacking.</p> <p>Project #3 – CO Dept of Labor and Employment, Office of Petroleum and Safety for a Petroleum tank licensing, remediation, and management system. Project was developed over 12 – two-week sprints.</p> <p>Projects #1 &amp; #2 cover the requirements for an Environmental Protection project.</p>
II	2	Subcontractors	<p>The proposal has resumes for 3 subcontractors who are just for subject matter expertise:            Credere Assoc, Westbrook, ME            Sebago Technics, South Portland, ME            Stantec Consulting Service, Portland, ME</p>
II	3	Organizational Chart	Good vision of project team structure
II	4	Litigation	Pending litigation - Eurasia Group LTD for \$700k
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	Not provided
II	5-a.-ii.	Income (Profit/Loss) Statements	Not Provided Slalom provided 2021 revenue = \$2.39B
II	6	Licensure/Certification	Many Salesforce certifications and acclaims Tableau partner of the year 2022
II	7	Certificate of Insurance	No umbrella Prof Liability & Cyber = \$5M
II	1	Key Proposed Project Personnel and Project Team Organization	<p>Resumes for project team includes a total of 30 people.</p> <p>Resumes for subcontractors includes a total of 3 people, who according to the document will be responsible for assisting in Discovery &amp; Design and were intentionally chosen due to their connection to Maine.</p>
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality,	<ul style="list-style-type: none"> <li>- Salesforce LPI</li> <li>- Standard Salesforce – 3 upgrades per year, plus minor patches and emergency releases which are transparent to the customer</li> </ul>

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		Software Hosting and Maintenance	<ul style="list-style-type: none"> <li>- Axsy Public Sector Mobile App is an add on to be used</li> <li>-</li> </ul>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<ul style="list-style-type: none"> <li>- Data separation is through multitenant architecture and is industry standard</li> <li>- Hosted on AWS Gov Cloud</li> <li>- Geographically separated secondary site</li> <li>- Mobile app can be used offline</li> <li>- Proposed solution is starting from scratch with Salesforce LPI and not utilizing any solution provided to other customers</li> <li>- SOC1, SOC2, and SOC3 audits are performed annually, but this is just on the Pega platform. Will also provide a SOC2 Type II report?</li> <li>- Slalom indicates that they would need more info to respond to the CROMERR question, but that CROMERR is a Salesforce customer.</li> <li>- Export of data is available at any time</li> <li>- Broad agreement to all MaineIT policies</li> <li>- FedRAMP P-ATO</li> <li>- File 3 – page 42 – Question on support services. The paragraph indicates that Slalom’s proposal does not include support services, but can supply it using their E&amp;O?</li> <li>- No toll free number available for support</li> <li>- 3-month warranty on the solution</li> <li>- Slalom is not responsible for platform outages. Does this mean we have to call Salesforce with issues?</li> <li>-</li> <li>-</li> </ul>
III	1	<b>Appendix E-</b> Project Approach	<ul style="list-style-type: none"> <li>- Proposed approach is to perform a complete discovery first to ensure understanding of the entire future state</li> <li>- Build epics and features and align on MVP</li> <li>- Iteratively define process detail at the bureau level staying 2 sprints ahead of the development team</li> <li>- Page 47 implies that Slalom would be involved in the deployment for Water and Remediation only, and MaineIT &amp; DEP would handle the rest. Confirm if anyone else reads that the same way.</li> <li>- 42 week process total?</li> </ul>
III	1	<b>Appendix E-</b> Project Management	<ul style="list-style-type: none"> <li>- Relationship Lead – Team alignment and Client Satisfaction</li> </ul>

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			<ul style="list-style-type: none"> <li>- Engagement Lead – Day to Day project management</li> <li>- Delivery Solutions Lead – end-to-end solution implementation</li> <li>- Account Executive - results and satisfaction</li> <li>-</li> </ul>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<ul style="list-style-type: none"> <li>- Aggressive schedule – total of 42 weeks</li> <li>- Good details of timetable</li> </ul>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<ul style="list-style-type: none"> <li>- 12 week discovery &amp; design</li> <li>- 10 consecutive 2-week sprints</li> <li>-</li> </ul>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<ul style="list-style-type: none"> <li>- Page 75 – ME DEP owns the effort to develop, unit test, &amp; functional test the system interfaces</li> <li>- Page 76 – ME DEP takes over data migration at step 5 which is developing the code to the design specifications for the ETL process</li> </ul>
III	1	<b>Appendix E-</b> Training Approach	<ul style="list-style-type: none"> <li>- Comprehensive training approach which includes training the trainer</li> </ul>
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>	
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	<p>Many of the critical requirements require some type of customization. Some seem very slight and others potentially extensive. Unfortunately, I do not see any associated costs so it's difficult to tell what the impact is on the overall project.</p> <p>There is a potential issue with spell checking, which the vendor indicates should be done using the browser and not within Salesforce.</p>
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	<p>There are a number of critical requirements that require what looks to be more than just minor customization. Unfortunately, I do not see any associated costs so it's difficult to tell what the impact is on the overall project.</p>

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III	2	<b>Appendix F-</b> Sheet "3. Document Management"	There are a handful of critical requirements that require customization, and it is difficult to determine at what level. Unfortunately, I do not see any associated costs so it's difficult to tell what the impact is on the overall project.
III	2	<b>Appendix F-</b> Sheet "4. Payments"	There are a handful of critical requirements that require customization, and it is difficult to determine at what level. Unfortunately, I do not see any associated costs so it's difficult to tell what the impact is on the overall project.
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	There are a handful of critical requirements that require customization, and it is difficult to determine at what level. Unfortunately, I do not see any associated costs so it's difficult to tell what the impact is on the overall project.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	Most all reporting requirements are met within the Standard Salesforce. The few that are not will need third party solutions.
III	2	<b>Appendix F-</b> Sheet "7. Technical"	Salesforce permanent document retention continues to be problematic. There are a few other critical requirements that require customization, but again its difficult to judge the magnitude without a cost estimate.
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	All interfaces are considered supported
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	Most of the data is considered migratable with some exceptions. Those exceptions need to be examined closer by the DEP to determine if they will cause any major issues.
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with	

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		the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

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**BIDDER NAME:** Slalom

**DATE:** 3-23-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

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## Notes:

### Phase I: Organizational qualifications and experience:

Slalom appears to have a good grasp of the complexity and scope of the RFP.

Unfortunately, it appears that Slalom's comprehensive understanding of the RFP, combined with their experience leads them to propose a novel approach which limits their proposal: "This approach is grounded in architecting a complete solution, delivering a high quality, fully functional and public-facing solution for a subset of your Bureaus, and ensuring your team's readiness to expand the solution upon project conclusion." Despite Slalom's extensive experience, this approach will not meet the requirements or scope of the RFP.

Bringing in local environmental consultants as subcontractors is innovative. That said, while we will need to capture our customer's needs in the course of this project, our customers (the consultants) should not be given too much sway over the business processes which the system will be facilitating.

Otherwise, a very well put together proposal, and it appears that the company has experience implementing the LPI as well as working with federal regulators (EPA).

Nice organizational chart & good project team explanation.

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### Phase II: Proposed Services

It appears that although Slalom has an understanding of the complexity and scope of the project, their lack of experience with this type of project led to some unreasonable scheduling.



## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Slalom

**DATE:** 3-23-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

Even with the scope change proposed by Slalom, the proposed timeframe for the implementation does not appear sufficient to transition to a new enterprise licensing system.

No support options discussed other than three year warrantee

Proposed solution is starting the basic LPI module.

CROMERR Customer, but need more info?

Appendix F:

I appreciate Slalom's candid attitude respecting what functionality Salesforce natively provides and what functionality would need to be custom configured.

Unfortunately the amount of customization appears to be so large that it would be a challenge meeting the requirements of the RFP within a reasonable timeframe.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Slalom, Inc.

**DATE:** 3/29/2023 (Sections I, II, & project team)  
4/19/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

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**Instructions:** The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.  
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Overarching comments on bid package:

Bidder has shown very little experience with enterprise licensing systems or environmental licensing systems.

The plan appears to be to hire local environmental consultants as subject matter experts. This is a novel approach. It may lead to conflict if the hired SME disagrees with the Department SME.

Slalom has proposed to redefine the scope of the project to only deploy a solution for BRWM and BWQ as the minimum viable product (MVP). That's not acceptable.

Slalom doesn't appear to understand CROMERR requirements.

I still have no sense of the look or feel of the solution Slalom proposes to implement.

There was A LOT of customization indicated in Appendix F (Functional/Tech Requirements) which would indicate it is not included in the proposal, but no costs to include these items were listed. I don't know if they misunderstood the instructions or intend for there to be tons of change orders.

Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

I	2	<b>Appendix B-</b> Debarment, Performance and Non- Collusion Certification	Signed
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Project 1 was for EPA, but Bidder does not appear to be the main contractor. It says “Slalom supported a small business partner (Innovate!).” So does that mean this was actually Innovate!’s project that Slalom provided small details on?</p> <p>Never actually explains what the EPA system was for. Just says “to support workflow, document storage, and data necessary to support a federal government agency with regulatory transactions and oversight activities.” That could be anything. Wish there were more details so we could better understand what they did for them.</p> <p>Project 2 was for AZ Dept of Health. Less relevant. Again, no details as to which type of licensing they worked on. Highly doubt they did the whole department in 2 years. Reference contact not provided. Says “Provided upon down selection.”</p> <p>Project 3 was for CO DOL replacement of legacy system for petroleum tank licensing. A very niche program.</p>
II	2	Subcontractors	<p>The proposed subcontractors are Credere Associates, Sebago Technics, and Stantec Consulting.</p> <p>All of the proposed subcontractors are environmental firms that would be external users of the system. Their expertise is not in software development but in the environmental data itself. Bringing in outside SMEs as subcontractors is a novel approach.</p> <p>Although probably familiar with data in other parts of DEP, none of the subcontractors listed have experience with Air data. BAQ has significant data management needs. Since they appear to be offering half of a solution in their minimum viable product (MVP), they would potentially have to change subcontractors to complete the project.</p>
II	3	Organizational Chart	<p>I like that the org chart incorporates DEP/OIT staff.</p> <p>Org chart is detailed and takes into account separate parts of the project including Portal System &amp; Payments,</p>

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			the internal Licensing Process, and Data Management/Integrations.
			No names listed on org chart.
II	4	Litigation	One pending lawsuit (Eurasia Group, Ltd. v. Slalom, LLC) Fee dispute in the amount of \$700k.
II	5	Financial Viability	As a private company, they provided only gross revenue for the past 3 years. (\$1.6-2.4 Billion). No other information provided.
II	5-a.-i.	Balance Sheets	
II	5-a.-ii.	Income (Profit/Loss) Statements	
II	6	Licensure/Certification	Certification for Salesforce. Individual team member certifications provided as well.
II	7	Certificate of Insurance	General Liability = \$1 million Professional & Cyber = \$5 million
III	1	<b>Appendix E- Technical Proposal (aka Attachment 1):</b> Key Proposed Project Personnel and Project Team Organization	States that "as availability is dependent upon the actual project start, the final Slalom team will be solidified close to the project kick-off." So, they aren't guaranteeing us these are the people we will get, just people like them.  "If a profiled consultant is not available, we will include a team member with similar skills and experience."  No escalation point of contact.  No one on the Bidder project team has any experience with environmental data.
III	1	<b>Appendix E- Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance</b>	Solution Proposed: Salesforce  (p22) Although the diagram of the stakeholder's journey is very oversimplified, it does at least get most items in the correct order.  The minimum viable product (MVP) includes only BRWM and BWQ. The proposal leaves out half of the Department. This might be a deal-breaker.  I do not feel like the overview gave me an understanding of how the solution would look, feel, or work for end users.  (p25) Three licensing options: <ul style="list-style-type: none"> <li>• Pay-as-you-go</li> <li>• Volume</li> </ul>

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			<ul style="list-style-type: none"><li>• Enterprise License Agreement</li></ul> <p>Proposing 350 Enterprise licenses + 50 Mobile</p> <p>Tableau: 5 Creator licenses + 335 Viewer licenses</p> <p>References 5,000 public sector application forms. I wonder if this is a limit on the number of applications the system can process per year.</p> <p>(p27) Three upgrades released each year.</p> <p>(p28) Hosted by Amazon Web Services. For government services, production data centers are provisioned in pairs, fully mirrored and geographically separated.</p> <p>(p29) 3<sup>rd</sup> Party Software Needs: Axsy Public Sector Mobile App. It's built on the Salesforce platform.</p> <p>(p32) Slalom says they will be building a bespoke solution for DEP and will not be reusing any work form previous implementations. Sounds like we're starting from ground zero with no efficiencies to be gained from previous installations.</p> <p>(p36) Slalom says they will involve DEP users who are certified Salesforce Administrators in the details of implementation. This implies that staff won't be included if they aren't certified and also that configuration can only be done by admins certified in Salesforce. Slalom further states that they will not provide Salesforce training or certification.</p> <p>Slalom states both that they would need more information about CROMERR to answer our questions and that CROMERR is a Salesforce customer today. These are two very odd statements. The requirements of CROMERR are easy to google. Also, CROMERR is a regulation, not something that would be a Salesforce customer. Their answer implies that have no idea what CROMERR is nor did they care to do much research into it.</p> <p>Regarding the Department getting a full copy of the database (p36), Slalom said, "Receiving a copy of the</p>
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			database is N/A to the Salesforce services. Customers have the ability to export their data at any time." These statements appear to be contradictory.
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies in the first half of the table. All items in the second half of the table had a comment about "NIST SP 800-53." Ask Bill.</p> <p>Table 2.2: (p44) 1. Customer Data hosted by Amazon Web Services.</p> <p>4&amp;5. Regarding "your company" vendor-managed solutions, Slalom's answers are for Salesforce not their own work.</p> <p>8&amp;9. Declines to answer questions about instances of unplanned outages</p> <p>10&amp;11. Slalom states it is not responsible for platform outages. Slalom is putting a hard line between itself as a consulting firm and the software provider.</p>
III	1	<b>Appendix E-</b> Project Approach	<p>(p46) They've presented an alternative approach that only focuses on 2 of the 4 bureaus. They redefined the project. They propose to only include BRWM and Water at this time. Air and Land would be saved for a subsequent release under a different contract. This makes it difficult to evaluate some aspects of the bid documents because their proposal is for a much smaller scope of work than what was laid out in the RFP.</p> <p>(p48) Slalom believes that by focusing on BRWM and BWQ it would hit more than 2/3 of the business processes across all complexity levels. They believe this would prepare DEP to deliver a solution to the other bureaus. Unfortunately, a complex Water permit may not prepare you to configure a complex Air permit.</p> <p>(p48) They consider Enforcement to be of relatively low complexity. I don't think that is accurate. We have metrics to track for EPA that are pretty complicated for me to understand.</p>

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			<p>(p51) Slalom lists over-customization and lack of process standardization as risks and recommends minimizing one-off processes and exceptions and leaning in to what is provided "out-of-the-box" by Salesforce. I appreciate the concept, but we don't always get to choose the work process rules. It also sounds like Slalom is attempting to limit this contract to low-hanging fruit. We need a system that flexes to our needs, not the other way around.</p> <p>(p52) Slalom recognizes that DEP may have different priorities for the MVP.</p> <p>Proposes to lead the mapping exercises but have DEP execute the actual data migration.</p> <p>(p53) Provided a list of 75 assumptions.</p> <p>6: Slalom expects DEP to provide the project all management tools including JIRA (or similar).</p> <p>11: Propose only 1 release. Multiple releases will be at increased cost.</p> <p>13: Application intake through portal only. Not sure if their intent was to exclude paper submission, but we will still be required to accept paper.</p> <p>17: Licenses will generated by DocuSign or AdobeSign. I don't know how this works when we have to write a license in Word.</p> <p>21: Limits scope to 32 of the flows listed in the Current State Workflows.</p> <p>23: Violation types limited to out of the box functionality. I question whether our violation types are covered by their standard functionality.</p> <p>25: MaineIT is responsible for integrations with Outlook.</p> <p>27: Max of 60 application forms to be deployed. (They haven't said anything about developing application forms before this.)</p> <p>33: Custom scheduling is out of scope.</p>
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			<p>47: Slalom will not provide training for DEP staff towards Salesforce credentials.</p> <p>51: Slalom will develop up to 6 user personas total. There are likely to be more than 6 use cases.</p> <p>56: Does this mean the DEP is responsible for writing and executing all migration scripts?</p> <p>61: Concerned they are going to want to leave historic data behind.</p> <p>69: What does it mean to limit integration payloads to 15 elements?</p> <p>(p57) The assumptions for reports do not give me comfort about the ability for business users to do ad-hoc reports.</p> <p>(p59) "Hypercare" period includes 4 weeks of post go-live support.</p> <p>(p60) No additional support provided after the initial post-go-live hypercare period is included in this proposal. They would be part of a separate maintenance contract.</p> <p>Expects the DEP to bring on 2 Salesforce Administrators during the project.</p>
III	1	<b>Appendix E-</b> Project Management	<p>Slalom addressed all of the items but from a high-level and without much detail or specifics.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p67) Not committing to a start date or resources, but likely able to start within 1-2 weeks.</p> <p>Example project 2 for AZ took two years.</p> <p>Removal of Enforcement &amp; Document Management won't impact overall timeline.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>(p74) Relies heavily on Salesforce "point &amp; click / drag &amp; drop" customization tool. Unsure how well this will handle our complex data needs. Mention Apex programming for more complex requirements.</p> <p>Assumes 80/20 configuration to coding.</p>



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			<p>Documentation of customization includes Admin Guide and User Stories.</p> <p>(p76) DEP is responsible for developing the code to migrate data from legacy systems.</p>
III	1	<p><b>Appendix E-</b> Testing and Quality Assurance</p>	<p>(p77) I couldn't find any mention of developing testing scripts. Slalom is focused on lightweight documentation. It sounds like an excuse to minimize work.</p> <p>(p78) Slalom uses a lot of words without specifics, e.g., "Support end-users" and "Enable a process to" without saying how these things are actually accomplished.</p> <p>The say what a successful defect management strategy does (e.g., enables the team to identify and track defects) but doesn't say how they intend to do those things.</p> <p>(p70) The explanation on how they would conduct remote testing was good.</p>
III	1	<p><b>Appendix E-</b> Training Approach</p>	<p>(p80) Train-the Trainer delivery. I like the idea of engaging Power Users and a Champion Network.</p> <p>(p81) Good explanation of how to train remotely.</p>
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b></p>	<p>Slalom has indicated a lot of customization is needed, which doesn't align with the 80/20 configuration to customization claim.</p> <p>I'm not sure they understood the part where marking something as a customization meant it wasn't included in the proposal. No cost information was provided for customizations.</p> <p>Based on the "Customization" comments, I'm not sure they really mean that. Many appear to be more of a Configuration based on their being low or no code changes needed.</p> <p>No cost information provided for 3<sup>rd</sup> party applications.</p>

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III	2	<b>Appendix F-</b> Sheet "1. Licensing"	<p>Slalom has indicated a lot of customization is needed, which doesn't align with the 80/20 configuration to customization claim.</p> <p>(R20) The ability to add/deactivate permit types is a Customization? I would have expected it to be a core function of the system.</p> <p>(R55) Relies on web browser functionality for printing to PDF.</p> <p>(R140/141) Slalom has confused the ability to generate an email with our need to generate physical letters.</p> <p>(R161) Document generation (letters, licenses) requires a 3<sup>rd</sup> party application that I assume is not included.</p>
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	<p>Slalom has indicated a lot of customization is needed, which doesn't align with the 80/20 configuration to customization claim.</p> <p>(R37) Proposing Tableau as a 3<sup>rd</sup> party app as a searchable map viewer?</p>
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	<p>Slalom has indicated a lot of customization is needed, which doesn't align with the 80/20 configuration to customization claim.</p> <p>(R20) Implementation of retention schedules will require customization and/or 3<sup>rd</sup> party tools.</p>
III	2	<b>Appendix F-</b> Sheet "4. Payments"	<p>Slalom has indicated a lot of customization is needed, which doesn't align with the 80/20 configuration to customization claim.</p>
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	<p>Slalom has indicated a lot of customization is needed, which doesn't align with the 80/20 configuration to customization claim.</p> <p>(R18) 3<sup>rd</sup> party app needed to capture signatures in the field. I assume not included.</p> <p>(R31) Salesforce appears not to be able to generate a physical letter without a third-party application (that is not included in the proposal). There are many reasons that</p>

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			Licensing, Compliance, and Enforcement staff need to send physical letters.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	(R37, 38,44, 51) All reports are exported as Excel files.  Most all reporting requirements are stated to be included in the proposal.
III	2	<b>Appendix F-</b> Sheet "7. Technical"	
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	Slalom included several comments with assumptions.
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b>	

**STATE OF MAINE  
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		Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: Stratosphere

DATE: 4/4/2023 & 4/28/2023

EVALUATOR NAME: Sherrie Kelley

EVALUATOR DEPARTMENT: Environmental Protection

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## Overarching comments on bid package:

### PHASE I-

Pega platform - Maine DMR Leeds application & Pesticides App .they support it but didn't actually build it. Not overly impressive financials but likely to be viable through term of the project

No special certifications other than 'specialized Pega Partner'

Stratosphere's first example project is a partially completed environmental licensing system similar to our project. Although it was an example of the use of the Pega platform, Stratosphere itself doesn't appear to have been involved in the project.

