**APPENDIX C**

# STATEMENT OF WORK (SOW)

# FOR

# END-USER IT OUTSOURCING

# Engagement Name

# DIR Customer Name

***DATE***

## Introduction

Describe the managed service to be delivered and the characteristics of the services at a summary level. The statement of work (SOW) is unique and distinct for each engagement.

## Background

Explain why the Agency is contracting for this managed service. Provide useful information regarding the Agency organization, engagement history, future plans or any other relevant information regarding the work to be performed.

## Scope (Sample Content)

### 3.1 Engagement-Based Services

* Scope of work
* Engagement risks, assumptions, and constraints
* Roles and responsibilities
* Detailed description of managed service
* Acceptance criteria
* Engagement completion criteria
* Engagement schedules to be achieved by vendor
* Relevant quality processes that will apply, such as change management, acceptance, and risk and issue management

### 3.2 Outsourced Services

* + Scope of services to be delivered
  + Acceptance criteria
  + Service-level objectives
  + Key performance indicators
  + Service-level agreements (SLAs)
  + Service-level management

## Services (Sample Content)

**(Example – at a minimum, Agencies should consider the following items when developing their SOW)**

* Managed Services must be provided on the dates specified. Any changes to the delivery date must have prior approval (in writing) by the Agency contract manager or designate.
* All managed services must be submitted in a format approved by the Agency contract manager.
* If the managed service cannot be provided within the scheduled time frame, the Vendor is required to contact the Agency contract manager in writing with a reason for the delay and the proposed revised schedule. The request for a revised schedule must include the impact on related tasks and the overall project.
* A request for a revised schedule must be reviewed and approved by the Agency contract manager before placed in effect. Contract Terms and Conditions may dictate remedies, costs, and other actions based on the facts related to the request for a revised schedule.
* The Agency will complete a review of each submitted managed service within specified working days for the date of receipt
* A kickoff meeting will be held at a location and time selected by the Agency where the Vendor and its staff will be introduced to the Agency.

### 4.1 Sample Delivery Schedule

| **No.** | **Item** | **SOW Paragraph** | **Due Date** | **Recipient** |
| --- | --- | --- | --- | --- |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |
| 6 |  |  |  |  |
| 7 |  |  |  |  |
| 8 |  |  |  |  |
| 9 |  |  |  |  |
| 10 |  |  |  |  |
| 11 |  |  |  |  |

## Project Work Plan

The Vendor shall develop a Project Plan for all areas associated with this SOW for written approval by AGENCY. The Project Plan shall specify, to the greatest degree possible, the activities that are to be undertaken, including a step-by-step timetable and the names or titles of the Vendor’s staff involved in each step. This shall include all resource requirements necessary to successfully complete the project. Resource requirements shall include any required input from AGENCY staff and an estimate of the amount of AGENCY staff time required. The Respondent shall provide a DRAFT Project Plan as part of their response to this SOW.

A draft high-level project work plan addressing the tasks specified in the SOW, which will include:

* An outline of capability to deliver the required services, including process, functional and technical expertise
* A description of the approach the Vendor will use to analyze, assess, validate, document, and complete the deliverables listed in the Deliverables Section above
* A description of key activities and milestones
* A description of the resources necessary from AGENCY to support the process, including estimates of time needed from AGENCY’s subject matter experts and high-level analysis of data gathering requirements.
* Any assumptions and dependencies of the project

## Reports and Meetings

**Sample Content (Example – at a minimum, Agencies should consider the following items when developing their SOW)**

* The Vendor is required to provide the Agency contract manager with weekly written progress reports of this engagement. These are due to the Agency contract manager by the close of business on the *specify day* each week throughout the life of the project

1. The progress reports shall cover all work performed and completed during the week for which the progress report is provided and shall present the work to be performed during the subsequent week.
2. The progress report shall identify any problems encountered or still outstanding with an explanation of the cause and resolution of the problem or how the problem will be resolved.

* The Vendor will be responsible for conducting weekly status meetings with the Agency contract manager. The meetings will be held on *specify day* of each week - at a time and place so designated by the Agency contract manager - unless revised by the Agency contract manager. The meetings can be in person or over the phone at the discretion of the Agency contract manager.

## Service Level Agreement

The items listed below are suggestions for areas to be considered for service levels and incorporated into the SOW service level agreement.

* Security (as defined by customer)
* Quality (as defined by customer)
* Availability (data, system, and components)
* Performance (transmission, response, or completion times)
* Meantime to Resolution (MTR)
* Business Continuity
* Required communications (meetings, reports, calls, emails)
* Required documents (plans, estimates, schedules, analyses)
* Degree of accuracy of estimates (schedule, budget, resources, total)
* Effective risk management and response (adherence to plans)
* Effective scope management and change control (adherence to plans)
* Data quality (fitness for use, accuracy, precision, completeness)
* Ad hoc query response (usually written in terms of averages)
* Reliability (queries generate same valid results)
* Consistency (calculations and definitions are consistent regardless of source or function)
* Acceptable usage (query controls)
* Correct mapping of old to new (no functions or data lost that were not planned to retire)
* Previous software, system, or service retired on time

## Period of Performance

Specify the period of performance in which the Vendor will conduct and complete the work associated with the SOW. The initial term of the contract shall be for one (1) year from [Insert Date] to [Insert Date]. Agency may, in its sole discretion, exercise the option to extend the contract for up to three (3) additional one (1) year periods. To exercise the option to extend the term, Agency will notify Respondent; such notice may be by Change Order/Purchase Order issuance.