7 man team, typical outline not sure if they would be dedicated resources. No resumes?

The proposed project team is stated to be 'representative' of the resources that would be assigned to the project. We are concerned that they cannot nail down who the project team will be.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Stratosphere

**DATE:** 4/4/2023 & 4/28/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

## PHASE II

Short 12-month implementation period.

Stratosphere seems to misunderstand DEP's business needs and I fear they have underestimated the project scope.

The answers given when responding to many of the requests in the RFP generally involve the potential of the software. This gives the impression that Stratosphere lacks previous experience developing a solution of the type we need in both scope and complexity.

Appendix F is standard and does not require customization this seems a huge assumption again, not understanding project scope or business needs.

Propose a seven-member project team to complete this project in under a year is an indication that they have seriously underestimated the magnitude of this project.

Stratosphere is a well-known company within MaineIT and has a good reputation for understanding the Pega product. As good as this company is a project of this magnitude would easily overwhelm their available resources.

Clearly out of there league – custom solution with small staff in 12 months.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** Stratosphere  
**DATE:** 4/4/2023  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*  
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## Overarching comments on bid package:

Pega Technology  
 Stratosphere is a current SOM vendor and has a very good service history but is a relatively small company for the size of this project.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Project #1 – NJ DEP for replacing their legacy licensing system. This sounds similar to Maine's effort, but the project description doesn't indicate what Stratosphere's involvement is, so it's assumed that this is just an example to illustrate the capabilities of a Pega solution, but Stratosphere was not involved.</p> <p>Project #2 – CA Dept of Public Health for licensing medical professionals, medical labs, and medical equipment. The proposal indicates that Stratosphere was directly involved in a multi-year effort to configure the Pega solution. A subsequent project for CA Cannabis Licensing is also described as part of Project 2. But, there is no indication of Stratosphere's involvement, which indicates that it's just another example of the Pega capabilities.</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**BIDDER NAME:** Stratosphere

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**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			<p>Project #3 – ME Pesticide Control Licensing (MEPERLS). Maine is very familiar with this project. Stratosphere did not create the application but has done an excellent job supporting it since 2018.</p> <p>Project #4 – ME Lobster Licensing (LEEDS) Maine is very familiar with this project. Stratosphere did not create the application but has done an excellent job supporting it since 2018.</p>
II	1	Key Proposed Project Personnel and Project Team Organization	
II	2	Subcontractors	No subcontractors
II	3	Organizational Chart	Small, proposed project team of 7 people The CIO listed (Colin Campbell) is no longer CIO
II	4	Litigation	Nothing to report
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	Total 2021 Assets = \$1.3M Balance sheet shows company total assets dropped by 34% from EOY 2020 to EOY 2021
II	5-a.-ii.	Income (Profit/Loss) Statements	Total 2021 Income = \$7.7M
II	6	Licensure/Certification	Pega endorsement
II	7	Certificate of Insurance	Umbrella = \$2M Prof = \$2M
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	This is a Pega solution hosted in AWS. It would live in the same space as the other Maine applications. Pega is a modern technology, is composable if written in modules, scalable if the application is written as scalable, the platform is extendable
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	Pega meets NIST 800-53 Rev 5 Standards Hosting is within the AWS Gov tenant Performance with Maine's other Pega applications has never been an issue.
III	1	<b>Appendix E-</b> Project Approach	Very complete description of Agile scrum methodology, but little else
			Notable recommendation from page 68:



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Stratosphere

**DATE:** 4/4/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			<p><b><i>Describe how separate Department bureaus could be implemented and go live in stages.</i></b></p> <p><i>We recommend this approach and would advise the department to proceed with identifying the phases by which the department bureaus would roll out their applications and related processes.</i></p>
III	1	<b>Appendix E-</b> Project Management	
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	Gant chart indicates less than a year to complete the entire project. That is not realistic and indicates that the vendor is severely underestimating the complexities involved in some of the DEP licensing.
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	
III	1	<b>Appendix E-</b> Testing and Quality Assurance	Standard boilerplate with little detail
III	1	<b>Appendix E-</b> Training Approach	Page 92: build training and assistance <i>directly into the application</i> through the use of intuitive design principles, embedded business rules, and helpful tool tips that provide contextual information.
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b></p> <p><b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b></p>	
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	All critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	All critical requirements are Standard

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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III	2	<b>Appendix F-</b> Sheet "3. Document Management"	One critical not available and one that is 3 <sup>rd</sup> party. Both seem to have work-arounds
III	2	<b>Appendix F-</b> Sheet "4. Payments"	All critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	All critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	All critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet "7. Technical"	All critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	All critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	All critical requirements are Standard
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b>	

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		Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

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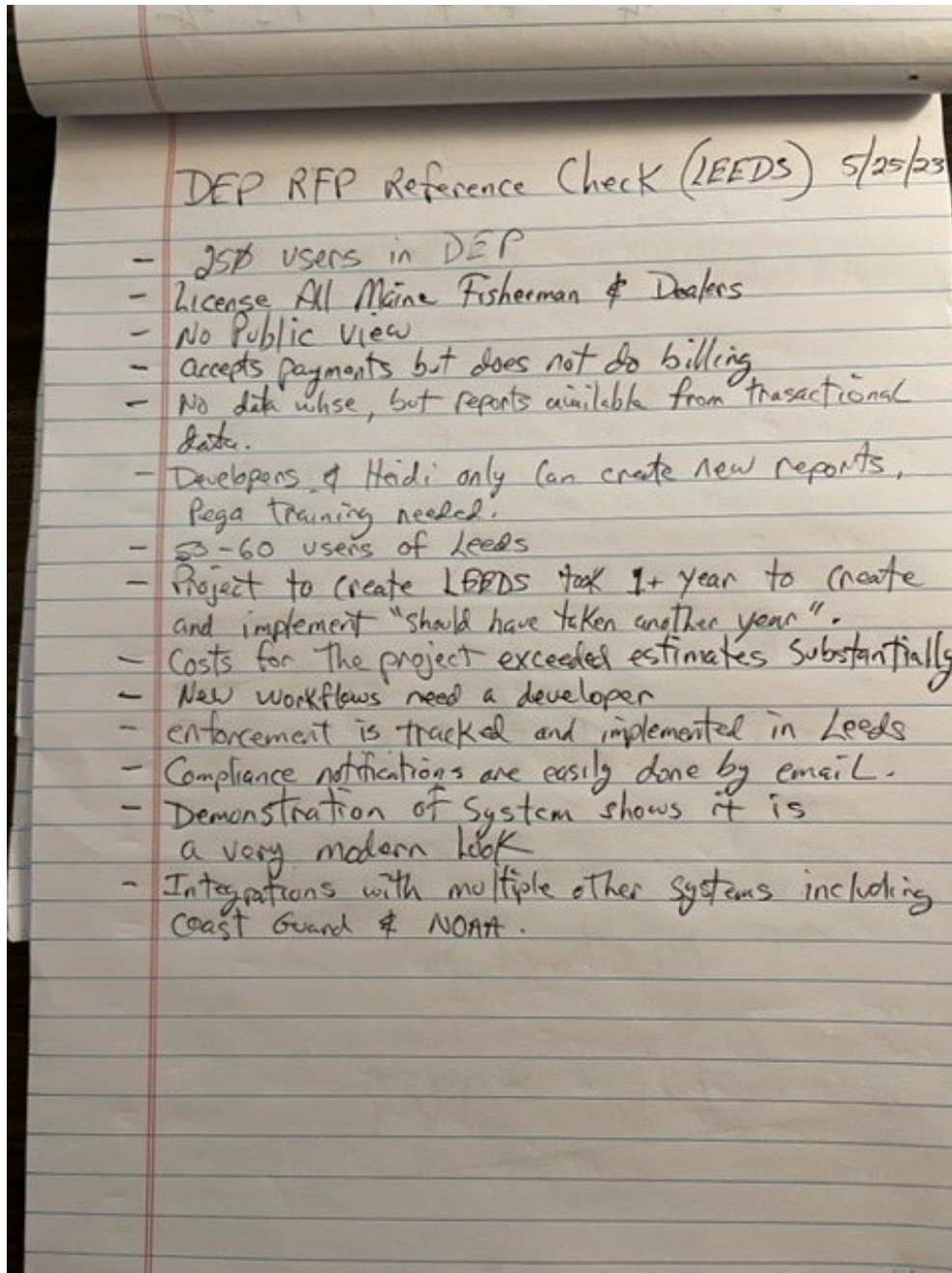
BIDDER NAME: Stratosphere

DATE: 4/4/2023

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EVALUATOR DEPARTMENT: DAFS/OIT

Stratosphere Reference Check Notes (SOM DMR - LEEDS Application)



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Stratosphere

**DATE:** 3-22-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
\*\*\*\*\*

## Notes:

### Phase I: Organizational Qualifications and Experience:

NJ COULD have been a great reference, but without more detail or a clear connection to Stratosphere, I'm not sure I would call them if I could (they don't provide reference contact).

CA Air solution looks to cover air emissions well, but it doesn't look like a system that covers the full scope of regulatory business.

Maine BPC system is fairly simple.

Maine DMR's LEEDS system is a good small scale version of what we're looking for, but doesn't have the scale (across the enterprise / interfaces with 3<sup>rd</sup> party federal compliance partners).

Originally Pega contract was 9/year to break even, now there are no statements about new development in the contract, and the number of Pega applications at the SOM has been shrinking.

Note: DEP had a poor experience with Pegasystems historically: A system development effort was abandoned after it became clear that initial promises about accepting ACH payments would not be met, even after significant development had been done.

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Phase II:

Phase II: Proposed Services:

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The answers given when responding to many of the requests in the RFP generally invoke the potential of the software. This gives the impression that Stratosphere's solution lacks the required functionality and / or lacks previous experience developing a solution of the scope and complexity.

Since creating new functionality required by the RFP would require extensive configuration, we anticipate that the resources required for this level of custom work could exceed the Department's resources available for this project.

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**DATE:** 3/29/2023 (Sections I, II, & project team), 4/21/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

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 \*\*\*\*\*

## Overarching comments on bid package:

Appear to have a very limited staff. Not a lot of confidence this company has the depth of experience or enough staff/resources to pull off a project this large.

Throughout the description of the proposed solution, I get the impression that Stratosphere doesn't understand our business functions or our data management needs.

Stratosphere appears to have a fundamental misunderstanding of the difference between Compliance and Enforcement activities. They appear to assume they are the same thing, which they aren't. I'm concerned that this may have led them to underestimate some of the project scope.

I see little indication in the proposal that Stratosphere understands that there are significant data management needs in the system that come from areas other than the license application.

It's mentioned many places throughout the proposal that the Pega system will "self-document." That sounds useful for the technical staff. Doesn't sound like it will work for the business users. I found no mention of how user guides were developed.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed. The CEO is the lead point of contact for the proposal.

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I	2	<b>Appendix B-</b> Debarment, Performance and Non- Collusion Certification	Signed
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Company very new, started in 2014.</p> <p>Project 1 is a large enterprise system for NJ DEP. It seems to be a very similar project to what we're proposing.</p> <p>I have questions/doubts regarding whether Project 1 was actually provided by the Stratosphere. From the way the proposal is written, they may be claiming it as a "Pega" solution even if they weren't the provider.</p> <p>NJ DEP's project is not complete. Bidder states they are "in the middle" of this large-scale project.</p> <p>Project 2 is a licensing program for CA Dept of Health. Small licensing system with online portal. More definitive statements that Stratosphere actually worked on this project.</p> <p>Projects 3 &amp; 4 are for various applications at Maine agencies including Dept of Marine Resources and Board of Pesticide Control. Both are for small individual applications. DMR has confirmed that they have worked with Stratosphere.</p> <p>However, these projects are significantly smaller than ours.</p>
II	2	Subcontractors	None proposed.
II	3	Organizational Chart	VERY basic, bare-bones org chart. Only 2 names listed, the CEO and the "Customer Success Manager"
II	4	Litigation	None
II	5	Financial Viability	If I'm reading the balance sheet correctly, they lost money last year.
II	5-a.-i.	Balance Sheets	Provided
II	5-a.-ii.	Income (Profit/Loss) Statements	Provided
II	6	Licensure/Certification	State that anyone involved in the implementation will have the required level of training and certifications in Pega. So again, they are not nailing down who the project team will be.
II	7	Certificate of Insurance	General Liability = \$1 million



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			<p>Umbrella Liability = \$2 million  Professional = I think this is included in Technology Errors &amp; Omissions (E&amp;M)  Technology E&amp;O incl Network Security and Privacy (Cyber) = \$2 million</p>
III	1	<p><b>Appendix E- Technical Proposal (aka Attachment 1):</b>  Key Proposed Project Personnel and Project Team Organization</p>	<p>Cannot confirm the actual personnel at this time but provided resumes “representative” of the resources that would be assigned to the project.</p> <p>Likely to use current team members working on other Pega systems in other Maine agencies.</p> <p>Escalation point of contact is the Customer Success Manager and then the CEO.</p> <p>Team members total 8 including the CEO. I question whether they have the resources for a project this big.</p> <p>Everyone other than the CEO has less than 5 years with the firm.</p>
III	1	<p><b>Appendix E- Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance</b></p>	<p>Solution proposed: Pega Government Platform</p> <p>(p5) The description of what applicants can do in the portal illustrates that the bidder doesn’t understand how our licenses work. An applicant should not be ineligible from applying for a new license just because they’ve already been issued one. An applicant can have lots of applications pending simultaneously for the same program.</p> <p>Stratosphere states that the online application will become the primary method of customer interaction. I worry that Stratosphere underestimates the complexity of our licensing needs.</p> <p>(p9) Description of payment portal again shows a lack of understanding of our needs.</p> <p>The option to pay in person is an odd one I haven’t encountered before. Unlikely to be used by DEP.</p> <p>(p10) Documents can be created in both PDF and Word format.</p>

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			<p>Throughout the description of the proposed solution, I get the impression that Stratosphere doesn't understand our business functions or our data management needs.</p> <p>(p19) "Center-our" approach. I don't really understand the five core steps.</p> <p>(p23) Good example of the dashboard. Stratosphere notes that their search function is more robust than that provided out of the box by Pega.</p> <p>(p25) It's a little confusing to read through the Forms Configuration section because Stratosphere uses the terms "license," "application," and "form" seemingly interchangeably. A license and an application form are two very different things.</p> <p>(p23-27) I appreciate Stratosphere giving example screenshots and explaining some of the basic core functionality. It gives a good indication of how the system would look and feel.</p> <p>(p29) Regarding the licensing/subscription options, Stratosphere states that Pega has a flexible model and works with its customers to define appropriate licensing models.</p> <p>Proposal is based on 100 user licenses using a pro-rated model based on hourly periods accessed per month.</p> <p>Limited to processing 5,000 DEP licenses per year.</p> <p>(p31) Pega uses isolation and security best practices to create a protective bubble in Pega Cloud.</p> <p>(p32) Hosted by Amazon Web Services.</p> <p>(p33) No additional third-party partnerships other than those noted as optional.</p> <p>(p39) Pega offers two types of sandbox environments "standard" and "large."</p> <p>(p40) Functionality developed by a non-State of Maine client could be included, but Stratosphere indicates that none have been identified at this time.</p>
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			<p>(p43) Breaks of implementations into “microjourneys.”</p> <p>Stratosphere didn’t provide any estimate of the percentage of configuration vs. customization.</p> <p>(p44-45) Stratosphere has done the work to look into the requirements of CROMERR. How well their solution works may be related to how “cases” are defined in the system. Stratosphere’s answers indicate they’ve never done it before themselves, meaning we may not have that head-start of a proven system that could be fast-tracked for EPA approval.</p> <p>(p46) Data can be exported to a warehouse.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>(p48) Table 2.1: Responded Yes to most policies. Some did not have the declarative statement and referred to links. Will need to ask Bill if there are any concerns here.</p> <p>Table 2.2: (p55) 1. I think Pega Cloud is hosted by Amazon Web Services (see row 8). Link is broken.</p> <p>4&amp;5. Answered questions for both Stratosphere and Pega. Stratosphere currently serves approx. 15 customers.</p> <p>8&amp;9. Unplanned outage information provided for AWS only, not the Pega system.</p> <p>11. Declines to answer questions about instances of unplanned outages.</p>
III	1	<b>Appendix E-</b> Project Approach	<p>(p60) Stratosphere addresses the fact that many application types are simple and that the few complex instances should not overcomplicate the simple ones.</p> <p>Stratosphere states that they have configured a number of exceptionally complex licensing processes. However, they haven’t given further examples beyond the projects provided in Section II. I question whether their definition of extremely complex is the same as ours.</p> <p>(p61) Proposes Agile Scrum implementation methodology.</p>

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			<p>(p63) Included a good description of Scrum participants and the process. It gives me confidence that they could explain and lead DEP staff through the process.</p> <p>(p66) The <u>only</u> risk identified is managing scope.</p> <p>(p67) prefers a remote work model with occasional onsite presence.</p> <p>(p68) The description of handling Enforcement functionality independent of Licensing indicates that Stratosphere likely doesn't understand how our Enforcement system works. Stratosphere is focused on suspension or revocation of licenses which almost never occurs in my program.</p> <p>Recommends implementing in stages and prioritizing by scale (most volume to least) and complexity (least to greatest). I agree that this is likely to get the biggest bang for the buck the fastest, but ultimately we need all programs to be included.</p> <p>(p69) No additional assumptions not already outlined. It's odd that they would have absolutely no assumptions that haven't already been addressed.</p> <p>Pega Cloud support available 24/7 for the platform itself. Not sure what support is available for our specific application.</p> <p>(p70) Not much description of the DEP's responsibilities in go-live.</p> <p>When possible, they recommend a "soft launch" to selected external users to get feedback before opening it up to the larger community. This sounds like a good idea.</p> <p>(p71) No information on how long the post go-live support lasts. As long as iterations are continuing, staff is available for assistance. What happens when the last iteration launches?</p> <p>Ongoing support by Stratosphere offered during business hours. Does not state how (phone, ticket, etc.).</p>
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			<p>The current support agreement allows us to routinely submit enhancement requests. Priority is based on our preference.</p> <p>(p72) Recommends either one person from each bureau with permissions to update forms, reports, and rules or one cross-functional super-user empowered to make updates across domains.</p>
III	1	<b>Appendix E-</b> Project Management	<p>(p75) Project Management Tool: Pega Agile Studio to track requirements and defects.</p> <p>Stratosphere recognizes DEP staff will have other responsibilities and constraints on their time.</p> <p>(p76) Although Stratosphere explained how they would track risks and issues, I didn't really get a sense for how they go about resolving them.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>The Gantt chart has scheduled unrealistically short schedules to each program. The Release Schedule on p126 in the Implementation Plan is easier to read and understand.</p> <p>(p77) Could start within 2-4 weeks of contract signing.</p> <p>Attempt to deliver first release within 4-6 months. Does not answer the question about how long a typical implantation would take.</p> <p>Again, Stratosphere does not understand that Enforcement is much more than the ability to revoke or suspend licenses.</p> <p>(p78) Stratosphere states that enforcement capability was requested to support offline mobile capability. They are confusing Enforcement with Compliance. Also demonstrated by the Implementation Plan on p126 having a line for Enforcement but none for Compliance activities (like inspections). These are two different functions and shows Stratosphere does not understand the work we do. I'm also concerned that they have underestimated the amount of work since there is now accounting for building the functionality for Compliance activities.</p>

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III	1	<p><b>Appendix E-</b> Implementation Project Planning and Execution</p>	<p>(p124) Actually followed the directions to include an Implementation Plan as an attachment.</p> <p>(p125) Will collaborate with the DEP to determine which programs should go first (as part of the MVP) and then take a program by program approach.</p> <p>Data Migration would run on a contingent but parallel track. It's managed largely as an independent entity.</p> <p>Like Data Migration, Integration is considered "a purely technical concern."</p> <p>I've seen little indication in the proposal that Stratosphere understands that there are significant data management needs in the system that come from areas other than the license application. Facilities and licenses have attributes/details that must be determined by the Department, not the applicant.</p> <p>(p80) It's mentioned many places throughout the proposal that the Pega system will "self-document." That's great for the technical staff, but I don't see how user guides are created.</p> <p>(p81) Customizations are seen as extremely rare, but Stratosphere did not answer the question on the percentage of configuration vs. customization.</p> <p>Integration capabilities are created through a forms-based wizard approach.</p> <p>(p83) Suggests MS Access databases should be converted rather than integrated with. I don't know if conversion is an option. (Question for Sam)</p> <p>I'm concerned Stratosphere is underestimating the work involved in the data migration.</p>
III	1	<p><b>Appendix E-</b> Testing and Quality Assurance</p>	<p>(p88) Defines the difference between "defect" and "enhancement."</p> <p>(p90) No discussion of support Stratosphere would provide users during UAT or what assistance they would provide in developing test scripts.</p>

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III	1	<b>Appendix E-</b> Training Approach	<p>(p92) Intend to build training directly into the system through the use of intuitive design principals, embedded business rules, and tool tips.</p> <p>Refers to Pega Academy for technical users.</p> <p>Prefers Train-the-Trainer model for both operational efficiency and to lower the long term cost of ownership. Not sure I understand that last part.</p> <p>Overall, this section was very short (less than 2 pages) and generic.</p>
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>	<p>Stratosphere has indicated that nearly every single requirement is standard and does not require customization. I'm concerned that some of this optimism is based on not understanding the project scope or business needs.</p>
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	<p>Stratosphere indicates that every single requirement is standard and does not require customization.</p> <p>(R43) Indicates that having multiple instances open violates ADA principles.</p>
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	<p>Stratosphere indicates that every single requirement is standard and does not require customization.</p>
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	<p>(R37) Files need to be saved locally before being uploaded.</p>
III	2	<b>Appendix F-</b> Sheet "4. Payments"	<p>Stratosphere indicates that every single requirement is standard and does not require customization.</p>
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	<p>Stratosphere indicates that every single requirement is standard and does not require customization.</p>

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			This is despite demonstrating in the proposal that Stratosphere doesn't know the difference between Compliance and Enforcement activities.
III	2	<b>Appendix F</b> - Sheet "6. Reporting"	Stratosphere indicates that every single requirement is standard and does not require customization.  (R29) States that Pega has native support for ad hoc reporting. I'm skeptical that our reporting needs can be managed by a native tool.  (R37) Can embed reports in Word but cannot export directly to Word.  (R51) Says third-party reporting tools can be used through exports to the data warehouse. Is a data warehouse part of the proposal?
III	2	<b>Appendix F</b> - Sheet "7. Technical"	Stratosphere indicates that every single requirement is standard and does not require customization.
III	2	<b>Appendix F</b> - Sheet "8. Interfaces"	Integration with Access databases is proposed to be done through data migration. I don't know if absorbing these systems into the new licensing system is an option.
III	2	<b>Appendix F</b> - Sheet "9. Data Migration"	I'm concerned Stratosphere is underestimating the effort to migrate EFIS data.
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the	



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		proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

## Reference Questions

### Heidi Bray at DMR for Stratosphere (Pega)

- 1) How large is your organization? **Up to 250**
  - a. How many staff total?
  - b. How many users of the system? **50-60 Less than half are regular users. The rest are read-only users that just look stuff up.**
  
- 2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)?

**Licensing of commercial and recreational fishing licenses. Some compliance/enforcement. No billing, but does accept payments.**

**Some document management. Some have to report the catch on paper. Those get scanned and uploaded into the system.**

**Don't have a data warehouse. All reporting happens within the system.**

**If you want to build a report from scratch, Pega programmers need to get involved.**

- 3) How long has your office been working with the vendor? **Pega and another 3<sup>rd</sup> party company did the implementation. Just before the end of implementation Stratosphere came in.**
  
- 4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not?

**"In terms of staffing, you can't have our developers. We keep them busy full-time."**

**Pega is very expensive, but yes, it does all the things.**

**Is it easy to implement? Not unless you're highly trained. You have to get good developers. If they are not highly trained or understand the low-code platform, it can make the system extremely messy.**

**It took 12/2014 – 7/2015 to deploy and shouldn't have. Did a bunch of things wrong. They didn't have dedicated testers. Should have taken about 2 years to develop LEEDS.**

There are ongoing enhancements being done all the time. Try to work in enhancements with the bug fixes.

- 5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation? **N/A**
- 6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)?

**Yes, except for cost. It is VERY expensive. Did not expect it to be as expensive as it has been. Even though MaineIT has been supplementing the cost of the system. That ends soon.**

- 7) During implementation, how many vendor staff and organization staff supported your implementation:
  - a. On the "Business side"- People helping staff with change management and configuring new license types in the system. **3-4 at a time**
  - b. "Developer / database side"- People keeping the system running and configuring new license types in the system. **3-4 developers from Stratosphere and ~2 from OIT**
- 8) After implementation, how many vendor and organization staff support your implementation:
  - a. On the "Business side" **1-2 product owners plus SMEs**
  - b. "Developer / database side" **1 developer nearly full-time + 1 part time + part time tester**
- 9) If your system was intended to be implemented in multiple parts of your enterprise:
  - a. Were all implementations completed?
  - b. If all implementations were not completed, are there plans to complete the implementation?
    - i. Do the plans involve the vendor?

**Were not able to implement their scientific database. Will never be included because it doesn't need workflows and Pega is too expensive and overkill for a data entry database system.**

- 10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project?

No, did not do a thorough discovery process, but Stratosphere wasn't involved at that time. It was Pega.

- 11) How flexible was the vendor regarding changes from the original RFP?  
a. How flexible was the software when changes in functionality were required?

Stratosphere has been flexible. Understood the challenges.

- 12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services?

Stratosphere didn't. That was not their role. OIT provided the project management and change management.

- 13) Do you think that the deployment schedule for your implementation went well? Was not implemented well. Shouldn't have gone live, but nothing to do with Stratosphere. There was a lot of pressure from PMO and Pega. It was almost a complete disaster.  
a. If not, what would you have changed?

- 14) What was the original quoted cost?  
a. How close to your original quoted cost was your actual cost:  
a. For initial implementation  
b. For ongoing Licensing and Maintenance  
c. Factoring in work left undone / professional services retained after the initial contract period?

The quoted cost wasn't even close (several million dollars extra put in). That was not Stratosphere's fault, all on Pega.

- 15) Do you have a current contract for professional services with the vendor? Yes.

- 16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?  
a. If historic data was migrated, did the vendor assist with the migration?

No. Originally thought they were going to, but they plugged LEEDS into the back end of their legacy Oracle database. Project did not involve data migration.

- 17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit your existing processes, or did it lean more toward redesigning your business processes to fit the system?
- a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution?

Had a unique situation. The system was very custom to what they were doing because Pega was building the Licensing framework with them. This would be different for other implementations.

- 18) How easy is it to create the new forms and workflows for a new license type?
- a. Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)?

Licenses that are very similar to existing ones can be done by her. If there is a new workflow is needed, she can't do that, would need a developer.

- 19) Does your implementation include:
- a. Document management- was it worth it to use the vendor's solution?
  - b. Compliance functionality – both in office and in the field (mobile devices)
  - c. Enforcement functionality- was it worth it to use the vendor's solution?
  - d. Identity management- how does your organization manage customer information?
  - e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes?
  - f. Data Warehouse- If not, how do you handle ad-hoc querying?
  - g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer?
  - h. A built-in GIS map functionality for either location viewing or "map-click" location delineation?

- 20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)?

LEEDS will send them emails. Use this extensively for all license types. All done by email.

- 21) How user friendly is the system:
- For customers?
  - For internal staff?

Gave a demo. Appears to be user-friendly, but also appears to be relatively simple license types.

- 22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)?

Interfaces with MOSES, the Coast Guard, and some other federal sites. Federal sites have stopped letting them automatically connect to their systems. Have to manually pull fed data once/week and dump it into another database.

- 23) Has your solution obtained CROMERR application approval? **N/A**
- If so- is it easy to have one program CROMERR compliant, and another not?
  - What is the upload method used by your CROMERR system? (file upload, EPA API, other)
  - If your business does not involve environmental regulation:
    - has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?

- 24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it?

- 25) Are you familiar with other organizations who use your licensing system?
- If so, do you communicate with them?

- 26) How many/which business units have a public-facing portal where applications can be submitted online?
- If not all, why not?
  - For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded?

Fill out form online. Some licenses require a document upload.

27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account?

N/A

28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year?

29) Is your organization satisfied with the look and feel of the system? **Yes**

a. Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?

b. Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect?

c. Is your system intuitive and easy to use?

d. Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate?

30) Having it to do over again, what would you do differently?

a. Would you choose to convert any particular business unit before another?

b. Is there anything in general you would do differently?

What they did well is map out every process for each process.

Would have a dedicated tester or testing team.

Would never build a framework and application layer at the same time.

When people say it's not easy, believe them.

SMEs always need to be available.

The Product Owner (~Sam) needs to be empowered to make decisions.

If possible, have a UI expert involved. It's worth the money.

31) Having it to do over again, would you choose the same vendor?

a. Can you share what other vendors you might have considered, and what made you choose XXXX over them?

b. Is there anything about the vendor you would change or have them do differently?

Stratosphere – yes. They have been professional and flexible.

Would not choose the same platform (Pega). It is low-code, but it is not easy to pick up and learn, especially for the money involved. Low-code does not equal easy.

- 32) Were there any major surprises during the process?  
a. Was there anything you didn't expect or you expected to happen differently?

Cost!

All the bugs. Surprised it went so poorly.

- 33) Is there anything else you'd like to share relating to your experience with this vendor?

All of the issues that they have had have not been with Stratosphere. They have been with Pega and MaineIT.

The amount they are paying Stratosphere is more than they had expected, but they were up front about it.

Heidi worked the closest with Colin. However, Colin is not still with the company.

All licenses follow the same outline/template. New templates would probably be made by a developer.



## Reference Questions

### Summary:

- Would you choose the same platform? "Probably not. Expensive. Not easy to use for customers. It is low code and it is not easy"
- Pega Developer required to create a new report.
- "There was no thorough discovery. That was an issue. Pega thought it was a simple licensing system..."
- No legacy data migration.
- CEO has stepped down

1) How large is your organization?

a. How many staff total?

b. How many users of the system? 6/7 licensing staff, 10/12 landing... including Marine patrol read only) 50-60. Little less than half are read only.

250

2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)?

License 20,000 entities. Commercial and recreational fishermen and dealers.

Accept Payments, but no billing. Credit card or cash, checking, eft.

Suspended license (child support). Then they can pay admin fee.

Document management- some dealers and fishermen who report on paper, and when they do that we scan them and upload them to the system and then there is a workflow that "is it complete", "data entry if not". Dealers or fishers want to change boat name license has to upload boat registration. Mail slot for review.

Don't have data warehouse- all reporting happens from system- there's an interface to do that. Want to build a report from scratch- users can't do that- I or a developer. Need training from Pega to do it.

2014 built, 2015 launched. Licensing system, and some people have to report their catch as a condition. People are caught poaching we can put a summons into the system.

3) How long has your office been working with the vendor?

Started with another company in 2014. PMO or OIT at the time. It was another third party. They built and implemented and then Stratosphere came in. Colin and (Mike wasn't there yet).

Bill: Colin worked for OIT before he formed Stratosphere. Vamzi, Gita, Mike... they worked as contractors under PMO BPM. Then they were contracted to support, then SOM decided to not be in the business. Colin was like "If I form a company"... We wanted to take care of them, but it was a makeshift contract.

4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not?

Staffing: "You can't have our developers or testers" We keep our developers busy full time. In terms of the software, yes, it does all of these things. Easy to implement? Not unless you're highly trained. We have worked with many developers. You HAVE to get good ones. Best practices are very important because your system could be very messy.

Bill: How long did it take to develop leads. July 2014 to 2015, and we should have taken another year, and we should have had a dedicated tester. We had self testing developers.

Sam: Recent work? We have maintenance agreements. Constantly working on the system. Have an agreement with Stratosphere.

5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation?

No

6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)?

Except for cost yes. We did not expect it to be as expensive as it is.

Bill: Or as expensive as it's going to be- OIT will stop covering the true cost in June.

Heidi: We had no idea what the cost was for years.

Bill: Jim Smith really wanted

- 7) During implementation, how many vendor staff and organization staff supported your implementation:
  - a. On the "Business side"- People helping staff with change management and configuring new license types in the system.
  - b. "Developer / database side"- People keeping the system running and configuring new license types in the system.

As I remember it was 3-4 developers at Stratosphere, then 2 or so at OIT. 3-4.

SME was Heidi as product owner. If something went wrong, I would work with licensing director until. 1 in licensing, 1 enforcement 1 landings and me.

- 8) After implementation, how many vendor and organization staff support your implementation:
  - a. On the "Business side"
  - b. "Developer / database side"

1 developer nearly full time (sometimes at DACF). Vamsy is very part time. So the two of them, and a part time tester. And then I'm still the product owner- training someone else to do what I do. Every year a license changes, and we have to do enhancements every year.

- 9) If your system was intended to be implemented in multiple parts of your enterprise:
  - a. Were all implementations completed?
  - b. If all implementations were not completed, are there plans to complete the implementation?
    - i. Do the plans involve the vendor?

When we scoped with Pega, we wanted to implement licening, but we also wanted to implement part of MARVIN's functionality so we'd use LEEDS. Likely never will. Think that is because it doesn't need workflows, just data entry. Having that as another application might cost us money if Pega or Stratosphere call it a different application.

Bill: Would cost through hosting with Pega and Stratosphere it wouldn't make sense because it's probably the most expensive low code solution. It would be overkill.

10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project?

No there was no thorough discovery. That was a major issue. Pega thought it was a simple licensing system, and they have complex workflow.

Me: State agencies don't make things simple.

11) How flexible was the vendor regarding changes from the original RFP?

a. How flexible was the software when changes in functionality were required?

Stratosphere has been flexible- they understood our challenges from the beginning.

12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services?

That was not Stratosphere. That was OIT PMO.

13) Do you think that the deployment schedule for your implementation went well?

a. If not, what would you have changed?

We shouldn't have gone live at all. But that wasn't Stratosphere. It was PMO and Pega thinking that it would be a few months. Lot of pressure to go live.

Bill: I recall that the payment module was a hang up.

Heidi: I think Kirk might have built that. Not sure if Pega did that.

Bill: Pega told us they had a payment module, and when we called them out on it, they ate the cost, but it took 4-5 months to build it.

Heidi: I don't think that was visible to me.

Bill: BPC created PayMaine recently to replace their Pega payment service.

- 14) What was the original quoted cost?
  - a. How close to your original quoted cost was your actual cost:
    - a. For initial implementation
    - b. For ongoing Licensing and Maintenance
    - c. Factoring in work left undone / professional services retained after the initial contract period?

If you really want to know cost, I don't know off the top of my cost. We did thousands, OIT did millions, Pega ate millions, and we didn't know cost for years. Not close.

Bill: But this wasn't Stratosphere.

Sam: But some of the people WERE around, correct?

Bill: Yes, Colin was at PMO, some of developers were around.

Heidi: Colin should have a good understanding of what it would take. Colin's still there?

Bill: No, Colin has stepped down as CEO, but he's a part owner.

Heidi: Colin would know it in and out.

Bill: Steve is still there, and he's

Heidi: All of our issues have been with MaineIT and Pega. Stratosphere isn't cheap, but they have been up front about cost.

Sam: Is the new licensing cost transparent?

Bill: Yes. All except DOL. DMR, DACF, Controllers Office, Treasury opted out. Three applications. All four know.

15) Do you have a current contract for professional services with the vendor?

- 16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?
  - a. If historic data was migrated, did the vendor assist with the migration?

Did not. Thought we would, but we didn't. LEEDS reads legacy systems.

- 17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit your existing processes, or did it lean more toward redesigning your business processes to fit the system?
- a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution?

We had a unique situation in that the Pega Licensing framework was building the framework around us. We were the first.

- 18) How easy is it to create the new forms and workflows for a new license type?
- a. Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)?

Brand new license that's similar to existing it's easy, but a whole new workflow I can not do that.

- 19) Does your implementation include:
- a. Document management- was it worth it to use the vendor's solution?
  - b. Compliance functionality – both in office and in the field (mobile devices)
  - c. Enforcement functionality- was it worth it to use the vendor's solution?
  - d. Identity management- how does your organization manage customer information?
  - e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes?
  - f. Data Warehouse- If not, how do you handle ad-hoc querying?
  - g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer?
  - h. A built-in GIS map functionality for either location viewing or "map-click" location delineation?

Enforcement in that a summons leading to suspension.

Lynn: Fines or fees?

Heidi: If we suspend anyone they owe us money.

20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)?

LEEDS will send them emails.

Also use that for a harvester who hasn't sent a report.

21) How user friendly is the system:

- a. For customers?
- b. For internal staff?

Heidi doing show and tell for system-----

Me: License with Permit is an interesting paradigm. Like Deer Permit.

22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)?

Several integrations: MOSES, one to Coast Guard (federal permits), All those federal sites stopped letting us check automatically- I now have to log in once a week, query the data, and upload it to SQL server database. Also do web scrapings for shellfish licenses: Sometimes they're licensed by multistate entity so we can integrate with other. Fishermen can report to feds and we have to suck that up once per week.

23) Has your solution obtained CROMERR application approval?

- a. If so- is it easy to have one program CROMERR compliant, and another not?
- b. What is the upload method used by your CROMERR system? (file upload, EPA API, other)
- c. If your business does not involve environmental regulation:
  - a. has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?

24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it?

25) Are you familiar with other organizations who use your licensing system?

a. If so, do you communicate with them?

No

26) How many/which business units have a public-facing portal where applications can be submitted online?

a. If not all, why not?

b. For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded?

No- there are some licenses that only a DMR staffer can issue. We get info from Tribal nations.

The only time we have someone upload a document is when a test is required.

27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account?

No.

28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year?

NA

Lynn: What are the licenses connected to?

Heidi: The Tax ID.

29) Is your organization satisfied with the look and feel of the system?

a. Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?

b. Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect?

c. Is your system intuitive and easy to use?

d. Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate?



Yes, we've worked really hard to make it attractive.

- 30) Having it to do over again, what would you do differently?
- a. Would you choose to convert any particular business unit before another?
  - b. Is there anything in general you would do differently?

What we did well is mapping the 350 licenses. Number one we'd have a testing team. We'd never do framework and licensing. Believe people when they say it's not easy. SME need to be available to the product owner. One thing we did do right was that the commissioner was highly involved. When I went to commissioner and said "This makes no sense", we changed things. Budgeting is difficult when developers don't make their goals in different sprints. It was a brand new language, and I had to understand that they don't meet goals and that business needs to budget time and money for bugs and things that aren't supposed to happen. Product owner has to be empowered to make some decisions. "You need to make this work". Without that it would have taken longer. If possible, have a UI expert involved. Having a Pega UI expert available was great.

- 31) Having it to do over again, would you choose the same vendor?
- a. Can you share what other vendors you might have considered, and what made you choose XXXX over them?
  - b. Is there anything about the vendor you would change or have them do differently?

Stratosphere yes I would. Flexible, knowledgeable.

Sam: Would you chose the same platform?

Heidi: Probably not. Expensive. Not easy to use for customers. It is low code and it is not easy. Especially for the money reason.

- 32) Were there any major surprises during the process?
- a. Was there anything you didn't expect or you expected to happen differently?

Did I mention that cost was a surprise?

All the bugs initially. It was a surprise that it went so poorly. Really hard for a number of months, and we had a supportive commissioner. A year later we had something that worked.

33) Is there anything else you'd like to share relating to your experience with this vendor?

Change is always hard. I spoke, and commissioner spoke, and they were understanding, and we trained them. Knowing that there were going to be big issues. They needed to know that they could contact me. I needed good staff to communicate and fix things as quickly as possible.

Heidi: Good luck!

Sherrie: What are your future plans? Stay there forever since you're settled? Waiting for enterprise solution?

Heidi: Not holding breath for enterprise solution.

Sherrie: It's not your fault Bill, I've tried to get people to engage. Pushed toward Pega, pushed toward Salesforce.

Heidi: We're invested, it was a huge expense, yes it's an expense. Reuse is such a nice idea, but every license is handled so differently. Our licenses and workflows are probably totally different than yours.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Tech Mahindra

**DATE:** 4/4/2023 & 5/1/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
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## Overarching comments on bid package:

### PHASE I-

Wrong header? Wrong RFP # listed. Concerned about the ability to communicate effectively based on the writing in the proposal. There were copy and paste errors that show a lack of attention to detail.

Communication and clear written documentation are important aspects of this project.

2 Large licensing modernization projects

Example project #1 was performed by the sub-contractor Spruce Technologies, but involved only analysis and recommendations.

The example projects do not have nearly the same level of complexity as our project. Question the bidder's ability to provide services of the scope and scale needed.

Example project #1 was performed by the sub-contractor Spruce Technologies, but involved only analysis and recommendations.

Salesforce solution; Public sector focus; 300+ successful projects; State of Vermont & New Hampshire. No enterprise level solution experience.

20+ years; project experience – not this level, Simple, Examples not great

Sub-Contractor Spruce Technologies (Spruce) -what are the qualifications.

Appears to be a structure that could for the proposed project scope

None

The company financials appear to show they are very successful and will have no issue with viability for the term of the project

2700+ Salesforce certified professionals and many other relevant certs.

Org chart does not line up, the resumes are generic, combined years is impressive on paper. This is a team that appears to have all the skills, Many new developers. Messy and hard to follow.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Tech Mahindra

**DATE:** 4/4/2023 & 5/1/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

## PHASE II

Terribly written proposal, Worried about ability to communicate effectively and attention to detail.