## Transition Plan

The Vendor shall develop a Transition Plan for the transition of all services and operations upon termination of the Contract. The plan shall specify the tasks to be performed by the parties, the schedule for the performance of such tasks and the responsibilities of the parties associated with the tasks. The Transition Plan is subject to Agency approval.

* 1. The Vendor’s Transition Plan shall address the following closeout activities, at a minimum:

1. Transfer (to either the Agency or another vendor) or close-out of operations including the method by which operations will be continued during the transition period and the organizational structure proposed during transition;
2. Closeout of financial processes, including invoicing, outstanding contractual items, etc.;
3. Transition of open operational items, including outstanding customer service and Contract monitoring issues;
4. Transfer of confidential data, Source Media, and any other Agency property to the Agency or designee; and
5. Secure data destruction in accordance with Approved methods for media sanitization are listed in the National Institute of Standards and Technology (NIST) Special Publication 800-88 Revision 1, Guidelines for Media Sanitization: <http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-88r1.pdf>
   1. A draft of the Transition Plan shall be completed at a date agreed upon by the Agency and the Successful Respondent.
   2. During the transition period, the Successful Respondent shall meet with the Agency transition team, on a weekly basis, to review progress and update the Transition Plan.
   3. The Successful Respondent and the Agency shall meet annually to review and discuss any modifications to the Transition Plan.
   4. The Successful Respondent shall make any necessary modifications to the Transition Plan within twenty (20) Business Days after the annual meeting and resubmit the modified Transition Plan to the Agency for final approval.
   5. The Agency will not issue payment for services, or costs incurred by the Successful Respondent, in performing transition responsibilities that do not involve services performed pursuant to the specifications of this SOW.

## Invoices

Describe the Vendor’s responsibilities for invoicing Agency including invoice content, frequency/schedule, and instructions for submitting invoices. Payments will be made in accordance with the DIR master contract, Appendix A, Standard Terms and Conditions.

## Agency/Vendor-Furnished Equipment and Workspace

Specify what equipment and/or workspace the Agency will provide or the expectations of what the Vendor will provide.

## Additional Agency Terms and Conditions

List any additional terms and conditions required by the Agency. Agencies may negotiate the terms and conditions of a SOW to suit their business needs so long as the SOW terms and conditions do not conflict or weaken the DIR master contract. Include any assumptions

## Vendor Response

**Sample Content (Example – at a minimum, Agencies should consider the following items when developing their SOW)**

* In order to be eligible to respond to this Statement of Work (SOW), the Respondent must hold a relevant DIR contract through which the Respondent can provide XXX services.
* All written managed services proposed must be phrased in terms and language that can be easily understood by non-technical personnel (e.g., laypersons without subject matter expertise)
* All document managed services proposed must be in formats (hard copy and electronic) as specified by the Agency - at a minimum, the formats must be in industry accepted standards (e.g., MS Word, MS PowerPoint, MS Project)
* The Vendor must demonstrate its knowledge and expertise of the environment (e.g., platforms, software, applications, network, tools, etc.) for which work is to be performed
* All items of this agreement shall be done in accordance with the Service Level Agreement.
* Agreement to confidentiality and legal statements
* If the awarded vendor intends to subcontract, the subcontractor must be listed on the DIR contract’s Appendix B, HUB Subcontracting Plan. If the vendor has identified additional subcontracting opportunities, the vendor will need to submit a revised HSP to DIR for review. No work may be performed by a subcontractor before DIR has approved a revised HSP for the Cooperative Contract.
* Project management plan addressing the tasks specified in the SOW

### 13.1 Vendor staff capabilities specific to this SOW:

* + Organization chart
  + Management team resumes
  + Key personnel resumes illustrating the qualifications of each to perform the services described in this SOW.

### 13.2 Vendor’s services capabilities:

* + Outline of capability to deliver the required services, including process, functional and technical expertise
  + Agreed-on SOW for managed services
  + Engagement plans for project services or transition

### 13.3 Vendor References

Vendor should provide three (3) reference for whom vendor has done work similar to the work requested in this SOW. References will be contacted by email only.

## Pricing

The main purpose of this section is to detail the pricing for the services. Vendors should also provide a summary of any assumptions and exclusions.

**Sample Pricing Sheet**

|  |  |  |
| --- | --- | --- |
| **Engagement No.** | **Engagement Name** | **Price** |
|  |  |  |
|  |  |  |
|  |  |  |

## Response Submission Requirements (Sample Content)

* SOW schedule of events: deadline for questions, deadline for answering questions, response due date
* Address for response submission
* Number of copies
* Mandatory response contents