Tech Mahindra's solution's only compliance components appear limited to inspection activities.

CROMERR is 'a salesforce customer' weird/wrong comment -clearly no understanding

Some cool charts ...

The boundary between services provided by Tech Mahindra and Spruce is unclear, with Tech Mahindra referenced a gazillion times, vs Spruce, the business analyst and Salesforce resource subcontractor, mentioned 5 times in the Proposed Services.... very confusing.

"Pre-Built Use Case Specific" appear to be boilerplate verbiage in the Salesforce community and constitute too much of the solution narrative. Narrative should include description of actual solution functionality that the bidder is intending to implement

Tech Mahindra's proposal to complete this project in a year is an indication that they have seriously underestimated the magnitude and complexity of the project.

They stated typical implementation for similar size of engagement takes around 12 to 18 months." If TM has completed these size projects before then why were no examples of this??? That seems crazy fast to do this entire project.

Tech Mahindra is proposing to include Tableau, Salesforce Mobile, and Business Rules Engine as part of the solute which I like.

TM states all testing be completed from outside the US, this will inhibit the use of any production data for testing due to the OIT policy forbidding access to production data from outside the US.

Many of the critical requirements need customization, but its unclear if the efforts and costs are included in the proposal or are extra. No cost estimates are included in the spreadsheet.....

Overall approach is bad, however the 'technical proposal' was pretty good.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** Tech Mahindra  
**DATE:** 4/22/2023  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
 \*\*\*\*\*

## Overarching comments on bid package:

Salesforce Technology  
 Well thought out plan by Tech M, but the simultaneous implementation streams may be too aggressive for the DEP central team to handle.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	The RFP number on the proposal was incorrect All projects are based on Salesforce Technology Project #1 – NY State Department of Environmental Conservation Division of Air Resources for replacing a mature Air Quality System This project was performed by the sub-contractor Spruce Technologies. It involved analysis and recommendations only. Project #2 – NYC DEP Storm Water Permitting This project was performed by the sub-contractor Spruce Technologies. It is a good example of an environmental licensing application involving storm and sewer water licensing. Despite this being a multi-year effort, in relation to Maine's RFP it would be a fairly small part of the overall project. Project #3 – VT Liquor Licensing This project was performed by Tech Mahindra (not Spruce)

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Tech Mahindra

**DATE:** 4/22/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			<p>Maine is in the process of evaluating RFP proposals for similar Liquor Licensing applications and can understand that even though it sounds simple, Liquor Licensing can be a complex project.</p> <p>This project was in UAT as of the writing of the proposal with a go live schedule of Aug 2022.</p> <p>Project #4 – NH DMV This project was performed by Tech Mahindra (not Spruce) This is an example of a large-scale Tech Mahindra successful licensing project, albeit for driver licenses.</p> <p>Project #5 – Delta Dental Sales Process This project was performed by Tech Mahindra (not Spruce) This is an example of a large-scale Tech Mahindra successful implementation of the Salesforce CRM</p>
II	1	Key Proposed Project Personnel and Project Team Organization	Resumes for key personnel show a good amount of experience (nationally and globally) for the core team.
II	2	Subcontractors	Spruce Technologies is the subcontractor, but not a lot of info provided
II	3	Organizational Chart	Appears to be a multi (4) stream approach to tackle each of the DEP Bureaus individually/simultaneously. This approach might be a little too aggressive and potentially overload the MaineIT technical team as well as the executive oversight team and the Project Management.
II	4	Litigation	Nothing pending, but does not address the question of the last 5 years
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	3 yrs included. About \$253M in total assets
II	5-a.-ii.	Income (Profit/Loss) Statements	3 yrs included. About \$300M in revenue
II	6	Licensure/Certification	Many Salesforce certs, but none for Omni Studio SOC II Type II ISO certified for protection of PII CMMI
II	7	Certificate of Insurance	Umbrella = \$10M No professional or cyber liability
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	Salesforce Public Sector is already pre-vetted with MaineIT Salesforce Mobile technology should be reviewed to determine its viability Tableau, Salesforce Mobile, and Business Rules Engine are included in the proposal
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	Salesforce is in use by Maine today and has been thoroughly reviewed for security and hosting. There have been no reports of any performance issues with Maine's Salesforce applications. TM agrees to comply with all SOM policies provided in the RFP

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**EVALUATOR DEPARTMENT:** DAFS/OIT

			<ul style="list-style-type: none"> <li>● ISO 27001</li> <li>● ISO 27017</li> <li>● ISO 27018</li> <li>● SOC 1 Type II (SSAE 18 Report)</li> <li>● SOC 2 Type II (Trust Principles Report)</li> <li>● PCI-DSS</li> <li>● TRUSTe Certified Privacy Seal</li> <li>● FedRAMP (NIST 800-53)</li> </ul>										
III	1	<b>Appendix E-</b> Project Approach	<p>The proposal indicates the use of OmniStudio on page 24 which is the latest advancement in Salesforce development</p> <p>Following page 24, the proposal also lists a large number of internal and external utilities employed by the Salesforce technology that assist in many of the required functions.</p> <p>I like the approach using a combination of waterfall to gather requirement and then scrum for the development and testing, and then a phased approach to the rollout for each bureau.</p> <p>I really like the use of the RACI chart around page 76</p>										
III	1	<b>Appendix E-</b> Project Management	<p>TM is offering to start with a lean MVP which can be rolled out to any of the bureaus and expanded once stabilized.</p> <p>TM is also advocating the use of chatbots which for licensing makes sense</p> <p>TM mentions the Vermont project in multiple places. They would be good to speak with regarding TM's project management</p>										
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>Good design for project methodology</p> <p>Page 44: <i>Tech Mahindra professes a healthy 80:20 ratio in all Salesforce implementations where 80% of the functionalities are delivered through configurations and 20% through customization.</i></p> <p>Page 90 (this implies simultaneous work streams which could present an issue for some of the central resources)</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><b>Project Timelines (Overall timeline including Requirements &amp; Design is 12 months) Bureau</b></th> <th style="text-align: right;">Timeline (Stream)</th> </tr> </thead> <tbody> <tr> <td>Air Quality</td> <td style="text-align: right;">4 months</td> </tr> <tr> <td>Water Quality</td> <td style="text-align: right;">4 months</td> </tr> <tr> <td>Land Resources</td> <td style="text-align: right;">11 months</td> </tr> <tr> <td>Remediation &amp; Waste Management</td> <td style="text-align: right;">11 months</td> </tr> </tbody> </table>	<b>Project Timelines (Overall timeline including Requirements &amp; Design is 12 months) Bureau</b>	Timeline (Stream)	Air Quality	4 months	Water Quality	4 months	Land Resources	11 months	Remediation & Waste Management	11 months
<b>Project Timelines (Overall timeline including Requirements &amp; Design is 12 months) Bureau</b>	Timeline (Stream)												
Air Quality	4 months												
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			Enforcement & Document Management	6 months
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	Page 86 Typical implementation for similar size of engagement takes around 12 to 18 months. This sounds overly aggressive, and no examples of projects this size were given.	
III	1	<b>Appendix E-</b> Testing and Quality Assurance	Standard testing approach	
III	1	<b>Appendix E-</b> Training Approach	Standard train-the-trainer approach	
III	2	<b>Appendix F-</b> <b>Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>		
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	Many of the critical requirements need customization, but its unclear if the efforts and costs are included in the proposal or are extra. No cost estimates are included in the spreadsheet.	
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	Everything critical is standard	
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	Several critical requirements require third party tools or customization. No cost estimates are included in the spreadsheet.	
III	2	<b>Appendix F-</b> Sheet "4. Payments"	Five critical requirements require customization. No cost estimates are included in the spreadsheet.	
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	Four critical requirements require third party. No cost estimates are included in the spreadsheet.	
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	Everything critical is standard	
III	2	<b>Appendix F-</b> Sheet "7. Technical"	SFTP needs to be set up external to Salesforce and All Roles are configured independently are the only exceptions. All other critical items are standard	



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III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	All interfaces are custom – as they should be
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	All data is expected to be carried over
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	

**STATE OF MAINE  
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IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Tech Mahindra

**DATE:** 3-21-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by individual evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
\*\*\*\*\*

## Notes:

### Phase I: Organizational Qualifications and Experience:

Starting with references to "Bureau" on page 3 of Preliminary Information, and confirmed with the clear naming of the "Bureau of Alcoholic Beverages and Lottery Operations" and "RFP# 202110167" on page 3 of Organizational Qualifications and Experience, it is clear that the bidder did not appreciate that the Department of Environmental Protection has unique requirements which require the full attention of the bidder.

Subcontractor Spruce Technologies is Salesforce implementor. Two examples of Spruce's work do not appear to reflect a "vast collection of qualifications".

Without providing a connection between Tech Mahindra's ~2700 Salesforce professionals and Spruce or our project, I am unsure what their existence is supposed to imply?

Resumes and proposed project staffing do not include references to educational institutions or Spruce Technologies, which causes me to question both the validity of the references and the connection to our project. Closest thing to references appear to be "escalation point of contacts" within Tech Mahindra.

Similar to how I can not judge a Salesforce developer's abilities on the previous performance of the Salesforce platform at other organizations, I can not judge a subcontractor (Spruce Technologies) that will be doing work for my agency by the previous performance of the general contractor (Tech Mahindra). This comment is assuming that Spruce, as the subcontractor for Tech Mahindra, will be doing substantive work associated with this RFP.

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## Phase II: Proposed Services

“highly futuristic” solution is not necessarily what a state agency is looking for. I am looking for stable, proven functionality.

“Our proposed solution”: similar to other Salesforce based solution, they are proposing to build a solution, rather than implement an existing solution. They cite previous work to build upon, but it is CRM and BABLO type permitting.

“Highly configurable” and “easy to maintain”... Perhaps if we have a battery of Salesforce consultants and salesforce licenses on hand.

The statement “Our solution meets 100% of your requirements” in appendix E is contradicted by the number of customizations required in Appendix F. This does not provide confidence in the knowledge or transparency of the solution provider.

Awkward verbiage throughout. Example: “Following is business architecture is the proposed solution:” Some appears as though it may be copy paste errors, but they make the narrative difficult to read, and do not instill confidence in the communication skills of the bidder.

“Pre-Built Use Case Specific” and similar passages appear to be boilerplate verbiage in the Salesforce community, and constitute too much of the solution narrative. Narrative should include description of actual solution that the bidder is intending to implement.

Solution’s compliance components appear limited to inspection activities.

“CROMERR is currently a Salesforce customer today” is an exceptionally odd statement. CROMERR is a federal standard, not an organization.

The boundary between services provided by Tech Mahindra and Spruce is unclear, with Tech Mahindra referenced ~150 times, vs Spruce, the business analyst and Salesforce resource subcontractor, mentioned 5 times in the Proposed Services.

Do not appear to be helping much with migrating data.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

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 \*\*\*\*\*

## Overarching comments on bid package:

Only very limited experience with licensing systems of the complexity and type. Not confident in their ability to provide an enterprise solution because they've only worked on small pieces of systems.

The description of the software solution contains a lot of jargon, circular language, and promises of great benefits without explanation of the how the benefits would be realized. It was nearly impossible to comprehend and frustrating to read. It felt like Tech Mahindra had no idea how to apply their solution to our specific needs.

There were many instances where it appeared as if Tech Mahindra didn't understand the questions in the RFP. The proposal was riddled with poor grammar and syntax. I have deep concerns about their ability to communicate effectively and their attention to detail.

What happened to Spruce? Weren't mentioned at all in the Technical Proposal.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed

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II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Has worked with other New England states.</p> <p>Some questionable grammar/syntax. Referenced wrong RFP number and Department. Concerned about their attention to detail.</p> <p>1<sup>st</sup> project (NYDEC) was to provide technical recommendations (not the actual system) for Air component only.</p> <p>2<sup>nd</sup> project (NYDEC) was to provide an actual system for permitting, licensing, and enforcement but for Stormwater permitting only.</p> <p>Both 1<sup>st</sup> and 2<sup>nd</sup> project were done by one of the subcontractors (Spruce) not Bidder.</p> <p>Bidder listed 2 public (VT Liquor &amp; Lottery, NH DMV) &amp; 1 private sector (Delta Dental) projects for themselves.</p> <p>The projects listed appear to have many/most of the elements we are looking for (licensing, inspection, enforcement, payment) but at a much less complex scale.</p> <p>Liquor licenses and drivers' licenses are not nearly as complex as environmental permits. (If they consider those systems "large," they don't truly understand the project scope.) The environmental projects focused on one program, not the department as a whole.</p>
II	2	Subcontractors	<p>The subcontractor (Spruce) is stated to offer a vast collection of qualifications that are extremely relevant to MEDEP. However, they did not tell us what those qualifications actually were.</p> <p>There were 2 projects listed where it was shown Spruce has previously worked with NY DEC.</p>
II	3	Organizational Chart	<p>Mostly generic org chart provided with titles but not names.</p> <p>Air &amp; Water combined into one stream. These programs are very different.</p>
II	4	Litigation	<p>None "which might materially affect or are likely to affect our ability to perform our part of the contract." Seems wishy-washy.</p>
II	5	Financial Viability	

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II	5-a.-i.	Balance Sheets	Provided
II	5-a.-ii.	Income (Profit/Loss) Statements	Provided
II	6	Licensure/Certification	Many staff certified in the platform proposed.
II	7	Certificate of Insurance	General Liability = \$1 million Umbrella Liability = \$10 million Don't see "professional liability." "1 <sup>st</sup> Excess Liability" = \$15 million "2 <sup>nd</sup> Excess Liability" = \$25 million
III	1	<b>Appendix E- Technical Proposal (aka Attachment 1): Key Proposed Project Personnel and Project Team Organization</b>	<p>The org chart does not align with the list of team members. There appears to be a management level missing on the org chart between the "Tech M Team" and the Stream Leads, e.g., Project Manager does not appear on the Org Chart even though one is listed as a key project team member.</p> <p>Scope of services for each individual is very brief and vague, e.g., "Solution Delivery and Business Analyst."</p> <p>In Table 1.1, did not fill in Years of Relevant Experience for most people, although usually found on resume.</p> <p>In Table 1.2, did not fill in Years in Business</p> <p>Project manager currently working with VT Liquor &amp; Lottery.</p> <p>"Project Delivery Manager" previous roles listed as "Onsite Delivery Manager." Are these the same thing or is this the 1<sup>st</sup> time they will be a PM?</p> <p>Resume states PM has 17 years of experience, but project information only goes back to 2016.</p> <p>Business Analyst also working on VT project.</p> <p>Most team members with the Bidder company 5 years or less.</p> <p>Most of the Bidder's project team has no experience or very little experience working for a public agency.</p> <p>No resumes provided for Bidder's Developers</p> <p>No resumes provided for any Subcontractor staff</p>

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III	1	<p><b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance</p>	<p>Solution Proposed: Salesforce – Public Sector Solutions</p> <p>RFP asks that the narrative be written with an “end-user audience.” Don’t feel like that’s what they did. Lots of jargon. Lots of words that don’t seem to say much. Lots of promised benefits without details of how those benefits are realized.</p> <p>The proposal is riddled with examples of poor grammar and syntax.</p> <p>(p21) Tech Mahindra seems to think we have some kind of call center. We don’t need “call scripts.”</p> <p>(p23) I feel Tech Mahindra has very much underestimated the effort in developing application materials and the type of information DEP is required to collect.</p> <p>All of the information on pages 23-24 is way oversimplified and lacking detail.</p> <p>(p25) I don’t understand most of the information provided about OmniStudio.</p> <p>(p27) First instance (and only) discussion of “Chatter.” Is Chatter subject to FOIA?</p> <p>(p28) The discussion of the Experience Cloud definitely does not feel tailored to our needs. I question whether most of this functionality is even applicable to us.</p> <p>(p31) Licenses: Tech Mahindra seems to completely misunderstand our question on “licensing options” at first by reiterating the number of environmental license types needed by bureau. Then describes the different Salesforce licensing options available, but doesn’t state which option they’ve included in the proposal.</p> <p>(p32) Three upgrades released each year.</p> <p>(p33) Uses “multi-tenant” architecture to segregate each customer’s data from others.</p> <p>(p34) Hosted by Amazon Web Services. For government services, production data centers are provisioned in pairs, fully mirrored and geographically separated.</p>
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			<p>(p35) Instead of answering the question on third-party software, they give a description of Salesforce App Exchange. The list of actual third-party software didn't appear until the very end.</p> <p>(p42) Generic answer that "several other state agencies" are currently using Salesforce for similar applications.</p> <p>(p43) Regarding implementing in modules, Tech Mahindra suggests rolling out the core solution to a single program (e.g., Air, Water) as a pilot with limited users and adding integration and analytics later. That seems like a strange way of breaking the implementation up.</p> <p>(p43) States 30-40% of the Public Sector Cloud can be configured by the Department. Also states 80% configuration and 20% customization.</p> <p>(p44) Another statement that CROMERR is a Salesforce customer today. That... isn't possible. CROMERR is a regulatory framework, not an agency.</p> <p>Can download data to a data "lake" or warehouse any time we desire.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies. Many responses in odd incomplete sentence.</p> <p>Table 2.2: (p51) 1. Customer Data hosted by Amazon Web Services.</p> <p>4&amp;5. Regarding "your company" vendor-managed solutions, Tech Mahindra's answers are for Salesforce not their own work.</p> <p>8&amp;9. Declines to answer questions about instances of unplanned outages.</p>
III	1	<b>Appendix E-</b> Project Approach	<p>(p57) Using "Sf-Prime" a home-grown hybrid Agile methodology.</p> <p>(p58) Requirements gathering and solution design follow the waterfall model and then development uses Agile sprints.</p>

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			<p>It appears as if they expect to have development sprints and then staggered rollouts to bureaus. I don't know how well that would work as each bureau has very different needs. Wouldn't there be a lot of independent development for each?</p> <p>(p59) Tech Mahindra identifies people's attitudes and conflicts as a risk mitigated by a Change Management Board to hear grievances. I wonder what kinds of experiences they've had in the past to highlight this risk.</p> <p>Identified "product issues impacting desired functionality," and the solution is to agree to a workaround. That doesn't say much about the super adaptability of the solution.</p> <p>"Holidays" are identified as a risk. That seems odd.</p> <p>(p59-60) Appear to be proposing a lot of onsite presence. Several roles appear to be onsite full-time. Not sure how helpful that is when a lot of DEP staff are remote. Could also significantly elevate cost. Grammar/syntax in this section is terrible.</p> <p>(p62) Offering 8 weeks of post-go live warranty support.</p> <p>(p63) Proposes an ongoing support model that includes bug fixes and enhancements up to 8,000 hr/year.</p> <p>(p64) The go-live plan doesn't identify any DEP responsibilities that include technical staff.</p> <p>(p65) Post go-live support provided by Tech Mahindra directly. They don't just fall back on Salesforce. However, most support resources appear to be offshore.</p> <p>(p66) Enhancement requests can be submitted through JIRA.</p> <p>I like that Tech Mahindra appears to be taking ownership of the product and doesn't intend to dump us back on generic Salesforce support at the end of the project.</p>
III	1	<b>Appendix E-</b> Project Management	

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III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p85) Proposing a 12 month timeline.</p> <p>Discovery and Planning phases to be covered in 8 weeks. I doubt that is enough time to nail down all requirements for the entire department.</p> <p>(p86) They have a well-fleshed out schedule, but I question the approach of developing bureaus concurrently. I also feel like they drastically underestimate the complexity of some of the systems.</p> <p>Typical implementation takes 12-18 months.</p> <p>The timelines for releases seem unrealistic, especially those for Air and Water.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>(p92) Proposing four environments in addition to Production: Development, Dev Pro, Partial Copy Sandbox, and Full Copy Sandbox. Seems like a lot. Will we be paying for all the extra environments?</p> <p>(p96) Expects 85-90% configuration and 10-15% customization.</p> <p>(p97) The answer on customization methodology made no sense to me.</p> <p>(p99) Doesn't appear to acknowledge that there are no APIs for Access databases.</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>(p104-107) Did not see discussion on whether Tech Mahindra would help the DEP with developing test scripts. No discussion on how they would support users during testing.</p> <p>All testing to be provided from India.</p>
III	1	<b>Appendix E-</b> Training Approach	<p>(p108) The syntax in this section is especially bad.</p> <p>They propose train-the-trainer approach for the Department's technical users and some training for Power Users. I'm unsure of the level of training that will be provided on the application itself or if most training is focused on technical details.</p>

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			(p109) Tech Mahindra states that they are currently conducting similar training with Maine DEP with very high effectiveness. News to me.
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</b>	
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	There are several items marked as Customizations, but no associated cost is provided. Should we assume this customization is included?
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	Everything on this sheet is listed as standard.  (R40-42) I don't think Tech Mahindra understands what an Intervener is.
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	
III	2	<b>Appendix F-</b> Sheet "4. Payments"	There are several items marked as Customizations, but no associated cost is provided. Should we assume this customization is included?
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	Everything on this sheet is indicated as standard, except for integration with third-party digital signature platforms.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	(R37) Tech Mahindra states that it is a standard feature to be able to export reports to MS Word. The online message board for Salesforce indicates this is a feature users have been requesting for years but it hasn't yet rolled out.  Tech Mahindra indicates that all query requirements are a standard part of the system.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Tech Mahindra Americas Inc.

**DATE:** March 24, 2023 (Sections I, II, & project team), 4/24-4/26/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

III	2	<b>Appendix F-</b> Sheet "7. Technical"	(R41) Indicates that SFTP needs to be setup outside of Salesforce.  Two customizations listed with no cost estimate.
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	Proposes to integrate Access databases through use of an API?
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	Says TechM complies with every migration requirement
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Tech Mahindra Americas Inc.

**DATE:** March 24, 2023 (Sections I, II, & project team), 4/24-4/26/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: Vanguard

DATE: 4/4/2023 & 5/1/2023

EVALUATOR NAME: Sherrie Kelley

EVALUATOR DEPARTMENT: Environmental Protection

\*\*\*\*\*  
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\*\*\*\*\*

## Overarching comments on bid package:

### **PHASE I-**

The complexity of the recent projects listed do not demonstrate experience with a project of the complexity required by our RFP. Most similar project (w/ DNREC) does not appear to have reached all goals stated.

Example projects appear to very focused on payment of fees and less on processing of license applications.

The first example project appears to be the beginning of a system similar to our project. However, the system does not appear to be fully implemented.

15 years enterprise scale applications, talk about paper to electronic (not really our goal) Examples seem simple in scope.

Used 'Expertly' s workflow components and platform solution; Focus a lot on workflow process, Boast an 'award winning application' however not much in the complexity of licensing and integration.

Web Intensive Software / Created the Expertly Platform they recommend-14 years

The detailed org chart provided is for the organization showing the names of high-level positions.

However, it was not specific to this project.

Can't open the imbedded PDF's to see the specific certifications.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

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**BIDDER NAME:** Vanguard

**DATE:** 4/4/2023 & 5/1/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

## PHASE II

Big concerns – prime example (Delaware) still not live (4 years later)

Vanguard demonstrates a working knowledge of CROMERR requirements.

Vanguard proposes a unique approach to phasing the project by starting with interfaces and developing a core solution and then working with bureaus?? Very odd.

“Expertly” software platform was developed by WebIntensive. Low-code alternative platform that hasn’t reached a level of being able to compete with Microsoft or Salesforce. Not a proven long term viable platform.

The proposal to complete this project in 12 months (with 3-4 months of post-go-live monitoring) is extremely concerning and unrealistic considering the detailed complexities involved in a project of this magnitude. This would be nearly impossible since they have very limited experience. The project they are currently working on has been going on 4 years already...

The proposal does not include key functionalities, including permit management, compliance, or mobile inspection capability.

Vanguard assumes all discovery and design can be accomplished in 3 months – very very unlikely!!

Almost every requirement in Appendix F was listed as standard and included with no customization effort. Again not likely!! Totally underestimating the project imo.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** Vanguard  
**DATE:** 4/23/2023  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*  
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 \*\*\*\*\*

## Overarching comments on bid package:

“Expertly” software platform developed by WebIntensive but now is promoted by its own website expertly.com. This is a fairly no-name low-code alternative that isn't ready to compete with Microsoft or Salesforce.

Overall this is a well thought out proposal

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	Project #1 – Delaware Natural Resources and Environmental Control. Interesting combination of licensing for Septic, hunting & Fishing, and Non-Hazardous and Hazardous waste transport. License volumes are impressive, but hard to decipher what licenses specifically. I'm assuming that the combination of Natural Resources and Environmental Control is their example of an enterprise (cross department) solution. <ul style="list-style-type: none"> <li>- Partway through the Intergrations they switch from past tense (as in done) to present tense (as in working on)</li> <li>-</li> </ul>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

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**DATE:** 4/23/2023

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			<p>Project #2 – NY State DMV tracking registered car dealers' transactions.</p> <p>Project #3 – NYC Dept of Finance for both public and commercial hearing requests.</p>
II	1	Key Proposed Project Personnel and Project Team Organization	
II	2	Subcontractors	WebINTENSIVE Software
II	3	Organizational Chart	The org charts do not appear to be specific to the project
II	4	Litigation	"Not Applicable"
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	Balance sheets for 17-18 & 19-20 Total Assets at EOY 2020 was \$34M
II	5-a.-ii.	Income (Profit/Loss) Statements	Statement of income, Changes in Equity, and Cash Flow for 17-18 & 19-20 Sales revenue for 2020 was \$64.4M
II	6	Licensure/Certification	<p>Could not open any of the attached certification files</p> <p>SOC 2 Type 2 CSA_Star PCI DSS</p>
II	7	Certificate of Insurance	<p>Umbrella = \$10M Professional = \$1M Cyber = \$3M</p>
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	<p>"Expertly" version 3.1.7.0 (as of 5/5/22) Expertly is a software platform developed and managed by WebINTENSIVE Expertly has been around since 2018</p> <p>After chatting with Victor about Expertly, it is another Low Code platform that we are probably not interested in adding to our collection.</p> <p>4-levels of access</p> <ul style="list-style-type: none"> <li>- Public Users</li> <li>- Business Users</li> <li>- Agents/Stores</li> <li>- DEP Staff</li> </ul> <p>Expertly provides the following feature sets:</p> <ul style="list-style-type: none"> <li>• Page Designer – Including Dashboards, Forms and Dynamic Charts</li> </ul>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR DEPARTMENT:** DAFS/OIT

			<ul style="list-style-type: none"> <li>• Workflow Manager – Including automations and scheduler</li> <li>• Automation Designer—REST service creation and management, including document creation and extraction services</li> <li>• Report Designer</li> <li>• Document Management System</li> <li>• Content Management System</li> <li>• Internationalization Management System</li> <li>• IVR/Messaging Manager—for Mass Communication</li> <li>• Single Sign-On by citizens and businesses into other State systems</li> <li>• Administrative Portal – User Management and Portal Configuration</li> <li>• User Management (including optional integration with an external OpenID Connect, OAuth2 or SAML based identity management system)</li> <li>• Search subsystem</li> <li>• Authentication and Authorization (Role based access control system)</li> <li>• Payment subsystem with credit card, Google Pay and Apple Pay integration</li> </ul> <p><b>No mention of remote inspections</b></p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>AWS East &amp; West Gov Cloud</p> <p>AWS Aurora Database (question sent to Victor) is Amazon’s flagship database, but in terms of market share, cannot yet compete with Oracle or MS SQL Server.</p> <p>AWS us-east-2 and us-west-2 (question sent to Victor – GovCloud?)</p> <p>Vanguard agrees to all policies listed in the RFP</p>
III	1	<b>Appendix E-</b> Project Approach	<p><b>“Agile under the Waterfall”/“mod Agile”</b></p> <p>It seems that Vanguard may be underestimating the complexities involved (pp69)</p> <p>“For implementing the ELS, Vanguard anticipates primarily configuring components, which entails some custom development to comply with the Department’s business logic and accommodate non-standard</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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			workflows.”
III	1	<b>Appendix E-</b> Project Management	pp81 “We follow PMI standard.”
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	18 month project (this is aggressive to migrate all four bureaus, particularly where the last 4 months are just for monitoring)
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	Good definition of the data migration process with Vanguard assuming a lot of responsibility
III	1	<b>Appendix E-</b> Testing and Quality Assurance	Reasonable approach to testing
III	1	<b>Appendix E-</b> Training Approach	Train-the-trainer
III	2	<b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder’s Appendix F workbook to comment on individual requirements.</b>	
III	2	<b>Appendix F-</b> Sheet “1. Licensing”	All Critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet “2. Public Portal”	All Critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet “3. Document Management”	All Critical requirements are Standard except for OCR Conversion. That is shown as a future enhancement
III	2	<b>Appendix F-</b> Sheet “4. Payments”	Customization needed to integrate with PayMaine II, but included in cost quote
III	2	<b>Appendix F-</b> Sheet “5. Comp-Insp-Enf”	All Critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet “6. Reporting”	All Critical requirements are Standard

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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III	2	<b>Appendix F-</b> Sheet "7. Technical"	All Critical requirements are Standard
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	All responses to Interfaces were "Y"
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	All responses to Data Migration were "Y"
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
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**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

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IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
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# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Vanguard

**DATE:** 3-20-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

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## Overarching comments on bid package:

### Phase I: Organizational Qualifications and Experience:

Intend to use the Expertly Platform developed by WebINTENSIVE. "unified team"

The complexity of the recent projects listed do not demonstrate experience with a project of the complexity required by our RFP.

Most similar project (w/ DNREC) does not appear to have reached all goals stated.

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### Phase II: Proposed Services:

Proposed Services do no describe permit management functionality.

Proposed Services does not describe compliance functionality.

Answers of Y to INT. 7 and INT. 8 in Appendix F similarly show a lack of knowledge of federal compliance reporting services.

Proposed Services does not describe inspection functionality.

Scheduling looks too short.

Sections marked PII/Business Secrets appear excessive.

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Vanguard Direct, Inc. DBA Vanguard

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/26 – 4/27/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

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 \*\*\*\*\*

## Overarching comments on bid package:

They have some experience with licensing systems, but have yet to implement a final solution of any complexity.

The proposal implies that Delaware's Air licensing portal was almost ready to go live, but the proposal is almost a year old and DE's website is still showing the legacy system.

Lots of content in the proposal was marked as confidential or trade secret, even items I would consider very standard.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed.
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	Long list of data management projects with state agencies.  1 <sup>st</sup> project is DE NREC which appears to be a licensing system similar to our project.



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**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>DE NREC system does not appear to be fully implemented although their linked video says it will debut in 2019 with a small selection of permits and expanded upon in the next few years. Website shows many hunting/fishing type licenses, but only 4 env licensing programs accept applications online (water, well driller, gasoline delivery vehicles, and air open burning). Only the water permit is complex and the online system is limited to renewing (i.e., accepting payment for) licenses. No detailed (i.e., complex) permit information is entered.</p> <p>DE NREC project writeup seems super focused on payment of fees and less on processing of applications. Also, most successful part seems to be the very simple hunting/fishing licenses.</p> <p>Project 2 is NY DMV. Project 3 is NY Dept of Finance. Both show experience automating paper systems.</p> <p>Project 3 is a NYC payment system for parking violations. Not complex nor particularly relevant to this project.</p>
II	2	Subcontractors	<p>Subcontractor (WebINTENSIVE) is the creator of the platform (Expertly) proposed for this project. Bidder states they've worked with them several times previously. Proposed to be one unified team with Bidder.</p>
II	3	Organizational Chart	<p>Detailed org chart provided for the organization showing the names of high-level positions. However, it was not specific to this project</p>
II	4	Litigation	<p>Simply listed "Not applicable."</p>
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	<p>Provided (2017 – 2020)</p>
II	5-a.-ii.	Income (Profit/Loss) Statements	<p>Provided</p>
II	6	Licensure/Certification	<p>Embedded links provided are not clickable.</p>
II	7	Certificate of Insurance	<p>General Liability = \$1 million Umbrella Liability = \$10 million Professional = \$1 million Cyber Liability = \$3 million</p>
III	1	<b>Appendix E- Technical Proposal (aka Attachment 1):</b> Key Proposed Project Personnel and Project Team Organization	<p>Key personnel have loads of experience with public sector agencies, but I don't see anything regarding environmental agencies other than DE NREC.</p> <p>Many of the project team members have been working on DE NREC, but have been at it 4+ years and appear to have</p>

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			implemented mostly fees and simple hunting/fishing licenses.
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	<p>No escalation points of contact listed for any individual Solution Proposed: Expertly</p> <p>(p37) Vanguard can set up stores and agent locations where DEP permits can be sold. This is a tragic misunderstanding of our licenses. These aren't fishing licenses, they're complex environmental permits.</p> <p>(p38) States that Expertly is currently being developed/deployed in Delaware but the public portal is only being used for hunting/fishing licenses. That's a lot different from our licenses.</p> <p>(p39) Vanguard says that air permitting in DE was underway citing a legacy system that requires 29 PDF application forms. It's over a year since the document was written and that legacy system is still the process that appears on DE's website. According to p42, they've been at it for over 4 years.</p> <p>(P39-40) I did not understand the (very lengthy) linked document with licensing options, but proposal states unlimited licenses are proposed.</p> <p>(p40) &lt;Marked confidential: Minor releases every 3 weeks and major upgrades once/quarter&gt;</p> <p>&lt;Marked confidential: UAT testers are needed for 3-5 days for regression testing for major updates&gt; Based on the frequency of major updates, that seems like a lot of DEP staff time on an annual basis.</p> <p>(p41) &lt;Marked confidential: Hosted on AWS&gt; Listed elsewhere without being marked confidential.</p> <p>(p43) I don't think they understood the question about functionality developed by non-SOM clients. Either that, or they see no advantage to work done in other jurisdictions.</p> <p>(p44-50) Addressed OIT's Remote Hosting Polity in extreme detail.</p>

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**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>(p52) &lt;Marked confidential: Delaware’s system is being configured to accept electronic signatures to EPA CROMERR standards.&gt; Bidder demonstrates a working knowledge of CROMERR requirements, but doesn’t appear to have implemented a final solution yet.</p> <p>(p52) &lt;Marked confidential: Several options given for getting a full copy of the database including a persistent read-only connection for live access and a full data dump.&gt;</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies.</p> <p>Table 2.2: (p44) 1. &lt;Marked confidential: AWS&gt;</p> <p>4. Vanguard currently serves approx. 1,200 clients in 5 states.</p> <p>8&amp;9. No instances of unplanned outages.</p> <p>Vanguard goes into great detail for any answers regarding security.</p>
III	1	<b>Appendix E-</b> Project Approach	<p>(p69) Employ an “Agile under the Waterfall” and “mod Agile” development methodology.</p> <p>(p71) &lt;Marked confidential: Good assessment of risks including assumed but unarticulated or poorly documented requirements. Also, changes to external interfaces.&gt;</p> <p>(p73) &lt;Marked confidential: Regarding phasing the solution. Not sure how you implement interfaces and core solution before speaking with individual bureaus. I’m concerned they expect more consistency of core data between bureaus than actually exists.&gt;</p> <p>(p75-76) I don’t feel like they appropriately answer the questions on pre go-live support.</p> <p>(p78) I think they’re proposing post go-live support for 3 months (daily reports) and then weekly reports for another 3 months after that. This seems like a lot and I wonder if this is being confused with an ongoing services contract.</p>

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>Suggests operating the legacy system in parallel for a short period.</p> <p>(p79) Enhancement requests may be submitted. Handled on a Time &amp; Materials basis.</p> <p>Overall, good discussion on handling of change requests post go-live.</p> <p>(p80) DEP Admins can configure basic elements but coding is required for creating custom workflows, screens, etc.</p> <p>Did not provide DEP staffing levels. Answered for Vanguard instead.</p>
III	1	<b>Appendix E-</b> Project Management	<p>(p84-85) I appreciate that Vanguard specifically addresses the psychological aspects of managing large system changes. Unfortunately, this section had some glaring cut/paste errors that demonstrated it was recycled from previous proposals.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p90) The various project schedules provided don't line up.</p> <p>The Gantt chart on p89-90 says 4 years for the entire implementation, although the last deliverable appears to be 18 months. The one on p92 is 20 months. On p95 they say &lt;Marked confidential: that a typical implantation takes a year.&gt;</p> <p>It feels very odd to plan/design the system based on interfaces before you talk to bureaus about their data needs and work flows.</p> <p>I get the impression that Vanguard does not understand the logical divisions within the Department, i.e., bureaus, which is odd since they're supposedly doing a similar development for DE.</p> <p>I think they assume each legacy system belongs to a bureau or program, which is not accurate.</p> <p>(p95) &lt;Marked confidential: Says a typical implementation takes a year, but they've proposed a much longer timeline for DEP.&gt;</p>

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			<p>(p96) &lt;Marked confidential: Says they've assumed bureaus will be implemented in stages, though more than one stage may be in progress at any one point.&gt; This isn't how the schedule appears to be laid out.</p> <p>Assumes all discovery and design can be accomplished in 3 months, which seems unrealistic.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>(p99) Good description of Department staff roles and responsibilities</p> <p>(p101) Does not answer the questions on determining which requirements can be met by configuration vs. customization or configuration documentation. The answer simply implies that they will take care of everything.</p> <p>(p102) &lt;Marked confidential: Expects customization to be less than 10% and limited to interfaces.&gt;</p> <p>(p104) &lt;Marked confidential: Vanguard takes responsibility for developing and running all data migration scripts.&gt;</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>(p105) Agrees to helping the DEP develop test scripts and will assign testing liaisons to each DEP team.</p> <p>Very odd formatting going on in this section.</p>
III	1	<b>Appendix E-</b> Training Approach	<p>Very odd formatting going on in this section.</p> <p>(p107) Department technical users expected to have an understanding of HTML, CSS, and/or JavaScript.</p> <p>Train-the-trainer model.</p> <p>Standard to provide instructor-led training. Video tutorials will be created and will host training webinars.</p>
III	2	<b>Appendix F-</b> <b>Functional and Technical Requirements (aka Attachment 2):</b> <b>Please feel free to make a copy of (and attach) the bidder's</b>	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Vanguard Direct, Inc. DBA Vanguard

**DATE:** 3/24/2023 (Sections I, II, & project team), 4/26 – 4/27/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

		<b>Appendix F workbook to comment on individual requirements.</b>	
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	Every requirement listed as standard except for three items expected to be added to the system in the very near future.  Vanguard included many comments on the general functionality of Expertly.
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	Every single requirement listed as standard and included.
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	Every requirement listed as standard except for two items expected to be added to the system in the very near future.
III	2	<b>Appendix F-</b> Sheet "4. Payments"	Customizations for sharing data with Advantage and Elavon included at not additional cost.  Vanguard says the Advantage functionality is "available in another implementation and will be migrated to the Department's implementation." I have questions for Bill and Sherrie about this statement.
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	Every single requirement listed as standard and included.  It appears that use in the field would be accommodated by using the mobile device's browser. I'm not sure how that aligns with R26 requirement to be able to work offline and upload later.
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	Every requirement listed as standard and included except for the ability to drill-down reports which is a customization.  Claim to have extensive reporting functionality including the ability to create ad hoc reports and export to various formats including Word, PDF, and Excel.
III	2	<b>Appendix F-</b> Sheet "7. Technical"	Every single requirement listed as standard and included.
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	

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**RFP #:** 202110152

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	

**STATE OF MAINE  
INDIVIDUAL EVALUATION NOTES**

**RFP #:** 202110152

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**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

IV	2	<u>Appendix G</u> - Sheet "Data Migration"	
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# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152  
**RFP TITLE:** Enterprise Licensing System  
**BIDDER NAME:** Windsor  
**DATE:** 5/18/2022  
**EVALUATOR NAME:** William Mason  
**EVALUATOR DEPARTMENT:** DAFS/OIT

\*\*\*\*\*  
**Instructions:** *The purpose of this form is to record proposal review notes written by **individual** evaluators for this Request for Proposals (RFP) process. It is **required** that each individual evaluator make notes for each proposal that he or she reviews. No numerical scoring should take place on these notes, as that is performed only during team consensus evaluation meetings. A separate form is available for team consensus evaluation notes and scoring. Once complete, please submit a copy of this document to your Department's RFP Coordinator or Lead Evaluator for this RFP.*  
 \*\*\*\*\*

## Overarching comments on bid package:

Product is called nVIRO  
 Replaced EFIS for SC

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Included
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Included
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>Project #1 – SC Dept of Health and Environmental Control for replacing EFIS. The proposal indicates that this transition is complete.</p> <p>Project #2 – MI DEP Great Lakes and Energy for Water Resource Division migration into nVIRO. Recently engaged same to replace their air emissions system.</p> <p>Project #3 – KS Dept of Health and Environment for Bureau of Air for reporting to EPA – ICIS</p> <p>While all three of the project examples were very impressive, none of the 3 projects listed were examples of enterprise solutions that were extensible outside of the environmental departments</p> <p>Clear resumes for identified staff</p>

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Windsor

**DATE:** 5/18/2022

**EVALUATOR NAME:** William Mason

**EVALUATOR DEPARTMENT:** DAFS/OIT

			Good identification of escalation processes
II	1	Key Proposed Project Personnel and Project Team Organization	
II	2	Subcontractors	No subcontractors
II	3	Organizational Chart	A basic project org chart is provided along with resumes for the project team leads
II	4	Litigation	No litigations
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	2021 Net Assets \$3.2M
II	5-a.-ii.	Income (Profit/Loss) Statements	2021 Gross Income \$10.1M
II	6	Licensure/Certification	No certifications mentioned
II	7	Certificate of Insurance	Umbrella = \$3M Prof & Cyber = \$3M each
III	1	Key Proposed Project Personnel and Project Team Organization	
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	<ul style="list-style-type: none"> <li>- Product is called nVIRO</li> <li>- Components include: <ul style="list-style-type: none"> <li>- Core Data Management</li> <li>- My Account</li> <li>- Site/Person/Organization Module</li> <li>- Site Plan</li> <li>- Workflow Management</li> <li>- Document File Management</li> <li>- Document Generation</li> <li>- Electronic Forms</li> <li>- Mobile Inspections</li> <li>- Dynamic Reporting and Data Hub</li> <li>- Emissions Inventory</li> </ul> </li> <li>- Aceoffix needs to be installed on laptops. This is has a plugin to allow editing directly in the browser</li> <li>- nSITE Explorer for GIS based inquiries</li> <li>- .NET application w/SQL Server</li> <li>- Shared code base</li> <li>- Hosted in Azure East</li> <li>- continuously monitored by Microsoft Azure Security Center for NIST compliance</li> </ul>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<ul style="list-style-type: none"> <li>- Simplistic environment, 1 test and 1 prod</li> <li>- Data is fully segregated</li> <li>- Application is hosted in Azure</li> <li>- CROMERR Compliant</li> <li>- SSO &amp; Multi-Factor authentication</li> <li>- Full agreement with all stated MaineIT policies</li> </ul>

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III	1	<b>Appendix E-</b> Project Approach	<ul style="list-style-type: none"> <li>- Jira for tracking issues</li> <li>- “Business Process Redesign” to help business align with software</li> <li>- “As a requirement of Current System Analysis and subsequent data conversion, it is assumed Windsor will be provided access to a test version of the current application(s) and databases during the first month of the project.”</li> <li>- Identified by name the external systems they need to integrate with</li> <li>- Plan to work in sprints</li> </ul>
III	1	<b>Appendix E-</b> Project Management	<ul style="list-style-type: none"> <li>- Very good project management scope and plan. Well laid out.</li> </ul>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<ul style="list-style-type: none"> <li>- Programs are broken down into size categories, S, M, L, XL, but not specifically identified.</li> <li>- No indication of which programs fall into which size rating, so the schedule is generic. But it indicates 10 small programs, 7 medium programs, 2 each of the large and extra-large programs</li> <li>- The schedule runs through the 2<sup>nd</sup> half of 2027. This looks like a realistic timeframe.</li> <li>- Project schedule was delivered in MS Project, so the milestones are to be the documented tasks with the timeline being broken into halves of years (EX: 2023, Half 1)</li> </ul>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<ul style="list-style-type: none"> <li>- As requested in the RFP, an agile approach will be taken</li> <li>- After the initial kickoff and implementation planning, each program will repeat a cycle of 7 steps leading up to its go-live</li> </ul>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<ul style="list-style-type: none"> <li>- Testing phases are built into the implementation plans.</li> <li>- Insufficient testing is noted as a potential risk, indicating Windsor’s perspective on testing</li> </ul>
III	1	<b>Appendix E-</b> Training Approach	<ul style="list-style-type: none"> <li>- Good identification of classes being made available at each user level including system configuration and management</li> <li>-</li> </ul>
III	2	<b>Appendix F-</b> Functional and Technical Requirements (aka Attachment 2): <b>Please feel free to make a copy of (and</b>	

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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		<b>attach) the bidder's Appendix F workbook to comment on individual requirements.</b>	
III	2	<b>Appendix F-</b> Sheet "1. Licensing"	There are some (6) critical requirements that are not available with this vendor. These should be looked at by the DEP to determine the impact on the project. There are also several critical requirements that need customization totaling \$150k
III	2	<b>Appendix F-</b> Sheet "2. Public Portal"	There is one critical requirement that needs customization. No estimated cost.
III	2	<b>Appendix F-</b> Sheet "3. Document Management"	There are seven critical requirements that are either future or not available. The Dep should review these to determine the impact. There is one critical requirement needing customization at a cost of \$14.5k
III	2	<b>Appendix F-</b> Sheet "4. Payments"	There is one critical requirement needing customization at a cost of \$20k
III	2	<b>Appendix F-</b> Sheet "5. Comp-Insp-Enf"	There are some (6) critical requirements that are not available with this vendor. These should be looked at by the DEP to determine the impact on the project. There are also several critical requirements that need customization totaling @ \$30k
III	2	<b>Appendix F-</b> Sheet "6. Reporting"	There are eight critical requirements that need customization totaling @ \$150k
III	2	<b>Appendix F-</b> Sheet "7. Technical"	There is one critical item that is not available, but the vendor has a reasonable recommendation for it.
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	Windsor is suggesting the use of OpenNode2 for some of the interfacing. <b>Check this with the A&amp;P team.</b>
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	The vendor expects all data to be migrated.
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	

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IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	
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IV	2	<b>Appendix G-</b> Sheet "Data Migration"	

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

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BIDDER NAME: Windsor

DATE: 5/18/2022

EVALUATOR NAME: William Mason

EVALUATOR DEPARTMENT: DAFS/OIT

Notes from Windsor Reference Check with Michigan 5/22/23

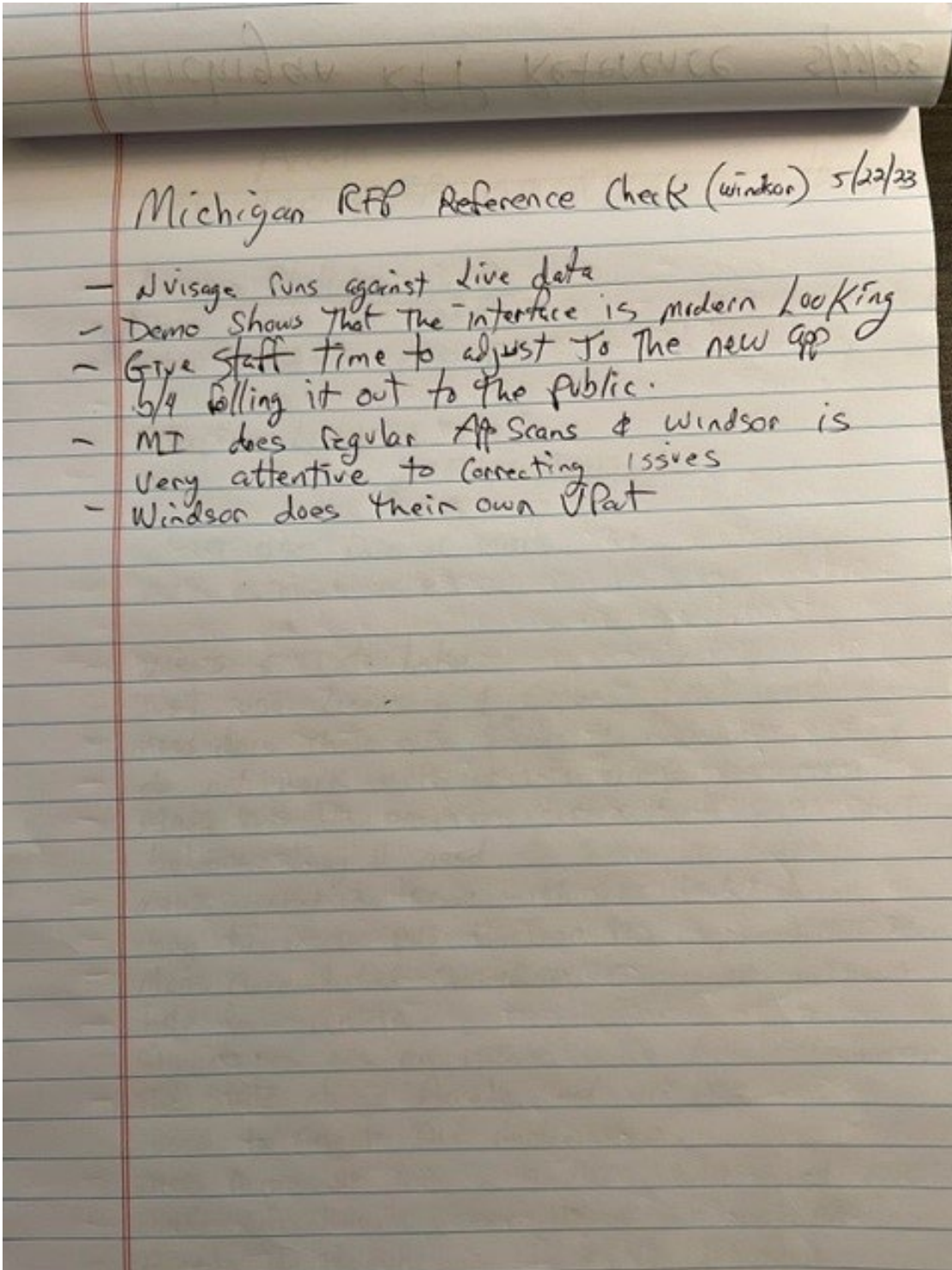
## Michigan RFP Reference 5/22/23

- Sarah Ehinger - MI - DBP - Water
- Mark Sheber - MI - DBP - DBA (business)
- Melissa Sanborn - MI - DEP - Water Quality
- All Three were field staff but now act as translators for the business to IT.
- MI were the initial state that partnered with Windsor to build the app.
- Initial implementation was just for Water.
- Water Quality & Water use are very different uses
- Entotech & ESRI were competitors in 2013 for the contract.
- Original contract was \$5m + \$3m for support
- Air itself is costing @ \$8m for implementing
- Hosting & Support for Water & Air is \$8m over 10 years.
- Windsor appears to be hiring (14 recently) people
- Have had the same contact person for @ 8 years
- Releases 3 times per year
- System can accept a form uploaded or filled in online.
- MI just invests more people in implementing more of the bells & whistles.
- Need to be specific @ acceptance criteria for changes
- Mapping System in Enviro is not ESRI based
  - It is called ESRI Light (jokingly)
- Usage is an ad hoc tool for querying



**STATE OF MAINE  
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# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Windsor

**DATE:** 4/4/2023 & 5/2/2023

**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
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\*\*\*\*\*

## Overarching comments on bid package:

### PHASE I-

20 years IT experience. Founded in 1998, Sole objective works with public-sector environmental regulatory agencies (ERAs) at the state, tribal, local, and federal levels across the US. We believe in utilizing technology to enable ERAs to do what they do best: protect the environment. Claim to have successfully completed thousands of environmental software projects in nearly every state. Developed specialized low-code COTS software to assist environmental agencies with licensing, permitting, compliance and enforcement, inspections, application submissions, pollution complaints, public records requests, and reporting. nVIRO was designed and engineered specifically to support environmental and public health regulatory program management and business processes.

Replaced EFIS is SC.

Windsor states that they work exclusively with public sector environmental regulatory agencies. Our project is their specialty. We could benefit from lessons learned from previous projects.

Org Charts make a lot of sense

Appears to be doing continuously well, a few tough years.

Large, seasoned project team, each has many years with the company. Resumes for identified staff look good. Good organizational approach.

Based on reviewing the website for example project 3 for Kansas, the solution appears to be in full production with accompanying user's manual. This gives great confidence in their ability to successfully complete the project. Everyone on the proposed team listed by name has at least eight years with the company. Many people on the proposed team, including the Project Manager, worked on projects that are directly relatable to ours. This gives us confidence that the team members have the experience necessary for a successful project.

The vendor's solution has attained CROMERR approval, which is a significant compliance component and will save time for this project.



# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

## PHASE II

The solution was built to be CROMERR complaint.

Whenever possible, uses the same interface for internal and external users. Will help with customer support. User configurable forms and workflows.

Solution includes a public notice portal, which will reduce workload

Solution will provide community access to permitting data via a map.

Hosted in Azure East which MaineIT is heavily invested in.

Continuously monitored by Microsoft Azure security for NIST compliance.

Possibility of Emissions Inventory program add-on

Get the benefit of enhancements made by other users from shared code base

API platform looks robust, fully segregated Data

Will use JIRA for tracking issues

Processes are configured individually for each program, which will allow for variations between programs

Windsor will access EFIS, legacy systems, and databases directly for analysis

Windsor intends to assist DEP with mapping, converting, and migrating data out of legacy systems

Go-live support explanation was excellent

Valid assessment of potential risks to the project and mitigation strategies were proposed

Well laid out plan **No issues or deficiencies found with plan**

Recognized the amount of work to be done and have planned accordingly

Windsor's proposed timeline sounds reasonable and realistic. They listed all programs and provided a timeline for each one. Windsor will give DEP the option to pick which programs are priorities for implementation.

Recommended including enforcement and document management

Windsor demonstrates a thorough understanding of our objectives and provides a clear explanation of implementation approach.

As requested in the RFP, Windsor is proposing an agile approach

Standard 7 step approach will be taken for each program after kick-off and implementation planning

Listed insufficient testing as a risk. Windsor realizes the importance of testing.

All testing types outlined

Windsor will work with DEP to develop the test scripts

The testing phases are built into the implementation plans

Will train identified DEP staff on how to do their own configuration of the system

Good identification of classes being made available at each level including system configuration and management.

Appears that sufficient training will be

Most requirements come standard with the software and are included in the provided solution. All requirements had very good comments. Requirements that Windsor couldn't provide had valid explanations.

Viewed Windsor's reference's public portal and it appeared to be user-friendly and modern.

The proposed solution has most of the functionality we specified. Those marked as not possible had fair reasons why.

Has integrated document management system (third-party software not required).

Reporting Appreciate the option of a data warehouse. Has integrated reporting functionality (nVISAGE)

Confidence in their ability to assist us with data migration from reference provided by Windsor.

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**EVALUATOR NAME:** Sherrie Kelley

**EVALUATOR DEPARTMENT:** Environmental Protection

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

**RFP #:** 202110152

**RFP TITLE:** Enterprise Licensing System

**BIDDER NAME:** Windsor Solutions

**DATE:** 3-29-2023

**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

\*\*\*\*\*  
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\*\*\*\*\*

## Notes:

### Phase I: Organizational Experience and Qualifications:

Propose implementing their own low-code environmental regulation platform "nViro".

Comprehensive regulatory nViro platform used in South Carolina, Michigan, Kansas, Alaska, North Dakota, Wyoming, Indiana, Alabama and Hawaii.

Replaced our exact system (EFIS) with nViro in South Carolina, actively working on similar work in Kansas.

User Configurable. CROMERR experience.

Familiar with full regulatory experience: application, public input, scientific input, payment, licensing, inspection, compliance (inc. fed submittals), enforcement, et c.

Formatting of RFP responses (primarily placement within bid package) unique.

Organizational structure well documented and resume data well produced.

Long employee tenure insinuates positive work experience, which may result in project team consistency.

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### Phase II: Proposed Services

Very well produced bid package.

## STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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**EVALUATOR NAME:** Sam Krajewski

**EVALUATOR DEPARTMENT:** Environmental Protection

Appendix E describes the comprehensive functionality in proposed solution including application processing, compliance data management, enforcement process support and site management.

Proposed solution aligns very well with the needs outlined in the RFP.

Descriptions of functionality in proposed solution display a thorough knowledge of the regulatory process.

Proposed services differentiate between querying (performance measures) and reporting (official document template) which demonstrates a deep understanding of institutional needs.

Solution is proposed to deliver the ability for Departmental staff to configure and maintain the system after implementation, which is a capability with great appeal to The Department.

Access to test environment of legacy solution as requirement for vendor as part solution speaks to excellent knowledge of this type of enterprise project.

Bidder encourages the adoption of their document management and enforcement modules.

Comments in appendix F are insightful and comprehensive.

Comments in appendix F also display a deep understanding of institutional information systems and regulatory processes, particularly with respect to items marked "N".

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

RFP #: 202110152

RFP TITLE: Enterprise Licensing System

BIDDER NAME: Windsor Solutions, Inc.

DATE: 3/29/2023 (Sections I, II, & project team)  
4/16/2023 (Section III)

EVALUATOR NAME: Lynn Muzzey

EVALUATOR DEPARTMENT: Environmental Protection

\*\*\*\*\*  
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\*\*\*\*\*

## Overarching comments on bid package:

Windsor appears to have extensive experience in enterprise environmental licensing and compliance systems. Additionally, they have direct experience migrating SC's EFIS system which is nearly identical to ours.

Windsor fully understands the scope of the data systems involved and has proven experience implementing similar solutions in other states. I have confidence in their ability to produce an enterprise solution that would meet both DEP and state-wide needs.

Proposal was very well laid out, easy to read and understand. It gives me confidence in their ability to communicate complex ideas to end users.

The proposed solution appears to offer a lot of flexibility for each program area (e.g., Air, Water) to develop a system to best suit them instead of being forced into a one size fits all solution.

The proposal includes all necessary components as part of the base solution with a few needed customizations that come at a cost.

Overall, the proposal gave me great confidence that Windsor understood not only the project but also the Department, our needs, and our mission.

## Positive, Negative, Question, Interesting (P/N/Q/I) notes on Proposal Submission Requirements outlined in Part IV of the RFP:

# STATE OF MAINE INDIVIDUAL EVALUATION NOTES

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4/16/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

Section	Number	Requirement	Comments
I	1	<b>Appendix A-</b> Proposal Cover Page	Information provided. Signed.
I	2	<b>Appendix B-</b> Debarment, Performance and Non-Collusion Certification	Signed
II	1	<b>Appendix C-</b> Organizational Qualifications and Experience	<p>State they work exclusively with public sector environmental regulatory agencies. We are their niche/specialty.</p> <p>The platform is developed specifically for env data.</p> <p>States the solution is CROMERR compliant.</p> <p>Has won several awards including from ECOS.</p> <p>Project 1 is SC EFIS replacement. This project is directly comparable, i.e., extremely similar to our project.</p> <p>The writeup demonstrates they understand the full scope of the work to be done including document management, licensing &amp; compliance data management, workflow, online portal, etc.</p> <p>Demonstrated ability to develop a full enterprise licensing system.</p> <p>Project 2 is MI DEP. Windsor started by consolidating 25 existing systems.</p> <p>Currently working with MI DEP to bring their Air emissions reporting system into the new system.</p> <p>The extremely detailed scope of work provided for Project 2 clearly demonstrates that Windsor understands the depth, breadth, and complexity of the data that needs to be managed.</p> <p>Project 3 is for the Kansas DEP, BAQ replacement of their air emissions permitting and compliance program.</p> <p>Provided a full suite of functionality including forms, business workflows, templates, and reports.</p>

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4/16/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			Looked at Kansas' website. Solution appears to be in full production. Great layout and good documentation. Full step-by-step user manual for external users of the system available online.
II	2	Subcontractors	None proposed
II	3	Organizational Chart	Basic org chart with higher level lead developers/analysts listed by name and "TBD" for lower level staff.
II	4	Litigation	From bidder "There is no litigation list."
II	5	Financial Viability	
II	5-a.-i.	Balance Sheets	5 years of data provided
II	5-a.-ii.	Income (Profit/Loss) Statements	5 years of data provided
II	6	Licensure/Certification	Missing?
II	7	Certificate of Insurance	General Liability = \$2 million Umbrella Liability = \$3 million Professional = \$3 million Cyber Liability = \$3 million
III	1	<b>Appendix E- Technical Proposal (aka Attachment 1):</b> Key Proposed Project Personnel and Project Team Organization	Everyone on the proposed team listed by name has at least 8 years with the company.  Many people on the proposed team, including the Project Manager, worked on projects that are directly relatable to ours.  Very well written, clear, and relevant resumes that clearly explain people's roles in previous projects.
III	1	<b>Appendix E-</b> Software Solution, Solution Architecture and Functionality, Software Hosting and Maintenance	Solution proposed: nVIRO  (p14) The system is CROMERR compliant. By being used in other states, it would fast-track our CROMERR approval.  (p15) Windsor has implemented nVIRO in other agencies and already addressed many of the challenges included in the RFP.  Windsor states their system, "balances program-specific needs with agency standardization." This is a key element needed by DEP as all parts of the Department do similar things but in slightly different ways.

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4/16/2023 (Section III)

**EVALUATOR NAME:** Lynn Muzzey

**EVALUATOR DEPARTMENT:** Environmental Protection

			<p>Whenever possible, the system uses the same user interface for both internal &amp; external users. Windsor says this improves communication between the parties.</p> <p>Windsor states, "The biggest challenge with enterprise solutions for environmental agencies is that they typically sacrifice either program-specific needs (by forcing programs into a vanilla solution), or long-term sustainability when they result in a semi-custom, monolithic, agency-specific, limited-life solution. Windsor has employed a powerful, innovative solution that achieves the best of both solutions (program specific support, sustainable agency-wide solution) without the shortcomings of either." As a business user, I feel my needs are understood.</p> <p>(p16) Solution includes user configurable forms and workflows. Users can make 90% of system modifications themselves.</p> <p>(p17) The foundation module, nCORE, includes management of information related to sites and other regulated entities. This is great because it recognizes licensing involves more than application dates.</p> <p>Compliance activities are included in nCORE. This is an important feature we're looking for.</p> <p>(p18) GIS features appear to be native to the system.</p> <p>(p19) Workflows can be built/managed by users. The example pictured was easy for me to follow even having never seen the system.</p> <p>(p20) Templates can be automatically generated using MS Word.</p> <p>Online forms are ADA-compliant and CROMERR-ready.</p> <p>(p22) Includes a native reporting tool. Data can also be provided in a way that allows more complex reports.</p> <p>The system includes an interface to manage generation and submission to EPA's Emissions Inventory System</p>
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			<p>(EIS). We may no longer need this now that we're using CAERS, but it's nice to have another option.</p> <p>Description of the software solution was easy to understand and well written. Gives me confidence that Windsor understands specific user needs, speaks the DEP's language, and can communicate ideas.</p> <p>(p23) Windsor offers licenses either for individual program areas or for the entire agency. An agency license is included in the proposal.</p> <p>An enterprise solution beyond the DEP does not appear to have been considered.</p> <p>Major releases approx. 3 times per year. Minor releases monthly.</p> <p>Data is segregated by the DEP having its own instance, i.e., full segregation of data from any other customer.</p> <p>(p24) Hosted by Microsoft Azure.</p> <p>3<sup>rd</sup> Party Software needs: Aceoffix (to edit Word docs), 7-ZIP, Aspose &amp; wkhtmltox (to generate pdfs)</p> <p>Didn't state who else is currently using the current combination of nVIRO and 3<sup>rd</sup> party software.</p> <p>(p27) I like that the data organization diagram includes items such as Compliance and Site data. These can be easily overlooked and are an important part of the needed system.</p> <p>Environments: UAT and Prod (cloud) and UAT Local and Client Alpha hosted by Windsor</p> <p>(p28) There doesn't seem to be a formal user group to share ideas between states. However, featured developed for one client may be made available to others.</p> <p>(p29) Claims new forms are easily configured by DEP staff without assistance from developers.</p>
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			<p>(p30) Built to be CROMERR compliant. Windsor shows a deep understanding of what is needed for EPA's approval.</p> <p>A full copy of the database is available upon request.</p> <p>User training guides are provided for business users and administrators. Includes guides on form configuration and creating new document templates.</p>
III	1	<b>Appendix E-</b> Software Security, Hosting and Performance	<p>Table 2.1: Responded Yes, they would comply with all policies. In some instances, they indicated additional security.</p> <p>Table 2.2: (p35) 1. Customer Data hosted by Azure East.</p> <p>4&amp;5. Seven state agency clients supported for six years.</p> <p>11. Windsor has never had to provide financial credit for unplanned outages.</p>
III	1	<b>Appendix E-</b> Project Approach	<p>(p37) Taking one program at a time.</p> <p>(p38) Using JIRA for issue tracking.</p> <p>(p39) Windsor will establish a base implementation to use during the Business Process Redesign in order to provide demonstrations and provide context. This will be good for visual learners.</p> <p>Windsor will document dependencies between systems and the core data contained in them. Previous data migration routines may be available for re-use.</p> <p>(p41) The Implementation Plan will be developed collaboratively with the DEP.</p> <p>(p43) Core data is migrated first allowing review of the converted data to occur in parallel with development of program-specific migration scripts.</p> <p>I am very glad to see Windsor consider the program-specific data needs including data specific to a permit.</p>

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			<p>(p44) Windsor provides enhanced go-live support during the first week of production. Then weekly check-point meetings will be held for several weeks to ensure things are running smoothly.</p> <p>(p46) Training proposed for End Users, Admins, and Key Users which are between those two. There is also training provided on form configuration and document template configuration.</p> <p>(p50) Windsor will utilize a priority-driven Agile methodology.</p> <p>(p53-55) Valid assessment of potential risks to the project and mitigation strategies are proposed.</p> <p>(p56) Proposing quite a lot of on-site presence including project kickoff, business process redesign, process analysis sessions, and training.</p> <p>(p57) Telephone support provided during business hours only. JIRA tickets may be submitted 24/7.</p> <p>(p58) Enhancement requests may be submitted through JIRA. Windsor will quote the work in accordance with their standard rate sheet.</p>
III	1	<b>Appendix E-</b> Project Management	<p>Overall, well written and thoughtful approach/  (p67) Using JIRA for issue tracking.</p>
III	1	<b>Appendix E-</b> Project Schedule, Milestones and Deliverables	<p>(p70) Earliest start date for the project would be February 2023. May no longer be an issue as this date has past.</p> <p>Single program can be implemented in 5-12 months depending on size and complexity. Full agency-wide rollout can take 4-5 years. Although not what was asked for in the RFP, this is reasonable and recognizes the amount of work to be done.</p> <p>Excluding Enforcement can shorten the schedule for each program by 1-2 weeks.</p> <p>Project schedule proposes to start with small programs and work their way up to complex programs. I understand</p>

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			<p>why they would propose this, but I don't think it's what we want to do.</p> <p>Iterative progression same for each program.</p>
III	1	<b>Appendix E-</b> Implementation Project Planning and Execution	<p>(p84) Windsor's Objective 1 (improved customer service) is spot on. It shows a deep understanding of the DEP's fundamental needs and the public's expectations. This gives me great confidence that Windsor understands the project's goals.</p> <p>Many of Windsor's objectives are focused on ease of use for all parties (DEP, facilities, and public). This is good as a solution that is complicated to understand won't get used.</p> <p>(p86) Four environments: Integration, Configuration, UAT, and Production</p> <p>I couldn't find the sample Implementation Plan. Didn't find a description of the DEP's roles and responsibilities.</p> <p>(p87) Windsor anticipates 90% configuration and 10% customization.</p> <p>(p88) Core data will be migrated first and then program-specific data.</p>
III	1	<b>Appendix E-</b> Testing and Quality Assurance	<p>(p89) Testing occurs throughout the project for various aspects of implementation.</p> <p>Windsor will work with DEP Program Liaison who will coordinate User Testing.</p> <p>(p90) Windsor will work with DEP to develop test scripts.</p> <p>Detailed description of the different types of testing to be performed</p> <p>(p92) Testing support to be done remotely. Additional support for testing can be provided (but through a change order).</p>

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III	1	<p><b>Appendix E-</b> Training Approach</p>	<p>(p93) Will train identified DEP staff who are part of the configuration team. They will learn the application functionality and how to configure it on their own.</p> <p>(p94) Train-the-Trainer model. Most of the training of DEP Users will be done by DEP staff with Windsor support.</p> <p>Windsor will provide training for 5 DEP trainers.</p> <p>Windsor will participate in DEP-led training sessions to address questions.</p> <p>Will provide Admin training for 10 OIT staff.</p> <p>Will provide training materials and digital media to support training and knowledge transfer.</p> <p>(p95) Provided a list of expected prerequisite skills for each type of DEP admin staff. This makes it easier to understand the correct people for each role.</p> <p>(p98) Training to be provided on-site or through online webinars for field offices.</p>
III	2	<p><b>Appendix F- Functional and Technical Requirements (aka Attachment 2):</b> Please feel free to make a copy of (and attach) the bidder's Appendix F workbook to comment on individual requirements.</p>	<p>Most requested features are included in the proposed system, although some features are indicated as not available at this time.</p> <p>Windsor provided the estimated cost of any customizations.</p>
III	2	<p><b>Appendix F-</b> Sheet "1. Licensing"</p>	<p>(R58) USPS addresses can be validated without customization. However, parcel GIS validation cannot be supported.</p> <p>(R78) Cannot reroute workflow based on unavailability status. Maybe because it doesn't integrate with Outlook.</p>

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			<p>(R100) It would be a customization to enforce workflow sequence and to define which can be overridden.</p> <p>(R156) Customization to integrate with 3<sup>rd</sup> party signature tools.</p> <p>(R177) No significant customization to what is available in the online customer portal.</p>
III	2	<b>Appendix F-</b> Sheet “2. Public Portal”	All but one (small) requirement is a standard function in the proposed solution.
III	2	<b>Appendix F-</b> Sheet “3. Document Management”	Proposed solution has (or is expected to have by early 2023) most of the functionality we specified. Those that were marked as not possible had fair reasons why.
III	2	<b>Appendix F-</b> Sheet “4. Payments”	It would be a customization with cost to allow users to issue refunds. Proposed solution includes all other functionality specified.
III	2	<b>Appendix F-</b> Sheet “5. Comp-Insp-Enf”	<p>R44) Appears to not have the ability to assign inspections by region. This may be a misunderstanding of the requirement which said by “geographical area.”</p> <p>(R82) Would need customization to notify when multiple inspections are scheduled at a single location. (We should have specified within a certain period of time.)</p> <p>(R87&amp;88) Does not have the ability to adjust inspection schedules based on inspector vacations or other user-defined dates. It’s a customization to highlight when inspections are scheduled on a holiday.</p> <p>All of the requested Query/Reporting functions are included in the proposal.</p>
III	2	<b>Appendix F-</b> Sheet “6. Reporting”	<p>(R24) In addition to the integrated query tool, Windsor can provide as a customization a Data Warehouse that can be queried by DEP staff.</p> <p>(R44) The ability to schedule reports to run in the future is a customization with a big price tag.</p>
III	2	<b>Appendix F-</b> Sheet “7. Technical”	(R59) Screens aren’t necessarily hidden by role, but data entry is restricted based on role.

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			(R81) Refers to JIRA on requirement for end user online support. I don't think this was what was intended.  All other requirements are included in the proposal or anticipated by early 2023.
III	2	<b>Appendix F-</b> Sheet "8. Interfaces"	(R14&15) Windsor proposes to use Open Node2 for ICIS NPDES and FRS data.  All other interfaces appear to be included in the proposed solution.
III	2	<b>Appendix F-</b> Sheet "9. Data Migration"	All objects included
IV	1-a.	Bidders must submit a cost proposal that covers the period starting 1/1/2022 and ending on 12/31/2031.	
IV	1-b.	The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.	
IV	1-c.	No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.	
IV	2	<b>Appendix G- Cost Proposal Workbook (aka Attachment 3):</b> Sheet "Total Cost Summary"	

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IV	2	<b>Appendix G-</b> Sheet "Implementation Costs"	
IV	2	<b>Appendix G-</b> Sheet "Subscription Costs"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Rate Card"	
IV	2	<b>Appendix G-</b> Sheet "Enterprise Solution Costs"	
IV	2	<b>Appendix G-</b> Sheet "Data Migration"	



## Reference Questions

Bidder: Windsor

Reference: State of Michigan

Michigan's answers are in Blue and Red.

*Lynn's notes are in Orange Italics.*

- 1) How large is your organization?
  - a. How many staff total? Roughly 1300, Water roughly 400.
  - b. How many users of the system? 2015 -2022 just Water used the system. 2023 – began onboarding Air Quality Division and Waste Management Division. Roughly 300 of 400 water employees use the system – Notably our Surface Water Assessment and Grants programs were not part of the MiEnviro Integration for Michigan.

*Had an RFP put out in 2013. Were the original state where nViro was developed. So other states will have a different experience because the product now exists.*

- 2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)? Applications, Service Requests, Public Comment/Noticing, Public Facing data transparency, Permitting, Compliance and Enforcement, Invoices, Fee and penalty Collection (indirectly through connection to our state electronic payment processing applications), reporting, document management.
- 3) How long has your office been working with the vendor? 10+ years on this project, longer for several smaller products such as Michigan's Beach Guard.
- 4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not? Yes, I know they have been performing similar integrations with South Carolina. Speed of implementation would be the only limiting factor, as Windsor is a smaller company supporting other states and staff capacity could play a factor.

*Over 8 years their point of contact hasn't changed and they've developed a really good repour with them.*

*Windsor has been very open and responsive to needed changes.*

- 5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation? **NA**
- 6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)?  
**Michigan was the driver of the base product so the solution is tailored to our needs. The configurability at the customer level is one of the biggest benefits of the system. There are MANY enhancements and tweaks we would love to continue to see, but the base product meets our needs.**
- 7) During implementation, how many vendor staff and organization staff supported your implementation: **Let's chat through this one**
- On the "Business side"- People helping staff with change management and configuring new license types in the system.
  - "Developer / database side"- People keeping the system running and configuring new license types in the system.

*Windsor had 1-2 people who were the point people.  
Discussed DEP-required resources.*

- 8) After implementation, how many vendor and organization staff support your implementation: **Let's chat through this one**
- On the "Business side"
  - "Developer / database side"

*Covered.*

- 9) If your system was intended to be implemented in multiple parts of your enterprise:
- Were all implementations completed? **Only now expanding to other divisions.**
  - If all implementations were not completed, are there plans to complete the implementation?
    - Do the plans involve the vendor? **Water has onboarded several small programs that required little enhancement or data conversion to use the system. Data conversion, large/complex programs and/or enhancement of the system to utilize the vendor.**

- 10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project? **Windsor has a solid understanding of the high level business practice. The nuance of**

individual program implementation is not as detailed, but this is to be expected.

- 11) How flexible was the vendor regarding changes from the original RFP?
  - a. How flexible was the software when changes in functionality were required? The vendor was amenable to contract modifications to support changing priorities and needs and is very flexible in modifying the system (provided it will not break implementations for other customers).
  
- 12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services? Windsor's project managers and state agency lead have been competent and responsive.
  
- 13) Do you think that the deployment schedule for your implementation went well?
  - a. If not, what would you have changed? We were first to roll out with this product. We rolled out to staff and customers with very little (< 2 weeks) lead time. Given the opportunity we would roll out in smaller chunks and that is what our Air program is now doing. Obviously having a robust base product to train and test on already in place makes a significant difference in strategy and ability to train.
  
- 14) What was the original quoted cost? Let's chat through this one
  - a. How close to your original quoted cost was your actual cost:
    - a. For initial implementation
    - b. For ongoing Licensing and Maintenance
    - c. Factoring in work left undone / professional services retained after the initial contract period?

*\$5 mil to build and then about another \$3 mil over time, but it was for only Water and they were starting from scratch, so a slightly different situation than Maine will have.*

*Air's contract to bring them in was around \$8 mil over 10 years. Includes maintenance, enhancements, and off-site hosting. Also includes continuing to host Water.*

- 15) Do you have a current contract for professional services with the vendor? Yes

- 16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?
- If historic data was migrated, did the vendor assist with the migration? *Yes, vendor performed 100% of migration*
- 17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit your existing processes, or did it lean more toward redesigning your business processes to fit the system? *A little of both. Let's chat through this one*
- Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution? *Generally areas of work around were minor, but structurally to fit 26 different state databases/programs statutes into one functioning database, you have some give and take to do it all.*
- 18) How easy is it to create the new forms and workflows for a new license type? *EASY*
- Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)? *State staff but can be contracted – Water has about 20 people trained on form design and a smaller number on document template design (though it is easier). The workflows are configurable by state database admins.*

*MI demo'd various templates.*

- 19) Does your implementation include:
- Document management- was it worth it to use the vendor's solution? *Yes, way less expensive than going through our state IT department*
  - Compliance functionality – both in office and in the field (mobile devices) *Both*
  - Enforcement functionality- was it worth it to use the vendor's solution? *Once you get full adoption, yes.*
  - Identity management- how does your organization manage customer information? *We use wet ink signature for identity proofing, but are looking at electronic options in the future – when we implemented these tools were just being developed and cost has come down over time. Other states use the federal tools for identity proofing.*

e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control equipment, emission rates, permit classifications and attributes? Lots of ability to document and manage data. Also ability to create custom "program components" (by state admins) that can capture whatever data you need and this can be pulled into reports.

*LM-I like this answer.*

f. Data Warehouse- If not, how do you handle ad-hoc querying? System has a tool for ad hoc querying – nvisage.

*It looks like the type of reporting we typically use would be relatively easy to do ad-hoc from the live data.*

g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer? Various permissions exist. All staff can be provided the ability to hit and modify base datasources to run reports from. More advanced staff can build queries to share and can make basic joins but requires some knowledge of the database structure and basic SQL understanding. Back end custom query access is also facilitated for advance users.

h. A built-in GIS map functionality for either location viewing or "map-click" location delineation? Yes system has GIS light tools. This includes the ability to import KML files into the system.

20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)? Notifications are integrated and customizable in the system

21) How user friendly is the system:

a. For customers? Depends on the base techiness of the external user. We have a range of customers including 1 time users installing a seawall who may be barely computer literate. Generally with a simple understanding of how computers and online tools work, users do fine with navigating the system. It is understanding what we are asking on in our forms and the technical elements that external customers struggle more with.

*LM-I foresee us having the same experience.*

b. For internal staff? Also varies by user computer proficiency. The system is complex, so it can be intimidating. With proper work instructions for base activities staff can get up to speed pretty quickly and with repetition become proficient.

- 22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)? *We integrate through Opennode2 to ICIS NPDES/Air. Other state integrations have used CROMERR shared services.*
- 23) Has your solution obtained CROMERR application approval? *Yes*
- a. If so- is it easy to have one program CROMERR compliant, and another not? *I don't understand the question. Our Air program will be cromerr compliant if they follow our Water process that has been approved for identity proofing and certification of users. Other security and meta data within the system is by nature of the setup, cromerr compliant.*

*Talked through this, and yes, it is super easy for one system to be CROMERR compliant when others aren't. Can be turned on/off by form.*

- b. What is the upload method used by your CROMERR system? (file upload, EPA API, other) *Not sure what this is asking – we can talk through it and I can probably answer.*
- c. If your business does not involve environmental regulation:
- a. has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?
- 24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it? *External customers in most cases, but staff can perform if necessary. Easy.*
- 25) Are you familiar with other organizations who use your licensing system? *Yes*
- a. If so, do you communicate with them? *South Carolina has a Microsoft Teams group with the other states, but it isn't highly used. Most reach out directly as needed.*
- 26) How many/which business units have a public-facing portal where applications can be submitted online? *All of our implementations of Water have this. Air is slow rolling release to public for some programs to allow for staff to become familiar with the tool prior to public roll out.*
- a. If not all, why not?

- b. For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded? *All of ours are part of the system, but we can link to outside forms and guidance, if necessary, as part of the form design in the system.*
- 27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account? *Yes, and Yes.*
- 28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year? *Yes.*
- 29) Is your organization satisfied with the look and feel of the system? *Yep, hopefully by answering your interrogation questions we can focus more on fun demo.*
- a. Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?
  - b. Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect? *Everyone wants an Amazon/Google experience on a state IT budget – that just isn't feasible, but it is pretty good considering.*
  - c. Is your system intuitive and easy to use? *Eh – not too bad for external users, internal users – it has so many bells and whistles it can lack intuitiveness at times.*
  - d. Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate? *In most cases yes. There are areas where better training and/or configuration tweaks would continue to improve the user experience.*
- 30) Having it to do over again, what would you do differently? *We'd roll out in phases. We'd really watch our contract language (word like tool is not Word – that is solved now, but you learn from that). Site based has its challenges – integrating overarching organization context for external customers could be interesting.*

*Strongly suggested rolling out in phases.*

- a. Would you choose to convert any particular business unit before another?
  - b. Is there anything in general you would do differently?
- 31) Having it to do over again, would you choose the same vendor? *We've generally be content with the vendor and the service over the years. Enough so that we expanded our contract to include other divisions.*
- a. Can you share what other vendors you might have considered, and what made you choose XXXX over them? *We can chat through this.*
  - b. Is there anything about the vendor you would change or have them do differently?

*There was another GIS-heavy system. Had to decide whether they preferred business knowledge or GIS knowledge and chose to go with Windsor's business knowledge.*

- 32) Were there any major surprises during the process?
- a. Was there anything you didn't expect or you expected to happen differently?
- 33) Is there anything else you'd like to share relating to your experience with this vendor? *The nViro tool Windsor has integrates a number of products. Not all products are as updated or advanced as the others. For example, I'd love to see modernization and improvements to the nspect tool which is for mobile inspections. The customer enhancement interests really drive the product improvements and those improvements are shared across all implementations (unless a state opts to not configure on a particular item) – this is really good if all states are doing things to improve the system. It can also mean a lot of testing and analysis of new release content, that may not be your state's highest priority "feature". I think the trade offs are worth it, but it is not a "static" system and you get the good and bad of that.*



## Reference Questions (Blue and Red text is from Michigan)

### Summary:

- Michigan is happy with the solution, software, hosting and maintenance.
- A lot of helpful suggestions on contract negotiation.

- 1) How large is your organization?
  - a. How many staff total? Roughly 1300, Water roughly 400.
  - b. How many users of the system? 2015 -2022 just Water used the system. 2023 – began onboarding Air Quality Division and Waste Management Division. Roughly 300 of 400 water employees use the system – Notably our Surface Water Assessment and Grants programs were not part of the MiEnviro Integration for Michigan.

Was it specifically for Water?

Sarah: Yes, there was no myEnviron, there was InForm. 2014. Put 26 databases into others. We'd worked with them before. Several other bids. So your experience will be different from ours. We worked with Windsor: Told them we will pay, and you can sell it to others. They kind of use the licensing model to charge the states for integrations.

Specific Money: 5 million to build, 3 million in maintenance over a few years, and we have a contract for maintenance.

Mark: It was just water, but water has

Sarah: EnfoTech. Considered them. Also might have had a GIS Heavy. Had a choice. What I recall hearing was they had a choice with a lot of GIS, but didn't know the business, or have the business, but not a lot of GIS.

We host with Windsor. Azure. Cloud hosting. That was a savings for us. For Air, they have their own contractual costs. Air had roughly 8 Million.

If we can onboard without data migration and Windsor, and we can do it. Line item.

Me: 8 Million = 5 + 3?

Sarah: Another 8 million, but it also includes hosting Water et .

- 2) Can you please provide a brief description of what business functions the system facilitates at your organization (e.g. application, application review, public input, licensing, compliance, enforcement, billing, document management, business intelligence, reporting)? Applications, Service Requests, Public Comment/Noticing, Public Facing data transparency, Permitting, Compliance and Enforcement, Invoices, Fee and penalty Collection (indirectly through connection to our state electronic payment processing applications), reporting, document management.
- 3) How long has your office been working with the vendor? 10+ years on this project, longer for several smaller products such as Michigan's Beach Guard.
- 4) (after reviewing our RFP scope summary): Do you anticipate that this vendor could accomplish a project of this scale? Why or why not? Yes, I know they have been performing similar integrations with South Carolina. Speed of implementation would be the only limiting factor, as Windsor is a smaller company supporting other states and staff capacity could play a factor.

Sarah: I think they just hired 14 people. Always a factor.

Mark: One thing that's been nice is that our point of contact HAS NOT CHANGED.

Sarah: And it's been 8 years

- 5) If a contract management company brokered the procurement of your solution, did you find that having a third party added value to your implementation? NA
- 6) How well do you think that your system's solutions fit your requirements (or fits your need, if not involved with procurement)? Michigan was the driver of the base product so the solution is tailored to our needs. The configurability at the customer level is one of the biggest benefits of the system. There are MANY enhancements and tweaks we would love to continue to see, but the base product meets our needs.

Sarah: Some examples: Word / Like software is NOT Word. CK editor is not like word for all things that Staff need to do. Needed a contractual way to deal with that. Contract allowed them to do that.

Sarah: Windsor was able to integrate a change because of Air need (their tool was about to die).

- 7) During implementation, how many vendor staff and organization staff supported your implementation: **Let's chat through this one**
- a. On the "Business side"- People helping staff with change management and configuring new license types in the system.
  - b. "Developer / database side"- People keeping the system running and configuring new license types in the system.

None of us were involved, but they have specific staff that do SECURITY / MIGRATION / DATA FLOW (ICIS NPDES) / DOCUMENTS. They come and go. Continuity with Project Lead. Two folks who were our point people throughout, and they would then have different people working depending on what was being done.

Mark: You painted the picture. Half a dozen. Bigger company now than it was eight years ago. (John and Bology).

Lynn: You mentioned that your Air staff are actively working on development. How many state staff it's their full time...

Sarah: On our end, I said five or six. Just in water, five or six. SMEs that run the integrations and manage the contracts. And that includes managing the release testing. Data Flow, Form Design... We had maybe two or three doing it before, but the system does so much more, so it's not surprising that it does so much more. The public portal demanded that.

Mark: Air has maybe four full time people, plus maybe another 6-8 during implementation. Air will probably have a similar team. We maintain document templates, statutory changes, upgrade release testing. And training staff.. There's a need for specific.

Lynn: I think we'd asked about the portal submitting applications. Enter information in the portal, or logging in and uploading a form?

Mark: The system will support either version of what you're talking about. Either a form, conditional. There's all kinds of things that might require you to upload something (supporting documents). We pretty much don't receive anything that's just paper. You have to enter SOMETHING on a form. Mom and pop want to put in a seawall... That is hugely the exception. In facilities they are required to submit electronically.

Lynn: Do you think that model, where you do both a form and supporting docs, do you think that model requires additional staff to support?

Sarah: It's hard to say- you had people who had to support the paper forms also. There's trade-offs in the reportability, vs the forms. You can put as much or as little into the forms.

Lynn: Trying to figure out how to scale down your numbers.

Sarah: One Techie person could probably do it for your.

Mark: We're having Windsor do it for Air. Water wants to have complete applications.

Me: Oooooooooooh. Complete.

Lynn: Yes, it's shifting the support. We ask about the size of your engine.

- 8) After implementation, how many vendor and organization staff support your implementation: **Let's chat through this one**
  - a. On the "Business side"
  - b. "Developer / database side"
- 9) If your system was intended to be implemented in multiple parts of your enterprise:
  - a. Were all implementations completed? **Only now expanding to other divisions.**
  - b. If all implementations were not completed, are there plans to complete the implementation?
    - i. Do the plans involve the vendor? **Water has onboarded several small programs that required little enhancement or data conversion to use the system. Data conversion, large/complex programs and/or enhancement of the system to utilize the vendor.**

Original contract is complete.

So much is configurable: If it's not a data migration or a statutory modification, it's easy.

- 10) How complete do you feel that the vendor's discovery process was- Do you feel that they had sufficient understanding of your business, your requirements and the risks involved with the project? **Windsor has a solid understanding of the high level business practice. The nuance of individual program implementation is not as detailed, but this is to be expected.**

It's a different discussion with the Air folks now (Will Rensmith worked for Water back before it was water and he started with us). Our Air people, they have people who just do air.

Be very specific on Acceptance Criteria for your contract.

- 11) How flexible was the vendor regarding changes from the original RFP?
  - a. How flexible was the software when changes in functionality were required? *The vendor was amenable to contract modifications to support changing priorities and needs and is very flexible in modifying the system (provided it will not break implementations for other customers).*
- 12) How well did the vendor support the implementation of their system- did they provide competent project management and change management services? *Windsor's project managers and state agency lead have been competent and responsive.*
- 13) Do you think that the deployment schedule for your implementation went well?
  - a. If not, what would you have changed? *We were first to roll out with this product. We rolled out to staff and customers with very little (< 2 weeks) lead time. Given the opportunity we would roll out in smaller chunks and that is what our Air program is now doing. Obviously having a robust base product to train and test on already in place makes a significant difference in strategy and ability to train.*
- 14) What was the original quoted cost? *Let's chat through this one*
  - a. How close to your original quoted cost was your actual cost:
    - a. For initial implementation
    - b. For ongoing Licensing and Maintenance
    - c. Factoring in work left undone / professional services retained after the initial contract period?
- 15) Do you have a current contract for professional services with the vendor? *Yes*
- 16) Did you migrate historic data from legacy systems or does the new system only contain currently active or new permit information?
  - a. If historic data was migrated, did the vendor assist with the migration? *Yes, vendor performed 100% of migration*
- 17) How easy was it for your workflows to integrate into your system? I.e. did the implementation lean more toward configuring the system to fit

your existing processes, or did it lean more toward redesigning your business processes to fit the system? **A little of both. Let's chat through this one**

- a. Similarly, does your solution accommodate your agency's unique statutory requirements? Or were workarounds required? Were any laws / statutes updated in order to smooth the transition to your solution? **Generally areas of work around were minor, but structurally to fit 26 different state databases/programs statutes into one functioning database, you have some give and take to do it all.**

18) How easy is it to create the new forms and workflows for a new license type? **EASY**

- a. Can this be done by your organization's business staff, or must a professional developer be involved (either in house or contracted)? **State staff but can be contracted – Water has about 20 people trained on form design and a smaller number on document template design (though it is easier). The workflows are configurable by state database admins.**

Templates for notifications

Templates for documents. They use Aseoffix to do

Templates for Inspections

Forms for submitting an application

Special administrators who are trained to do form templates. Anyone who has aptitude.

Smaller number of document template training

19) Does your implementation include:

- a. Document management- was it worth it to use the vendor's solution? **Yes, way less expensive than going through our state IT department**
- b. Compliance functionality – both in office and in the field (mobile devices) **Both**
- c. Enforcement functionality- was it worth it to use the vendor's solution? **Once you get full adoption, yes.**
- d. Identity management- how does your organization manage customer information? **We use wet ink signature for identity proofing, but are looking at electronic options in the future – when we implemented these tools were just being developed and cost has come down over time. Other states use the federal tools for identity proofing.**
- e. Licensed Facility Details - how well does the solution manage details related to a permit, e.g., information on emission units, control

equipment, emission rates, permit classifications and attributes?  
Lots of ability to document and manage data. Also ability to create custom "program components" (by state admins) that can capture whatever data you need and this can be pulled into reports.

- f. Data Warehouse- If not, how do you handle ad-hoc querying?  
System has a tool for ad hoc querying – nvisage.

Me: Business Intelligence?

Me and one other person have back end database access. Windsor can set up data connections if you need them.

Sarah: Best of both worlds-nVisage and backend

Me: Export?

Mark: It's hundreds of tables. We have a weekly export. nVisage is a small number of tables in order to remain responsive. Data warehouse.

Me: Live or not?

Mark: I go against the system. The Warehouse is its own limited dataset.

Lynn: I liked the equipment answer, can you tell me more?

Mark: They're automatically added to nVisage. Those are the things that are

- g. Reporting tools- are users able to develop reports themselves, or do they need to be created by a programmer? Various permissions exist. All staff can be provided the ability to hit and modify base datasources to run reports from. More advanced staff can build queries to share and can make basic joins but requires some knowledge of the database structure and basic SQL understanding. Back end custom query access is also facilitated for advance users.
- h. A built-in GIS map functionality for either location viewing or "map-click" location delineation? Yes system has GIS light tools. This includes the ability to import KML files into the system.

20) How does your system handle notifications, especially for infrequent users of the systems (people who might have to approve something a few times a year)? Notifications are integrated and customizable in the system

- 21) How user friendly is the system:
- a. For customers? Depends on the base techiness of the external user. We have a range of customers including 1 time users installing a seawall who may be barely computer literate. Generally with a simple understanding of how computers and online tools work, users do fine with navigating the system. It is understanding what we are asking on in our forms and the technical elements that external customers struggle more with.
  - b. For internal staff? Also varies by user computer proficiency. The system is complex, so it can be intimidating. With proper work instructions for base activities staff can get up to speed pretty quickly and with repetition become proficient.
- 22) Does your solution interface with any Federal web services (e.g. EPA's VES, CROMERR Shared Services, FRS, ICIS-NPDES or ICIS-Air, CAERS,)? We integrate through Opennode2 to ICIS NPDES/Air. Other state integrations have used CROMERR shared services.
- 23) Has your solution obtained CROMERR application approval? Yes
- a. If so- is it easy to have one program CROMERR compliant, and another not? I don't understand the question. Our Air program will be cromerr compliant if they follow our Water process that has been approved for identity proofing and certification of users. Other security and meta data within the system is by nature of the setup, cromerr compliant.
  - b. What is the upload method used by your CROMERR system? (file upload, EPA API, other) Not sure what this is asking – we can talk through it and I can probably answer.
  - c. If your business does not involve environmental regulation:
    - a. has your solution obtained approval from a third party for a multi-factor authentication regime where customers delegate authority to employees who are required to verify their identity via a wet ink signature via registered mail and are then authorized to submit sensitive information which will be reviewed and approved via secure processes?

Sarah: There are flags in the system, if certifiers are required.  
Can be turned on by form. (CROMERR)

- 24) Who is responsible for uploading customer compliance reports (organization or customer), and how easy is it? External customers in most cases, but staff can perform if necessary. Easy.



- 25) Are you familiar with other organizations who use your licensing system? **Yes**
- If so, do you communicate with them? **South Carolina has a Microsoft Teams group with the other states, but it isn't highly used. Most reach out directly as needed.**
- 26) How many/which business units have a public-facing portal where applications can be submitted online? **All of our implementations of Water have this. Air is slow rolling release to public for some programs to allow for staff to become familiar with the tool prior to public roll out.**
- If not all, why not?
  - For programs that have an online application portal, are the application forms part of the system, or are they documents that are filled out separately and uploaded? **All of ours are part of the system, but we can link to outside forms and guidance, if necessary, as part of the form design in the system.**
- 27) Does the system include online public notices (either of applications or draft permits)? If so, are they viewable by the public without an account? **Yes, and Yes.**
- 28) Can the system handle licenses that aren't fixed to a physical location, i.e., licenses for portable equipment where the physical address may change multiple times per year? **Yes.**
- 29) Is your organization satisfied with the look and feel of the system? **Yep, hopefully by answering your interrogation questions we can focus more on fun demo.**
- Can you please show us a few screens of the application such that we can get a quick idea of the look and feel of the solution?
  - Do you feel that your organization is using modern software that provides the conveniences that customers and staff expect? **Everyone wants an Amazon/Google experience on a state IT budget – that just isn't feasible, but it is pretty good considering.**
  - Is your system intuitive and easy to use? **Eh – not too bad for external users, internal users – it has so many bells and whistles it can lack intuitiveness at times.**
  - Do you think that your customers and staff have confidence in the system and trust that the information it manages is accurate? **In most cases yes. There are areas where better training and/or configuration tweaks would continue to improve the user experience.**

- 30) Having it to do over again, what would you do differently? *We'd roll out in phases. We'd really watch our contract language (word like tool is not Word – that is solved now, but you learn from that). Site based has its challenges – integrating overarching organization context for external customers could be interesting.*
- Would you choose to convert any particular business unit before another?
  - Is there anything in general you would do differently?

20,000 users at one time was a poor choice. Or give your staff time to keep up with it. Can be a challenge to do a program at a time. If you can, do not try to do everything at once.

Dry cleaning  
Asbestos  
Air clean next

Not everything has a dot on the map. The whole great lakes is not a place on the map, and it can be challenging contextually. From the public facing side, we can come up with workarounds.

Ford or GM might have five different plants, but right now we manage them as related sites, but they're not one company. It can be challenging when you want to see all those relationships. Unless someone invites me to all of those sites. I think South Carolina has people as well as sites?.

Lynn: You mean how FRS ties everything to your address? You said it handles when things move. Huge problem with FRS. EPA wants me to issue them ID numbers.

Mark: You can put a dot on the map as their site location, or home base. This is current operating location. And it will all function and be OK. It's just not always an apples to apples. It's a SITE SYSTEM. It's not as perfect for those outliers. They have the concept of a company, or person as regulated entity. Air is going to USE corporation.

Sarah: We do have relationships. Talk to Windsor: I'm pretty sure that South Carolina.

- 31) Having it to do over again, would you choose the same vendor? *We've generally be content with the vendor and the service over the years. Enough so that we expanded our contract to include other divisions.*
- Can you share what other vendors you might have considered, and what made you choose XXXX over them? *We can chat through this.*
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## Demonstration

Sarah Ehinger Licensing and Technology. We are the translators (like us).

We're on Water. Air is doing their own implementation. Full in- meetings all day long. How to migrate the data. Make it as fun of a ride as possible.

Mark Schieber: Day to day manager for (lab?) came from water resource. Rivers lakes and streams. Issue joint permits (w/ army corps). That's what I did before the database. Backend access to the database.

Melissa Sandborn. Mark's better half water resources. Financial aspects. Separate. Water MPDS Treatment Plants and enforcement, Compliance.

Folks on team who are customer support (one full time) specialist who does permit management. We were all just regular field staff. System is big and does a lot of bigger things. Translate into the system. Configureability is amazing, but you need people who can make it work for the staff.

BACK TO TOP.

FINAL ENDING DEMONSTRATION:

Bill: Security releases and deployment certification.

Sarah: I'm told by our it that we're the most strict in the nation. One or two a year we do security scans. Last time it was all SMOPE (er smoke?). Cross-site registry.

Bill: They're good on meeting requirements?

Sarah: we get a scan back and there may be some back and forth.

Bill: Accessibility?

Sarah: We passed the state one for Air, but Windsor has the voluntary VPAT / VERT.

Mellisa: Complete applications are a good goal. And the tool points the user right to what they've done wrong. We've changed a lot of our forms. Line by line. We've found benefit to breaking out every question. If I'm reviewing, and find something weird, I can click : "start review", then "add correction request. And the Description is what the user will see.

Lynn: Direct them to the boiler plate?

Mark: Fees are based on it, so you may want to direct them.

Melissa: You can direct them to any question. And it's Locked for review. They you can say "Review Complete" puts it On Hold and sends a notification. "On Hold Action Needed". And they can jump right to the spot.

Lynn: Completeness is "Administratively complete" Not a technical review. If you get into processing, and with discussing with facility you find out that they did the wrong form?

Mark: They have to do the change.

Sarah: That's for CROMERR that it's THEIR submittal is not your submittal. We can do it right on OUR application, knowing that's probably what it is. But it's not theirs.

Mark: There's ways to update the equipment list internally. They can submit it via email.

Sarah: Public notice, public comment. So many bells and whistles. A lot of other states use sampling. If there's something that you want, and it's not there, Windsor's been very good about doing that. It's about leveraging the

parts you need, and the configuration is awesome. COVID transition was able to happen without missing a beat.

Email us if you have any questions.

Sherrie Question: Where our last one was South Carolina, and SC had EFIS.





STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION

Janet T. Mills  
Governor

Melanie Loyzim  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202110152**  
**RFP TITLE: Enterprise Licensing System**

I, Rachel Sukeforth, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Environmental Protection. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current or former employment with the bidder; current or former personal contractual relationship with the bidder (example: paid consultant); and/or current or former relationship to a bidder's official which could reasonably be construed to constitute a conflict of interest (personal relationships may be perceived by the public as a potential conflict of interest).

I have not advised, consulted with or assisted any bidder in the preparation of any proposal submitted in response to this RFP nor have I submitted a letter of support or similar endorsement.

I understand and agree that the evaluation process is to be conducted in an impartial manner without bias or prejudice. In this regard, I hereby certify that, to the best of my knowledge, there are no circumstances that would reasonably support a good faith charge of bias. I further understand that in the event a good faith charge of bias is made, it will rest with me to decide whether I should be disqualified from participation in the evaluation process.

**I agree to hold confidential all information related to the contents of Requests for Proposals presented during the review process until such time as the Department formally releases the award decision notices for public distribution.**

04/24/2023

Signature

Date



STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION

Janet T. Mills  
Governor

Melanie Loyzim  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202110152**  
**RFP TITLE: Enterprise Licensing System**

I, Sam Krajewski accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Environmental Protection. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current or former employment with the bidder; current or former personal contractual relationship with the bidder (example: paid consultant); and/or current or former relationship to a bidder's official which could reasonably be construed to constitute a conflict of interest (personal relationships may be perceived by the public as a potential conflict of interest).

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Signature

5-16-2022

Date





STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION

Janet T. Mills  
Governor

Melanie Loyzim  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202110152**  
**RFP TITLE: Enterprise Licensing System**

I, Sherrie Kelley accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Environmental Protection. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current or former employment with the bidder; current or former personal contractual relationship with the bidder (example: paid consultant); and/or current or former relationship to a bidder's official which could reasonably be construed to constitute a conflict of interest (personal relationships may be perceived by the public as a potential conflict of interest).

I have not advised, consulted with or assisted any bidder in the preparation of any proposal submitted in response to this RFP nor have I submitted a letter of support or similar endorsement.

I understand and agree that the evaluation process is to be conducted in an impartial manner without bias or prejudice. In this regard, I hereby certify that, to the best of my knowledge, there are no circumstances that would reasonably support a good faith charge of bias. I further understand that in the event a good faith charge of bias is made, it will rest with me to decide whether I should be disqualified from participation in the evaluation process.

**I agree to hold confidential all information related to the contents of Requests for Proposals presented during the review process until such time as the Department formally releases the award decision notices for public distribution.**

Sherrie Kelley  
Signature

3/23/2023  
Date



STATE OF MAINE  
DEPARTMENT OF ENVIRONMENTAL PROTECTION

Janet T. Mills  
Governor

Melanie Loyzim  
Commissioner

**AGREEMENT AND DISCLOSURE STATEMENT**  
**RFP #: 202110152**  
**RFP TITLE: Enterprise Licensing System**

I, William Mason, accept the offer to become a member of the Request for Proposals (RFP) Evaluation Team for the State of Maine Department of Environmental Protection. I do hereby accept the terms set forth in this agreement AND hereby disclose any affiliation or relationship I may have in connection with a bidder who has submitted a proposal to this RFP.

Neither I nor any member of my immediate family have a personal or financial interest, direct or indirect, in the bidders whose proposals I will be reviewing. "Interest" may include, but is not limited to: current or former ownership in the bidder's company; current or former Board membership; current or former employment with the bidder; current or former personal contractual relationship with the bidder (example: paid consultant); and/or current or former relationship to a bidder's official which could reasonably be construed to constitute a conflict of interest (personal relationships may be perceived by the public as a potential conflict of interest).

I have not advised, consulted with or assisted any bidder in the preparation of any proposal submitted in response to this RFP nor have I submitted a letter of support or similar endorsement.

I understand and agree that the evaluation process is to be conducted in an impartial manner without bias or prejudice. In this regard, I hereby certify that, to the best of my knowledge, there are no circumstances that would reasonably support a good faith charge of bias. I further understand that in the event a good faith charge of bias is made, it will rest with me to decide whether I should be disqualified from participation in the evaluation process.

**I agree to hold confidential all information related to the contents of Requests for Proposals presented during the review process until such time as the Department formally releases the award decision notices for public distribution.**

William D. Mason  
Signature

3/21/23  
Date